IFAD's Engagement with Indigenous Peoples

E V A L U A T I O N S Y N T H E S I S

Independent Office of Evaluation

IFAD's Engagement with Indigenous Peoples

Evaluation Synthesis

Foreword

Indigenous peoples are over-represented among the rural poor in many countries. Given IFAD's focus on rural poverty reduction, indigenous peoples have been an important part of intended beneficiaries of IFAD-supported operations from the beginning, especially in Latin America and Asia. IFAD has also been actively supporting global efforts concerning indigenous peoples' issues.

This evaluation synthesis report confirms that IFAD is in a unique position among development agencies to support indigenous peoples' social and economic empowerment. Given its mandate and focus – rural poverty reduction with attention to the vulnerable and marginalized, participatory approaches, community development, empowerment and social inclusion, IFAD has naturally followed a proactive approach to supporting indigenous peoples. IFAD's comparative advantage also stems from inter-linkages between its operations and activities at different levels: experience on the ground, various instruments at corporate level and broad partnerships, and active participation in international processes. Having earned trust from indigenous peoples, IFAD is perceived as a "partner" and "pioneer" in working with them.

In light of its unique position and comparative advantage, and building on its experiences so far, there is still room to strengthen the consistent implementation of IFAD's policy on engagement with indigenous peoples, in particular at the level of investment projects. The report highlighted the importance of paying greater attention to key project design elements, such as devising tailored and differentiated approaches to build on the culture, identity and knowledge of the indigenous peoples' communities. The report also highlighted the importance of enhancing staff understanding on indigenous peoples' issues. IFAD could further strengthen knowledge management in this area, taking advantage of substantial experience, lessons and knowledge of engagement with indigenous peoples.

This evaluation synthesis has indicated IFAD's long-standing and rich experience in working with indigenous peoples and notable achievements in some areas. I hope that the report's findings and recommendations will contribute to further enhancing IFAD's engagement with indigenous peoples to improve their well-being and to promote sustainable and inclusive rural transformation.

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Acknowledgements

IFAD's Engagement with Indigenous Peoples Evaluation Synthesis

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Acronyms

ACHPR	African Commission on Human and Peoples' Rights
ADB	Asian Development Bank
CE	completion evaluation
CLP	core learning partnership
COSOP	country strategic opportunities programme
CPE	country programme evaluation
CTN	country technical note
FAO	Food and Agriculture Organization of the United Nations
FPIC	free, prior, and informed consent
IASG	Inter-Agency Support Group on Indigenous People's Issues
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IFI	international financial institution
IE	interim evaluation
ILO	International Labour Organization
IOE	Independent Office of Evaluation of IFAD
IPAF	Indigenous Peoples Assistance Facility
IPF	Indigenous Peoples Forum
IPs	indigenous peoples
IWGIA	International Work Group for Indigenous Affairs
PPA	project performance assessment
PTA	Policy and Technical Advisory Division (of IFAD)
SPS	Safeguard Policy Statement (of ADB)
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNPFII	United Nations Permanent Forum on Indigenous Issues
WCIP	World Conference on Indigenous Peoples

Acronyms of IFAD-funded projects

Acronyms (project-country)	Project full title	Country
Buen Vivir-EC	Buen Vivir in Rural Territories Programme (Programa de Desarrollo Territorial Rural "Buen Vivir)	Ecuador
CARD-BZ	Community-Initiated Agriculture and Resource Management Project	Belize
CHARM-PH	Cordillera Highland Agricultural Resource Management Project	Philippines
DPRPR-VN	Decentralized Programme for Rural Poverty Reduction in Ha Giang and Quang Binh Provinces	Viet Nam
FATA-PK	Southern Federally Administered Tribal Areas Development Project	Pakistan
FONADERS-HN	National Fund for Sustainable Rural Development Project (Proyecto del Fondo Nacional de Desarrollo Rural Sostenible)	Honduras
HPM-VN	Ha Giang Development Project for Ethnic Minorities	Viet Nam
HLFFDP-NP	Hills Leasehold Forestry and Forage Development Project	Nepal
IMPP-VN	Programme for Improving Market Participation of the Poor in Ha Tinh and Tra Vinh Provinces	Viet Nam
ISFP-NP	Kisangali Unnat Biu-Bijan Karyakram (Improved Seeds for Farmers Programme)	Nepal
JTDP-IN	Jharkhand-Chhattisgarh Tribal Development Programme	India
JTELP-IN	Jharkhand Tribal Empowerment and Livelihoods Project	India
LFLP-NP	Leasehold Forestry and Livestock Programme	Nepal
MARENASS-PE	Management of Natural Resources in the Southern Highlands Project (Proyecto de manejo de los recursos naturales en la Sierra Sur)	Peru
Mixteca-MX	Rural Development Project in the Mixteca Region and the Mazahua Zone (Proyecto de Desarrollo Rural en la Región Mixteca y la Zona Mazahua)	Mexico
NERCORMP-IN	North Eastern Region Community Resource Management Project for Upland Areas	India
NICARIBE-NI	Agricultural, Fishery and Forestry Productive Systems Development Programme in RAAN and RAAS Indigenous Territories (Programa de Desarrollo Rural en la Costa Caribe de Nicaragua)	Nicaragua
NMCIREMP-PH	Northern Mindanao Community Initiatives and Resources Management Project	Philippines
NSRDP-LA	Northern Sayabouri Rural Development Project	Lao People's Democratic Republic
OCISP-LA	Oudomxai Community Initiatives Support Project	Lao People's Democratic Republic

Acronyms (project-country)	Project full title	Country
OTELP-IN	Orissa Tribal Empowerment and Livelihoods Programme	India
PAF II-NP	Poverty Alleviation Fund Project II	Nepal
PNB-PA	Sustainable Rural Development Project for the Ngobe-Buglé Territory and Adjoining Districts (Proyecto de Desarrollo Rural Sostenibile de la Comarca Ngobe-Buglé y Corregimientos Rurales Pobres Aledanos)	Panama
PNPM-ID	National Programme for Community Empowerment in Rural Areas Project	Indonesia
PRAIA	Regional Programme in Support of Indigenous Peoples in the Amazon Basin	(Regional)
PRODECOP-VE	Economic Development of Poor Rural Communities Project (Proyecto de Desarrollo de Comunidades Rurales Pobres)	Venezuela
PRODEPINE-EC	Indigenous and Afro-Ecuadorian Peoples' Development Project (Proyecto de Desarrollo de los Pueblos Indígenas y Afroecuatorianos)	Ecuador
PRODERNEA-AR	Rural Development Project for the North-Eastern Provinces (Proyecto de Desarrollo Rural de las Provincias del Noreste)	Argentina
PRODEVER-GT	Rural Development Programme for Las Verapaces (Programa de Desarrollo Rural de Las Verapaces)	Guatemala
PRO-LENCA-HN	Project fo Competitiveness and Sustainable Development in the South-Western Border Region (Proyecto de Competitividad y Desarrollo Sostenible del Corredor Fronterizo Sur Occidental)	Honduras
PROMARENA-BO	Management of Natural Resources in the Chaco and High Valley Regions Project	Plurinational State of Bolivia
PROSAT-BO	Small Farmers Technical Assistance Services Project (Proyecto de Servicios de Asistencia Técnica para Pequeños Productores)	Plurinational State of Bolivia
Puno-Cusco-PE	Development of the Puno-Cusco Corridor Project (Proyecto de Desarrollo del Corredor Puno-Cusco)	Peru
READ-ID	Rural Empowerment and Agricultural Development Programme in Central Sulawesi	Indonesia
RIDP-VN	Rural Income Diversification Project in Tuyen Quang Province	Viet Nam
SGPRP-CN	South Gansu Poverty Reduction Programme	China
Sierra Sur-PE	Market Strengthening and Livelihood Diversification in the Southern Highlands Project (Proyecto para el Fortalecimiento de los mercados, diversificación de los ingresos y mejoramiento de las condiciones de vida en la Sierra Sur)	Peru
SSSJ-LA	Community-Based Food Security and Economic Opportunities Programme, "Soum Son Seun Jai"	Lao People's Democratic Republic

Acronyms (project-country)	Project full title	Country
TNSP-VN	Agriculture, Farmers and Rural Areas Support Project in Gia Lai, Ninh Thuan and Tuyen Quang Provinces (Tam Nong Support Project)	Viet Nam
YARIP-CN	Yunnan Agricultural and Improvement Project	China
Yucatan-MX	Rural Development Project of the Mayan Communities in the Yucatan Peninsula (Proyecto de Desarrollo Rural de las Comunidades Mayas de la Península de Yucatán)	Mexico
XUARMRDP-CN	Xinjiang Uygur Autonomous Region Modular Rural Development Programme	China
WGPAP-CN	West Guangxi Poverty Alleviation Project	China
WMCIP-PH	Western Mindanao Community Initiatives Project	Philippines
WUPAP-NP	Western Uplands Poverty Alleviation Project	Nepal

Overview

I. Background and context

1. **Background**. Of the groups targeted by the International Fund for Agricultural Development (IFAD), indigenous peoples – together with rural women and youth – are among the most likely to experience poverty and marginalization. IFAD's work with indigenous peoples began early in the Fund's institutional history. IFAD has been financing projects in support of indigenous peoples since 1979, in particular in Latin America and Asia. Its work on the ground at the project level as well as its policy and advocacy work at the international level since the early 2000s reveal a sustained and clear commitment to addressing indigenous peoples' issues, leading to the formulation of the IFAD Policy on Engagement with Indigenous Peoples in 2009.

2. In accordance with its work programme – based on consultation with IFAD Management and as approved by the Executive Board – the Independent Office of Evaluation of IFAD (IOE) has prepared the present evaluation synthesis report on IFAD's engagement with indigenous peoples. Given the long history of IFAD's work in this area and in light of an important milestone at the international level in 2014 in the form of the World Conference on Indigenous Peoples, this evaluation synthesis serves as an opportunity to reflect upon the experiences and lessons so far and the way forward.

3. **Evaluation synthesis objectives and approach.** This exercise has two objectives: (i) identify lessons and good practices for IFAD's engagement with indigenous peoples at the project, country and global levels, with the aim of contributing to IFAD's knowledge base on the topic; and (ii) identify key issues for reflection and make recommendations for IFAD's future engagement with indigenous peoples.

4. The evaluation synthesis covers: (i) IOE evaluations (mostly project and country programme evaluations) conducted between 2002 and 2013 (19 project evaluations and eight county programme evaluations); (ii) selected country strategic opportunities programmes (for 14 countries before and after the development of the IFAD policy on indigenous peoples); (iii) project designs after the policy in nine out of the 14 countries for which country strategies are reviewed; and (iv) IFAD's activities at global level. Lessons from other development agencies were also reviewed to complement the findings emerging from the review of IFAD's operations and support.

5. Given the diversity of the sample (e.g. country/project contexts, project approaches) and considering that the main purpose of the exercise was to learn, the synthesis took an iterative approach, while remaining within an overall scope of work and analytical framework.

6. The primary instrument for the synthesis was a desk review, supported by interviews and discussions with stakeholders and key informants. No field visits were conducted specifically for the synthesis. Among those interviewed were IFAD staff members and representatives of indigenous peoples' organizations and networks, and other development agencies. Key emerging findings were shared at an internal workshop held on 3 February 2015 with IFAD Management and staff, as well as at the Indigenous Peoples Forum held on 12 February 2015. Feedback received during these sessions also served as inputs for the report's preparation.

7. **Limitations.** Some limitations were encountered in carrying out the evaluation synthesis. First, the depth of analysis and quality of information specific to indigenous peoples' issues in the available evaluations vary depending on both the expertise of respective evaluation teams and the prominence of indigenous peoples and other priority issues in the country programmes or projects evaluated. Second,

reference to indigenous peoples and their issues is not always explicit or discernible in documents. This is not only because the term "indigenous peoples" or other recognizable terms are not always utilized, but also because indigenous peoples are often discussed as part of "the vulnerable" or "the marginalized", with limited explicit attention being paid to their specificities and issues. Third, it is difficult to disaggregate the influence of the IFAD policy on indigenous peoples on country strategies and recent project designs from the influence of other IFAD corporate policies, guidelines and processes. Consequently, this report presents observations on overall recent trends in country strategies and project designs, but does not attempt to attribute these to the policy.

8. Despite these challenges, based on the iterative approach and triangulation with various sources of information (past evaluations, other documents on IFAD operations, evaluations and analytical reports by other agencies, interviews with a diverse range of stakeholders), it has been possible to identify the main recurring issues in the sample and draw coherent findings.

9. **Overall context.** While the international community has not adopted a universal definition of indigenous peoples, there is an overall consensus that indigenous peoples share the following characteristics: (i) priority in time, with respect to the occupation and use of a specific territory; (ii) voluntary perpetuation of cultural distinctiveness; (iii) self-identification, as well as recognition by other groups, or by state authorities, as a distinct collectivity; and (iv) experience of subjugation, marginalization, dispossession, exclusion or discrimination. In some countries, instead of the term "indigenous", other local terms (such as tribal and ethnic minorities) or occupational and geographical labels (hunter-gatherers, pastoralists, nomadic or semi-nomadic, hill people, etc.) may be used to refer to indigenous peoples.

10. According to United Nations estimates, there are more than 370 million indigenous people worldwide. Indigenous peoples normally live within or maintain close attachments to geographically distinct ancestral territories and share a spiritual, cultural, social and economic relationship with their traditional lands. The main challenge they face is ensuring territorial security, legal recognition of ownership and control over customary land and resources, and the sustainable utilization of land, territories and other renewable resources for their cultural, spiritual, economic and physical health and well-being. They continue to be overrepresented among the poor: while they constitute just 5 per cent of the world's population, they account for 15 per cent of the world's poor people.

11. Indigenous peoples are repositories of knowledge founded in thousands of generations of hunting and agricultural practices, land management and sustainable water use, and agriculture-related engineering and architecture. The maintenance of these cultural and spiritual relationships is also vital to the conservation of biodiversity. Although belatedly, it is now increasingly recognized that indigenous peoples are at the cutting edge of sustainable development. Their economies represent sustained interaction with and adaptation to particular locations and ecosystems, and are among the longest-standing and most proven examples of "sustainable development" in the twenty-first century. The future of indigenous peoples is inextricably linked with solutions to the crises in biodiversity and climate change, which must incorporate respect, protection and promotion of indigenous peoples' rights as an essential component of a global strategy.

12. **Evolving global frameworks on indigenous peoples.** Considerable progress has been made in addressing indigenous peoples' rights and issues at the international level. A number of mechanisms and frameworks have been established to monitor and address issues related to rights and development for indigenous peoples, for example the United Nations Permanent Forum on

Indigenous Issues (UNPFII) established in 2000 and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) adopted in 2007.

13. There has been increasing recognition of the need for and the value of "development with culture and identity". The thinking has shifted from one based on integration of indigenous peoples into dominant communities to an approach that is rights-based and related to their priorities and needs as expressed by the indigenous peoples themselves through their own governance structures and that respects their diversity and cultures. This approach recognizes their unique cultures and practices, including attachments to ancestral lands and dependence on natural resources.

14. There is also increasing appreciation of the knowldge held by indigenous peoples and their potential to contribute to sustainable development – not only for their own benefit but also for the benefit of all humankind.

15. The primary focus of the debate today is on ensuring the right of indigenous peoples to determine their own future, and on addressing exploitation of the spaces that belong to them without their consent. This intention is reflected in the requirement by UNDRIP of free, prior and informed consent (FPIC) of all indigenous peoples to any development that affects their land and territories.

II. IFAD's engagement with indigenous peoples: support and policy

16. **Historical overview.** Since its establishment in 1978, IFAD has paid particular attention to indigenous peoples' issues, mainly in Latin America and Asia. The first IFAD loan in support of indigenous peoples was for the Omasuyos-Los Andes Rural Development Project in the Plurinational State of Bolivia, approved in 1979. In Asia, pioneering initiatives were undertaken in India, with a series of tribal development projects in the states of Orissa (now called Odisha) and Andhra Pradesh, starting in the late 1980s.

17. Building upon experiences at project level since the mid-2000s, IFAD has been proactively supporting indigenous peoples' issues at the international level, including through its participation in UNPFII sessions and the Inter-Agency Support Group on Indigenous Peoples' Issues (IASG), and through support to indigenous peoples' organizations and networks, and partnership-building. Key steps taken to strengthen IFAD's role and contribution in promoting indigenous peoples' issues include: (i) takeover of the Indigenous Peoples Assistance Facility (IPAF) to finance development initiatives by indigenous peoples' organizations (transferred to IFAD from the World Bank in 2007); (ii) development of a policy on indigenous peoples in 2009, as well as increasingly proactive and explicit incorporation of indigenous peoples' issues into other strategies and guidelines; and (iii) strengthening of staffing arrangements, including the appointment of a Coordinator for Indigenous and Tribal Issues.

18. **IFAD Policy on Engagement with Indigenous Peoples**. The policy was developed in a highly consultative manner and approved in 2009. It defines nine fundamental principles of engagement by which IFAD support is guided, under the following headings: (i) cultural heritage and identity as assets; (ii) free, prior and informed consent; (iii) community-driven development; (iv) land, territories and resources; (v) indigenous peoples' knowledge: (vi) environmental issues and climate change: (vii) access to markets; (viii) empowerment; and (ix) gender equality.

19. Most of these principles are consistent or comparable with the principles and focus of IFAD's operations in general, i.e. empowerment, access to land, territories and resources, environment and climate change, access to markets; yet, these principles are specifically contextualized in terms of the perspectives and well-being of indigenous peoples – emphasizing their culture, identity, spirituality, knowledge,

and their intricate relations with land, territories and natural resources in a holistic manner. Indeed, the principles set out in the policy are closely interlinked (e.g. culture and indigenous knowledge).

20. **Overview of IFAD portfolio and activities.** The main instruments for IFAD support to indigenous peoples are: (i) investment projects through governments (loans, and grants provided under the Debt Sustainability Framework); (ii) grants, notably to IPAF; (iii) the Indigenous Peoples Forum at IFAD; and (iv) participation in the global debate on indigenous peoples' issues.

21. As for the investment project portfolio, during the period 2004-2013 between 20 and 40 per cent of projects approved annually (in terms of the number of projects) included indigenous peoples among expected beneficiaries. The proportion of indigenous peoples in the target group or expected beneficiaries under a project varies greatly, with most projects including both indigenous and non-indigenous populations. In terms of the financing amount, out of US$6.5 billion for investment projects approved between 2004 and 2013, US$932 million (or 14 per cent) was expected to be invested in support of indigenous peoples.

22. In the same period, the amount of global/regional grant financing specifically targeting indigenous peoples (excluding small grants financed by IPAF before 2011 and country-specific grants) totalled US$6.45 million. These grants mainly support activities related to facilitation of indigenous peoples' participation in international processes (e.g. climate change summit, World Conference on Indigenous Peoples), capacity-building (indigenous peoples' organizations, government staff, etc.), and facilitation of dialogue among different stakeholders, advocacy and knowledge management.

23. Since 2007, IFAD has financed, supported and managed the IPAF, which was originally established in 2003 by the World Bank. In recognition of IFAD's experience and knowledge of indigenous peoples' issues, in 2006 the Executive Board approved the transfer of the facility from the World Bank to IFAD. IPAF finances grants of up to US$50,000 for small projects designed and implemented by indigenous peoples' communities and their organizations. Since 2007, IPAF has supported 102 projects in 42 countries for a total amount of about US$2.6 million based on three calls for proposals (2007, 2008 and 2011). A board composed in majority by representatives of indigenous peoples' organizations governs the IPAF.

24. When the initial funds for IPAF were exhausted, and on top of additional financing received from Canada and Norway, IFAD mobilized its own grant resources to continue with the facility. Initially the facility was centrally managed by IFAD, but has been decentralized to three regional partner organizations since 2011.

25. IFAD also actively engages in global processes. It has been an active member of the Inter-Agency Support Group and contributor to UNPFII, bringing IFAD's experience on the ground to the international arena. At the corporate level, an Indigenous Peoples Forum was established in 2011 to institutionalize a process of constructive dialogue and consultation among indigenous peoples' organizations, IFAD staff and Member States. Through the forum, IFAD aims to improve its own accountability to its target groups and its development effectiveness, as well as to exercise a leadership role among international development institutions. So far, two global meetings of the forum have been held at IFAD headquarters in Rome, in conjunction with IFAD Governing Council sessions in February 2013 and February 2015. At the latter session a panel of indigenous peoples was organized to discuss the topic of indigenous peoples and sustainable food systems.

III. Main findings

26. IFAD Policy on Engagement with Indigenous Peoples is considered to be in line with UNDRIP by UNPFII and by representatives of indigenous peoples' organizations.

27. Positive aspects of the policy noted relate to: (i) its proactive nature rather than focus on safeguards; (ii) its holistic approach and comprehensiveness of the principles of engagement; and (iii) the inclusion of the principle of FPIC, considered to be a step beyond "consultation".

28. **The policy is highly relevant to IFAD's overall corporate strategies and to indigenous peoples.** Through the policy, IFAD reaffirmed its commitment to proactive engagement and partnerships with indigenous peoples at various levels. There are indications that the attention to indigenous peoples' issues is becoming more visible in country strategic opportunities programmes (COSOPs) and project designs, even though these trends are not consistent across the board and there are still challenges in implementation. There has also been lack of clarity on operationalizing the FPIC requirement. The ongoing work by IFAD to develop a "how-to-do note" on this is a step in the right direction, but it is fundamental to emphasize that FPIC is about effective beneficiary participation throughout the project cycle.

29. **The principles of engagement laid out in the policy are consistent with IFAD's emphasis on empowerment and various corporate policies** (e.g. targeting, gender, environment and natural resources). These principles were already inherent – even if partially or implicitly – in many pre-policy projects. Even where the distinctiveness and rights of indigenous peoples are not recognized by the government, finding an entry point through poverty, marginalization and vulnerability has been an approach in IFAD operations. In other words, the policy on indigenous peoples has not imposed new or additional requirements; rather, it has placed good practices and lessons based on experiences in pre-policy projects – and based on a broad consultation – within a cohesive framework. It provides guidance wherever the target group includes indigenous and tribal peoples and ethnic minorities, whether or not they are recognized by the state.

30. **Investment projects have often taken a geographical targeting approach as a first step, and in most cases the population in project areas includes both indigenous and non-indigenous populations**. Applying social, community-based, self-targeting and/or focused empowerment measures within selected geographical areas then helps to hone in on indigenous peoples. Beyond geographical targeting, the main – and not mutually exclusive – targeting approaches include the following: (i) inclusion of interventions that are relevant to indigenous peoples (e.g. non-timber forest products, access to land and territories, adapting and strengthening traditional production systems based on a blend of indigenous knowledge and modern technology); (ii) community-driven and participatory approach; and (iii) specific support facility to directly target indigenous peoples (e.g. funds set up for indigenous peoples in the context of investment projects, IPAF). In all of the above, as pointed out in past evaluations, analysis and understanding of socio-cultural contexts and participation of indigenous peoples in project design are fundamental to developing targeting and empowerment strategies. Caution is necessary to ensure that a primary geographical focus does not diminish the focus on indigenous peoples' specific issues such as attachment to land and cultural issues.

31. In investment projects, indigenous peoples are often "lumped together" with rural youth and women under the label "vulnerable and marginalized". In fact, the need for clearer target group identification and analysis to develop a tailored approach and strategy, with sufficient attention to the culture and identities of indigenous peoples, is a recurring issue. It is also important that differences between women's roles and positions in the indigenous peoples' communities and non-indigenous population are addressed in a culturally sensitive manner.

32. Even when a project was supposed to be based on a participatory and demand-driven approach, often it was "menu-based", with pre-determined

activities that limited the project's capacity to identify and respond to the real priorities of indigenous peoples' communities. If this were addressed and proposed interventions were more responsive to needs, another important factor would be delivery mechanisms and capacity to effectively target and engage with indigenous peoples, as well as monitoring of targeting performance.

33. Socially disaggregated data and monitoring on specific indicators relevant to indigenous peoples' well-being are required to continuously monitor outreach and outcomes, understand effectiveness of project strategies for different social groups and adjust those strategies as necessary.

34. **The available evaluation findings with regard to the extent of indigenous peoples' participation during project implementation are mixed**. Participation was largely influenced by the extent to which the project design was responsive to indigenous peoples' priorities (which also relates to the issue of their participation in the design process), as well as the orientation and capacity of implementers, who are often not trained in participatory approaches. The participation of indigenous peoples in the preparation of country strategies appears to have increased, and some of the recent project design documents also indicated improved consultations at the design stage. However, it was often difficult to glean how the outcomes of their participation and consultations were actually reflected in the project design and strategies.

35. **Beyond the project and country levels, the participation of indigenous peoples in IFAD's institutional platforms (Indigenous Peoples Forum) and initiatives (IPAF) has been exemplary**. For IPAF, the majority of its board members are representatives of indigenous peoples' organizations, and its management has been decentralized to regional organizations. Similarly, the steering committee for the forum is composed of members of indigenous peoples' organizations. Thus, IFAD has taken a consistent approach in terms of putting the indigenous peoples themselves in the "driver's seat".

36. **There have been good examples of investment projects for empowerment of indigenous peoples** – particularly those pursuing participatory approaches built on indigenous knowledge, skills, culture and traditional values. Sensitivity on the part of implementers and service providers to the social and cultural contexts of indigenous peoples and their distinctiveness is critical for their capacity-building and empowerment.

37. While most evaluations covered gender issues, it is challenging to discern information specifically related to indigenous peoples. Still, some good examples of empowerment of indigenous women were found; these were the result of projects that facilitated access to land by both husbands and wives in indigenous communities (e.g. through forest land use certificates), and projects that promoted women in leadership positions and their involvement in management of community initiatives.

38. **Through grant-financed projects, IFAD's contribution to the empowerment of indigenous peoples and their organizations at different levels has been significant.** For example, IFAD has supported their engagement in international processes. Their participation in decision-making and project management in IPAF contributes to their capacity-building. Small IPAF-funded projects, by their very nature (demand-driven and direct management of funds), are likely to have contributed to empowerment of the grant recipients. At the same time, the weak linkage of these projects with the rest of IFAD's country programmes has been identified as a challenge.

39. **IFAD has made a significant contribution to advocacy on indigenous peoples' issues at the global level**. This is well recognized by UNPFII and indigenous peoples' organizations. IFAD's approaches go beyond its own

participation in international processes: it conducts much of its advocacy work through indigenous peoples' organizations. IFAD has supported these organizations in preparing for and participating in high-level platforms and engaging in advocacy.

40. At project/country level, there are a number of good examples in terms of influencing institutions and policies, but the performance varies according to the extent of government interest, overall environment and other factors.

IV. Conclusions

41. **A number of IFAD-financed projects and programmes in support of indigenous peoples have made important contributions**. Successes relate especially to empowerment, institutions and policies, access to land and territories and natural resource management. Not surprisingly, the evolution of IFAD's long-standing engagement with indigenous peoples is particularly notable in the countries where legislative frameworks related to indigenous peoples are advanced. IFAD's support to indigenous peoples has been highly relevant and appreciated also in middle-income countries, where a high level of poverty is often found among indigenous and tribal peoples and ethnic minority communities.

42. **IFAD's contribution to international processes and advocacy has been substantial**. Starting with the consultative process for developing the IFAD policy on indigenous peoples, initiatives such as IPAF, the Indigenous Peoples Forum, and global and regional grant activities have contributed to building trust and partnerships with indigenous peoples' organizations and other stakeholders. IFAD is perceived as a "partner" and "pioneer" in working with indigenous peoples. The visibility of and appreciation for IFAD among the international community and indigenous peoples' community are impressively high.

43. **IPAF has been a flagship programme and unique instrument that has helped IFAD develop partnerships and trust with indigenous peoples' organizations and also contributed to their empowerment.** By and large, it has been challenging to link IPAF with IFAD's country programmes for scaling-up as envisaged in the policy. Having taken it over from the World Bank, IFAD has continued support to IPAF with its own regular grant resources even though they have been outstripped by a very high demand. Efforts to mobilize more supplementary financing have not resulted in concrete outcomes.

44. **Building on the experiences so far, there is room to strengthen consistent policy implementation at an operational level**. Undoubtedly this poses challenges. IFAD-supported investments are executed through governments, which has a bearing on: (i) the extent to which IFAD can influence the country and project strategies and approaches; and (ii) the capacity of project implementers and service providers (often government staff at field level). This said, IFAD's operating model also provides opportunities to influence public institutions and policies, and IFAD could strengthen its country-level policy engagement on indigenous peoples' issues on the basis of its own corporate policies and UNDRIP.

45. **Another challenge is the limited understanding of indigenous peoples' issues among some of the IFAD staff** responsible for countries where these issues are significant and relevant in terms of rural poverty. In countries where indigenous peoples are not recognized as such and where the use of such term can be politically sensitive, it is still feasible for projects to apply the policy principles as part of the tailored strategy to work with them. But for this, the staff responsible need to fully appreciate the importance of paying attention to the specificities of indigenous peoples.

46. **IFAD is in a unique position to support indigenous peoples' social and economic empowerment.** Most other international financial institutions have tended to focus more on safeguard aspects (a "do-no-harm" approach). The size and nature of IFAD-financed projects and its attention to targeting, participatory

approaches, community development, empowerment and inclusion have enabled IFAD to naturally follow a proactive approach to supporting indigenous peoples. IFAD's approach to engagement with indigenous peoples, centring upon support to their social and economic empowerment, can also be compared with other United Nations and bilateral agencies that tend to exclusively or mainly focus on human rights aspects. IFAD's comparative advantage stems from interlinkages between its operations and activities at different levels: experience on the ground, various instruments at corporate level and broad partnerships and networks, as well as the roles that IFAD plays at the international level.

47. **As a broad issue, there may be tension between increasing demand for results and efficiency in development cooperation on the one hand, and the perception that more time and resources are needed for designing and implementing projects targeting or affecting indigenous peoples on the other.** Full and meaningful participation of indigenous peoples in the development of a project is indeed key to ensuring relevance, effectiveness, efficiency and sustainability. Demand for better diagnostic analysis, a differentiated targeting approach, full participation of indigenous peoples and FPIC, disaggregated data, capacity-building and empowerment, as well as challenges with implementation capacity: all of these could discourage IFAD operational staff from reaching out to indigenous peoples in investment projects. IFAD reaffirmed its high-level commitment to maintaining and strengthening its engagement with indigenous peoples at the World Conference on Indigenous Peoples in 2014 and the Indigenous Peoples Forum in 2015; this is reassuring since it would be a significant lost opportunity if IFAD were to scale down its support for projects with indigenous peoples as a result of an emphasis on efficiency and shift more to projects that may appear less demanding.

V. Recommendations

48. Key recommendations for consideration by IFAD to further strengthen its engagement with indigenous peoples are presented below.

Strategic level

Recommendation 1: Revisit the main objectives and strategies of IPAF. The key, and not mutually exclusive, contributions and roles of IPAF could be to: (i) finance small projects designed and implemented by indigenous peoples' communities to promote indigenous peoples' well-being and empowerment; (ii) identify potential credible partners for IFAD or country programmes; (iii) promote innovations to be scaled up in investment projects; and (iv) build capacity of regional indigenous peoples' organizations in project management and strengthen their networks. IPAF's strategy, instruments and operational modalities would need to be adjusted depending on which of these roles should receive the greatest attention. If IFAD intends to continue supporting IPAF in the medium term, opportunities for increasing and stabilizing funding for IPAF need to be explored, including the possibility of mobilizing supplementary financing through IFAD or catalysing direct contributions to IPAF's regional partner organizations by other financiers.

Operational level

49. **Recommendation 2: Pay greater attention to key project design elements and provide adequate implementation support (especially for investment projects), ensuring effective participation of indigenous peoples throughout, supported by a team member with an understanding of and skills in working with indigenous peoples' issues.** The key project design elements would include:

(i) Institutional analysis and measures to ensure sufficient implementation capacity, duly recognizing the time and resources required in project implementation and the need for flexibility.

(ii)   Targeting strategies and approaches in the design with: (a) sound socio-cultural and vulnerability analysis of different social groups; and (b) tailored and differentiated approaches to build on the culture, identity and knowledge of the indigenous peoples' communities.

(iii)   Focus on gender issues in indigenous peoples' communities to tailor the design to their specific needs, priorities and potential.

(iv)   Solid basis for monitoring disaggregated data in design (by social group and by gender), also incorporating specific indicators that can better capture the results and outcomes related to indigenous peoples' well-being.

50.   **Recommendation 3: Provide guidance on how FPIC can be best operationalized.** Clarification is needed on implementation of the FPIC requirement, both at the design stage and during implementation. It is fundamental to emphasize that FPIC is in essence about effective beneficiary participation throughout the project cycle (project design, implementation, monitoring and evaluation) and enhancing project results and impact. It is also important to increase staff understanding of how to approach this in a practical and pragmatic manner and in what contexts and how the design can facilitate effective participation and the application of FPIC during project implementation.

Staff awareness and understanding

51.   **Recommendation 4: Enhance staff understanding of indigenous peoples' issues.** A change of staff can have a significant impact on the nature and orientation of the country programme, depending on their knowledge and experience. It is fundamental that incoming country programme managers without much exposure or understanding of the topic become acquainted with indigenous peoples' issues and their social and cultural values. Systematic and stronger partnerships with in-country partners – including indigenous peoples' organizations – could contribute to this process and facilitate continuity. The responsible staff should understand that it is possible to engage with those who self-identify as indigenous peoples following the spirit and principles of IFAD's policy on indigenous peoples by using local terms and applying context-specific approaches.

Knowledge management

52.   **Recommendation 5: Strengthen knowledge management, taking advantage of IFAD's substantial experience, lessons and knowledge on engagement with indigenous peoples.** Based on IFAD's rich experience with indigenous peoples, there is scope for undertaking a study to capture and analyse best practices and lessons in a comprehensive manner to be widely shared as an IFAD flagship publication. Capturing the perspective and voices of indigenous peoples in this process would be crucial.

IFAD Management's response

Overall comments

1. Management thanks the Independent Office of Evaluation of IFAD (IOE) for an accurate synthesis of IFAD's engagement with indigenous peoples. Management believes, however, that given the breadth of evaluative evidence used in this report, more could have been done to present best practices in a comprehensive and systematic manner. Helping to advance the frontiers of knowledge by answering questions that were previously unanswered by individual evaluations – given their limited scope – is the primary function of synthesis reports.

2. IFAD has long experience in advancing the interests of indigenous peoples in the development process, having delivered its first loan in support to indigenous peoples in 1979. The past decades have seen substantial improvement in the understanding of indigenous peoples in development and in IFAD's efforts to advance their interests. Management has taken steps to strengthen IFAD's role in promoting indigenous peoples, inter alia, by taking over the Indigenous Peoples Assistance Facility (IPAF) from the World Bank in 2007. Today, IFAD's objective remains the same: to ensure that the benefits generated by IFAD-financed projects are tailored to the specific social and cultural needs of the indigenous peoples they may affect.

3. Management acknowledges IOE's recognition that IFAD has translated broad commitments about indigenous peoples' welfare into corporate and operational strategies, guidelines and policies, including the introduction of the IFAD Policy on Engagement with Indigenous Peoples in 2009, in line with international standards. Management shares IOE's view that making this guidance operational throughout the project cycle is a continuous endeavour: IFAD staff have learned more about the implementation of the policy and related instruments and the policy has been communicated to borrowing Member States and applied in various country contexts.

4. Management underscores that IFAD's targeting strategy focuses on the most vulnerable communities, which often include indigenous peoples. This targeting strategy accommodates the unique vulnerabilities faced by indigenous peoples through the incorporation of additional steps, in line with the indigenous peoples policy. Management notes that rather than providing specific guidance on addressing these specific vulnerabilities, the synthesis report's recommendations are focused on targeting in general.

Recommendations

5. The following table provides Management's responses to the specific recommendations highlighted in the synthesis report.

Recommendation	Management response
Recommendation 1: Revisit the main objectives and strategies of IPAF. The key, and not mutually exclusive, contributions and roles of IPAF could be to: (i) finance small projects designed and implemented by indigenous peoples' communities to promote indigenous peoples' well-being and empowerment; (ii) identify potential credible partners for IFAD or country programmes; (iii) promote innovations to be scaled up in investment projects; and (iv) build capacity of regional indigenous peoples' organizations in project management and strengthen their networks. IPAF's strategy, instruments and operational modalities would need to be adjusted depending on which of these	IFAD's regular loan programme continues to be the primary instrument for targeting indigenous peoples, complemented by its grant programme, including IPAF. All instruments are used in the context of national strategies at the country level and those of IFAD, following a demand-driven approach. Because the country situations of indigenous peoples, including national legal frameworks, vary considerably, keeping appropriate strategic flexibility has allowed Management to ensure adequate development effectiveness within the scope of country-led programmes. In the case of IPAF, this flexibility has reinforced the positive effects of the decentralization of IPAF management to regional

Recommendation	Management response
roles should receive the greatest attention. If IFAD intends to continue supporting IPAF in the medium term, opportunities for increasing and stabilizing funding for IPAF need to be explored, including the possibility of mobilizing supplementary financing through IFAD or catalysing direct contributions to IPAF's partners by other financiers.	organizations with a prominent role in setting priorities. This has added value in terms of: (a) improvement of the selection process; (b) improvement of monitoring and supervision of small projects; (c) strengthening of regional and subregional indigenous peoples' networks and linkages with the global network. Management agrees that IPAF, despite its small size, has gained significant recognition across the indigenous peoples' movement, and options should be explored for making it more financially sustainable.
Recommendation 2: Pay greater attention to key project design elements and provide adequate implementation support (especially for investment projects), ensuring effective participation of indigenous peoples throughout, supported by a team member with an understanding of and skills in working with indigenous peoples' issues. The key project design elements would include: (v) Institutional analysis and measures to ensure sufficient implementation capacity, duly recognizing the time and resources required in project implementation and the need for flexibility. (vi) Targeting strategies and approaches in the design with: (a) sound socio-cultural and vulnerability analysis of different social groups; and (b) tailored and differentiated approaches to build on the culture, identity and knowledge of the indigenous peoples' communities. (vii) Focus on gender issues in indigenous peoples' communities to tailor the design to their specific needs, priorities and potential. (viii) Solid basis for monitoring disaggregated data in design (by social group and by gender), also incorporating specific indicators that can better capture the results and outcomes related to indigenous peoples' well-being.	Management agrees that indigenous peoples must be considered throughout the project cycle. In fact, this is the spirit of the indigenous peoples' policy and is made operational through the implementation of the targeting strategy of each project. Thus, socio-economic and targeting experts (already included in most design teams) consider issues related to constraints and capacities of indigenous peoples' communities. Management encourages good design practices systematically, such as the undertaking of institutional analysis, gender sensitivity analysis and disaggregated monitoring. Given that many of these issues pertain to the country's policy, institutional, and legal framework for indigenous peoples, specific considerations will be reflected in the results-based country strategic opportunities programmes (RB-COSOPs) whenever relevant. Finally, in the spirit of recommendation 4 below, Management believes that all country team members should have the necessary knowledge and skills to address the needs of indigenous peoples whenever they are not adequately taken into consideration by broader targeting strategies.
Recommendation 3: Provide guidance on how FPIC can be best operationalized. Clarification is needed on implementation of the FPIC requirement, both at the design stage and during implementation. It is fundamental to emphasize that FPIC is in essence about effective beneficiary participation throughout the project cycle (project design, implementation, monitoring and evaluation) and enhancing project results and impact. It is also important to increase staff understanding of how to approach this in a practical and pragmatic manner and in what contexts and how the design can facilitate effective participation and the application of FPIC during project implementation.	With regard to staff training on free and prior informed consent (FPIC) and indigenous peoples' issues, Management believes that this would be most efficiently delivered through structured training modules, which may also include M&E. IFAD could also proceed through existing resources, thereby avoiding duplication of investments by developing these tools. As noted by IOE, "how-to" notes are already under preparation, in compliance with the indigenous peoples' policy. Management is developing a specific module on FPIC in the context of the Social, Environmental and Climate Assessment Procedures (SECAP) training modules.
Recommendation 4: Enhance staff understanding of indigenous peoples' issues. A change of staff can have a significant impact on the nature and orientation of the country programme, depending on their knowledge and experience. It is	Management agrees on the importance of continuously raising awareness of the indigenous peoples' policy and guidelines among staff, particularly among country programme managers. As noted above, staff knowledge of the indigenous

Recommendation	Management response
fundamental that incoming country programme managers without much exposure or understanding of the topic become acquainted with indigenous peoples' issues and their social and cultural values. Systematic and stronger partnerships with in-country partners – including indigenous peoples' organizations – could contribute to this process and facilitate continuity. The responsible staff should understand that it is possible to engage with those who self-identify as indigenous peoples following the spirit and principles of IFAD's policy on indigenous peoples by using local terms and applying context-specific approaches.	peoples' policy has improved. Management cannot guarantee the application of the principles underlying the indigenous peoples' policy and guidelines where indigenous peoples' issues are not recognized in national legal frameworks. In particular, the identification process outlined in the policy uses the country's domestic legislation as the starting point for the general identification of indigenous peoples, complemented by upstream reviews. In addition, as part of its targeting strategies, Management can ensure that poor and vulnerable communities possessing the characteristics listed in IFAD's definition of indigenous peoples are treated equally and that their participation in project decision-making processes is respected.
Recommendation 5: Strengthen knowledge management, taking advantage of IFAD's substantial experience, lessons and knowledge on engagement with indigenous peoples. Based on IFAD's rich experience with indigenous peoples, there is scope for undertaking a study to capture and analyse best practices and lessons in a comprehensive manner to be widely shared as an IFAD flagship publication. Capturing the perspective and voices of indigenous peoples in this process would be crucial.	This is a valid suggestion for indigenous peoples, as well as for work in other areas. Several knowledge management products are already available on good practices related to the inclusion, consultation and decision-making of indigenous peoples in IFAD's instruments, such as IPAF and the Indigenous Peoples Forum at IFAD through videos and publications. In the context of the development of the medium-term plan and the revamping of IFAD's knowledge generation function, Management is considering a programmatic plan for knowledge products, including issues related to indigenous peoples.

Indigenous Peoples' Forum (2013 and 2015), Rome, Italy - IFAD Headquarters.

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IFAD's Engagement with Indigenous Peoples Evaluation Synthesis

I. Introduction

A. Background

1. *Context.* Establishing who indigenous peoples are is not without controversy. Although the international community has not adopted a universal definition of indigenous peoples, there is an overall consensus that indigenous peoples share the following characteristics: (i) priority in time, with respect to the occupation and use of a specific territory; (ii) voluntary perpetuation of cultural distinctiveness; (iii) self-identification, as well as recognition by other groups, or by state authorities, as a distinct collectivity;[1] and (iv) experience of subjugation, marginalization, dispossession, exclusion or discrimination.[2] In some countries, instead of the term "indigenous", other local terms (such as tribal and ethnic minorities) or occupational and geographical labels (hunter-gatherers, pastoralists, nomadic or semi-nomadic, hill people, etc.) may be used to refer to indigenous peoples.[3]

2. Indigenous peoples have rich and ancient cultures and view their social, political, economic, environmental and spiritual systems as interdependent. They make valuable contributions to the world's heritage thanks to their traditional knowledge and their understanding of ecosystem management. Yet, indigenous peoples are also among the world's most marginalized and disadvantaged groups and are thus rendered vulnerable by the dominant societies. Indigenous peoples account for about 5 per cent of the world population but represent 15 per cent of the poor. There is a growing recognition of the need to ensure that their voices are heard, their rights respected, and their well-being improved.

3. In the past decade, there has been significant progress at the international level in efforts to protect indigenous peoples' rights and promote their well-being, including the establishment of United Nations mechanisms and the adoption of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) in 2007. The year 2014 saw the organization of the first World Conference on Indigenous Peoples (WCIP) in the context of the United Nations General Assembly in September, resulting in the adoption of the outcome document containing the reaffirmation of support to indigenous peoples and the commitment to the implementation of UNDRIP.

4. As for IFAD, since its inception, "a targeted approach to poverty reduction has been widely recognized as its 'specificity'.[4] Given that indigenous peoples are identified as among IFAD's target group who are more likely to be subjected to poverty and be marginalized, together with rural women and youth, IFAD's work with indigenous peoples began early in the Fund's institutional history. IFAD has been financing projects in support of indigenous peoples since 1979, in particular in Latin America and Asia. Its work on the ground at the project level as well as its support for policy and advocacy work at the international level since the early 2000s reveal a sustained and clear commitment to addressing indigenous peoples' issues, leading to the formulation of the IFAD's Policy on Engagement with Indigenous Peoples in 2009.

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[1] Article 1 of ILO Convention No. 169, concerning Indigenous and Tribal Peoples in Independent Countries indicates that self-identification as indigenous or tribal shall be regarded as a fundamental criterion for determining the groups to which the provisions of this Convention apply.
[2] United Nations, United Nations Development Group, Guidelines on Indigenous Peoples' Issues (2009).
[3] United Nations Resource Kit on Indigenous Peoples' Issues 2008.
[4] IOE 2013. Evaluation synthesis: rural differentiation and smallholder development.

5. *About this evaluation synthesis.* Evaluation synthesis is one of the evaluation products prepared by the Independent Office of Evaluation of IFAD (IOE), as per its Evaluation Policy (2011). In broad terms it aims to "facilitate learning and use of evaluation findings by identifying and capturing accumulated knowledge on common themes and findings across a variety of situations".

6. In accordance with its work programme based on consultation with IFAD Management and as approved by the Executive Board, IOE has prepared the evaluation synthesis report on IFAD's engagement with indigenous peoples. Given the accumulated experience of IFAD in its engagement with indigenous peoples, and in light of an important milestone at the international level in 2014 in the form of the WCIP, this evaluation synthesis serves as an opportunity to reflect upon the work so far and in the future.

B. Objectives and key questions

7. This evaluation synthesis has two **objectives**:

- Identify lessons and good practices for IFAD's engagement with indigenous peoples at the project, country and global levels, with the aim of contributing to IFAD's knowledge base on the topic; and

- Identify key issues for reflection and make recommendations for IFAD's future engagement with indigenous peoples.[5]

8. **Key guiding questions** that guided the exercise and that this evaluation synthesis sought to answer were as follows:

- Does IFAD have appropriate **corporate policies and strategies,** in line with international standards, to guide its work in support of indigenous peoples?

- What approaches and strategies, in different countries and project contexts, have been used and found effective (or not) to **ensure that indigenous peoples, both women and men, are appropriately included in the target group and beneficiaries** –in project design and implementation?

- **To what extent and how have indigenous peoples participated** in the design of operations and strategies that affect them? What are good practices and key lessons?

- To what extent and in what ways has IFAD's loan and grant-financed support contributed to the **empowerment of indigenous peoples and their organizations** to improve their well-being, income and food security according to their values and perspectives? What are good practices and lessons learned?

- To what extent and in what ways has IFAD contributed to **advocacy on indigenous peoples' issues at global, regional or national/local level**? Relating to this, how effective has IFAD been in **knowledge management and communication** at corporate and global levels, and **policy dialogue at national/local level** where appropriate?

C. Scope, methodologies and process

9. **Scope.** The evaluation synthesis consisted of five work components: (i) a rapid literature review to provide an overall context for the study; (ii) a synthesis of findings in existing IOE evaluations of operations relevant to indigenous peoples; (iii) a review of IFAD's strategy and approach at country and project levels in terms of engaging with indigenous peoples, based on selected country strategic opportunities programmes (COSOPs, before and after the development of the IFAD policy on indigenous peoples in 2009) and recent project designs (after the policy);

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[5] The objective was slightly adjusted from the concept note in order to reflect the specific request from the Evaluation Committee for all evaluation syntheses to make recommendations, which earlier was not the case.

(iv) a review of IFAD's activities at regional and global levels; and (v) a review of lessons from other development agencies and wider experience.

10. With regard to the synthesis of IFAD evaluations, the scope covered projects and country programmes relevant to indigenous peoples that were evaluated between 2002 and 2013, and those projects that were completed after 2002.

Figure 1
Approach taken for evaluation synthesis
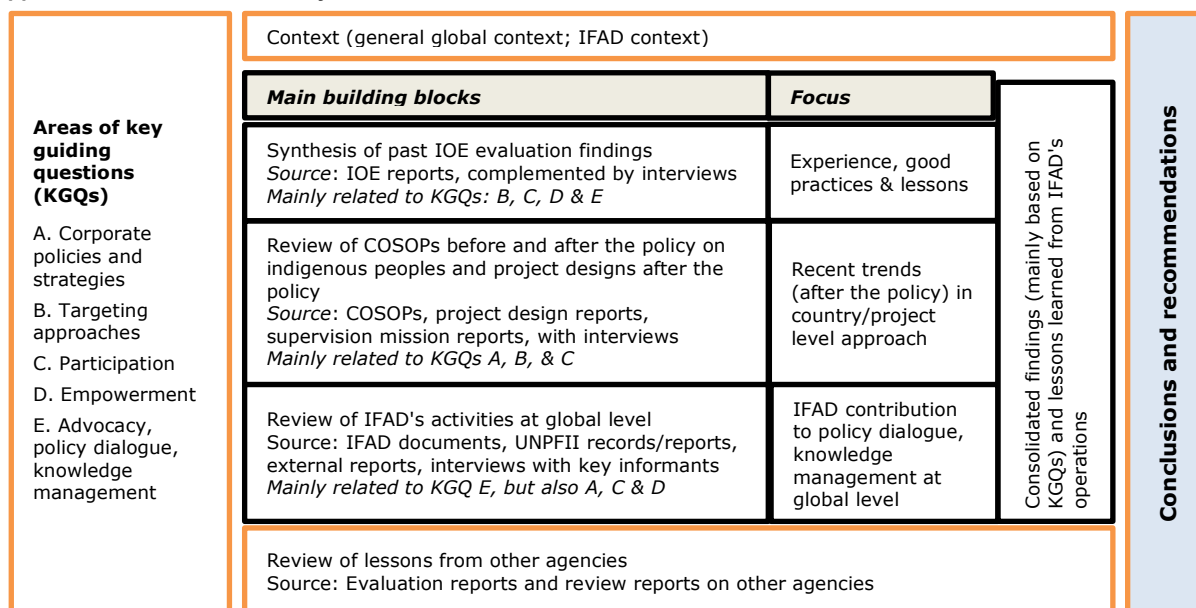
11. **Methodologies.** According to the standard IOE approach for evaluation syntheses, the primary instrument was a desk review, supported with interviews and discussions with stakeholders and key informants.[6] No field visits were conducted specifically for this evaluation synthesis. The selection of IOE evaluation reports, COSOPs and recent projects for review was carried out as follows:

- *Selection of past IOE evaluations.* A set of evaluations was first screened by comparing the IOE database of evaluations between 2002-2013 (country and project-specific) against the list of projects maintained by IFAD that target/targeted or are/were expected to benefit indigenous peoples.[7] This exercise resulted in 31 evaluations (country and project) and 6 project completion report validations (PCRVs). A rapid review of all identified reports was undertaken, and for those projects/country programmes where the coverage of and relevance to indigenous peoples was not clear from the evaluation reports,[8] basic project information was reviewed to examine the intended inclusion of indigenous peoples. Based on these exercises, the evaluation synthesis covered **a total of 27 evaluations** (19 project evaluations and 8 country programme evaluations[9] - CPEs) and **6 PCRVs** (table 1). All PCRVs contained little analytical information specifically related to indigenous peoples – mainly due to the nature of exercise (i.e. rapid and desk-

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[6] The participation of IOE in the Asia regional preparatory meeting for the second global meeting of the Indigenous Peoples' Forum (IPF) in Jakarta, Indonesia (November 2014) and in the IPF global meeting in February 2015 also provided opportunities for observing the exchange of views among the key stakeholders and conducting interviews.
[7] The database is manually maintained and regularly updated by the IFAD Policy and Technical Advisory Division (PTA). At the same time, the list of the IOE evaluations was also cross-checked to verify whether there were any projects that were not picked up in the PTA list.
[8] Search for various keywords (in addition to "indigenous") was employed, such as "tribal", "ethnic", "minority", "marginalized", "*adivasi*", "traditional", "culture" (or "cultural"), "identity", "pastoral", "holistic", as well as specific names of ethnic groups in a given context.
[9] Four in Asia (China, India, Nepal and Viet Nam) and four in Latin America (Argentina, Bolivia, Ecuador and Mexico). The Indonesia CPE had little specific information on indigenous peoples, but two projects covered in the CPE were kept only for evaluation rating analysis.

based), but they were included in the ratings analysis. Annexes XI and XII present the selection process, the list of evaluations reviewed, and basic information on the projects covered.

Table 1
Selection of IOE evaluations for this evaluation synthesis

Type of evaluation	First screening (Nᵒ of evaluations)	Final selection (Nᵒ of evaluations/PCRVs)	Coverage of projects (number)
Country programme evaluations (CPEs)	12	8 [b] China, India, Nepal and Viet Nam in Asia; Argentina, Bolivia, Ecuador and Mexico in Latin America	12 [c]
Project evaluations[a]	19	19	19
Project completion report validations (PCRVs)	6	6 (retained for rating analysis)	6
Total	31 evaluations + 6 PCRVs	27 evaluations + 6 PCRVs	37 projects[d]

[a] Project evaluations include: completion evaluations (CEs), interim evaluations (IEs) and project performance assessments (PPAs). CEs and IEs involving field missions were conducted until 2010 but replaced by PPAs in a lighter format (i.e. smaller missions and less time in the field).
[b] CPEs initially identified because of their coverage of projects in the Policy and Technical Advisory Division (PTA) list but not included in the evaluation synthesis due to lack of information specifically related to indigenous peoples in country programme were: Bangladesh, Ethiopia, Indonesia and Mali.
[c] 12 projects are those covered *only* in CPEs and not in project evaluations or PCRVs to avoid double counting. For four projects, there were project-specific findings identified in CPE reports; while for other projects without qualitative information, only their ratings were used for analysis (including one project in Mali and two in Indonesia).
[d] Evaluation ratings analysis was done for 36 projects, except for one project covered in India CPE (OTELP) the ratings for which were not included in the Annual Report on Results and Impact.

- *COSOPs*. All countries with a pair of COSOPs (one before and one after the IFAD policy on indigenous peoples of 2009), and where indigenous peoples' issues were considered relevant,[10] were selected. This resulted in COSOPs for 14 countries (seven in Asia, four in Latin America, three in Africa), which were analysed to understand recent trends in IFAD's approach at the country level. (See annex XV).

- *Recent projects*. Nine projects approved after the policy on indigenous peoples (i.e. after 2010) in 9 out of 14 COSOP countries were purposefully selected (five in Asia, four in Latin America, see annex XIII). They were selected based on their clear inclusion of indigenous peoples in the target group. In other remaining five countries, there was no project approved after 2009 that clearly had indigenous peoples in the target group.

12. Given the diversity of the sample (e.g. country/project contexts, project approaches) and considering that the main purpose of the exercise was learning rather than performance assessment for accountability, this evaluation synthesis took a reiterative approach, although still within an overall scope of work and analytical framework developed. Consequently, issues for attention and documents to be reviewed were adapted during the review process based on emerging findings or needs to probe further on certain aspects. The desk review was supplemented by interviews with selected IFAD staff members, representatives of indigenous peoples' organizations and networks, other development agencies and key informants. Interviews aimed at clarification, validation or better understanding of key issues emerging from desk review exercises, or generating views and qualitative information on aspects for which evaluation or documented evidence was not abundant. (See annex VII for a list of people interviewed.)

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[10] Based on the availability of PTA country technical notes (CTNs), which is taken as an indication of the relevance of indigenous peoples' issues, except for China, for which a CTN does not exist.

13. **Process**. The concept note was finalized incorporating comments by IFAD, and the desk review work started in August 2014. The process was supported by a "core learning partnership" (CLP) that provided inputs at key steps, in particular in reviewing the draft concept note, exchange of experiences and lessons on key issues, validation of emerging findings, etc. The CLP was made up of IFAD staff members nominated by different divisions, as well as representatives from three indigenous peoples' organizations with which IFAD has been partnering. (See annex VII for a list of CLP members.)

14. Key emerging findings were shared at an internal workshop held on 3 February 2015 with IFAD Management and staff and at the Indigenous Peoples Forum on 12 February 2015. The draft report was first subjected to IOE's internal peer review process, as well as a review by the CLP members and the senior independent advisor.[11] The revised draft report was subsequently shared with IFAD Management, and their comments were taken into consideration in the final report.

D. Limitations

15. Based on the adaptive approach taken for this exercise as described above, it has been possible to identify important recurring issues in the diverse sample and draw key findings; however, the key factors which posed limitations on the extent to which the findings could have been verified and deepened need to be recognized.

16. Key limitations stem from of the scope of the exercise, which is based on a desk review largely drawing on the available IOE evaluations. The depth of analysis and quality of information specific to indigenous peoples' issues in the available evaluations vary depending on both the expertise in the evaluation teams and the prominence of indigenous peoples and other priority issues in the country programmes or projects evaluated. Therefore, there could be some important issues related to indigenous peoples that may not have been sufficiently analysed in some evaluations.

17. Second, as a broader issue and also related to the above, is that reference to indigenous peoples and their issues are not always explicit or discernible in documents, not only because the term indigenous peoples or other recognizable terms are not always used, but also because indigenous peoples are often discussed as part of the vulnerable or the marginalized, with limited explicit attention being paid to their specificities and issues. In cases where beneficiaries are (or are expected to be) predominantly indigenous peoples, it may also be assumed that there is little need to specify "indigenous peoples", and as such, issues specific to them as compared to other populations may not have come out clearly in the reports.

18. Third, it is difficult to disaggregate the influence of the Indigenous Peoples policy on COSOPs and recent project designs from the influence of other IFAD's corporate policies, guidelines and processes (e.g. COSOP guidelines, quality enhancement process for draft project designs). Consequently, this evaluation synthesis presents its observations on overall recent trends in COSOPs and recent project designs in terms of the integration of indigenous peoples' issues, but does not attempt to attribute these to the policy.

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[11] Professor Elsa Stamatopoulou, Director of Indigenous Peoples' Rights Programme at Columbia University and former Chief of the Secretariat of the United Nations Permanent Forum on Indigenous Issues from 2003 to 2010.

Key points

- The evaluation synthesis mainly aims to identify lessons and good practices with regard to IFAD's engagement with indigenous peoples, and to make recommendations for the future.

- The main building blocks consist of: (i) synthesis of IOE's past evaluations; (ii) review of selected IFAD country strategies and recent project designs; and (iii) review of IFAD's activities at global level. A review of evaluation and other reports from other agencies also informed the analysis.

- The evaluation synthesis was conducted mainly through a desk review and interviews.

II. Overall context: indigenous peoples and development

A. Overview of the situation of indigenous peoples

19. It is estimated that there are more than 370 million indigenous people worldwide spread across some 70 countries,[12] comprising approximately 5 per cent of the world's population. About 70 per cent of the indigenous people, i.e. 260 million, live in Asia; 11 per cent, in Latin America; and 8 per cent, in Africa. They live in so-called "remote areas", occupying roughly 20 per cent of the earth's territory, and are estimated to represent as many as 5,000 different indigenous cultures. There is no universal definition of indigenous peoples,[13] but they are described by a set of factors and characteristics (see paragraph 1). Details of working definitions adopted by different organizations may vary, but the key elements are common along such set of characteristics.

20. *Indigenous peoples retain social, cultural, economic and political characteristics distinct from those of the dominant societies in which they live*. They normally live within or maintain close attachments to geographically distinct ancestral territories and share a spiritual, cultural, social and economic relationship with their traditional lands. Their customary laws, customs, governance systems and practices reflect both an attachment to land and a responsibility for preserving traditional lands and territories for use by future generations. The biggest challenge faced by indigenous peoples and communities in relation to sustainable development is to ensure territorial security, legal recognition of ownership and control over customary land and resources, and the sustainable utilization of lands and territories and other renewable resources for their cultural, spiritual, economic and physical health and well-being.[14]

21. *Indigenous peoples continue to be over-represented among the poor*: 5 per cent of the world's population, constituting 15 per cent of the world's poor.[15] There is also evidence that crises, such as wars and economic crisis, have affected indigenous peoples disproportionately, and indigenous women are also more vulnerable. Throughout history, indigenous peoples have often been dispossessed of their ancestral lands and deprived of their resources for survival, both physical and cultural.

22. Indigenous peoples are repositories of millennial knowledge founded in generations of hunting and agricultural practices, land management and sustainable water use, and agriculture-related engineering and architecture. The maintenance of these cultural and spiritual relationships is also vital to the conservation of biodiversity. This historical interdependence and relationship with specific ecosystems underpins the technical and scientific contributions of indigenous knowledge, critical to sustainable development. Many traditional practitioners are experts at reading indicator species[16] that provide early warning signals of impending environmental or food catastrophes and changes such as global warming.[17] Traditional indigenous

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[12] According to the United Nations, IFAD, etc. Some sources (also that of the United Nations) indicate 90 countries, e.g. http://undesadspd.org/IndigenousPeoples/AboutUsMembers/History.aspx, http://www.unric.org/en/indigenous-people. This figure is based on self-identification, i.e. indigenous peoples from some 90 countries have come to United Nations indigenous-related meetings, identifying themselves as indigenous.

[13] The United Nations Development Group Guidelines on indigenous peoples' issues noted that "the prevailing view today is that no formal universal definition is necessary for the recognition and protection of their rights" but that "this should by no means constitute an obstacle to United Nations agencies in addressing the substantial issues affecting indigenous peoples."

[14] International Work Group for Indigenous Affairs http://www.iwgia.org/culture-and-identity/identification-of-indigenous-peoples. Accessed 18.9.2014.

[15] There are some variations in the estimates of indigenous peoples and their poverty level. For example, the World Bank (2011) refers to indigenous peoples being "up to 10 per cent" of the world's poor.

[16] An indicator species is an organism whose presence, absence or abundance reflects a specific environmental condition. Indicator species can signal a change in the biological condition of a particular ecosystem, and thus may be used as a proxy to diagnose the health of an ecosystem.

[17] United Nations Department of Economic and Social Affairs 2009, p. 43.

lands and territories contain some 80 per cent of the planet's biodiversity.[18] More than 100 pharmaceutical companies are currently funding projects to study indigenous plant knowledge and specific plants used by native healers.[19]

23. Although belatedly, it is now increasingly recognized that indigenous peoples are at the cutting edge of sustainable development. Indigenous peoples' economies represent sustained interaction with and adaptation to particular locations and ecosystems, and are among the longest-standing and most proven examples of "sustainable development" in the 21st century. The future of indigenous peoples is inextricably linked with solutions to the crises in biodiversity and climate change, which must incorporate respect, protection and promotion of indigenous peoples' rights as an essential component of a global strategy.

B. Evolving global frameworks on indigenous peoples

24. This section briefly describes the evolution of frameworks in addressing the human rights, well-being and development of indigenous peoples. Overall, there have been major strides in the past decades in terms of promoting indigenous peoples' rights in social and economic development that affects them.

25. **International Labour Organization (ILO) conventions.** The first normative framework on indigenous peoples at international level was ILO Convention 107 on the *Protection and Integration of Indigenous and Other Tribal and Semi-Tribal Populations in Independent Countries* (1957). This convention addressed the right of indigenous peoples to pursue material well-being and spiritual development. ILO convention 107 largely took the position that indigenous peoples were to be supported in assimilating themselves into the larger society. Subsequently, the Indigenous and Tribal Peoples Convention, 1989 (N° 169) ("ILO Convention 169")[20] adopted a different approach, recognizing and respecting the ethnic and cultural diversity of indigenous peoples and supporting their participation in all development matters that affect them. ILO Convention 169 also shifted the language of discourse from "populations" to "peoples", thereby recognizing their distinct and collective identities. It provided standards and protection relating to the environment, development and direct participation of indigenous peoples in matters affecting their rights, lives and territories. The Conventions include a recourse mechanism: the Committee of Experts on the Application of Conventions and Review of Recommendations.[21] More recently, in 2013, the ILO published a handbook to help readers better understand the relevance, scope and implications of ILO Convention 169 and to strengthen joint efforts in its implementation.

26. So far only 22 countries[22] have ratified ILO Convention 169, and thus have an obligation to apply its requirements in domestic law and its practice.[23] It should be noted that some countries, even though not having ratified the Convention, might have affirmative and inclusive policies and legislations on indigenous peoples (e.g. India, the Philippines). The opposite could also be the case: even though the Convention has been ratified and indigenous peoples' rights might have been well

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[18] World Bank 2008.

[19] http://www.ruralpovertyportal.org/topic/statistics/tags/indigenous_peoples. Accessed 18 September 2014.

[20] ILO Convention 169 stipulates that indigenous peoples must be provided with general rights of citizenship, safeguards against discrimination (article 4); promotion of social, economic and cultural rights as well as elimination of socio-economic gaps (article 2). Consultations (article 6) with indigenous peoples and their right to decide on their priorities (article 7), and on their own organizations and protection of their social, cultural, religious and spiritual values and practices (article 5) are also included. There is a whole section on land (articles 13 to 19), employment (article 20), vocational training, handicrafts and rural industries (article 21) as well as other stipulations.

[21] If the Committee is actively used, it could be an effective method for overseeing government behaviour and actions toward indigenous peoples in those countries where the Convention has been ratified (United Nations 2009b).

[22] Fifteen out of the 22 countries are mostly in Latin America (Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Dominica, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Paraguay, Peru and Venezuela. The remaining countries are: Central African Republic, Denmark, Fiji, Nepal, the Netherlands, Norway and Spain.

[23] In a large number of countries international treaties have the force of law upon ratification, including Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, Guatemala, Honduras, Mexico, Nepal, the Netherlands, Paraguay, Peru, Spain and Venezuela, while this is not the case in Denmark, Dominica, Fiji and Norway, where enabling legislation is required. ILO 2008.

addressed in their constitutions, and a number of laws and decrees protecting and promoting their political, social, tenure and cultural rights might have been adopted, their enforcement is not always upheld.

27. **United Nations mechanisms**. The United Nations has established three central mechanisms that are mandated to address the rights of and issues relevant to indigenous people. *First*, **the United Nations Permanent Forum on Indigenous Issues (UNPFII)**[24] was established in 2000, pursuant to a resolution by the United Nations Economic and Social Council (ECOSOC), with a mandate to discuss indigenous issues related to economic and social development, culture, the environment, education, health and human rights. According to its mandate, UNPFII will: (i) provide expert advice and recommendations on indigenous issues to the Council (ECOSOC), as well as to programmes, funds and agencies of the United Nations, through the Council; (ii) raise awareness and promote the integration and coordination of activities related to indigenous issues within the United Nations system; and (iii) prepare and disseminate information on indigenous issues. The UNPFII holds annual sessions, with the first one held in 2002. *Second*, in 2001, **the United Nations Rapporteur on Rights of Indigenous Peoples** mechanism was established for: (a) promoting good practices to implement international standards of indigenous peoples' rights; (b) reporting on the human rights situation of indigenous peoples in selected countries; (c) communicating alleged violations of indigenous peoples' rights; and (d) conducting or contributing to thematic studies. *Third*, **the Expert Mechanism on the Rights of Indigenous Peoples** was established by the Human Rights Council, the United Nation's main human rights body, in 2007 as a subsidiary body of the Council.

28. Furthermore, most recently, Under Secretary General of the Department of Economic and Social Affairs was appointed as Senior Official of the United Nations system responsible for coordinating follow-up action for the World Conference on Indigenous Peoples held in September 2014.

29. The Inter-Agency Support Group (IASG) in support of the UNPFII and other indigenous peoples-related United Nations mechanisms is intended to strengthen inter-agency collaboration on indigenous issues. The IASG, with 41 members among United Nations organizations and inter-governmental organizations as of August 2014, meets twice a year, once in the context of the UNPFII's annual sessions and the other one as a regular annual meeting (between UNPFII sessions) hosted by the IASG chair, which rotates yearly among the members.[25]

30. **The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)**, adopted in 2007 by the General Assembly,[26] provides a key international standard and framework for the protection of their rights and their sustainable development.[27] It sets out the principles of partnership and mutual respect that should guide the relationship between states and indigenous peoples and also states the United Nations agencies' obligation to contribute to the realization of the Declaration through financial and technical assistance to improve the well-being of indigenous peoples.[28]

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[24] The Forum is comprised of 16 independent experts, serving in their personal capacity for a term of three years as Members and who may be re-elected or re-appointed for one additional term. Eight of the members are nominated by governments and eight directly by indigenous organizations in the seven indigenous socio-cultural regions.
[25] IFAD chaired the IASG in 2006 and hosted the annual meeting in September.
[26] Adopted by the General Assembly by a majority of 144 states in favour, 4 votes against (Australia, Canada, New Zealand and the United States) and 11 abstentions (Azerbaijan, Bangladesh, Bhutan, Burundi, Colombia, Georgia, Kenya, Nigeria, Russian Federation, Samoa and Ukraine). The four countries that voted against subsequently declared their adherence to the Declaration. This was also the case for Colombia and Samoa, which had originally abstained.
[27] The earliest indigenous peoples-related policies of the United Nations includes the United Nations Declaration on the Rights of Person belonging to National or Ethnic, Religious and Linguistic Minorities (1992).
[28] In addition, article 41 calls for the United Nations system to develop effective ways of ensuring the participation of indigenous peoples in issues that affect them.

31. In September 2014, the United Nations General Assembly organized the **World Conference on Indigenous Peoples** (WCIP). A preparatory conference of indigenous peoples was held in Alta, Norway in June 2013. The Outcome Document of the WCIP adopted by the General Assembly reaffirms the language of the United Nations Declaration. States expressed their commitment to developing and implementing "national action plans, strategies or other measures, where relevant, to achieve the ends of the Declaration". The United Nations Secretary-General was also requested "to begin the development, within existing resources, of a system-wide action plan to ensure a coherent approach to achieving the ends of the Declaration and to report to the General Assembly at its seventieth session [in 2015]" in consultation and cooperation with indigenous peoples, IASG and Member States.

32. In addition to human rights-related treaties,[29] other global and regional platforms and instruments that are highly relevant to indigenous peoples include the Convention on Biological Diversity, the United Nations Conference on Sustainable Development (the Rio Declaration and Rio+20), and the United Nations Framework Convention on Climate Change. Regional-level mechanisms and frameworks which deal with indigenous peoples' issues include the African Charter on Human and Peoples' Rights and the African Commission on Human and Peoples' Rights (ACHPR) in Africa; the Inter-American Democratic Charter (Article 9), the Inter-American Court on Human Rights, and the Office of the Rapporteur on the Rights of Indigenous Peoples established by the Inter-American Commission in Latin America.[30]

33. States also sometimes have their own national policies and institutions for dealing with indigenous peoples, even if they may be termed differently. In China, for example, this includes establishing ethnic autonomous regions, setting up their own local administrative governance and the right to practice their own language and culture.[31] India has several constitutional and legal provisions that recognize the rights of tribal populations to land and self-governance.[32] The Philippines has established a National Commission on Indigenous Peoples. Many other countries – especially in Latin America – also have legal frameworks recognizing the rights of indigenous peoples. For example, in Bolivia, UNDRIP was incorporated into the new constitution in 2009. Most countries have constitutions that embrace equality and diversities in general terms. However, their implementation in terms of protecting indigenous peoples' rights is not always effective.

C. Development aid and indigenous peoples

34. **Development aid often touches on indigenous peoples' lives, land, territories and rights – positively or negatively**. Many multilateral and bilateral agencies have policies for indigenous peoples. In the case of international financial institutions (IFIs), their policies tend to focus – exclusively or mainly – on safeguards with the aim to address environmental and social risks affecting indigenous peoples (the so-called "do no harm approach" as compared to a proactive or "do good approach"). This is because they finance large-scale projects in multiple sectors such as transport, energy, health and education that could involve involuntary resettlement, and environmental and social issues, with the potential of harming indigenous peoples. The World Bank's policy[33] emphasizes the safeguard aspects, although it also provides space for a "do good approach" "at a

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[29] Such as the International Covenant on Civil and Political Rights, the International Covenant on Economic, Social and Cultural Rights, the International Convention on the Elimination of All Forms of Racial Discrimination, and the Convention on the Elimination of all Forms of Discrimination against Women.

[30] http://www.oas.org/en/iachr/indigenous/. Accessed 7.12.2014.

[31] http://www.iwgia.org/regions/asia/china

[32] http://www.iwgia.org/regions/asia/india,

[33] Operational Policy 4.10 on indigenous peoples of 2005 (so-called "OP 4.10").

member country's request"[34] compared to its predecessor.[35] The Asian Development Bank (ADB) adopted a Safeguard Policy Statement (SPS) in 2009, which combined three earlier safeguard policies,[36] including the one specifically on indigenous peoples.

35. The Inter-American Development Bank (IDB) has an "operational policy and strategy", which, unlike those of the World Bank and ADB, emphasize both the *do good* and *do no harm* aspects. It explicitly brings in the concept of a "strategy for the economic development of indigenous peoples". The IDB policy is unique compared to others in that it distinguishes a small group of "uncontacted indigenous peoples" also known as "peoples in voluntary isolation". The policy requires that IDB respect their rights, including to remain in isolated condition and to live freely according to their culture.

36. The processing requirements prescribed in these safeguard policies are similar. The common processes include screening whether indigenous peoples are present, undertaking a social assessment if they are, consultation with communities, preparation of measures to address any adverse impact, and to see that they also receive culturally appropriate benefits. The policies require the mandatory preparation and public disclosure of Indigenous People's Development Plans or Frameworks by government when indigenous peoples are "affected". The World Bank and ADB policies require "appropriate and acceptable compensation" where there are negative effects due to their interventions that cannot be eliminated or mitigated.

37. Inclusion of the principle of free, prior and informed consent (FPIC) in these IFIs' safeguard policies has been an issue frequently raised by UNPFII and indigenous peoples' organizations. The current World Bank policy (which is under revision) states "free, prior and informed *consultation*", which is considered not in line with UNDRIP specifying "consent". ADB's SPS does refer to UNDRIP and FPIC with "consent"; however, the provisions in the SPS have been criticized by indigenous peoples' organizations and civil society organizations as they are seen to "redefine" FPIC[37] and limit the scope of application of the FPIC principle.

38. Four United Nations agencies and funds (United Nations Development Programme [UNDP], IFAD, Food and Agriculture Organization of the United Nations [FAO] and United Nations Environment Programme) and programmes such as the Global Environmental Facility and United Nations-REDD[38] have developed institutional policies or guidance on support to indigenous peoples and protection of their rights.[39] Further, the recent UNDP Social and Environmental Standards, inter alia, specify the obligations of UNDP to not participate in projects that violate provisions of UNDRIP, including operational requirements to ensure such compliance. Outside the United Nations context, the European Bank of Reconstruction and Development revised its Environmental and Social Policy in November 2008 and, as part of this process, its policy requirement on indigenous peoples was revised. It includes free, prior and informed consent, within certain parameters.[40]

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[34] OP 4.10 states that, "in furtherance of its objectives, the Bank may, at a member country's request, support the country in its development planning and poverty reduction strategies by providing financial assistance for a variety of initiatives."

[35] Operational Directive 4.20 issued in 1991.

[36] *Involuntary Resettlement Policy* (1995), *Policy on Indigenous Peoples* (1998), and the *Environment Policy* (2002).

[37] ADB SPS defines FPIC as "a collective expression by the affected indigenous peoples' communities, through individuals and/or their recognized representatives, of broad community support for the project". SPS further states that broad community support "may exist even if some individuals or groups object to the project activities". Oxfam Australia (2010) reported that "according to representatives of indigenous peoples networks, this redefinition undermines the consistent application of FPIC" and "a coalition of indigenous peoples' representatives submitted a letter to the ADB outlining their concerns regarding 'broad community support'".

[38] The United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries.

[39] Tebtebba Foundation 2014.

[40] http://www.ebrd.com/about/policies/enviro/policy/index.htm

39. A number of bilateral donor countries also have specific policies or strategies on indigenous peoples. They are all based on a "do good approach" and often focus on human rights. Those countries that do not have a specific policy on indigenous peoples may still refer to indigenous peoples' rights in their more general development or human rights policies.[41]

Key points

- There has been major progress in addressing indigenous peoples' rights and issues at international level. A number of mechanisms and frameworks have been established to monitor and address issues related to rights and development of indigenous peoples.

- There has been increasing recognition of the need for and the value of "development with culture and identity". The thinking has shifted from one based on integration of indigenous peoples into dominant communities to an approach that is rights-based, and related to their priorities and needs as expressed by indigenous peoples themselves through their own governance structures, and that respects their diversity and cultures. This approach recognizes their unique cultures and practices, including attachments to ancestral lands and dependence on natural resources.

- There is also increasing appreciation of the knowledge held by indigenous peoples and their potential to contribute to sustainable development – not only for their own benefit but also for the benefit of all humankind.

- The primary focus of the debate today is on ensuring the right of indigenous peoples to determine their own future, and on adddressing exploitation of spaces that belong to them without their consent. This intention is reflected in the requirement by UNDRIP of prior, informed and free consent of all indigenous peoples to any development that affects their land and territories.

- IFIs' policies related to indigenous peoples predominantly focus on safeguard aspects (a "do no harm" approach) because of the size of their investment and potential risks. A number of United Nations agencies and bilateral donors also have policies concerning indigenous peoples, which largely take a "do good" approach.

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[41] Finland, for example, includes the rights of indigenous peoples in its human rights-based approach in its development policy and so does Germany in its 2011 Human Rights Strategy.

III. IFAD support to and policy on indigenous peoples

A. Historical overview

40. Since its establishment in 1978, with a focus on improving the nutritional level and living conditions of the poorest populations in developing countries, IFAD has paid particular attention to indigenous peoples' issues. The first IFAD loan in support of indigenous peoples was for the Omasuyos-Los Andes Rural Development Project in the Plurinational State of Bolivia, approved in 1979. It was followed by the Rural Development Programme for the Guaymi Communities in Panama, approved in 1984. A grant-financed flagship programme in Latin America included the Regional Programme in Support of Indigenous Peoples in the Amazon Basin (PRAIA), which was co-financed by the Andean Development Corporation, and IFAD with three grants totalling US$3.6 million. PRAIA, operated between 1992 and 2007, "pioneered a demand-driven approach and emphasized institution-building and direct management of resources and funds by the indigenous peoples' organizations themselves, relying on existing social control mechanisms as a powerful tool for accountability."[42]

41. In Asia, pioneering initiatives were undertaken in India, with a series of tribal development projects in the states of Orissa (now called Odisha) and Andhra Pradesh starting in the late 1980s.[43] The IFAD country programme in India has maintained an emphasis on tribal development, which has also been scaled up by the government and other agencies. In Asia, projects with indigenous peoples and ethnic minorities have also been an important part of the portfolio in China, Lao People's Democratic Republic, Nepal, Philippines and Viet Nam.

42. Building upon its experience at project level, since the mid-2000s, IFAD has been steadily increasing its involvement in promoting indigenous peoples' issues at an international level, in tandem with overall international advocacy movement. The 2002 Bali preparatory conference for the 2002 World Summit on Sustainable Development in Johannesburg marked the beginning of a partnership between IFAD and a coalition of indigenous peoples' leaders and organizations around the world. Since then, IFAD has maintained support for indigenous peoples' issues at institutional level through its participation in international conferences, UNPFII and IASG, support to indigenous peoples' organizations and networks, and partnership building.

43. A number of steps and initiatives have been taken to strengthen IFAD's role in and contribution to promoting indigenous peoples' issues. These include: (i) take-over of the Indigenous Peoples Assistance Facility (IPAF) to finance development initiatives by indigenous peoples' organizations, transferred from the World Bank in 2007; (ii) strengthening of staffing arrangements, including special assignment for indigenous peoples' issues to then IFAD Assistant President (in 2005; the portfolio ceased to exist with the retirement of the incumbent), as well as the appointment of a Coordinator for Indigenous and Tribal Issues (2007) in the then IFAD Policy Division, a position/function currently held in the Policy and Technical Advisory Division (PTA) and entitled Senior Technical Specialist on Indigenous Peoples and Tribal Issues; and (iii) development of a policy on indigenous peoples in 2009, as well as increasingly proactive and explicit incorporation of indigenous peoples' issues into other strategies and guidelines (see paragraphs 44-47).

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[42] IFAD 2009, policy on engagement with indigenous peoples. It was reported that some 140 microprojects were financed in the areas of natural resource management, land tenure support, production and marketing of traditional forest products, ecotourism, bilingual intercultural education, and cultural activities, among others. The projects benefited some 90 different indigenous peoples in the region.
[43] Namely, Orissa Tribal Development Project (1988-1997), Andhra Pradesh Tribal Development Project (1991-1999), Andhra Pradesh Participatory Tribal Development Project (1994-2002) and Orissa Tribal Empowerment and Livelihoods Programme (2003-2013). The third project in Orissa (now called Odisha), with a focus on particularly vulnerable tribal groups, was approved in April 2015.

B. Indigenous peoples in IFAD strategies, frameworks and policies

44. **Strategic frameworks.** Reference to indigenous peoples in IFAD's strategic frameworks has been progressive, with the latest one (2011-2015) containing extensive reference across different aspects (table 2).[44]

Table 2
Reference to indigenous peoples in IFAD's strategic frameworks over different periods

Period	Reference to indigenous peoples
2002-2006	When describing the main obstacles to fighting rural poverty, the document alludes to the "day-to-day vulnerability" of rural poor (p.6). Among the groups with a weak decision-making and advocacy capacity, **indigenous peoples** are mentioned (Ibid)
2007-2010	When describing the target group of the Fund interventions, the document claims that IFAD acknowledges "the special needs of **indigenous peoples and ethnic minorities**, especially in Asia and Latin America" (p.7)
2011-2015	Acknowledges the linkage between ethnicity and poverty, for example, by stating that "**indigenous peoples and ethnic minorities are disproportionately affected by poverty** as a result of tenuous control over natural resources and various forms of marginalization, discrimination and exclusion" "in large parts of Latin America and Asia" (p.12)
	When reporting on its comparative advantage in the changing aid architecture, it emphasizes the capacity of the Fund to support **the empowerment of marginalized groups such as indigenous peoples and ethnic minorities** (p.24)
	To achieve its overarching goal ("enabling poor rural people to improve their food security and nutrition, raise their incomes and strengthen their resilience"), it states that IFAD will build on its work with not only governments and farmers' organizations but also with **indigenous peoples organizations** (p.30)
	Among the areas of its thematic focus, **support to indigenous peoples' organizations** is mentioned, especially in the form of strengthening their advocacy capacities
	One of the eight IFAD principles of engagement established that the Fund is committed to include marginalized groups (i.e. minorities and **indigenous peoples**) and address their specific needs (p.38)

45. **Other policies and guidelines** (annex II). Many IFAD policies, strategies and guidelines make reference to indigenous peoples. The most relevant are those dealing with land and natural resources (table 3).

Table 3
Reference to indigenous peoples in selected IFAD policies and strategies related to land and natural resources

Policy/strategy document	Reference to indigenous peoples
Policy on access to land and tenure security (2008)	Guiding principles include: (i) adherence to the "do no harm" principle (especially with reference to the land tenure interests of the rural poor, especially those of women, **indigenous peoples** and other vulnerable groups) at all times; (ii) acknowledgement of, and support for, **the land rights of indigenous peoples**; and (iii) adherence to the principle of free, prior and informed consent (which is presented as applicable to any group of a targeted population).
Policy on environment and natural resource management (2011)	One of the ten "core principles" is "equality and empowerment for women and **indigenous peoples** in managing natural resources". Indigenous peoples are also mentioned explicitly under two other core principles ("recognition and greater awareness of the economic, social and cultural value of natural assets" and "climate-smart approaches to rural development"). The document makes reference to the indigenous peoples policy, UNDRIP and FPIC in relation to its support to indigenous peoples in enhancing the resilience of the ecosystems in which they live.
Climate change strategy (2010)	Indigenous peoples are seen as stewards of natural resources. The strategy points out that indigenous peoples are particularly affected by climate change due to their high dependence on the natural resource base. Forest conservation and sustainable use, with a strong pro-poor approach, also play a primary role in this strategy, due to their importance to and interlinkages with poor communities and indigenous peoples.

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[44] UNPFII's 9th session in 2010 congratulated IFAD on its intention to identify indigenous peoples as a specific target group and recommended that IFAD maintain "its strong focus on indigenous peoples' issues in the formulation of the new strategic framework" (which would be 2011-2015). It has not been established whether this UNPFII recommendation had any influence on the eventual strategic framework 2011-2015.

46. The recently approved *social, environmental and climate assessment procedures* require FPIC for interventions that might affect land access and use rights of communities (although not specific to indigenous peoples).

47. Other relevant policies include the *targeting policy* (2006) and *the policy on gender equality and women's empowerment* (2012). Indigenous peoples are mentioned as part of the vulnerable and marginalized rural poor (together with women and youth) without specific attention to their issues, but these policies are of high relevance to engagement with indigenous peoples as they enshrine an overall approach to targeting, and the need to recognize different segments of the rural population by age, gender, ethnicity and socio-economic category.

48. *Updated guidelines on Results-Based Country Strategic Opportunities Programme* (RB-COSOP, 2011) make several references to indigenous peoples, including, for countries where indigenous peoples' issues are relevant and significant, the need to include data and information on socio-economic and cultural specificities of indigenous peoples, and the need for consultation with indigenous peoples in COSOP preparation.

C. IFAD policy on engagement with indigenous peoples

49. In response to recommendations by UNPFII, in 2007 IFAD started a series of actions to develop its principles of engagement with indigenous peoples: the process was conducted in consultation with indigenous peoples and interested members of the IASG. Following a participatory process, the policy was presented to and approved by the Executive Board. See annex III for the key elements of the policy, as well as the deliberations on the agenda item at the IFAD Executive Board.

50. Consistent with the international standards (see paragraph 1 and annex V), IFAD's policy uses a working definition of indigenous peoples as follows: (i) priority in time, with respect to occupation and use of a specific territory; (ii) voluntary perpetuation of cultural distinctiveness, which may include aspects of language, social organization, religion and spiritual values, modes of production, laws and institutions; (iii) self-identification, as well as recognition by other groups, or by state authorities, as a distinct collectivity; and (iv) an experience of subjugation, marginalization, dispossession, exclusion or discrimination.

51. The policy defines *nine fundamental principles of engagement* by which IFAD support is guided, under the following headings: (i) cultural heritage and identity as assets; (ii) free, prior and informed consent; (iii) community-driven development; (iv) land, territories and resources; (v) indigenous peoples' knowledge: (vi) environmental issues and climate change: (vii) access to markets; (viii) empowerment; and (ix) gender equality.

52. Most, if not all, of these principles are consistent or comparable with the principles and focus of IFAD's operations in general, i.e. empowerment, access to land, territories and resources, environment and climate change, access to markets; yet, these are specifically contextualized in terms of perspectives and well-being of indigenous peoples – emphasizing their culture, identity, spirituality, knowledge, and their intricate relations with land, territories and natural resources in a holistic manner. Indeed, the principles set out in the policy are closely inter-linked with each other.

53. The manner in which the principle on FPIC is presented[45] is somewhat different in nature, in the sense that it includes an element of safeguard and implies a process

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[45] "When appraising such projects proposed by Member States, in particular those that may affect the land and resources of indigenous peoples, the Fund shall examine whether the borrower or grant recipient consulted with the indigenous peoples to obtain their free, prior and informed consent. The Fund shall consider this consultation and consent as a criterion for project approval. In appraising such projects the Fund shall verify whether they include measures to: (a) avoid potentially adverse effects on the indigenous peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate or compensate for such effects" (IFAD policy on indigenous peoples). FPIC is also

and mechanism to ensure its compliance, compared to other principles that are meant to facilitate and guide. Indeed, the policy, fundamentally based on a proactive "do good" approach, substantially differs from those of other IFIs which are mainly focused on safeguards.

54. In accordance with the policy, to ensure ready access to information on indigenous peoples' issues at country level for use in COSOPs and project preparation, 31 country technical notes (CTNs)[46] have been prepared in partnership with indigenous peoples' organizations. The policy also presents a number of instruments and modalities to operationalize the policy, such as COSOPs, grants and two additional instruments, the IPAF and the Indigenous Peoples Forum at IFAD (see paragraphs 61-64).

55. The 2010 UNPFII session praised IFAD for the approval of the policy, which is "consistent with international standards, in particular with UNDRIP and United NationsDG guidelines."

D. Overview of IFAD portfolio and activities

56. The main instruments for IFAD support to indigenous peoples are: (i) investment projects through governments (loans, and grants provided under the Debt Sustainability Framework); (ii) grants, notably also including the Indigenous Peoples Assistance Facility (IPAF); (iii) the Indigenous Peoples Forum at IFAD; and (iv) participation in global debates on indigenous peoples' issues.

57. **Investment project portfolio**. Between 20-40 per cent of projects approved annually (in terms of the *number* of projects) include indigenous peoples – in majority or minority - in expected beneficiaries (figure 2). The proportion of indigenous peoples in the target group or expected beneficiaries varies greatly, from less than 1 per cent to 100 per cent, with most of them including *both* indigenous and non-indigenous populations. IFAD's corporate central database on project information[47] does not have data on project financing related to any specific sub-target groups. Consequently, efforts have been made by the desk responsible for indigenous peoples and tribal issues in PTA to maintain a list of projects since 1979 which covers indigenous peoples (referred to as "PTA data" or "PTA table"), including data on expected proportion of indigenous peoples among beneficiaries under each project[48] and amount of estimated project financing in support of indigenous peoples, as validated by IFAD staff responsible for country programmes and projects.[49] Based on these data, IFAD annually reports to UNPFII[50] financing data for its support to indigenous peoples. The information in these two sources (i.e. PTA data and annual reports to UNPFII) is largely consistent, though with some discrepancies (see annex VIII).

58. A careful examination of data from various sources (PTA data, IFAD central project information, IFAD annual reports to UNPFII) resulted in adjusted figures (figure 2,

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included in the Policy on Improving Access to Land and Tenure Security, and the Environment and Natural Management Policy.

[46] Country technical notes (CTNs) are expected to provide country-specific information on indigenous peoples and to contribute to the development of country programme strategies and project design. The preparation of CTNs is coordinated by the Indigenous Peoples Desk in PTA. CTNs are available for the following countries: Asia: Bangladesh, Cambodia, India, Indonesia, Lao People's Democratic Republic, Nepal, Pakistan, Philippines, Viet Nam; Africa: Democratic Republic of the Congo, Kenya, Niger, Tanzania; Latin America and the Caribbean: Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Venezuela. The notes are available at http://www.ifad.org/english/indigenous/pub/index.htm. Five additional CTNs are being developed for Burundi, Cameroon, Congo, Gabon and Rwanda.

[47] Grants and Investment Projects System, GRIPS.

[48] In fact, establishing the proportion of indigenous peoples (expected or actual) is also not straightforward. Often the expected or intended proportions of different sub-groups to be targeted are not specified in project designs. In cases where demographic data in project areas are available, simply the proportion of indigenous peoples in the total population may be used in the PTA table; in some cases (but in fewer cases), targets may be established in the design.

[49] Computed by multiplying overall project financing figures by the proportion of indigenous peoples.

[50] According to the Tebtebba (2014), "IFAD is one of the few agencies that keeps track of its overall portfolio with regards to indigenous peoples."

figure 3 and annex VIII). Out of US$6.5 billion of investment financing approved between 2004 and 2013, US$ 932 million (or 14 per cent)[51] was expected to be invested in support of indigenous peoples. Annually, IFAD financing that is expected to benefit indigenous peoples against the total approved financing has ranged between 6 and 22 per cent, depending mainly on whether there happen to be projects in areas with a high proportion of indigenous peoples and ethnic minorities in countries where IFAD has large resource allocations (e.g. China, India). For example, the Pastoral Community Development Project III in Ethiopia, with IFAD financing of US$85 million for pastoral communities, contributed to a high percentage in 2013. On the other hand, those projects with indigenous peoples approved in 2007 were relatively small and indigenous peoples were expected to be a minority amongst beneficiaries in most of them; hence, the lowest figure (in absolute terms, as well as the proportion) recorded over the period.

Figure 2
Number of projects approved 2004-2013: total and those expected to benefit indigenous peoples
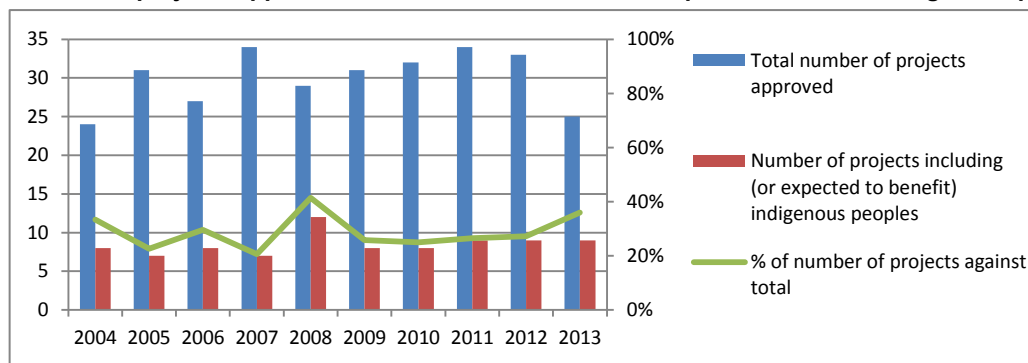
Figure 3
Estimated IFAD investment financing in support of indigenous peoples (approved 2004-2013)

59. *The extent to which indigenous peoples are targeted or are expected to benefit from these investment projects varies significantly.* Broadly, the projects considered to benefit indigenous peoples (thus included in the PTA table) may be categorized as follows: (i) projects operated in a geographical area(s) with high proportion of indigenous peoples and with a clear indication that indigenous peoples will be targeted; (ii) projects operated in a relatively large (or scattered) geographical area(s) with indigenous peoples who are likely to benefit from projects (including national projects which would be implemented in areas selected based on certain criteria); and (iii) projects with a national scope and without a clear geographical area focus (e.g. rural finance projects) and with a very broad target group definition which *may* (or may not) benefit indigenous peoples. For the last category, the project designs may mention indigenous peoples as a potential

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[51] This indicates a lower figure than that reported by IFAD (20-22 per cent).

group among the vulnerable or marginalized rural poor (often together with women, female-headed households and youth) – or may not mention them at all.

60. **Grant portfolio.** Based on IFAD's annual reporting to UNPFII and PTA record, between 2004 and 2013, the amount of global/regional grant financing specifically targeting indigenous people which was managed under the responsibilities of the PTA indigenous peoples and tribal issues desk totalled US$6.45 million.[52] Apart from the IFAD grant of US$1.45 million for IPAF approved in 2011,[53] these grants mainly supported activities related to facilitation of indigenous peoples' participation in international processes (e.g. climate change summit, Rio+20, WCIP), capacity-building (e.g. indigenous peoples' organizations, government staff), facilitation of dialogue among different stakeholders, advocacy and knowledge management. Except for the 2011 grant for IPAF of US$1.45 million and a couple of other cases, the amount of grants has tended to be small, ranging from US$25,000-200,000. There have also been a number of regional and country-specific grants targeting indigenous peoples that were managed by regional divisions, most of them under US$200,000.

61. **Indigenous Peoples Assistance Facility (IPAF).** Since 2007, IFAD has financed, supported and managed the IPAF, which was called the "Grant Facility for Indigenous Peoples" when it was originally established in 2003 by the World Bank, In recognition of its experience and knowledge of indigenous peoples' issues, in 2006 IFAD's Executive Board approved the transfer of the facility to IFAD.

62. IPAF finances small grants of up to US$50,000 for small projects designed and implemented by indigenous peoples' communities and their organizations. Since 2007, as a result of three calls for proposals (2007, 2008 and 2011) which generated more than 3,000 proposals, IPAF has supported 102 projects in 42 countries (annex X) for a total amount of about US$2.6 million.[54] A board composed in majority by representatives of indigenous peoples' organizations governs IPAF.

63. The document approved by the IFAD Executive Board in 2006[55] indicated that the IPAF would be managed by IFAD as a time-bound facility that would expire once all the available funds received had been disbursed, but it still left open the possibility of continuing with the facility in case of strong support by indigenous peoples' organizations, UNPFII and donors. In fact, on top of the initial funds transferred from the World Bank and supplementary funds received from bilateral donors such as Canada, Finland, Italy and Norway, IFAD mobilized its own grant resources and has continued with the facility. Initially the facility was centrally managed by IFAD (i.e. agreements with small grant recipients were entered into with IFAD), but this has been decentralized to regional partner organizations since 2011.[56] Hence, the IFAD grants approved in 2011 and 2014 have been extended to three recipients in the three regions, which would extend small grants to recipients and monitor them. The fourth call for proposal was issued in January 2015.

64. **The Indigenous Peoples Forum at IFAD, participation in global-level mechanisms and partnerships.** IFAD has not restricted its activities to lending and grant-financed projects, but actively engages in global processes. It has been an active member of IASG and contributor to UNPFII, bringing IFAD's experience on the ground to the international arena. At the corporate level, an Indigenous

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[52] Not including small grants financed by IPAF before 2011 and country-specific grants.
[53] Another IPAF grant was approved in 2014 in the amount of US$1.5 million.
[54] IFAD (no date): "The Indigenous Peoples Assistance Facility: A promising link between grassroots indigenous peoples' organizations and the international community".
[55] IFAD official document submitted to the Executive Board September 2006. EB 2006/88/R.40
[56] Three indigenous peoples' organizations, namely Foro Internacional de Mujeres Indigenas (FIMI) in Latin America and the Caribbean; Mainyoito Pastoralist Integrated Development Organization (MPIDO) in Africa; and Tebtebba Foundation in Asia, act as co-managers of IPAF. In the most recent round of IPAF financing approved in 2014, a different organization (Kivuni Trust) has been identified to manage the programme in Africa.

Peoples Forum (IPF) was established in 2011 to institutionalize a process of constructive dialogue and consultation among indigenous peoples' organizations, IFAD staff and member states. Through the IPF, IFAD aims to improve its own accountability to its target groups and its development effectiveness, as well as to exercise a leadership role among international development institutions. So far, two global meetings of the IPF have been held at IFAD headquarters in Rome in conjunction with IFAD Governing Council sessions in February 2013 and February 2015. For the preparation of the global meetings of the Forum, regional workshops were organized, bringing together representatives of indigenous peoples' organizations and communities from IFAD-financed projects. The 2015 IFAD Governing Council dedicated 1.5 hours to a panel of indigenous peoples to discuss the topic of indigenous peoples and sustainable food systems.

65. Interesting partnership with another like-minded organization is the one with Slow Food – to promote sustainable indigenous food production systems and to support the organization of "Indigenous Terra Madre" in India in 2015.[57]

Key points

- IFAD has engaged with and supported indigenous peoples since its inception, mainly in Latin America and Asia.

- IFAD's policy on engagement with indigenous peoples, developed in a highly consultative manner, was approved in 2009. UNPFII regards the policy as "consistent with international standards".

- Over the period 2004-2013, 14 per cent of the total financing approved was estimated to be in support of indigenous peoples. On average, a little less than one third of the investment projects approved – in terms of *number* of projects – was reported to include indigenous peoples as beneficiaries, although to varied degrees.

- In addition to the investment financing portfolio, IFAD has supported projects and initiatives at country, regional and global levels with grant-financing. IFAD has also been actively engaged in global-level processes and mechanisms concerning indigenous peoples, especially since the mid-2000s.

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[57] Terra Madre is a project conceived by Slow Food which brings together those players in the food chain who together support sustainable agriculture, fishing and breeding with the goal of preserving taste and biodiversity. The Indigenous Terra Madre in India to be held in Shillong, Meghalaya 2015 is now called "International Mei Ram-ew 2015".

IV. Review of IFAD's engagement with indigenous peoples at country level and in investment projects

A. Synthesis of evaluation findings: projects and country programmes

66. This section presents a synthesis of findings in 27 IOE evaluations of IFAD operations related to indigenous peoples. It seeks to identify recurring issues, good practices and lessons learned. The review was also complemented by other IOE evaluations (e.g. thematic evaluations, evaluation syntheses).

67. This section organizes the findings around the following issues: (i) targeting indigenous peoples; (ii) participation of indigenous peoples; (iii) empowerment of indigenous peoples and their organizations; (iv) access to land and natural resource management; (v) access to markets; and (vi) influence on institutions and policies. Four of them ((i)-(iii) and (vi)) directly relate to four out of five key guiding questions for this synthesis (see paragraph 8), whereas (iv) and (v) emerged from the review that also correspond to the indigenous peoples policy principles. Given that all evaluated projects reviewed herein were designed before the policy, the intention is *not* to strictly assess the extent of alignment or application of the policy principles, but the above issues largely cover most of the nine principles – directly or indirectly.

68. The comparison of evaluation ratings for 36 projects against those for other evaluated projects in Asia and Latin America (i.e. projects that do not include indigenous peoples) indicates that: (i) overall, the average ratings in both sets are similar and so are the patterns across criteria (e.g. relatively higher ratings for "relevance" and "social capital and empowerment", and lower ratings for "efficiency", "sustainability" and "environment and natural resource management") and the trends over different periods; and (ii) in terms of the average ratings for over a series of five-year periods, a gap between the sampled and other projects is the largest for "institution and policies" criteria in the earlier periods (2003-2007 and 2005-2009), with the average ratings for the former group (i.e. projects with indigenous peoples) being notably higher. See annex XII, tables 3 and 4.

Targeting and engaging with indigenous peoples

69. **IFAD-supported projects employ a mixed targeting approach.** Typically, they start with a geographical focus on rural areas with higher incidence of poverty, which are often in remote areas where, in certain countries, high proportions of indigenous peoples are found. Then, they progress to social and poverty targeting, including indigenous peoples with other groups. Only two of the 37 projects indicated that being indigenous was a condition to benefit from the projects.[58] According to the PTA data, indigenous peoples were expected to be more than 50 per cent of the beneficiaries in 24 out of 37 projects. In other projects, indigenous peoples may not have been a majority of expected beneficiaries but were still visibly recognized as part of the target group in design.

70. **Over 40 per cent of the project evaluations reviewed pointed out the need to clearly define target groups and develop tailored and differentiated approaches to target indigenous peoples.**[59] They particularly stressed the need for a better recognition of indigenous peoples' specificities, culture, traditions and diverse knowledge systems, and for better analysis of their needs and capacity.[60]

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[58] PRODEPINE-EC and Yucatan-MX, which in design included "being indigenous" as one of the criteria for households to be included in the project target group, in addition to living in rural areas, land size and income level.

[59] For example, WGPAP-CH CE, NSRDP-LA IE, RIDP-VN PPA, CARD-BZ CE, PRODEPINE-BO IE, PRODEVER-GT IE, Puno-Cusco-PE IE (issue addressed during the implementation), PRODECOP-VE IE.

[60] For example, RIDP-VN CE indicated that most project activities were suitable for the ethnic *majority* (Kinh), with few activities adapted to ethnic minorities. PRODEVER-GT IE commented that the intervention strategy addressed primarily their poverty rather than their ethnic conditions, without a differentiated approach for six different target groups. Other

Some evaluations commented specifically on limited attention to existing traditional organizations and their organizational culture/processes.[61] The evaluations also noted the importance of paying attention to heterogeneities among indigenous peoples and not just differentiate between indigenous peoples and others.[62]

71. **The above findings are consistent with that of IOE's evaluation synthesis on rural differentiation and smallholder development.** This 2013 evaluation synthesis found that 47 per cent of project evaluations and 60 per cent of CPEs recognized the weakness in targeting and noted that "the importance of devising appropriate development strategies to meet the respective needs of target groups was a common thread in the recommendations of evaluation reports". It also observed "more positive results when dealing with clearly identified social differences", for example, in case of projects with indigenous peoples helping transform cultural differences into an advantage that contributes to economic benefits.

72. A couple of evaluations also discussed the issue of **"inclusiveness" of non-indigenous populations** in targeting.[63] In general, such line of argument was based on the consideration for equity and the need to mitigate potential social conflicts, and the desire to be effective in broad-based rural poverty reduction efforts.

73. **Weak monitoring and evaluation at project level has been widely recognized in past IOE evaluations (not limited to projects with indigenous peoples), as well as IFAD self-assessments, as a persistent challenge that hinders effective project management and implementation, including targeting.** There was no information on the extent of eventual outreach to indigenous peoples in most of the project evaluations reviewed for this evaluation synthesis. One PPA noted that no data were available on the actual proportion of indigenous peoples who benefited.[64] Even in cases where disaggregated data at output level were maintained such as in Nepal and Viet Nam, the evaluations found that there had been no systematic assessment of impact on the well-being of indigenous peoples.[65]

Participation of indigenous peoples in projects

74. **The evaluation findings confirm that participation of beneficiaries increases their sense of ownership and empowerment.** Participation can be in terms of choice of activities to be supported (project design and planning at implementation stage), and how these activities are managed and monitored. Evaluations find that an open-ended participatory and holistic approach is more

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examples include: WGPAP-CN CE, noting insufficient assessment of specific needs of various ethnic minority groups; PRODEPINE-EC IE, commenting that the project applied "universal, homogenous processes and procedures for all, not taking into account their cultural, geographical, political and administrative differences".

[61] For example, in FATA-PK, community-based organizations were to be established with project support, ignoring traditional institutions. According to CHARM-PH CE, "traditional processes of community consensus and *bayanihan* self-help were underused as a cultural basis for local participation".

[62] Such as Argentina, Belize, Bolivia, Ecuador, Guatemala, Peru, Philippines, Venezuela, Viet Nam.

[63] The corporate-level evaluation of IFAD's Regional Strategy for Asia and the Pacific noted that, while endorsing the continued and strengthened focus on indigenous peoples, it would be necessary to "find ways to support other rural people living in the same project areas" because it was considered "important to ensure that non-indigenous groups play a supportive role in the development operation". The Ecuador CPE, referring to the earlier project PRODEPINE, commented that a focus on indigenous peoples and Afro-Ecuadorians with a high incidence of poverty but are minorities implied a compromise on the potential of projects for poverty reduction at a national level. At the opposite end, PRODERNEA-AR CE recommended future projects for indigenous peoples separate from "those targeted to commercially oriented family farmers", but no similar recommendation was made in the CPE conducted a year later.

[64] PROMARENA-BO PPA (2014). PPA also stated that the final workshop reported that the project had failed to adapt to the sociocultural characteristics of the Guarani in the Chaco (p.18, para 57).

[65] For example, Nepal CPE noted that although there was quantitative information on membership and participation in decision-making of women, *dalits* and *janajatis*, these data needed to be combined with more qualitative assessments to determine if the support actually reduced social exclusion and inequalities. Viet Nam CPE observed that, while the IFAD country programme systematically covered geographic areas with high poverty indices and large ethnic minority populations, "lack of *explicit* focus on ethnic minorities makes it difficult to understand the links between the particular socio-cultural practices of different minorities and the potential for poverty reduction" (para 91).

responsive to the priorities of beneficiaries than one that involves a pre-selected "menu" of choices.[66] NMCIREMP-PH (box 1) is a good example of a participatory process, supported by appropriate investment in capacity-building of implementers, to integrate the interests and priorities of the communities. The participatory mapping methodology (box 2) has also been found effective in facilitating the participation of communities in areas with high levels of illiteracy. Participatory mapping is not only for indigenous peoples, but finding a way to facilitate their participation in planning, managing and decision-making about their natural resources is particularly important in working with them, given the centrality of land and natural resources for their livelihoods. The mode of information dissemination and communication (e.g. language) is a critical factor that affects the level and quality of participation.[67] Finally, the extent to which the project pays attention to how indigenous communities and their organizations function also influences the level of participation.[68]

75. In some countries in Latin America (e.g. Bolivia, Peru), "competition (*concurso*)" has been used and found to be effective in facilitating participation, ownership and empowerment of beneficiaries (box 3). PROMARENA-BO, which adopted this approach, was also found to have achieved in general a positive impact on social capital and empowerment, but the PPA still found a lack of participation in the project by the most vulnerable, mainly because the project required counterpart contribution, and provided technical assistance only for improvements in production and market penetration, without considering financial investment needs. This again points to the importance of understanding differences in the target group and developing a differentiated approach.

76. The evaluations find the quality and capacity of project staff and service providers important in engaging with indigenous peoples (more on this in the following section). Remote locations also pose logistical challenges in reaching indigenous peoples. The Argentina CPE highlighted the need to provide "adequate logistical and financial support and sufficient time to manage the distances and dispersion of indigenous communities in geographically isolated areas".

Box 1
Participation for project success: Northern Mindanao Community Initiatives and Resource Management Project, Philippines

> The project placed greater focus on staff capability, area contiguity and implementation coherence. The project invested heavily in building up the capacity of implementers to support the interests and priorities of the communities. The project worked with diverse target groups in different agro-ecological situations. The communities were diverse and had a wide range of interests and needs. There was a danger that the project's efforts could have become confused, too standardized to meet the needs of all target groups, or too dispersed. However, participatory planning enabled the communities to develop coherent plans with the local government units that were appropriate to the local context and level of expertise at the time. The project was considered by project implementers and participants as more relevant than any previous project they had participated in. (NMCIREMP-PH PPA)

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[66] HPM-VN IE commented that planning approaches at local level were not genuine "participatory rural appraisals" but were line department surveys to identify farmer requirements in a prescriptive rather than demand-driven manner. CHARM-PH CE noted that the project "could have been more participatory to better align with community priorities, such as selection of infrastructure and identification of reforestation/agroforestry species".

[67] For example, in Yucatan-MX, "the use of the Mayan language over the radio to broadcast project information demonstrated the high potential" (CE).

[68] CHARM-PH CE found that "cultural practices played a significant role in the extent of participation in some areas" and that "where indigenous processes of participation were harnessed, wider community members were involved".

Box 2
"Talking maps" methodology for enhanced participation in planning

"Talking Maps" is a planning tool that enjoys wide social acceptance among Andean farmers and supports *Pachamama Raymi* (see box 3). "Maps" are a means to depict layers of information documenting past, present and future scenarios that reflect the most important aspects of the local territory and the management of natural resources – using symbols such as crafts and birth-to-death rituals. Maps of the future envision the hopes and dreams of the community: they are used to encourage community members to plan and commit to positive change. They evoke feelings and emotional attachments to the land and natural resources and enrich the community's oral tradition. Each year communities use the maps to develop action plans and make collective decisions in a truly participatory manner that strengthens household and community interests. It is the coming together to talk about the community's future that is the true strength of the maps.

Based on: MARENASS-PE IE; Community-based natural resource management: How knowledge is managed, disseminated and used (IFAD 2006); Good practice in participatory mapping (IFAD 2009); IFAD website http://www.ifad.org/english/water/innowat/cases/peru.htm

Box 3
Competitions ("*concurso*") to facilitate participation and technology dissemination: *"Pachamama Raymi"* in Peru

Literally, *Pachamama Raymi*, means 'Festival of Mother Earth' in Quechua. It refers to a community-managed programme of experimentation on new technological practices for natural resource management, agricultural production and living conditions. It draws on Andean cultural, mythological and religious traditions. It particularly exploits the competitive nature of villagers. Competitions have always played a strong cohesive role among Andean communities, and regular competitions are organized between individuals and between communities.

Pachamama Raymi used as a training and dissemination methodology in MARENASS Peru is based on competitions in which rural families participate voluntarily, competing among themselves, first within individual communities and then between communities, to promote new technological practices among villagers to improve natural resource management, agricultural production and living conditions. These provide an opportunity for farmers to show off their new skills. The families or communities that best apply the advice provided by technical staff and achieve the top results earn a cash prize presented at a Mother Earth festival organized to thank the spirits for the harvests and the water. The interim evaluation of the project found that the three keys to the methodology's success were the innate "competitiveness" of the farmers, the possibility of wining cash prizes, and the fact that *Pachamama Raymi* is basically managed by the beneficiaries themselves, reducing the project's presence to a minimum. Such an approach, based on competitions ("*concurso*") at local level, has been adopted in a number of other projects, especially in Bolivia, Ecuador and Peru.

Based on MARENASS-PE IE and IFAD website http://www.ifad.org/english/water/innowat/cases/peru.htm

Empowerment of indigenous peoples

77. **The evaluations provided a number of good examples and lessons with regard to empowerment of indigenous peoples**. As noted earlier, the projects were more effective in empowering the communities when they used participatory approaches building on culture and traditional values of the target groups, e.g. NMCIREMP-PH, MARENASS and Puno-Cusco in Peru. NMCIREMP-PH support for developing "ancestral domain sustainable development and protection plans" helped build skills of and empower indigenous communities, facilitated tribal leaders to be mainstreamed into local government unit mechanisms, and helped strengthen tribal coalitions. Participatory mapping processes built capacity of communities to plan (box 2). In the case of the "*concurso*" approach in Latin America (box 3), an important element of the empowerment process has been putting the communities in charge of managing the funds, negotiating contracts and contracting for technical assistance.

78. **Community-driven approaches in IFAD-financed projects often take the form of organizing self-help groups**. In India, for example, this has been around savings and credit, natural resource management, or small infrastructure. Self-help and other community groups have helped empower communities, especially women, to define their priorities and use the group as a means of getting local governments to take notice of their concerns. Some evaluations, however, found the sustainability of such groups challenging, especially when created specifically for a project or when not sufficiently linked with existing structures and systems.[69]

79. **The role of culture and knowledge is key for development and empowerment of indigenous peoples,** as recognized in the IFAD policy on indigenous peoples and UNDRIP. A number of evaluations found this issue deserving of more attention in future projects.[70] The need for a broader concept of poverty and a holistic approach to indigenous peoples' well-being was also highlighted in a couple of evaluations (box 4). Evaluations also included positive examples of projects building upon culture and tradition (box 5).

Box 4
Concept of poverty and well-being of indigenous peoples

> Available literature extensively discusses the central importance of cultural values in defining the well-being of indigenous peoples and the need for a broader concept of "poverty" and "development". IFAD's policy on indigenous peoples states that "based on a close relationship with the environment, indigenous peoples' values often entail a holistic and spiritually based approach to well-being that emphasizes harmony with nature, self-governance within their communities, priority of community interests over individual ones, security of land and resource rights, cultural identity and dignity".
>
> Among the evaluations reviewed, CHARM-PH CE made a recommendation for a follow-on phase in which "a definition of poverty that incorporates the needs of the community regarding quality of life and their capacity to ensure sustainability should be used, rather than one based solely on income levels". RIDP-VN CE referred to the need for a holistic approach for the development of ethnic minorities in upland areas, as well as adapting programmes to the socio-cultural specifics of individual ethnic minority groups.

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[69] India CPE pointed out lack of convergence between self-help groups and the formal district- and block-level institutions, which also affect the sustainability of these groups (para 38). HPM-VN IE questioned whether more careful consideration might have been given to the utilization of existing institutions in the needs identification by villagers and in the planning and implementation of activities to enhance sustainability. Yucatan-MX CE commented that there was no effort to build on the traditional socio-political structures to support the project and that no particular attention was given to consider traditional organizations or to identify the traditional leaders of the communities (para 145).
[70] For example, PRODEPINE-EC IE recommended to develop ethno-cultural-sensitive projects taking into consideration regional differences and to invest in "cultural revitalization projects". PRODERNEA-AR CE pointed out that insufficient attention was paid to indigenous cultural issues also due to limited capacity of implementing units. In PRODECOP-VE, the design intended to build explicitly on the cultural and socio-political distinctiveness of IPs, but the evaluation noted that much more detailed analysis and considerations for culture would have been required and that "p*rojects involving indigenous communities should have a strong cultural content, privileging own technologies, educational and traditional health practices and festive expressions".* CARD-BZ CE recommended to invest in culture in future projects.

Box 5
Examples of incorporating culture, traditions and knowledge in project support

- NMCIREMP-PH supported "schools of indigenous knowledge, arts and traditions", which was an innovation identified through local planning processes to support the continuation of indigenous knowledge and practices to new generations.

- Support for revival of traditional varieties of upland crops in tribal development projects in India.

- Cultural capital as a valuable opportunity and effective vehicle for poverty alleviation, taking advantage of specific market niches (e.g. adventure tourism, crafts), and giving priority to the use of traditional languages and culture (e.g. Peru-Cusco-PE).*

* Puno Cusco IE "The project gave priority to the use of the Quechua and Aymara languages and traditional dress in competitions, and made fluency in Quechua or Aymara a requirement for all project personnel, including the director."

80. **Sensitivity to social and cultural contexts of indigenous peoples and their distinctiveness is critical for implementers and service providers working with them**. This is even more so when compared with those working with dominant communities.[71] Sometimes there was insufficient attention to these issues in project design. In other cases, even where the project design recognized the importance of employing agents familiar with the language, culture, participatory approaches, etc., this did not materialize due to difficulties in finding suitable people/ organizations, government resistance to working with non-governmental organizations, or complex procurement processes.[72] Good practices were noted in two projects in Peru: MARENASS and Puno-Cusco, where the quality of the project team and management contributed to high participation of beneficiaries and satisfactory performance of the projects. In both projects, empowerment was rated highly satisfactory "6".[73] WMCIP-PH IE pointed out that the ability of the community organizers to gain the trust and confidence of the local leaders and the community was critical in promoting participatory development processes.

81. **Empowerment of indigenous women and gender equality**. All evaluations covered gender issues,[74] but it is challenging to discern gender-related information specifically related to indigenous peoples. Reference to indigenous women (explicit or implicit) was found in about 10 of the 27 evaluations, although they did not always contain detailed analysis. Still, some good examples of empowerment of indigenous women were found, as shown below. All of these made conscious efforts to promote women's participation and contributed to their empowerment, for example, more women in leadership positions and more involvement in decision-making processes in communities (box 6).

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[71] For example, PRODEPINE-EC did not take into account "cultural, geographical, political and administrative differences" of the all nationalities and peoples in Ecuador. The project had also assumed that by supporting activities in the local development plans in a participatory manner would also address and support of cultural processes (para 170, IE 2004). PRODERNEA-AR CE found that the lower importance assigned to the specific project component for indigenous peoples, "together with the limited capacity of implementing units resulted in insufficient attention being given to indigenous cultural issues".

[72] India CPE commented on this issue in the first Orissa project, in which a reputable non-governmental organization with long-standing experience of working with tribal people was initially brought in to provide training but prematurely withdrew due to conflict with project management, leading to underperformance of the Human Resource Development component. Also to note that in CARD-BZ, where grassroots local organizations could have played a role, they were not considered to be eligible/qualified to participate in the bidding process.

[73] See footnote 32 in Puno-Cusco-PE IE report. MARENASS IE praised the "capacity of the Project Coordinating Unit to learn, listen to and understand the views and culture of the communities and families".

[74] The criteria of "gender equality and women's empowerment" became mandatory for all IOE project and country programme evaluations in 2010, but even before this, gender issues were normally included in the evaluations.

Box 6
Tribal women's empowerment in India: North Eastern Region Community Resource Management Project

> Although the status of women in tribal societies in the North-East of India is better than their non-tribal counterparts, women were never part of traditional village councils, or participants in important community or locality decision-making processes. A major thrust of the project centred on women and their integration into community decision-making through the establishment of self-managed savings and credit self-help groups; cluster self-help groups and associations; and natural resource management groups. The latter became community development planning and implementing bodies, with significant participation of women (at least 50 per cent of membership). The project had an exemplary impact in expanding the role and influence of women, and uplifting their status in the tribal communities. While the final step of enabling their full and open participation in the higher councils of society is yet to be secured, in virtually every other respect of involvement in - and benefit from - project activities, a remarkable degree of gender equity has been attained.
> (NERCORMP-IN IE)

82. NMCIREMP-PH, which included indigenous peoples as a major part of the target group, placed a specific emphasis on gender issues. Sixty per cent of community organizers and at least 60 per cent of all project participants were women, exceeding the targets established in the project design. The evaluation noted that the conscious gender-oriented approach resulted in increased access of women to leadership positions and involvement in management of community initiatives, and provided women more access to funds and livelihood resources. The schools of indigenous knowledge, arts and traditions (box 5) and literacy classes have improved educational opportunities for girls.

83. In Viet Nam, RIDP's contribution to promoting gender equality has been important for women in ethnic minority communities in the uplands. RIDP had a well-developed gender strategy, and indigenous women were empowered through effective participation in community processes and decision-making and better access to forest resources and forest land. This contrasts with less positive evaluation findings on an earlier project in the country (HPM-VN) that the absence of gender disaggregation in participatory rural appraisal processes prevented the project from identifying and addressing the constraints that women face due to the prevailing traditional patriarchal practices in certain ethnic groups, such as frequent violence due to alcoholism of husbands, and excessive workloads.

84. PRODEPINE-EC, based on the strategy for women's associations around the solidarity funds (*cajas solidarias*), provided indigenous women with access to credit for the first time, which was used mainly for productive activities. More than 15,000 women were reported to have benefited. According to the interim evaluation, although the *cajas* were small, their potential social impact was considered to be significant.

Access to land and natural resource management

85. **Support related to land, territories and natural resources management** was a key element in about 40 per cent of 37 projects. The reviewed evaluations provide a number of examples of facilitating access to land with land titles and certificates mainly in Asia: India, Nepal, Philippines and Viet Nam (box 7). In Latin America, among the reviewed projects, only the PRODEPINE-EC had a clear element on land tenure security in the form of land titling;[75] achievements found in the region were more related to management of and access to natural resources in

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[75] Among the projects reviewed, only PRODEPINE-EC had a clear element on this aspect in Latin America. In PRODEPINE, IFAD financed the land purchase sub-component for US$ 345,455 (3.7 per cent of IFAD's investment), with 634 hectares of land purchased, benefiting 185 families in eight organizations of the Sierra region. Land legalization was financed by the co-financier the World Bank. Another project in Bolivia is referred to as an example of projects supporting land issues in Latin America (Sustainable Development Project by Beni Indigenous People (PRODESIB) in Bolivia (1996-2004)), but it was not evaluated by IOE and is not included in this review.

a broader sense (e.g. Bolivia, Peru). For example, through competitions between communities, MARENASS-PE was successful in facilitating mass dissemination of resource management techniques (e.g. organic fertilizer, terracing, biological insecticides), their subsequent application, and improved natural resource base.

Box 7
Examples of facilitating access to land and natural resources through land tenure security in Asia

- The India CPE noted that promoting land titles for tribal men and women was a major achievement, pioneered in the first Orissa project. It provided rights in traditional forest lands jointly to husbands and wives, which was strengthened in the second Orissa project (OTELP). In India, IFAD has also focused on natural resource management in tribal development projects.

- In Viet Nam, RIDP contributed to improving sustainable use of forest resources by issuing forest land use certificates to both husbands and wives.

- In all three projects evaluated in the Philippines, support for access to land by indigenous peoples was an important element. CHARM supported the formulation of some of the first Ancestral Domain Sustainable Development and Protection Plans in the country as an important step in issuing Certificates of Ancestral Domain Titles … thus providing a model for practically implementing the Indigenous Peoples Rights Act. The Plan is intricately linked with land tenure processes for indigenous communities. CHARM experience was followed by other projects and taken as a model by the Government for its policies and programmes.

86. **Several evaluations highlight the importance of building upon indigenous knowledge with regard to natural resource management.**[76] The India CPE noted some evolution in thinking and approach to traditional practices of natural resource management under projects (box 8). In CHARM-PH, the adoption of indigenous practices of natural resource management (such as "*lapat*" system of Masadiit tribes) enabled communities to actively participate in sustainable maintenance of reforestation activities. The farmer-to-farmer approach to extension was also found to be effective (e.g. Bolivia, Peru).

Box 8
Evolution in approach to supporting traditional practices of natural resource management in India

The India CPE noted that in earlier years of the country programme, "the elimination of shifting cultivation and persuasion of the tribal communities to turn to settled agriculture in the valley bottoms supplemented through terracing" had been seen as a priority. However, the project management unit in one of the projects had reached a different conclusion: that shifting cultivation is an intrinsic part of the tribal system and tradition and, in the view of many experts, is consistent with effective natural resource management, providing a cycle long enough for the complete recovery of the land. Hence, the approach has been more about promoting a longer cycle, combined with small investments in water catchments and erosion prevention to increase yields from shifting agriculture, rather than eliminating it. The project management unit strongly believes that the alternative of producing varieties of high-yielding rice, which are not native to the hill areas, in the valley bottoms, using fertilizers and pesticides, is much more threatening to the environment than better managed shifting cultivation. They are also encouraging the planting of traditional diversified crops on the hillsides. The CPE noted that this area could benefit from careful analysis and research. (India CPE)

Access to markets and enterprise development

87. **Access to market or enterprise development was an important element in about half of the 37 projects.** This was more visible in Latin America. Again, it was not always possible to untangle information related to indigenous peoples. From available evaluations, there were two lines of findings. First, there were

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[76] Also including in the thematic evaluation "Promotion of Local Knowledge and Innovations in Asia and the Pacific Region", which emphasized that recognizing the primacy of local knowledge systems in project design was the first step towards their promotion.

greater challenges in improving indigenous peoples' access to markets compared to non-indigenous populations due to geographic remoteness. It is also due to weaker propensity to entrepreneurship skills development, which may be – at least in part – a reflection of the fact that access to markets to obtain cash incomes is not a top priority for indigenous peoples (box 4). The Viet Nam CPE observed clear differences in performance on enterprise activities between the ethnic minority and non-ethnic minority areas under the same programme.[77] The CPE commented that "while projects in the ethnic minority areas have been reasonably successful, it is still not clear whether the value chain model will be effective in such areas" and recommended that ways and means of bringing ethnic minorities into the development process at different stages of the value chain be explored.

88. A second more positive line of finding was that there were advantages in usin indigenous knowledge, production systems and culture in terms of promoting access to markets (organic cacao and honey production in CARD-BZ; crafts and adventure tourism, copyright for design and registration of traditional products building on cultural capital in Puno-Cusco Peru; traditional commercial crops and textile in PRODEVER-GT).[78]

Strengthening institutions and policies relevant to indigenous peoples

89. **As noted earlier, there were a number of good examples of IFAD's influence on policies and institutions related to access to land and natural resources**, e.g. India (land titling in traditional forest lands), Philippines (certificate of ancestral domain titles), and Viet Nam (forest use certificates). While leasehold forestry in Nepal, IFAD's flagship in the country, could potentially have important policy influence, the CPE's assessment was mixed.[79] There were also examples of projects' contributions to broader policy and legislative frameworks related to indigenous peoples under PRODEPINE-EC.[80] The India CPE recognized that the tribal projects have given IFAD an important voice in the national policy debates on tribal rights, especially on land rights of tribal peoples.

90. Examples of work with institutions and policies with varied successes included: (i) modalities and systems of public institutions in their engagement with indigenous peoples; (ii) linkages between indigenous peoples and public institutions and other actors;[81] and (iii) institutional building of apex indigenous peoples' organizations or (semi)-public institutions on indigenous peoples' issues.[82] In Viet Nam, features of innovative and successful approaches under some projects, including increased use of participatory approaches, and the design and modalities for supporting poor communes in ethnic minority and mountainous areas, have been mainstreamed into government policies and programmes at the provincial and national levels. The India CPE found that IFAD-funded projects had

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[77] Viet Nam CPE: "The differences between the take-up of DPRPR in Ha Giang (large ethnic minority population) and in Quang Binh (mainly [the majority] Viet Kinh), and the weak performance of the micro-enterprise component under RIDP in Tuyen Quang, are examples of a systemic problem that has not received sufficient attention from IFAD." (para 130)

[78] According to IE, the project helped promote traditional commercial crops (particularly coffee, cardamom and cacao) and linking producers' groups to value chains, and also in collaboration with other partners, contributed to creating new market opportunities for typical textiles, which are highly valued and highly relevant culturally.

[79] IFAD was one of the pioneers of leasehold forestry. HLFFDP successfully introduced and piloted a new concept for forest management with the intention of benefitting very poor and excluded households, and contributed to establishing leasehold forestry as a permanent element of Nepal's forest management system, recognized in government plans as a high-priority programme for rural poverty reduction. At the same time, however, the CPE noted that "leasehold forestry had challenges in developing strong and sustainable leasehold forestry user groups and in influencing national and local government institutions" and that sustainability of leasehold groups was also found to be challenging.

[80] Some legislations such as the "nationalities and peoples act"; the "act recognizing traditional health systems"; biodiversity conservation and sustainable use act"; and several acts protecting indigenous cultures, childhood and adolescence, judicial administration, bilingual education and civil participation. However, the extent of contribution by IFAD and the project (which was co-financed by the World Bank) is not entirely clear.

[81] PRODEPINE-EC made effective contributions to setting up a participatory national planning structure through second- and third-tier organizations. In Philippines, tribal leaders were mainstreamed into local government mechanisms.

[82] For example, National Commission on Indigenous Peoples in the Philippines, National Indigenous Peoples. Development Council in Mexico, Council for Development of Nationalities and Peoples of Ecuador in Ecuador.

contributed to reducing conflict in districts covered by the projects, partly attributable to the bottom-up, participatory approaches promoted.

91. **Some successful or encouraging experiences demonstrated by IFAD-financed projects have been replicated or scaled-up**. The India CPE found the tribal development models built in the second Andhra Pradesh project and the second Orissa project were supported by state government agencies, as well as the World Bank.[83] In the Philippines, the Cordillera Administrative Region, where CHARM (box 7) operated, was considered as the leader nationwide in practical implementation of the Indigenous Peoples' Rights Act.[84]

B. Recent trends in IFAD's strategy and approach at country and project levels

92. This section reviews selected country strategies and recent project designs before and after IFAD's policy on indigenous peoples to observe recent trends in terms of addressing issues related to indigenous peoples therein.

(i) Review of COSOPs

93. Fourteen countries with a pair of COSOPs (one before and one after the IFAD policy on indigenous peoples in 2009) were reviewed: Bangladesh, Cambodia, China, India, Lao People's Democratic Republic, Nepal and Viet Nam in Asia; Ecuador, Honduras, Mexico and Nicaragua in Latin America; Democratic Republic of the Congo, Kenya and Niger in Africa.[85] A desk review was complemented by interviews with IFAD country programme managers and key informants.[86]

94. **The review of COSOPs was undertaken using the following analytical framework:**[87] (i) coverage and depth of diagnostic analysis of indigenous peoples and their context; (ii) strategic approach to addressing indigenous peoples' issues;[88] and (iii) consultations with indigenous peoples during COSOP formulation. Overall, the findings are mixed, as discussed below.

Coverage and depth of diagnostic analysis in COSOPs

95. **The review assessed whether and how COSOPs distinguished indigenous peoples in discussing the rural poor and whether the analysis was underpinned by socio-economic data.** The level of data on indigenous peoples and diagnostic analysis of their situations[89] has not consistently improved in new COSOPs. It must be pointed out, however, that CTNs prepared after the policy include considerable details about indigenous peoples (box 9). Except in Bangladesh, no COSOP makes a reference to the CTN as an input to the document, but interviews with country programme managers indicate that CTNs were often consulted, if they were already available.

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[83] India CPE (2010). Further examples of scaling-up reported to have taken place in India include: NERCOMRP III funded by the Government (Ministry of Development of North Eastern Region) covering three districts in Arunachal Pradesh and two districts in Manipur, as well as "OTELP Plus" by the Government of Odisha following the IFAD-financed OTELP. (IFAD. *Making a Difference in Asia and the Pacific:* Issue 7, November 2014).
[84] CHARM-PH CE 2007.
[85] The term "indigenous peoples" is not often used in these documents, and they are referred to in various ways such as "tribal" populations in India, "pastoralists" in Kenya, "ethnic minorities" in China, "ethnic groups" in Lao People's Democratic Republic, and "ethnic minorities" or "upland communities" in Viet Nam.
[86] Including representatives of indigenous peoples' organizations, Core Learning Partnership external members, etc.
[87] Derived from the policy which stated that: "in those countries where issues involving indigenous peoples or ethnic minorities are significant and relevant in terms of rural poverty, the COSOP will take this into account to the extent possible. In the COSOP preparatory studies, analysis will draw on disaggregated data by ethnic groups and geographic location whenever such data is available... IFAD will proactively engage with indigenous peoples' representatives."
[88] If indigenous peoples' issues and their inclusion in the target group were indicated in pipeline project concept notes (normally as an annex), this was also taken into consideration. In some COSOPs, attention to indigenous peoples may not seem strong in the main text, but the intention of targeting them is clear in pipeline project concept notes.
[89] Such information can be mostly expected in the "Economic, Agricultural and Rural Poverty Context" section and Key Files in COSOPs, but other sections containing critical reflection on indigenous people's experiences ("Lessons" section) and institutional context analysis could also provide indications.

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Box 9
Country technical notes on indigenous peoples

> A review of CTNs for the 13 countries* suggests that they are of mixed quality. They were prepared in collaboration with indigenous peoples' organizations or in consultation with representatives. They are by and large focused on economic aspects of indigenous peoples, who in most countries belong to the poorest. The social dimensions, such as indigenous knowledge and attachment to territorial lands and natural resources, are discussed only in a perfunctory manner. The CTNs discuss ongoing projects and activities funded by IFAD but only a few, such as Kenya, suggest indigenous peoples related strategies or approaches for IFAD in the country. CTNs did not always precede the later COSOPs. When they did and even when the COSOP actually referred to the CTN as reference document, it was difficult to glean the influence that the CTNs had on the COSOP.

* Among the 14 countries for which the COSOPs were reviewed, a CTN was not available for China.

96. **Several COSOPs described the socio-economic situation, poverty and vulnerability issues related to indigenous peoples**. In later COSOPs, such information was often in the "key files"[90] (Cambodia, Lao People's Democratic Republic, Mexico).[91] The India COSOP includes a detailed background note on tribal populations. In fewer than one-third of the new COSOPs, there is little careful or strategic analysis of issues specific to indigenous peoples, who were treated as a majority of the vulnerable poor, often together with women and rural youth. Some COSOPs contained information in the annexes on indigenous peoples, including the one on the pipeline project concept. Even when not much disaggregated data were found in COSOPs, project design documents in the same country contained good-quality analysis and detailed information specific to the project and project areas (e.g. Honduras, Lao People's Democratic Republic).

97. **Gender issues specific to indigenous peoples are not well-distinguished in most COSOPs, earlier or later**. Only 20 per cent of the earlier COSOPs noted that issues related to gender in indigenous peoples' communities were not similar to those in other communities. More later COSOPs (about 50 per cent) touched on these issues one way or another,[92] but in most cases briefly and in passing.[93]

Strategic approach in targeting indigenous peoples

98. **The COSOPs – as well as the past evaluations – clearly indicate that indigenous peoples have been part of the target group – explicitly or implicitly – before and after the policy.** In targeting the poor and vulnerable rural people, COSOPs indicate that IFAD reaches out to indigenous peoples in all countries examined. Even when indigenous peoples are not explicitly targeted, the broad objectives combined with the targeting strategies often ensure that indigenous peoples are part of IFAD's target groups. However, there was an increase in later COSOPs that explicitly included indigenous peoples as part of the description of strategic objectives[94] (29 per cent of the former and 50 per cent of the later COSOPs).

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[90] Those in new formats after the 2006 COSOP guidelines. The relevant key file is "target group identification" but the one on "rural poverty and agricultural/rural sector issues" could also provide indications as to how explicitly or implicitly indigenous peoples' issues were identified.
[91] While the earlier COSOP in Mexico had considered indigenous peoples as a large part of the poor, the later COSOP had more data on indigenous peoples and poverty: "poverty and extreme poverty rates among indigenous people are much higher than the rural average: 72.3 per cent and 30.6 per cent, respectively. In addition, 22 per cent of non-poor indigenous people are considered vulnerable as measured by unmet social needs or income." In Cambodia, the earlier COSOP did not contain specific data, while in the latter more information is provided in an annex.
[92] The latter Viet Nam COSOP, for example, in describing the targeting strategies related to women, shows attention to indigenous women by recognizing high female illiteracy among ethnic groups (who are also not fluent in the Kinh language), the need for sensitizing government staff to issues relating specifically to ethnic minorities and women; and the intention to build women's awareness of improved nutrition and child care, particularly in ethnic minority groups.
[93] For example, the only difference that the India's latter COSOP recognizes is the high levels of anemia and malnutrition in indigenous women and children, respectively.
[94] Not only main strategic objective statements but also descriptions of these objectives were considered.

99. **Geographical targeting appears to be a common mechanism to reach indigenous peoples**. For example, in China the focus was on remote mountain and forest areas, and in Viet Nam on upland areas where the majority of the population is ethnic minorities. Almost all COSOPs except those for Niger, give indications that indigenous peoples are among the target groups, either explicitly or by some other name, and either as a major part of the target groups or with a more cursory mention. Some COSOPs deal with indigenous peoples along with other disadvantaged minorities such as "*dalits*".

100. **In about half of the COSOPs, the issue of indigenous peoples became more visible and/or their treatment more explicit in the later COSOPs** (Bangladesh, China, Democratic Republic of the Congo, India, Lao People's Democratic Republic, Mexico, Nicaragua)**.** Later COSOPs in these countries have more discussion on indigenous peoples' issues either in the main text and/or in sections on pipeline projects or in Key Files. Nicaragua was the country where the most drastic change was noted from the old COSOP, which had no discussion on indigenous peoples' issues.[95] The previous Bangladesh COSOP focused on vulnerability, including that faced by hill tribes; the recent COSOP explicitly includes indigenous populations in its targeting strategy. Albeit in a few words, the later COSOP in the Democratic Republic of the Congo explicitly recognizes indigenous peoples and notes the intention to address their specific issues.[96]

101. **Although the broad thrust remains the same in all COSOPs, there is a less explicit tone in attention to indigenous peoples *in the main strategy descriptions* in some of the later COSOPs** (Ecuador, Honduras, Kenya, Nepal, Viet Nam). In Ecuador, references to indigenous peoples have decreased compared to the earlier COSOP, and indigenous peoples are subsumed under an approach to rural poverty; however, a special focus on indigenous peoples is still mentioned as a cross-cutting approach. In Honduras, the focus has shifted to the appendices as part of pipeline project descriptions on matters related to indigenous peoples.[97] In Kenya, the shift in language to higher-level poverty reduction objectives[98] gives the impression of minimizing the focus on pastoralists, while at the same time there is a specific objective dealing with pastoralists, which did not exist in the previous COSOP. In the later Nepal COSOP, despite it being the only country in Asia that has ratified ILO Convention 169, indigenous peoples (*janajatis*) along with *dalits* are discussed together under the term disadvantaged groups. In Viet Nam, while the strategic objectives in the older COSOP contained explicit reference to "poor upland communities",[99] in the later COSOP, the wording of the strategic objectives became more general ("poor rural people").

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[95] It was explained that such a shift was mainly because previously IFAD did not work in geographical areas where there is a concentration of indigenous peoples (Atlantic and Caribbean coasts). This changed with a project approved in 2010 (NICARIBE) and in the 2012 COSOP, which contains specific analysis of indigenous peoples' issues and makes clear the intention of engaging with indigenous peoples. This may have been facilitated by the government's interest, given that Nicaragua ratified ILO Convention 169 in 2010, the same year NICARIBE was approved.

[96] Other examples include: (i) Lao COSOP explicitly states that adequate engagement with ethnic groups will be a cross-cutting issue. (ii) Mexico 2014 COSOP notes that the targeting approach will be able to reach a large number of indigenous peoples. In addition, it notes in the objectives section that indigenous peoples will be a priority only next to climate change. (iii) The India 2011 COSOP states as a key strategic objective to increase the access of tribal populations to agricultural technologies, natural resources, financial resources and value chains, while focusing on the capacity of community and traditional tribal groups. It proposes to strengthen them through the creation of grassroots organizations. (iv) In China, the later COSOP explicitly targets poverty reduction in the ethnic minority areas, and there is greater detail on ethnic minorities in the section on pipeline projects, a section that was absent in the 2005 COSOP.

[97] Although the later Honduras COSOP replaces the term "indigenous" with the term "ethnic", the two strategic objectives are framed *inter alia* keeping in mind 'Garifuna", "Lenca" and other ethnic populations who have distinct developmental constraints. It also aims to strengthen the human and social capital in rural areas.

[98] "This country strategy is more focused, emphasizing intensification, value addition, market access and sustainable natural resource management in the agricultural sector. The core target group remains vulnerable smallholder farmers and agro-pastoralists, including young people and woman-headed households."

[99] See COSOP 2008. A footnote explains (p. iv): "Uplands is a term used by the Committee for Ethnic Minorities to refer to 20 highland and midland mountainous provinces in central and northern Viet Nam. The uplands have a complicated topography and are generally inhabited by ethnic minority groups". The 2008 COSOP mainly uses the term "upland communities", whereas the 2013 COSOP used more the term "ethnic minority communities".

102. **The review suggests that there may be a shift in addressing indigenous peoples' issues through an economic empowerment lens** (e.g. more discussion on poverty in terms of incomes, access to markets, value chains). Issues more specific to indigenous peoples such as attachment to land and protection of cultures appear to have received more explicit attention in earlier COSOPs – or it could be that they are left to the project level in later COSOPs.

103. **Relevant lessons on indigenous peoples are reflected in COSOPs.** This was particularly noted in Cambodia, China, Honduras, India and Viet Nam COSOPs. India 2011 COSOP elaborates lessons gained from IFAD tribal projects, relating particularly to the growing awareness and appreciation by the Government and among donor agencies of the ecological sustainability of tribal farming systems and indigenous knowledge, both of which had earlier been considered "backward". Positive lessons are also reflected in the 2011 China and the 2012 Viet Nam COSOP reports on the experience with farmer-to-farmer extension and increased use of appropriate technologies for adoption by poor farmers, particularly ethnic minorities as well as on empowerment of ethnic minority women.

104. **Results frameworks continue to remain more or less similar before and after the policy, without notable improvement** (table 4). Half of the later COSOPs express the intention to disaggregate data along ethnic lines. Some improvement in this respect is observed in four later COSOPs compared to the previous ones. For example, the new Nicaragua COSOP indicates that it would disaggregate data for "per cent reduction of salary gap for vulnerable groups" and "number of rural jobs created for vulnerable groups" by women, youth, indigenous population. In Lao People's Democratic Republic and Viet Nam, the later COSOPs note that results related to reduction in poverty as well as beneficiaries will be disaggregated by ethnic minorities. In COSOPs such as in China and India, the intention to monitor the results related to ethnic minorities or tribal communities is not explicitly stated. On issues of special concern to indigenous peoples, such as access to land, no indicators specific to indigenous peoples were found in the COSOPs reviewed.

Table 4
Inclusion of indicators related to indigenous peoples in results frameworks

Includes at least one indicator related to indigenous peoples in the COSOP results framework or notes information will be disaggregated at project level	*Countries*
Monitoring related to indigenous peoples in both COSOPs	Cambodia, Honduras, Nepal
Not included in earlier COSOP but included in the later	Nicaragua, Lao People's Democratic Republic, Mexico, Viet Nam
Did not Include monitoring in either COSOP	Bangladesh, China, Democratic Republic of the Congo Ecuador, India, Kenya, Niger

Indigenous peoples' involvement in COSOP formulation

105. **The level of consultations with indigenous peoples' organizations for COSOP preparation (or an expression of intent to do so during subsequent project design phase) has increased in later COSOPs.**[100] This may have been part of the general development in terms of stakeholder consultation processes for COSOP and project development.[101] The fact that a COSOP is silent on this issue is not taken as a sign that there was no consultation, since it is also possible that the COSOP just failed to make specific mention or may have shifted the engagement to the project stage, realizing the diversity of indigenous peoples such as in India and

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[100] It should be noted that the review does not provide insights into the quality of consultations or types and representativeness of the organizations consulted.
[101] After the 2006 RB-COSOP guidelines that COSOPs are required to describe the consultation process undertaken for COSOP preparation. Also, the formation of a country programme management team involving in-country stakeholders is expected.

China. In India, for example, two background papers were prepared, one each for two states, and consultation was part of the preparatory process.

106. **In some countries such as Lao People's Democratic Republic, Mexico and Nicaragua, extensive consultation with indigenous peoples' communities and organizations is noted**. In Nepal, the subsequent COSOP indicated that two indigenous peoples' organizations were part of the country programme management team. However, the influence of such participation in the preparation of the COSOP is not evident. The second COSOP for India specifically included partnerships with indigenous peoples.

Table 5
Consultation with indigenous peoples in COSOP preparation

Level of consultations with indigenous peoples in preparation of COSOPs before and after policy	Countries
Consultations in both COSOPs	Ecuador, Honduras
No specific mention in old COSOP but consultation undertaken for later COSOP	Lao People's Democratic Republic, Mexico Nepal, Nicaragua
Consultation reported undertaken *as part* of the later COSOP preparation process	Bangladesh (with reference to CTN preparation). India (two background papers prepared)
No specific mention in either COSOPs	China, Cambodia, Viet Nam, Kenya, DRC, Niger

107. **In large countries such as China, India and Mexico, there is also a suggestion in COSOPs on consulting at the project level**. This may be appropriate, given the diversity among indigenous peoples and their varied issues; a general consultation at the national level may be all that is possible at the COSOP stage.

(ii) Review of recent project designs

108. The evaluation reviewed the design of 9 recent projects approved after the policy on indigenous peoples in 9 out of 14 COSOP countries.[102] Four of them (China, Honduras, India, Lao People's Democratic Republic) were in the context of the latter COSOPs, whereas the other five preceded the latter COSOPs. The designs are aligned overall with COSOPs in terms of their inclusion of indigenous peoples to varied degrees.[103] Seven project design documents had a reference to IFAD's policy on indigenous peoples, including those countries that do not officially use the term "indigenous peoples".[104]

109. The design documents were reviewed based on the following analytical framework: (i) reference to and use of the IFAD policy on indigenous peoples in the quality enhancement (QE) process; (ii) selected aspects of the designs, including the level of data and analysis on indigenous peoples, and targeting approaches; and (iii) indication of the policy principles (see paragraph 51 and annex III) being reflected in the design documents.

110. The following caveats should be noted. First, this was intended to observe trends and not to rigorously assess the designs. It is also not straightforward to ascertain if (and to what extent) certain "policy principles" have been "reflected" only based on project design documents: alignment with these principles becomes even more important in implementation. Furthermore, in many cases considerations for

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[102] ISFP-NP, JTELP-IN, SSSJ-LA, TNSP-VN and YARIP-CN in Asia; Buen Vivir-EC, Mixteca-MX, NICARIBE-NI and PRO-LENCA-HN in Latin America. After the analysis was conducted, it was learned that the Mexico project (Mixteca) was recently redesigned and renamed, but the findings on the original design was kept in this report.
[103] Strictly speaking, except for Nicaragua. As noted earlier, Nicaragua was one case where the treatment of indigenous peoples' issues changed drastically from none in the old COSOP to detailed in the later COSOP, which was prepared after the project design reviewed herein. The project design in Nicaragua (NICARIBE in 2010) refers to the regional strategy and the IFAD policy on indigenous peoples to present the rationale for focusing on indigenous peoples.
[104] Exceptions were China and Nicaragua, the latter mainly due to the fact it was designed before the "guidelines for project design report" (January 2011), which requires an annex (12) of "Compliance with IFAD policies". Another project approved before the guidelines (TNSP-VN) included a reference to the policy in the main report.

indigenous peoples' issues may not be overly explicit. Second, as was the case with COSOPs, project designs are not influenced only by the policy but also by other corporate initiatives such as intensified efforts for project design quality control (quality enhancement, QE), as well as more regular involvement of the responsible IFAD staff (currently senior technical specialist in indigenous peoples' and tribal issues) in the QE process.[105]

Quality enhancement process

111. In eight out of nine projects, QE comments made a reference to the policy. One exception (PRO-LENCA-HN) may be simply due to the change in the QE report format.[106] Out of eight, only one was assessed as "not aligned with the policy"[107] and the other seven were assessed as (broadly) aligned/complied with the policy. Key QE comments/recommendations included the need for providing more data and analysis on different social groups (demographic data, specificities of indigenous peoples including cultural aspects, indigenous knowledge), need for strengthening targeting, and need for indicators specific to indigenous peoples.

Selected cross-cutting issues in design

112. **Targeting.** In six of the nine projects, indigenous peoples were estimated to be more than 50 per cent of beneficiaries (except for Buen Vivir-EC, PRO-LENCA-HN and ISFP-NP). All of them define broad project areas (e.g. province, districts), often leaving the selection of smaller units (e.g. villages) to the implementation stage. The predominant selection criterion is poverty level, but in some cases the criteria also include the proportion or concentration of indigenous peoples (e.g. JTELP-IN, Mixteca-MX, PRO-LENCA-HN) or other factors such as potential for market-based development (PRO-LENCA-HN) or environmental degradation (Mixteca-MX, PRO-LENCA-HN). In most cases, geographical areas to be covered in a project are relatively contiguous, or if not contiguous, located in the same region (e.g. NICARIBE-NI). Only in Ecuador is the project area scattered all over the country. Beyond geographical targeting, targeting approaches often include the following: (i) supporting activities specifically targeted at indigenous peoples, self-targeting (e.g. JTELP-IN, SSSJ-LA); and (ii) community/organization-based targeting (e.g. Buen Vivir-EC, ISFP-NP with quota, SSSJ-LA).

113. **Inclusion of basic data and diagnosis.** All project designs provide some data on indigenous peoples. Diagnostic analysis on indigenous peoples' issues was found to be reasonably detailed in six projects. In some of these, the availability of data and level of analysis appear good even in the draft versions presented to QE, and some improved following QE comments. In the other three, the description is limited to information that poverty levels are high among indigenous peoples, without sufficient analysis of causes of poverty, process of marginalization or opportunities specific to their contexts.

114. **Expressed intension of data disaggregation and indicators for monitoring.** Six project designs clearly indicated the intention to monitor data disaggregated by ethnicity in addition to gender (as well as caste and age in some cases). Indicators intended to measure participation of or outreach to indigenous peoples (with targets) were found in four projects.[108] Indicators specific to indigenous peoples were found only in JTELP-IN (e.g. traditional jobs generated, traditional seed

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[105] This was facilitated by the move of the coordinator for indigenous and tribal issues to the re-organized Policy and Technical Advisory Division, which coordinates/leads the QE process.
[106] There used to be a sub-section on "Compliance with IFAD procedures and policies" in the "overall assessment" section earlier, but it is no longer there.
[107] QE comments on this project pointed out a lack of demographic and other data, weak analysis and weak targeting, and need to strengthen community empowerment approach, and recommended consultations with indigenous peoples in the final design mission.
[108] For example, in TNSP-VN "100 per cent of activities financed from the Community Development Fund meet or exceed targeting criteria for participation of the poor and ethnic minorities". In the case of Buen Vivir-EC, 25 per cent targets for participation of indigenous peoples and Afro Ecuadorians are included in all main activities (e.g. "25 per cent of families who gained access to financial services to fund their businesses are indigenous peoples/Afro Ecuadorians").

varieties), while SSSJ-LA noted that "indicators will be developed by communities for well-being, as well as means to measure results and sustainability".

115. **Attention to implementation capacity in project designs.** Seven project designs paid attention to the issue of implementation capacity, although details and levels of efforts vary. Most of these indicated the intention to recruit project staff who are indigenous people themselves, are knowledgeable about indigenous peoples' issues, speak the language(s), and/or to train staff. SSSJ-LA went further by also discussing "ethnic language speakers and women extension workers" and the possibility of engaging a college to help ethnic youth undergoing training to become trainers. Only JTELP-IN explicitly mentioned the intention of collaborating with local non-governmental organizations familiar with engaging tribal communities.

Reflection of the policy's principles of engagement in project design

116. **Overall**, in seven out of the nine final design documents, the majority of the policy principles are deemed to be reflected. For one project that had been assessed as "not aligned with the policy" at QE stage, improvement in this regard in the final design is not evident.[109] Another project was also found to be not evident on the principles: for example, it indicates that the project would build on "cultural distinctiveness", but it is not clear how from the design document.

117. **Indigenous culture and knowledge received a good level of attention in seven project designs**. A number of projects recognized distinctiveness of indigenous culture (and differences among different ethnic groups) and the need for appropriate capacity of project staff and service providers to engage with indigenous peoples on this basis. Aspects of "cultural heritage and identity" included social structure, governance systems (e.g. JTELP-IN), traditional production systems including indigenous crop or livestock varieties (e.g. JTELP-IN, NICARIBE-NI, YARIP-CN), customs (dance, rituals) and languages.

118. **The principle on "land, territories and resources" is reflected in six projects.**[110] Three of them deal with tenure issue (Buen Vivir-EC, JTELP-IN, SSSJ-LA) through local development plans. The other three reflect this principle in terms of access to land and natural resources through their recovery and management. The issue of **environment and climate change** is mentioned in all projects, probably because of increasing attention in general to this issue, but links with indigenous peoples or the depth of reflection on this issue is not always clear. Clear examples included support for environmental management and climate change adaptation as a major part of the design (NICARIBE-NI) or those that integrated the aspects of climate change (e.g. SSSJ-LA while building livelihood security and agricultural resilience; and JTELP India supporting climate-resilient agriculture).

119. **The issue of access to markets by indigenous peoples is considered in all nine projects to different extent**. This is a project component or clearly a focus in a number of projects (China, Honduras, Lao People's Democratic Republic, Mexico, Viet Nam*),* whereas in others, access to markets is subsumed under a broader component/sub-component. At least three projects (China, Mexico, Viet Nam) refer to value chain approaches, but only YARIP in China discusses commodities that appear to be specific to indigenous peoples (e.g. medicinal plants, indigenous livestock).

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[109] From the response to QE comments afterwards and the final design document of this project, it was not clear how and whether QE comments were addressed in a meaningful manner.
[110] Examples included the following; SSSJ-LA with ten pilots on community land tenure; JTELP-IN with the grant of community forest pattas (title deeds) to meet fodder, firewood and Non-timber forest product needs of the communities; in Mixteca-MX one of the objectives relates to the recovery of natural resources by the indigenous peoples; and in NICARIBE-NI increased production, management and sustainable use of natural resources management are supported.

120. **All projects included capacity-building of beneficiaries and their organizations, but it is difficult to assess whether and to what extent they are intended to "empower" indigenous peoples in a broad sense**, i.e. including their capacity to interact with other parties, participate in decision-making processes and lead their development process as indicated in the policy. Such consideration and focus does not come out clearly in about half of the projects reviewed. It is a major thrust of JTELP-IN, which includes a project component on "community empowerment" including an explicit focus on particularly vulnerable tribal groups. NICARIBE-NI provides training to male and female leaders on managing their territories, communities and organizations.

121. **Reference to indigenous women beyond overall gender issues was found in six projects**, mostly in relation to poverty and vulnerability analysis; however, it was not always clear whether and how such analysis might have informed the project strategy on this aspect. A good basis for gender strategy with attention to indigenous women was found,[111] for example, in JTELP-IN, Mixteca-MX, NICARIBE-NI, PRO-LENCA-HN and SSSJ-LA.

122. **It is not clear how "compliance" with the principle on "free, prior, and informed consent (FPIC)"[112] was expected to be systematically monitored at design stage**, i.e. who should verify if the principle has been complied with (and through what mechanisms and processes, and for which projects).[113] It is worth noting that IOE had flagged a similar point in its comment on the policy submitted to the Executive Board in 2009.[114] Among the projects reviewed, even where consultations during the design process were referred to, it was not always clear whether "consent" had been obtained.[115] The description of the FPIC principle in the policy seems to give more weight to consultations and consent *during the design/project appraisal process*, but in fact the concept of FPIC – or rather, full participation and ownership – should be applicable throughout the project cycle.[116]

123. The use of participatory approaches at different levels and in different contexts is envisaged in all projects; hence it may be assumed that the concept of FPIC is inherent therein. However, two questions arise. First, whether the overall project framework and its thrust were in fact developed and shaped with meaningful participation of indigenous peoples during design, and whether these reflect their priorities. Second, whether mechanisms for indigenous peoples' full participation during the project implementation stage are provided for, exercised and monitored. A review of implementation progress of some projects in the following paragraphs seems to indicate that these questions remain unanswered.

Observations from supervision/implementation support reports

124. A cursory review of supervision mission and other reports[117] suggests that even in well-designed projects in terms of addressing indigenous peoples' issues,

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[111] In Honduras, a gender strategy based on good analysis of gender relations in Lenca communities was proposed. *NICARIBE* project design noted the need to reflect cultural differences of indigenous peoples and Afro-descendants on gender inequality, access to and control of resources, training, different cultural visions of indigenous communities on gender and women's' organizations, and include them in a gender action plan.

[112] The IFAD policy considers consultation with and consent by indigenous peoples for "projects targeting or affecting indigenous peoples", and in particular those projects that "may affect their land and resources", "as a criterion for project approval".

[113] The policy implies that such consultation and obtaining consent are the responsibilities of the borrower or grant recipients.

[114] "The Fund may need to define more clearly the mechanisms for assessing whether the provisions of the FPIC principle have been fulfilled before deciding to pursue a specific investment proposal fully". (EB 2009/97/R.3/Add.1)

[115] For example, in the case of ISFP-NP, SSSJ-LA and TNSP-VN.

[116] According to the Guidelines on Indigenous Peoples' Issues (United Nations 2009b), "FPIC should be sought sufficiently in advance of commencement or authorization of activities, taking into account indigenous peoples' own decision-making processes, in phases of assessment, planning, implementation, monitoring, evaluation and closure of a project."

[117] Supervision missions for Buen Vivir-EC (2014), ISFP-NP (2014), SSSJ-LA (2014) and YARIP-CN, and mid-term review for TNSP-VN (2014). JTELP-IN had implementation delays and the 2014 supervision mission report had little

implementation can still face challenges, mainly with regard to targeting and putting into practice participatory and demand-driven approaches in a culturally sensitive manner. The mid-term review for TNSP-VN noted limited participation of ethnic minorities,[118] in particular in savings and credit groups and value chain activities, in all three provinces and noted the need for different strategies and approaches for ethnic minorities. This raises the question of whether and to what extent the project thrusts and strategies corresponded to the priorities of ethnic minorities. Effectiveness of targeting approaches was questioned in the supervision mission reports for YARIP-CN[119] and ISFP-NP.[120] For SSSJ-LA and YARIP-CN, challenges in project implementation due to weak skills and capacity of staff and their lack of culturally sensitive attitudes were pointed out.[121]

125. Out of the six projects for which the design indicated the intention to keep track of data disaggregated by ethnicity, the reports (supervision and mid-term review) for three projects included basic data on outreach to indigenous peoples: ISFP-NP, SSSJ-LA and TNSP-VN. The same was not evident in the Ecuador case. In YARIP-CN, the design report noted that "ethnic minority participation and benefit sharing in project activities will be ensured by developing appropriate measurable M&E indicators", but the supervision mission documents are not clear whether this has actually been done.

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Key points

• Changes and trends in COSOPs before and after the policy on indigenous peoples are mixed and not consistent. It should be noted that the language used in these documents and how they are presented, i.e. how explicit or subtle the intention of targeting or focusing on indigenous peoples may be, depends on country context.

• Most new COSOPs were found to be stronger in terms of consultation with indigenous peoples' organizations in the formulation process. It should be noted that this may be a result of the COSOP guidelines rather than (or not only by) the policy on indigenous peoples.

• Most recent projects reviewed contain information specific to indigenous peoples and analysis and were considered to be well-designed, which is likely to have been influenced by the policy, QE process, as well as earlier experiences and lessons in respective countries. Most of the projects are considered to reflect the majority of the policy principles to varying extent.

• The review of QE comments, project design documents and supervision mission reports indicates some persistent challenges, in particular: (i) indicators and M&E data; (ii) implementation capacity; (iii) ensuring participation throughout the project stages; and (iv) tailoring approaches and strategies to varied social groups.

• The FPIC principle would have benefited from further guidance on its operationalization in project design, as well as during project implementation.

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information. Other projects had either no supervision mission or the reports had little information on indigenous peoples-related issues.
[118] The issue of limited/low participation of ethnic minorities in business/market-oriented activities and savings activities was also raised in the Viet Nam CPE.
[119] Supervision report of 2013: "transparency in targeting is a problem…poverty requirement was not strictly followed."
[120] Supervision mission report April 2014 stating that selection of village development committees was "primarily based on the feasibility of programme activities, which is essential but it should not compromise the targeting inclusiveness". Furthermore, Gender Equality and Social Inclusion Advisor had not been recruited.
[121] SSSJ-LA supervision mission report noted that "the programme's ability and attitude to work with women and ethnic groups is low partly owing to the overwhelming proportion of male staff and non-ethnic staff". YARIP-CN supervision mission noted "top-down approaches lacking participatory analysis without sufficiently involving beneficiaries and identifying their needs".

V. Review of IFAD's activities at global level

126. Since the early-mid 2000s, IFAD has intensified its efforts to engage with indigenous peoples and their issues at global and corporate levels. This section reviews these efforts and IFAD's contribution mainly in the following areas: (i) policy engagement and advocacy at global/regional level; (ii) partnerships at various levels; (iii) participation, capacity-building and empowerment of indigenous peoples' organizations; and (iv) knowledge management.

127. The main sources of information were: (i) a study commissioned by Tebtebba Foundation in preparation for the WCIP held in September 2014, which reviewed "the United Nations system efforts for the realization of indigenous peoples' rights";[122] (ii) various reports and information from UNPFII; (iii) interviews with indigenous peoples' organization representatives, experts, other development agencies and IFAD staff; and (iv) IFAD reports and official statements.

Policy engagement and advocacy

128. *Through United Nations mechanisms.* **IFAD's participation and contribution to global-level discussions on indigenous peoples' issues through United Nations mechanisms have been significant.** During the Indigenous Peoples Forum at IFAD in 2015, the Chief of the UNPFII Secretariat expressed her high appreciation for IFAD's contribution and role in IASG in influencing and pushing other organizations to do more through leading by example.[123]

129. Since 2003, UNPFII has made 27 recommendations containing IFAD as an addressee: about half had IFAD as the only or the main addressee, and in the other half, IFAD was one of many addressees. The sheer number of recommendations *per se* does not provide a full picture, since some recommendations are based on the recognition of good achievements and confidence, while others are to express concerns and to request agencies to address them. All the recommendations specifically or mainly addressed to IFAD belong to the former category, i.e. acknowledging the progress and achievements made by IFAD and encouraging IFAD to do more, or recommending that IFAD take a lead in specific initiatives or issues (see annex XVI). These are illustrative of the appreciation of IFAD's work by UNPFII and the recognition of its leading role in engagement with indigenous peoples in the context of rural development. They indeed contrast with some of those addressed to other IFIs, the majority of which were to express concerns over their policies and approaches that are not in line with good practices or UNDRIP.[124]

130. IFAD's approaches to policy engagement and advocacy in global and regional platforms go *beyond its own participation* in international processes: IFAD does it *through* indigenous peoples' organizations. IFAD facilitates these organizations to prepare for and participate and engage in advocacy in high-level platforms – through financial and capacity-building support financed by grants. This has been the case with WCIP,[125] Rio+20, regional and global climate change summits (see annex IX for examples of grant-funded projects between 2008 and 2013).

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[122] Tebtebba Foundation 2014. The study was intended "to take stock of efforts already undertaken by the United Nations system for the realization of the rights of indigenous peoples; to identify best practices; and to provide recommendations for further action". The review focused on four United Nations agencies with experience with and mandates pertaining to indigenous peoples: IFAD, ILO, the Office of the High Commissioner for Human Rights (OHCHR) and UNDP.

[123] Reiterated also in a bilateral conversation during the forum.

[124] For example, the latest UNPFII 2014 session made a remark to the World Bank as follows: "alarmed at attempts to exclude indigenous peoples of Africa in the application of World Bank Operational Policy 4.10, the Permanent Forum recommends that the World Bank immediately initiate consultations with States and indigenous peoples in Africa as part of its safeguards policy review and ensure the application of safeguards to indigenous peoples of Africa".

[125] For example, IFAD provides a grant of US$900,000 to IWGIA to coordinate support for indigenous peoples' organizations to effectively engage in WCIP (see annex IX).

Partnerships-building at various levels

131. *Indigenous Peoples Forum.* The Tebtebba study (2014) considers IFAD "a global pioneer…in terms of establishing institutional mechanisms for sustained dialogue with indigenous peoples", through the Indigenous Peoples Forum".[126] The same report also noted that "through the regional dialogues organized in the context of the [Forum], IFAD is the only agency expanding the institutional dialogue with indigenous peoples to the African region".[127]

132. *Partnerships building through grant-financed activities.* IFAD has financed a number of grants focusing on indigenous peoples (annex IX). Through indigenous peoples' organizations and networks with regional or global coverage, IFAD has been able to expand its network. Now IFAD has reliable partners at regional or country level which could provide channels to reach out to local-level organizations and also advise on the up-to-date issues and situations of indigenous peoples in different parts of the world.

133. An important contribution of IPAF has been the expansion of IFAD's partnerships with indigenous peoples' organizations. This has been particularly important in Africa, where IFAD had little institutional relationship with any indigenous peoples' organizations, even though some loan-financed projects were working with indigenous peoples (e.g. pastoral communities).

134. *Partnerships building through high-level commitment*. IFAD's clear demonstration of high-level commitments has also been important in building trust and partnerships. The indigenous peoples' representatives expressed their high appreciation for the opportunity to meet with IFAD's President, for example, on the occasions of WCIP and the Rio+20 conference, saying that they had not had such a high-level gesture of reception from other institutions.

Participation and empowerment of indigenous peoples' organizations

135. **Through various global and regional grants, IFAD has supported capacity-building, enhanced participation and empowerment of indigenous peoples to engage in policy and decision-making processes**. IFAD has not only supported this in relation to international processes, but also has practiced these principles in its own initiatives. Examples include how IPAF has been managed and how Indigenous Peoples Forum is organized. As for the IPAF, the majority of its board members are representatives of indigenous peoples' organizations, and its management has now been decentralized to regional organizations. These regional organizations are gaining experience and building capacity in handling donor-financed projects (project management, M&E and reporting, financial management, etc.). Similarly, the Steering Committee for the Forum is composed of members of indigenous peoples' organizations. Another example of enabling participation and empowerment is an exercise undertaken prior to the first global meeting for Forum in 2013, where the partner indigenous peoples' organizations were tasked with conducting case studies to assess selected IFAD-financed projects.

136. It is highly likely that **the full participation of IPAF grantees in a full project cycle** (through proposal formulation, implementation and M&E) has contributed to their empowerment, but the extent of success of small projects and their impact was not systematically looked into in this synthesis.

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[126] The Tebtebba report (2014) also provides other examples of involvement of indigenous peoples' representatives in the governance structures of agencies, programmes and projects, such as United NationsREDD+ Policy Board and GEF Indigenous Peoples Advisory Group, but some ten indigenous peoples' representatives interviewed shared their views that there is no similar systematic and participatory institutional mechanism of dialogue as the case of Forum. They also stated that any "dialogue" with the World Bank, for example, has been mostly on safeguard issues.

[127] The report, expressing concern over the absence of institutionalized mechanisms for dialogue in Africa in comparison with Latin America or Asia, further commented that while this reflects a general lack of commitment to indigenous peoples' rights by many governments in the region, it also implies a risk that the most vulnerable and indigenous groups cannot count on coordinated efforts from the United Nations system.

137. In partnership with the indigenous peoples' network in Asia, IFAD's policy on indigenous peoples has been translated in 11 Asian languages, facilitating access to information.

Knowledge management and learning

138. IFAD is often looked at as a "model" or "pioneer" with regard to its proactive policy and engagement with indigenous peoples at institutional level, as indicated in the UNPFII remarks and by those interviewed in the process of preparing this evaluation synthesis report. One of the major products by IFAD on this topic has been a series of CTNs (paragraph 54, box 9). Despite its accumulated rich experiences and lessons, there has not yet been a comprehensive documentation and publication on the lessons and good/best practices, although the potential for doing so has been recognized. It should be recalled that the IOE comment on the policy on indigenous peoples also emphasized the importance of documenting good practices in connection with policy dialogue.[128]

139. According to the policy, it was expected that IPAF would, through small projects financed under the facility, generate lessons and successful approaches to be scaled up and mainstreamed into lending programme. So far, scaling up in this sense and linkages between IPAF-financed projects and grantees and IFAD's country programmes have been found challenging except for a few cases. This may be expected considering that IPAF operates based on a competitive proposal-based approach, whereas IFAD's country programmes operate on the basis of the country strategies and in most cases are likely to have certain geographical areas of focus.

Key points

- IFAD has been active in policy engagement and advocacy on indigenous peoples' issues at global level. The approach goes beyond its own participation in international processes, as IFAD does this through indigenous peoples' organizations by facilitating their participation and capacity-building.

- IFAD has also succeeded in forging fruitful partnerships at different levels – with indigenous peoples' organizations, their networks and their allies. The Indigenous Peoples Forum is considered to be a unique and pioneer mechanism to institutionalize dialogue with indigenous peoples.

- IFAD has put into practice the fundamental principles of participation and empowerment in its own initiatives (and not only projects), e.g. the organization of IPAF and the Forum.

- Despite its accumulated experiences and lessons, there has not yet been a comprehensive documentation and publication thereon.

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[128] Submitted to the Executive Board September 2009. EB 2009/97/R.3/Add.1.

VI. Lessons from other agencies

140. **This section summarizes key lessons that emerged from the findings from evaluations conducted by the independent evaluation offices in the three IFIs (World Bank, ADB and IDB)**. Although the IFIs' operations (multi-sectoral, large-scale investments) and their policies (with a focus on safeguards) are different from those of IFAD, there are some common issues. In addition to the independent evaluations, given that the World Bank evaluations[129] were conducted in the early 2000s, the review also looked at a 2011 self-assessment conducted by the World Bank. In addition, the recent report on the partnerships between the United Nations agencies and indigenous peoples was also reviewed to see any interesting lessons therein.

141. **Support for indigenous peoples needs to be tailored to each country's context.** The Tebtebba report[130] stresses that the opportunities and challenges for addressing indigenous peoples' rights in country programming varies from country to country, due to a complex combination of factors, which include the national legal and policy framework, the political will of the government and the institutional strength of indigenous peoples. The World Bank's 2003 evaluation finds that improving approaches and parameters to addressing issues related to indigenous peoples at a project level is insufficient if it is not within a facilitating and strategic framework at the country-level. The evaluation finds that project-level benefits cannot be sustained without such a facilitating framework.[131] It, therefore, stresses the need to strengthen the project focus with a more strategic and country-level focus in undertaking analytical work and in identifying indigenous peoples.

142. **Adverse impact on indigenous culture and social aspects is often not well identified or mitigated.** The ADB's evaluation (2007) found that adverse impact related to environmental change, loss of land and related livelihood, and resettlement as a result of the projects were generally mitigated by the application of the involuntary resettlement and environmental policies, rather than the indigenous peoples policy. It found that if tangible impacts such as environment, land and livelihood loss, and resettlement were discounted, then other impacts that could trigger the indigenous peoples' policy were less straightforward to identify, such as the risk of the loss of indigenous knowledge systems, the dilution of culture, or increased competition for land and resources when new in-migrants follow a newly constructed road. In such cases, the value added of risk mitigation typically through indigenous peoples development plans was small, and that once resettlement and environmental risks were addressed, few such plans defined serious risks that could be mitigated in individual projects.

143. **The World Bank's 2003 evaluation notes the importance of considering the customary rights of indigenous peoples to land, even in technical assistance projects** that involve institutional and regulatory changes to facilitate increased investment in exploitation of natural resources. In such cases there may be need for indigenous peoples development plans that ensure that adequate measures or regulatory frameworks are in place to protect their legitimate interests, should such commercial exploitation materialize.

144. The World Bank 2011 self-assessment found that, whether the policy maintains the current principle of **free, prior and informed *consultation*** or adopts the principle of **free, prior and informed *consent*,** the challenge is its operationalization.

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[129] World Bank 2003 and 2003b.
[130] Tebtebba Foundation 2014.
[131] The evaluation finds that "Adopting standards at the project level that are inconsistent with nationally accepted norms could lead to diminished impact and may not lead to sustainable development."

145. **Gender has been a crosscutting issue across all evaluations.** The IDB study identified the main barriers impeding indigenous women from receiving prenatal care, and has provided additional analysis on the role of traditional medicine and cultural sensitivity training for health professionals. The study incorporates guidelines for government and civil society initiatives that address economic, geographic and cultural barriers to accessing health services.

146. **Evaluations suggest that consultation with, and participation of, indigenous peoples at different stages of the project cycle has been a concern in all agencies**. Pressure for speedy approvals and lack of adequate administrative budget can sometimes result in mitigation plans or measures being not fully planned, leading to insufficient project readiness and insufficiently detailed safeguard measures. The ADB's 2007 evaluation on indigenous peoples safeguards also notes that there were greater shortfalls in implementing its indigenous peoples policy compared to that related to environment or involuntary resettlement. This included the absence of information on indigenous peoples potentially affected by the project, indigenous peoples-related capacity development, and indigenous peoples' participation in monitoring activities.

147. **One lesson consistently found in all evaluations is the weakness in assessing output and outcome indicators disaggregated by ethnic origin**. The need to assess indicators identified in the IDB9 overall results framework[132] is found to be a weakness in the IDB evaluation, despite the explicit requirement in the IDB policy. The ADB (2007) and World Bank (2003) evaluations also found insufficient reporting on indigenous peoples' issues in project completion and other reports. ADB's recent evaluation on SPS found that ensuring monitoring and supervision that is sufficiently frequent and commensurate with the level of risk is important, and that it is necessary to provide guidance on minimum requirements commensurate with the project's risks and impacts.

148. **Another interesting finding that emerges from the IDB evaluation is that traditional measurements of poverty fail to capture the indigenous worldview** and the complexity of the various situations with which indigenous people must contend. It notes that the suggestion has been raised that "the monetary measurements of poverty should be supplemented with others that reflect core values of indigenous peoples and are consistent with their concept of development with identity, such as the quality of natural surroundings, legal safeguards, access to natural resources, social capital, and others". This perhaps also results in limited evidence of IDB projects that adapt the cultural values and norms of indigenous peoples.

149. **The evaluations also indicate the need to strengthen staff capacity and awareness**. The IDB evaluation notes that: "A proactive agenda for the development with identity of indigenous peoples would require knowledge and application among relevant staff. However, the surveys and interviews of staff … show that there is limited knowledge within the Bank." The World Bank 2003 independent evaluations as well as the 2011 self-evaluation stress this issue. In some cases, staff assume that the policy is triggered only when there is adverse impact on indigenous peoples as opposed to their presence in project areas.

150. **Summarizing the findings emerging from the evaluations from other agencies,** the key challenge remains the informed participation of indigenous peoples in development projects, the time that such a process would take, especially given the pressure for project processing, and the weak monitoring and evaluation, leading to weak appreciation of what is happening on the ground.

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[132] These include access to packages of health services, anti-poverty programmes, access to water supply, sanitary connections, new or upgraded dwellings, civil registry enrolment, public transportation with clean energy, and agricultural services and investments.

VII. Consolidated key findings and lessons learned

151. This section seeks to distil key findings and answer the key guiding questions set out for this evaluation synthesis, as well as glean lessons, from the review and analysis contained in Sections III-VI and the interviews conducted.

Reflection on key guiding questions for evaluation synthesis

152. ***Does IFAD have corporate policies and strategies, in line with international standards, to guide its work in support of indigenous peoples?*** Yes, IFAD's policy on indigenous peoples is considered to be in line with UNDRIP by UNPFII and by representatives of indigenous peoples' organizations. Positive aspects noted relate to the following: (i) its proactive nature rather than focus on safeguards; (ii) holistic approach and comprehensiveness of the principles of engagement; and (iii) FPIC principle with "consent", considered to be a step beyond "consultation". Comparison with other agencies' policies (especially those of IFIs) confirms these points. The review of recent projects (section IV.B.(ii)) seems to indicate that the move of the IFAD staff responsible for indigenous and tribal issues from the previous Policy Division to the re-organized current Policy and Technical Advisory Division which coordinates QE processes has facilitated better incorporation of indigenous peoples' issues in the design stage. A shared view, however, is that challenges still remain in terms of policy implementation, including effectively operationalizing the principles of engagement from design to implementation of an investment project. There has also been lack of clarity on operationalizing the FPIC requirement.

153. The majority of IFAD country programme managers interviewed opined that the policy did not result in a drastic change in the country programmes or projects, but that the policy was helpful in guiding and prompting more cautious attention to indigenous peoples' issues, especially when there was buy-in from the country. However, some were sceptical about the extent to which the IFAD policy could influence country programmes, especially in cases where the distinctiveness of indigenous peoples is not recognized in the country.

154. Indeed, the attention to indigenous peoples' issues in COSOPs and project designs and their overall orientation is influenced by not only governments and IFAD experience, but also the interest and understanding of and exposure to indigenous peoples' issues by responsible country programme managers. This emerges from interviews with IFAD staff, as well as representatives of indigenous peoples' organizations who are familiar with IFAD operations.

155. ***What approaches and strategies have been used and found effective to ensure that indigenous peoples, both women and men, are included in the target group and beneficiaries – both in the design and in implementation?*** All investment projects reviewed took a geographical targeting approach as a first step, but in most cases the population in project areas included both indigenous and non-indigenous populations. Beyond geographical targeting, the main – and not mutually exclusive - targeting approachesinclude the following: (i) inclusion of interventions that are relevant to indigenous peoples (e.g. non-timber forest products, access to land and territories, adapting and strengthening traditional production systems based on a blend of indigenous knowledge and modern technology); (ii) community-driven and participatory approach; and (iii) specific support facility to directly target indigenous peoples (e.g. funds set up for indigenous peoples in the context of investment projects, IPAF). In all of these approaches, analysis and understanding of socio-cultural contexts and participation of indigenous peoples in project design are fundamental to develop targeting and empowerment strategies.

156. The need for better target group identification and analysis for a "tailored approach and strategy", with sufficient attention to culture and identities of indigenous peoples, is an important recurring issue. When the project was supposed to be

based on a participatory and demand-driven approach, often it was "menu-based" with pre-determined activities which limited the project's capacity to identify and respond to the priorities of indigenous peoples' communities. Even when proposed interventions may be responsive to the needs, another important factor is delivery mechanisms and capacity to effectively target and engage with indigenous peoples, as well as monitoring of targeting performance.

157. ***To what extent and how have indigenous peoples participated in the design of operations and strategies that affect them?*** The project-level evaluations included little findings on the target group's participation in the design of projects. With regard to their participation during implementation, the evaluation findings, where available, were mixed. Participation was largely influenced by the extent to which the project design was responsive to indigenous peoples' priorities (which also relates to the issue of their participation in the design process), as well as the orientation and capacity of implementers (who are often not trained on participatory approaches). The participation in COSOP preparation appears to have increased, and some of the recent project documents also indicated consultations with the target group in the design stage. However, it is difficult to glean how the outcomes of their participation and consultation are reflected in the project design and strategies. Beyond the project and country levels, participation of indigenous peoples' in IFAD's institutional platforms (Indigenous Peoples Forum) and initiatives (IPAF) has been exemplary.

158. ***To what extent and in what ways has IFAD's loan and grant-financed support contributed to the empowerment of indigenous peoples and their organizations?*** Project/country-level evaluations show that while the performance of the investment portfolio in this regard is mixed, there have been a number of investment projects which presented good examples – particularly those that pursued participatory approaches building on the knowledge, skills culture and traditional values of indigenous peoples.

159. IFAD's contribution to empowerment of indigenous peoples and their organizations at different levels (regional, national and local) through grant-financed projects has been significant. On the one hand, IFAD has supported their engagement in international processes. On the other hand, their participation in decision-making and project management in IPAF also contributes to their capacity-building. Small IPAF-funded projects, by their very nature (demand-driven and direct management of funds), are likely to have contributed to empowerment of the grant recipients, but the weak linkage of these projects with the rest of IFAD's country programmes has been identified as a challenge.

160. ***To what extent and in what ways has IFAD contributed to advocacy on indigenous peoples' issues?*** IFAD has made a significant contribution to advocacy at global levels. At project/country level, there are a number of good examples of influencing institutions and policies, but the performance varies, influenced by the government's interest, overall environment and other factors.

Key lessons

161. Key lessons emerging from the review of IFAD's engagement and activities – which also echo many of the lessons from other evaluations – are summarized as follows:

Targeting and engaging with indigenous peoples

- IFAD's geographical approach to targeting indigenous peoples appears appropriate given that they usually live in remote and rural areas. Applying social, community-based, self-targeting and/or focused empowerment measures within selected geographic areas then helps to hone in on indigenous peoples. This said, caution is necessary to ensure that a primary geographical focus does not diminish the focus on indigenous peoples' specific issues such as attachment to land and cultural issues.

- A sound diagnostic analysis of socio-economic and cultural contexts of indigenous peoples in the target group is crucial for ensuring the relevance of proposed interventions and devising an appropriate targeting approach that increases the likelihood of projects benefitting them.
- Rural youth, women and indigenous peoples are often "lumped together" as "the vulnerable", but their situation should be analysed separately and tailored approaches formulated accordingly.
- Indigenous peoples are not a homogenous group: identifying their heterogeneity and tailoring approaches to each group (not just the what, but also the how) are important for development effectiveness.
- Differences between women's roles and positions in the indigenous peoples' communities and non-indigenous population must be understood and addressed in a responsive and culturally sensitive manner that helps strengthen the positive aspects rather than introduce approaches that are considered to work only for the mainstream societies.
- To reach indigenous peoples dispersed in remote areas, financial and logistical support as well as skilled staff who are able to engage indigenous peoples effectively are necessary. Investments and costs required must be factored into the design of projects.
- Socially disaggregated M&E data and monitoring on indicators relevant to indigenous peoples are required to continuously monitor outreach and outcomes, understand effectiveness of project strategies for different social groups and adjust those strategies as necessary.

Participation and empowerment of indigenous peoples
- Participation of indigenous peoples in all stages of a project cycle is likely to lead to their greater empowerment when it is based on their governance systems, skills and indigenous knowledge. This contributes to increased ownership and sustainability of project activities.
- Capacity of project staff to effectively engage with indigenous peoples – including sensitivity to culture and language skills – is critical. If such capacity does not exist, measures to build capacities of potential agents should be incorporated, or the possibilities of engaging service providers must be explored.
- Building trust between the implementers/service providers and the target group is key.
- Participation of indigenous peoples in project implementation can be truly effective if they are involved early on in the identification, design and planning of the project in an informed manner. This is an efficient and effective way of complying with the FPIC principle.

Policy engagement and advocacy at global level
- Strengthening the capacity of indigenous peoples' organizations and their leaders is critical to their effective engagement in policy matters and advocacy.
- There are opportunities for taking advantage of the networks and partnerships that have been built at institutional level (e.g. Indigenous Peoples Forum, IPAF) for the benefit of the country programmes.

Cross-cutting issues
- Understanding of indigenous peoples' issues by IFAD country programme managers/officers has an important influence on the direction of country programmes (strategy, project designs, supervision, etc.).

Key points

- It is important to identify the heterogeneity among indigenous peoples and to tailor approaches that will meet the needs and priorities of the varied groups.

- Indigenous women face problems, often different from those of women in the dominant groups. Projects must be tailored to their specific priorities and needs.

- Designing appropriate participation mechanisms based on indigenous peoples' traditional knowledge, institutions and systems helps to increase their ownership as well as comply with the FPIC principle.

- Capacity development of indigenous peoples and their organizations is essential to ensure their participation in project activities and enhance development effectiveness.

VIII. Conclusions and recommendations

A. Conclusions

162. **A number of IFAD-financed projects and programmes in support of indigenous peoples have made important contributions**. Successful contributions have related especially to empowerment, institutions and policies, access to land and territories, and natural resource management. Not surprisingly, the evolution of IFAD's long-standing engagement with indigenous peoples is particularly notable in the countries where legislative frameworks related to indigenous peoples are advanced. IFAD's support to indigenous peoples has been highly relevant and appreciated in middle-income countries, where a high level of poverty is often found among indigenous and tribal peoples and ethnic minority communities (e.g. China, India, Mexico, Viet Nam).

163. **IFAD's contribution to international processes and advocacy has been substantial**. IFAD has intensified its efforts to join and support the international processes related to indigenous peoples since the mid-2000s and has also proactively pursued building partnerships with indigenous peoples' organizations. Starting with the consultative process for developing the IFAD policy on indigenous peoples, initiatives such as IPAF, the Indigenous Peoples Forum and global and regional grant activities have contributed to building trust and partnerships with indigenous peoples' organizations and other stakeholders. IFAD is perceived as a "partner" and "pioneer" in working with indigenous peoples. The visibility of and appreciation for IFAD among the international community and indigenous peoples' community are impressively high.

164. **IPAF has been a flagship programme and unique instrument that has helped IFAD develop partnerships and trust with indigenous peoples' organizations and also contributed to their empowerment.** By and large, it has been challenging to link IPAF with country programmes for scaling up as envisaged in the policy. Having taken over IPAF from the World Bank as a "time-bound" facility (see paragraph 63), IFAD has continued with this initiative using its own regular grant resources (having been subjected to a normal review process as any other grant) even though the size has remained small, also when compared to the very high demand (102 small projects financed from more than 3,000 applications received). Efforts to mobilize additional supplementary financing have not resulted in concrete outcomes.

165. **IFAD's 2009 policy on engagement with indigenous peoples is highly relevant to its overall corporate strategies and to indigenous peoples.** Through the policy, IFAD reaffirmed its commitment to proactive engagement and partnerships with indigenous peoples at various levels. There are indications that the attention to indigenous peoples' issues is becoming more visible in COSOPs and project designs even though these trends are not consistent across the board and there are still challenges in implementation.

166. **The principles of engagement provided in the policy on indigenous peoples are in line with IFAD's emphasis on empowerment and various corporate policies** (e.g. targeting, gender, environment and natural resources). These principles were already inherent – even if partially or implicitly – in many pre-policy projects. Even where the distinctiveness and rights of indigenous peoples are not recognized by the government, finding an entry point through poverty, marginalization and vulnerability has been an approach in IFAD operations. In other words, the policy on indigenous peoples has not imposed new or additional requirements; rather, it has placed good practices and lessons based on experiences in pre-policy projects – and on a broad consultation – within a cohesive framework to be systematically applied to IFAD operations involving indigenous peoples. It provides guidance wherever the target group includes

indigenous and tribal peoples and ethnic minorities, whether or not they are recognized by the states.

167. **Building on the policy and overall achievements, there is a need to strengthen consistent policy implementation at an operational level**. No doubt there are challenges. IFAD-supported investments are executed through governments, which has a bearing on: (i) the extent to which IFAD can influence the country and project strategies and approaches to engage with indigenous peoples; and (ii) the capacity of project implementers and service providers (often government staff at field level). This said, IFAD's operating model also provides opportunities to influence public institutions and policies, and IFAD could strengthen its country-level policy engagement on indigenous peoples' issues on the basis of its own corporate policies and UNDRIP.

168. **Another challenge is the limited understanding of indigenous peoples' issues among some IFAD's country programme managers/officers** responsible for countries where these issues are significant and relevant in terms of rural poverty (whether or not they are recognized as indigenous peoples). Awareness, capacity and interest of IFAD operational staff have an important influence on the orientation of the country programmes and project designs. Limited understanding has manifested, for example, in weaknesses in targeting approaches in some cases, as found in the past evaluations. In countries where indigenous peoples are not recognized as such and where the use of such a term can be politically sensitive, it is still feasible for projects to apply the policy principles as part of the tailored strategy to work with them. But for this, the staff responsible need to fully appreciate the importance of paying attention to the specificities of indigenous peoples.

169. **Key issues related to investment projects include the need for tailored approaches and better monitoring with disaggregated data and specific indicators**.[133] Indigenous peoples can be effectively engaged only if there is a better recognition and understanding of their distinct cultures, social, economic and governance systems and values, and a sound analysis of their needs and capacity, recognizing heterogeneity among indigenous peoples, as well as gender issues. As for the latter, it is important that differences between women's roles and positions in the indigenous peoples' communities and non-indigenous population are addressed in a culturally sensitive manner. How much detail on these aspects can already be provided in project design and how much work would need to be undertaken to provide more detail during the implementation stage would depend on the specific contexts and nature of projects.

170. **Among the principles of engagement in the policy, there has been lack of clarity about how to operationalize the requirement of FPIC**. It would be important to: (i) clarify for which types of projects and in which cases FPIC at project design stage would be required, whether and how this should/could be practically and pragmatically achieved (including what would constitute a "consent"); and (ii) understand and appreciate the possible implications on the budget for design work and projects, as well as the timeframe. The ongoing work by IFAD to develop a "how to do note" on this would be a step in the right direction. At the same time, there are views among IFAD staff that such an instrument alone may nurture the "ticking the box" culture without truly appreciating the spirit, or may make country programme managerse reluctant to

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[133] The issue of disaggregated data is not unique to IFAD: this – and associated challenges – has been consistently noted also by UNPFII for some time and also came up in the evaluations by other agencies. In relation to monitoring, in addition to disaggregated data, there has been a call to more systematically use indicators specific to indigenous peoples. The 13th UNPFII session in 2014 recommended to IFAD that "specific indicators pertaining to the well-being of indigenous peoples be systematically adopted in IFAD-funded projects implemented". The WCIP's Outcome Document also indicated the commitment "to working with indigenous peoples to disaggregate data, as appropriate, or conduct surveys and to utilizing holistic indicators of indigenous peoples' well-being to address the situation and needs of indigenous peoples and individuals, in particular older persons, women, youth, children and persons with disabilities".

have projects with indigenous peoples. It is fundamental to emphasise that FPIC is about effective beneficiary participation *throughout* the project cycle. The issuance of a "how to do note" would not be sufficient: it would need to be accompanied by training of staff and implementing agencies to ensure their adequate understanding and also learning by doing.

171. **With regard to access to markets by indigenous peoples, the findings on outcomes are mixed**. There has been a general increase of "value chain" projects in IFAD's portfolio, some of which involve indigenous peoples. The relevance of a "value-chain approach" to indigenous peoples' well-being, especially to their traditional production systems, has not been understood well. There is some sense of discomfort among indigenous peoples about external support for promoting market-oriented (mainstreamed) production without due consideration of indigenous food systems and traditional knowledge and practices, their relationship with the environment, and their collective actions and social structures. This is an area which would benefit from further research and analysis of experiences.

172. **IFAD is in a unique position among development agencies to support indigenous peoples' social and economic empowerment.** In general, IFIs, except for IDB, have tended to focus more on safeguard aspects ("do no harm" approach). The size and nature of IFAD-financed projects – comparably smaller than those financed by other IFIs and concentrating on rural and agricultural development for poverty reduction – as well as its unique focus on targeting, participatory approaches, community development, empowerment and inclusion, have enabled IFAD to naturally follow a proactive approach to supporting indigenous peoples. IFAD's approach to engagement with indigenous peoples, centring upon support to their social and economic empowerment, can also be compared with other United Nations and bilateral agencies that tend to exclusively or mainly focus on human rights aspects. IFAD's comparative advantage stems from inter-linkages between its operations and activities at different levels: experience on the ground, various instruments at corporate level (the policy, a dedicated desk in PTA, IPAF, Indigenous Peoples Forum) and broad partnerships and networks, as well as the roles that IFAD plays at international level. Its work with indigenous peoples is indeed a unique niche area in the corporate portfolio, with distinct comparative advantage.

173. **Finally and as a broad issue, there may be tensions between increasing demand for results and efficiency in development cooperation on the one hand, and the perception that more time and resources are be needed for designing and implementing projects targeting or affecting indigenous peoples on the other.** Full and meaningful participation of indigenous peoples in the development of a project is indeed key to ensuring relevance, effectiveness, efficiency and sustainability. Demand for better diagnostic analysis, differentiated targeting approach, full participation of indigenous peoples and FPIC, disaggregated data, capacity-building and empowerment, as well as challenges with implementation capacity: all of these *could* discourage IFAD operational staff from reaching out to indigenous peoples in investment projects. IFAD reaffirmed its high-level commitment to maintaining and strengthening its engagement with indigenous peoples at WCIP in 2014 and the Indigenous Peoples Forum in 2015; this is reassuring since it would be a significant lost opportunity if IFAD were to scale down its support for projects with indigenous peoples as a result of an emphasis on efficiency, and shift more to projects which *may* appear less demanding.

B. Recommendations

174. Some key recommendations follow for consideration by IFAD to further strengthen its engagement with indigenous peoples.

Strategic level

175. **Recommendation 1: Revisit the main objectives and strategies of IPAF.** The key, and not mutually exclusive, contributions and roles of IPAF could be: (i) finance small projects designed and implemented by indigenous peoples' communities to promote indigenous peoples' well-being and empowerment; (ii) identify potential credible partners for IFAD or country programmes; (iii) promote innovations to be scaled up in investment projects; and (iv) build capacity of regional indigenous peoples' organizations in project management and strengthen their networks. IPAF's strategy, instruments and operational modalities would need to be adjusted depending on which of these roles should receive the greatest attention. If IFAD intends to continue supporting IPAF in the a medium term, opportunities for increasing and stabilizing funding for IPAF need to be explored, including the possibility of mobilizing supplementary financing through IFAD or catalysing direct contributions to IPAF regional partner organizations by other financiers.

Operational level

176. **Recommendation 2: Pay greater attention to key project design elements and provide adequate implementation support (especially for investment projects), ensuring effective participation of indigenous peoples throughout, supported by a team member with an understanding of and skills in workin with indigenous peoples' issues.** The key project design elements would include:

- *Institutional analysis and measures to ensure sufficient implementation capacity*, duly recognizing the time and resources required in project implementation and the need for flexibility.

- *Targeting strategies and approaches in the design* with: (i) sound socio-cultural and vulnerability analysis of different social groups; and (ii) tailored and differentiated approaches to build on the culture, identity and knowledge of the indigenous peoples' communities.

- *Focus on gender issues in indigenous peoples' communities* to tailor the design to their specific needs, priorities and potential.

- *Solid basis for monitoring disaggregated data in design* (by social groups and by gender), also incorporating *specific indicators* that can better capture the results and outcomes related to indigenous peoples' well-being.

177. **Recommendation 3: Provide guidance on how FPIC can be best operationalized.** Clarification is needed on implementation of the FPIC requirement, both at the design stage and during implementation. It is fundamental to emphasise that FPIC is in essence about effective beneficiary participation throughout the project cycle (project design, implementation, monitoring and evaluation) and enhancing project results and impact. It is also important to increase staff understanding of how to approach this in a practical and pragmatic manner and in what contexts, and how the design can facilitate effective participation and the application of FPIC during project implementation.

Staff awareness and understanding

178. **Recommendation 4: Enhance staff understanding of indigenous peoples' issues.** It is important to ensure that country programme managers responsible for relevant countries are familiar with indigenous people's issues and IFAD's policy. A change of staff can have a significant impact on the nature and orientation of the country programme, depending on the knowledge and experience of new staff. It is fundamental that in-coming country programme managers without much exposure and understanding of the topic become acquainted with indigenous peoples' issues and their social and cultural values. Systematic and stronger partnerships with in-country partners – including indigenous peoples' organizations – would contribute

to this process and facilitate continuity. In this regard, the Indigenous Peoples Forum is the instrument to build and strengthen in-country partnerships. In countries where indigenous peoples' issues are significant and relevant but the term "indigenous peoples" is not used or the government does not recognize the concept, the responsible staff should understand that it is possible to engage with those who self-identify as indigenous peoples following the spirit and principles of IFAD's policy on indigenous peoples by using national and local terms and applying context-specific approaches.

Knowledge management

179. **Recommendation 5: Strengthen knowledge management, taking advantage of IFAD's substantial experience, lessons and knowledge on engagement with indigenous peoples.** Based on IFAD's rich experience with indigenous peoples, there is scope for undertaking a study to review and analyse best practices and lessons in a comprehensive manner, to be widely shared as an IFAD's flagship publication. Capturing the perspective and voices of indigenous peoples in this process would be crucial. The study should also include an analysis of experience and lessons on value chain projects involving indigenous peoples, given the increase in "value chain projects" in recent years.

IFAD milestones related to indigenous peoples

1979	First loan to a project with indigenous peoples: Omasuyos-Los Andes Rural Development Project Bolivia
1984	First loan exclusively focused on indigenous peoples: Rural Development Programme for the Guaymi Communities in Panama
1992	Establishment of the Regional Programme in Support of indigenous peoples in the Amazon Basin (PRAIA)
Jun 2002	Bali preparatory meeting for the 2002 World Summit on Sustainable Development; making the beginning of IFAD's partnership with a coalition of indigenous peoples worldwide
Feb 2003	Round table discussion on indigenous peoples and sustainable development at the 25th session of IFAD's Governing Council
2004	First IFAD grant to UNPFII secretariat
Sep 2005	IFAD Assistant President with a special assignment on indigenous issues
Nov 2005	Brainstorming workshop with indigenous experts to assess IFAD-funded projects (report available on the web)
May 2006	In-house policy forum (with participation of UNPFII chair and indigenous experts from Africa) agreed to develop specific principles of engagement with indigenous peoples (stressing inclusiveness, specificity, flexibility and a demand-driven approach)
Sep 2006	IFAD's hosting the IASG meeting on Development with Identity in Rome/Tivoli
Sep 2006	Agreement between the International Bank for Reconstruction and Development (IBRD) and IFAD on the transfer of the Grants Facility for Indigenous Peoples (IPAF)
Dec 2006	Creation of a dedicated desk with the recruitment of Coordinator on Indigenous and Tribal Issues
2008	Consultation with indigenous experts on the Dialogue Paper for IFAD's Engagement with Indigenous Peoples
2009	IFAD in-depth dialogue with UNPFII
2009	Approval of IFAD policy on engagement with indigenous peoples
2011	Establishment of the Indigenous Peoples Forum at IFAD
2011	Establishing partnership with Slow Food on creating an Indigenous Terra Madre, Jokkmock Swedan with Sami people
2012	Regional workshops (Asia and the Pacific, Latin America and Africa) in preparation for the first global meeting of the Indigenous Peoples Forum at IFAD and assessment by indigenous peoples on IFAD-funded projects
2013	First global meeting of Indigenous Peoples Forum
2013-14	IFAD support to the World Conference on Indigenous Peoples
2014	IFAD President addressing WCIP
2014	Salone del Gusto Slow Food Terra Madre, indigenous peoples' programme and indigenous room in view of the global Indigenous Terra Madre, India 2015
2014	Regional workshops in preparation for the second global meeting of the Indigenous Peoples forum at IFAD (in Indonesia, Paraguay, Tanzania and Fiji)
2015	Second global meeting of Indigenous Peoples Forum

Indigenous peoples in various IFAD policies and strategies

	Year	Policy/strategy/guidelines	Reference to indigenous peoples	Attention to indigenous peoples related issues
1	2006	**Targeting policy**	One of the guiding principles is to expand outreach to include "marginalized groups such as minorities and indigenous peoples" (p.4). The heterogeneity of rural poor people is acknowledged (p.8) and so is the need for social targeting within communities even in societies which appear to be homogeneous (p.19). Finally, a demand-driven targeting approach should be adopted in the targeting process. The latter requires inclusive and informed participation of rural poor into the design and implementation of development interventions (p.9)	Medium
2	2006	**Policy on crisis prevention and recovery**	In contexts with no recognized governments (hence not entitled to borrow funds from IFAD), the Fund may provide grants directly to indigenous organizations (among the others) for capacity-building purposes (p. 7 parag.21 .d). Moreover, in conflict-prone countries, programme/project designs should take into account the potential for conflict by using inclusive approaches to direct project investments across ethnic and/or political groups (p.7, para. 22b).	Low
3	2007	**Knowledge management strategy**	Indigenous peoples' organizations are considered key stakeholders in the processes of knowledge sharing and strengthening promoted by the Fund (p.19). In addition, in the framework of the country programmes, local and indigenous knowledge should be consolidated and scaled up (p.34)	Medium
4	2008	**Policy on Improving access to land and tenure security**	Indigenous peoples' territories are listed among those lands at potential risk of the land grabbing phenomenon taking place at the global level (p.7). Land security tenure can be considered as a cross cutting issue, linked to the acknowledgement of indigenous peoples rights (viz. legal recognition of indigenous communities can be a prerequisite for obtaining collective titles to ancestral land) (p.8). IFAD's comparative advantage in addressing land issues for poverty reduction lies, *inter alia*, in the promotion of a strong collaboration also with indigenous peoples' organizations which are engaged with land issues. Such collaboration should be channelled through the Farmers' Forum, the International Land Coalition and the Indigenous Peoples' Assistance Facility (p.13-14). In addition, among the guiding principles of the Fund in mainstreaming land issues, the need of compliance with FPIC before supporting any development intervention potentially affecting the land access and use rights of communities is strongly emphasised (p.16). Furthermore, the involvement of local traditional authorities in linking the local level to national policies and development strategies is fully acknowledged (p.15) as well as the recognition of the plurality of the forms of access to/ control over the land (p.16)	High
5	2009	**Rural finance policy**	The six guiding principles at the core of IFAD's approach to rural finance (namely, the provision of support access to a variety of financial services, the promotion of a wide range of financial institutions, the provision of support to demand-driven and innovative approaches, the encouragement to market based approaches to rural financial markets, the development of long-term strategies focusing on sustainability and poverty outreach, the promotion of policy dialogue for an enabling environment for rural finance) can be applied at the micro, meso and macro level. At the micro level this will involve both retail rural finance institutions as well as the ultimate beneficiaries (i.e. indigenous peoples) (p.15).	Low
6	2011	**Policy on environment and natural resource management**	The 8th core principle of the Policy (out of ten) states that IFAD will promote equality and empowerment for women and indigenous peoples in managing natural resources (p.8). The Fund will do so by respecting the FPIC when enhancing the resilience of their ecosystems and when undertaking developing innovative adaptation initiatives. In addition, IFAD will be guided by its Policy on Engagement with Indigenous Peoples (p.31). Among the poor rural people who are particularly disadvantaged and disempowered in sustainably managing natural resources, the Policy identifies indigenous peoples because of their high dependence on the natural resource base for their livelihoods (p.18)	High

	Year	Policy/strategy/guidelines	Reference to indigenous peoples	Attention to indigenous peoples related issues
7	2012	**Policy on gender equality and women`s empowerment**	Among the operational approaches to be adopted to pursue the strategic objectives of the policy, there is need to take into account the differences existing among women (based on age, nationality, ethnicity, socio-economic category) as well as the dynamics affecting gender relations (p.21). Moreover, a participatory approach should be used to ensure that the voices of different segments of the rural population (among these, indigenous peoples) are equally heard and valued (p.23). Among the ways in which gender considerations should be mainstreamed in IFAD interventions, the document points out the promotion of gender differentiated knowledge systems (including indigenous) to enhance learning on sustainable uses of natural resources (p.43). In addition, the Fund should provide effective mechanisms to ensure that men and women`s traditional and indigenous rights to forest use are not diminished as a consequence of the implementation of new projects/policies (p.48)	Medium
8	2012	**Private-sector strategy: Deepening IFAD's engagement with private sector**	In pointing out how agribusiness companies are currently expanding their supply sources and improve their social and environmental standards, the strategy flags the risk that marginalized groups such as poor rural women and ethnic minorities could be excluded by private markets (p.8)	Low
9	2012	**Partnership strategy**	In the framework of the SWOT analysis of IFAD partnerships, the peculiar collaboration established with indigenous peoples' organizations is listed among the main strengths of the Fund (p.10, table 2).	Low
10	2013	**Climate change strategy**	The strategy indicates that IFAD will continue to target its investments on the most climate-change affected people, among them, indigenous people since they are to be considered as stewards of natural resources (p. 6). Among possible responses to climate change, there may be greater investments in helping poor smallholders – including women and indigenous peoples – access emissions-reduction incentives such as voluntary or formal carbon markets, depending on the development of carbon markets (p.15) The need for building or strengthening partnerships with indigenous peoples for advocacy in the climate change arena, particularly through the United Nations Permanent Forum on Indigenous Issues (UNPFII) and the Farmers' Forum, is also emphasized (p.22)	High
12	2014	**Social, environmental and climate assessment procedures (SECAPs)**	According to the SECAPs, it is necessary that FPIC for interventions that might affect land access and use rights of communities has been obtained by the borrower or grant recipient (p. 8, para7 (xi)). In line with this, the disclosure at quality assurance stage of the draft documentation relating to the process of consultation with indigenous peoples is also required (p.vii). In terms of the guiding values and principles of the SECAP, the document mentions the respect and use of endogenous knowledge & gender-sensitive technologies drawing on the knowledge of indigenous peoples when addressing the vulnerability and adaptation priorities of rural people (p.2, box 1). Moreover, in the framework of the SECAP Project Assessments, IFAD how-to-do notes (viz. on FPIC, and community-based natural resource management) should be consulted - together with the relevant SECAP Annexes and Guidance Statements - to ensure an integrated approach to environmental management (p.17, para.32).	Medium

Key elements of IFAD's policy on engagement with indigenous peoples

1. **Definition of indigenous peoples.** According to the IFAD's Policy on "Engagement with Indigenous Peoples", IFAD uses a working definition of indigenous peoples based on the following criteria:

    (a) Priority in time, with respect to occupation and use of a specific territory;

    (b) The voluntary perpetuation of cultural distinctiveness, which may include aspects of language, social organization, religion and spiritual values, modes of production, laws and institutions;

    (c) Self-identification, as well as recognition by other groups, or by state authorities, as a distinct collectivity; and

    (d) An experience of subjugation, marginalization, dispossession, exclusion or discrimination.

2. This working definition is consistent with the international standards and those used by other international organizations, although there are some differences. They are common in that they all recognize 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. Another similarity is that self-identification as an indigenous people and their distinct identity is a critical factor in their identification. They are, however, different in that the IFAD policy uses priority in time, with respect to occupation and use of a specific territory as a criterion, while the World Bank policy focuses on collective cultural attachment to land. IFAD also includes the "experience of subjugation, subjugation, marginalization, dispossession, exclusion or discrimination also as an identifying characteristic". These policies on indigenous peoples normally include ethnic minorities and tribal peoples. This is also implied in the IFAD policy.

3. **Challenges of indigenous peoples.** The IFAD policy firstly analyses main issues and challenges faced by indigenous peoples as follows: (i) poverty and well-being, highlighting the general tendency of higher poverty rates amongst indigenous peoples compared to non-indigenous peoples; (ii) pressures on territories and resources, impact of climate change; (iii) discrimination and exclusion due to unsupportive labor market policies or regulations and marginalization from the political process; and (iv) invisibility of indigenous peoples in poverty reduction strategies and the Millennium Development Goals.

4. **Nine principle of engagement.** The policy defines nine fundamental principles of engagement by which IFAD support is guided as follows:

    *   *Cultural heritage and identity as assets*: IFAD will assist communities in taking full advantage of their traditional knowledge, culture, governance systems and natural resources, all of which form part of their tangible and intangible heritage.

    *   *Free, prior and informed consent*: IFAD shall support the participation of indigenous peoples' communities in determining priorities and strategies for their own development. When appraising for IFAD-funded projects proposed by Member States, in particular those that may affect the land and resources of indigenous peoples, the Fund shall examine whether the borrower or grant recipient consulted with the indigenous peoples to obtain their free, prior and informed consent. The Fund shall consider this consultation and consent as a criterion for project approval. IFAD shall avoid potentially adverse effects on the indigenous peoples' communities and when avoidance is not feasible, minimize, mitigate or compensate for such effects.

- *Community-driven development*: IFAD will encourage and enhance community-driven development approaches that are particularly well suited to the holistic perspectives of indigenous peoples, where ecosystems and social and economic systems are intertwined.

- *Land, territories and resources*: Within the legal framework of the borrowing country and IFAD policies, IFAD will promote their equitable access to land and natural resources and strengthen their own capacity to manage their territories and resources in a sustainable way.

- *Indigenous peoples' knowledge*: Recognizing that indigenous peoples are often bearers of unique knowledge and custodians of biodiversity IFAD will build on these assets by supporting pro-poor research that blends traditional knowledge and practices with modern scientific approaches as well as by blending new ways with traditional ones to improve their livelihoods.

- *Environmental issues and climate change*: IFAD will support indigenous peoples in enhancing the resilience of the ecosystems in which they live and in developing innovative adaptation measures. IFAD will also not fund mitigation measures that would affect the likelihood of indigenous peoples.

- *Access to markets*: Given that many indigenous Peoples are already active in market, IFAD will explore opportunities that such participation will bring and enable indigenous peoples' communities to value their products and engage in markets on more profitable terms

- *Empowerment:* IFAD will support the empowerment of indigenous peoples through capacity development to enable them to effectively interact and negotiate with local and national governments, private companies and other interested parties to secure and manage their resources and lead their own development processes.

- *Gender equality:* IFAD would support a culturally appropriate gender focus in its programmes, with a special commitment to improve the access of women to land and natural resources, strengthening their role in community decision-making, and building on their untapped potential for sustainable development, by recognizing their role as stewards of natural resources and biodiversity, and as bearers of rich varied traditional knowledge systems

5. **Country technical notes.** As envisaged in the indigenous peoples (IPs) policy, in order to ensure ready access to information on indigenous peoples' issues at country level for use in COSOPs and project preparation, 31 country technical notes have been prepared in partnership with indigenous peoples' organizations. They are available for 31 countries: (i) Asia: Bangladesh, Cambodia, India, Indonesia, Lao People's Democratic Republic, Nepal, Pakistan, Philippines, Viet Nam; (ii) Africa: Democratic Republic of the Congo, Kenya, Niger and Tanzania; (iii) Latin America and the Caribbean: Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru and Venezuela. Additional five country technical notes are being developed for Burundi, Cameroon, Congo, Gabon and Rwanda.

6. **Instruments and operational modalities.** The policy presents a number of instruments and operational modalities to comply with the principles of engagement in IFAD's operations and policy dialogue in those countries where issues involving indigenous peoples or ethnic minorities are significant and relevant in terms of rural poverty. These include:

- Reflect indigenous peoples' issues in country strategic opportunities programmes by including representatives of indigenous communities in the process of country

strategy development, as well as at all stages of design and implementation of IFAD-supported projects;

- Use grant financing (country or regional) for pilot activities, directly support indigenous peoples' organizations and research and knowledge creation on indigenous peoples' issues;

- Strengthen the IPAF, which provides small grants for grass-roots projects that are designed and implemented by indigenous peoples' communities;

- Advocate with national governments and other partners, aiming to bring indigenous peoples' representatives and other relevant partners into consultative processes;

- Promote systematic dialogue with indigenous peoples and promote their participation in outreach and learning events; and

- Promote partnership with other stakeholders to expand coverage, create synergies, reduce duplication and achieve economies of scale, including partnership with the United Nations Permanent Forum on Indigenous Issues (UNPFII), Inter-Agency Support Group (IASG) on Indigenous Issues

Box III-1
IFAD Executive Board deliberation on the policy presented at the 97th session (extract from the minutes)

The Executive Board considered and approved the IFAD Policy on Engagement with Indigenous Peoples, as presented in document EB 2009/97/R.3 (to be revised as EB 2009/97/R.3/Rev.1), noting the work of the Evaluation Committee and the comments of the Office of Evaluation (EB 2009/97/R.3/Add.1). The Board appreciated that IFAD recognized indigenous peoples as a distinct target group and welcomed the introduction of the policy. The Executive Board acknowledged the inclusive process pursued in drafting the policy and commended the incorporation of several points raised by Board members at previous discussions.

The Executive Board underscored the integral role of national governments and requested that the section on policy dialogue with governments (paragraph 36) be revised; it was agreed that these changes would be made accordingly. The Board requested that annex III be revised to include the newly approved safeguard policy of the Asian Development Bank.

There was a rich exchange of views regarding "informed consultation" and "informed consent". In this regard, some Executive Board Directors requested that their preference for the principle "free, prior and informed consultation" be taken into account. In addressing these issues, it was noted that given IFAD's strong participatory approach, particularly in its demand-driven projects, IFAD's existing mode of engagement already included – and often exceeded – informed consent.

Members welcomed the idea of an indigenous peoples forum; however, they recognized that the specific arrangements for this, in particular in relation to IFAD's Farmers' Forum, require further elaboration. The Executive Board also expressed support for the Indigenous Peoples Assistance Facility.

IFAD, 2009. Executive Board Minutes of the Ninety-seventh Session (EB/97, 4 December 2009

http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-Minutes.pdf

Major milestones in international framework on indigenous peoples

1957	ILO Convention 107 on Indigenous and Tribal Populations called for the protection and integration of tribal and indigenous populations into mainstream society. It has been ratified by 27 countries, and is still in force in 18 countries.
1982	Establishment of the Working Group on Indigenous Populations of the Sub-Commission on Prevention of Discrimination and Protection of Minorities (a working group of experts), to promote international standards on indigenous peoples' rights.
1989	ILO Convention 169 on Indigenous and Tribal Peoples, recognizing indigenous rights over land, identity, internal affairs and development, replacing the earlier Convention 107 (1957). It has been ratified and is in force in 20 countries.
1990	Entry into force of the Convention on the Rights of the Child, which includes an article on indigenous children (the first specific reference to indigenous peoples in international human rights law).
1992	United Nations Conference on Environment and Development (Earth Summit) results in the Rio Declaration (principle 22), Agenda 21 (chapter 26) and the Convention on Biological Diversity (Article 8(j) and related provisions), which recognize the role of indigenous peoples in environmental conservation and call for the protection of traditional knowledge, practice and innovation, as well as benefit sharing.
1993	The United Nations General Assembly proclaims the first International Year of the World's Indigenous People.
1993	The World Conference on Human Rights (Vienna Declaration and Programme of Action) explicitly addresses indigenous peoples' rights and calls for the International Decade of the World's Indigenous People (1994-2004), adoption of the declaration on the rights of indigenous peoples and the possible establishment of a permanent forum on indigenous issues.
1994	The United Nations General Assembly proclaims the first International Decade of the World's Indigenous People.
1994	The United Nations Convention to Combat Desertification, in its articles 16(g) and 17(c), calls for the protection of indigenous traditional knowledge, technologies and practices.
1995	Establishment of an intersessional working group of the Commission on Human Rights on the draft declaration on the rights of indigenous peoples.
2000	The African Commission on Human and Peoples' Rights adopts a resolution on the rights of indigenous populations/communities in Africa. The resolution provided for the establishment of a working group of experts on indigenous populations/communities.
2001	Designation by the United Nations Commission on Human Rights of the Special Rapporteur on the situation of human rights and fundamental freedoms of indigenous people.
May 2001	First annual meeting of the United Nations Permanent Forum on Indigenous Issues.
2005	The United Nations General Assembly launches the second International Decade of the World's Indigenous People.

Jun 2006   Adoption of the United Nations Declaration on the Rights of Indigenous Peoples at the inaugural session of the Human Rights Council.

Sep 2007   Adoption by the United Nations General Assembly of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), after a 20-year preparation and negotiation process.

Dec 2007   First session of the Expert Mechanism on the Rights of Indigenous Peoples. Created by the Human Rights Council, the Expert Mechanism is composed of five experts and provides thematic expertise on the rights of indigenous peoples to the Human Rights Council, the main human rights body of the United Nations.

Jan 2008   Approval of the United Nations Development Group Guidelines on Indigenous Peoples' Issues (entered into force in February 2008) to assist United Nations agencies in the application of the Declaration on the Rights of Indigenous Peoples at the international and country levels.

Dec 2010   Resolution adopted by the United Nations General Assembly adopted to organize a high-level plenary meeting of the General Assembly in 2014 to be known as the World Conference on Indigenous Peoples.

Jun 2012   Rio+ United Nations Conference on Sustainable Development, Rio de Janeiro, Brazil.

Jun 2013   Alta preparatory conference for the World Conference on Indigenous Peoples (Alta, Norway).

Oct 2013   World Conference on Indigenous Women (Lima, Peru).

Sep 2014   World Conference on Indigenous Peoples, New York, with United Nations Member States reaffirming commitment to the rights of indigenous peoples.

Definition of indigenous peoples from external sources

Provided below are extracts from some literature with regard to definition of indigenous peoples.

Box V-1
From the Guidelines on Indigenous Peoples' Issues: United Nations Development Group

"The international community has not adopted a definition of indigenous peoples and the prevailing view today is that no formal universal definition is necessary for the recognition and protection of their rights. However, this should by no means constitute an obstacle to United Nations agencies in addressing the substantial issues affecting indigenous peoples. What follows is a brief overview of some of the existing attempts to outline the characteristics of indigenous peoples:

The ILO Indigenous and Tribal Peoples Convention, 1989 (N° 169) applies to:

- Tribal peoples whose social, cultural and economic conditions distinguish them from other sections of the national community, and whose status is regulated wholly or partially by their own customs or traditions or by special laws or regulations.

- Peoples who are regarded as indigenous on account of their descent from the populations which inhabited the country, or a geographical region to which the country belongs, at the time of conquest or colonization or the establishment of present State boundaries and who, irrespective of their legal status, retain some or all of their own social, economic, cultural and political institutions.

- The Convention also state that self-identification as indigenous or tribal shall be regarded as a fundamental criterion for determining the groups to which the provisions of this Convention apply.

The "Study on the discrimination against indigenous peoples" (Martinez Cobo Study) puts forward the following "working definition": Indigenous communities, peoples and nations are those which, having a historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing in those territories, or parts of them. They form at present non-dominant sectors of society and are determined to preserve, develop and transmit to future generations their ancestral territories, and their ethnic identity, as the basis of their continued existence as peoples, in accordance with their own cultural patterns, social institutions and legal systems"

The Working Group on Indigenous Populations "Working paper on the concept of 'indigenous people'" lists the following factors that have been considered relevant to the understanding of the concept of "indigenous" by international organizations and legal experts:

- Priority in tem, with respect to the occupation and use of a specific territory;

- The voluntary perpetuation of cultural distinctiveness, which may include the aspects of language, social organization, religion and spiritual values, modes of production, laws and institutions

- Self-identification, as well as recognition by other groups, or by State authorities, as a distinct collectivity; and

- An experience of subjugation, marginalization, dispossession, exclusion or discrimination, whether or not these conditions persist

Self-identification as indigenous or tribal is considered as a fundamental criterion and this is the practice followed in the United Nations and its specialize agencies, as well as in certain regional intergovernmental organizations".

(Source: Guidelines on Indigenous Peoples' Issues: United Nations Development Group)

Annex V

Box V-2
Extract from "*Resource Kit on Indigenous Peoples' Issues*", United Nations, Department of Economic and Social Affairs, 2008

"In some countries, it is controversial to use the term "indigenous". There may be local terms (such as tribal, first people, ethnic minorities) or occupational and geographical labels (hunter-gatherers, pastoralists, nomadic or semi-nomadic, hill people, etc.) that, for all practical purposes, can be used to refer to "indigenous peoples". In some cases, however, the notion of being indigenous has pejorative connotations and people may choose to refuse or redefine their indigenous origin. Such choices must be respected, while at the same time any discrimination based on indigenous peoples' cultures and identity must be rejected. This different language use is also reflected in international law. The United Nations Declaration on the Rights of Indigenous Peoples, adopted in 2007, uses the term "indigenous" in a widely inclusive manner, while the only international Conventions on the subject—the ILO Convention on Indigenous and Tribal Peoples, 1989 (N° 169) and its 1957 predecessor (Convention N° 107) use the terminology "indigenous and tribal". While these are considered to have similar coverage at the international level, not all Governments agree."

Understanding who indigenous peoples are:
- They identify themselves as indigenous peoples and are, at the individual level, accepted as members by their community;
- They have historical continuity or association with a given region or part of a given region prior to colonization or annexation;
- They have strong links to territories and surrounding natural resources;
- They maintain, at least in part, distinct social, economic and political systems;
- They maintain, at least in part, distinct languages, cultures, beliefs and knowledge
- systems;
- They are resolved to maintain and further develop their identity and distinct social, economic, cultural and political institutions as distinct peoples and communities;
- They form non-dominant sectors of society.

Box V-3
Extract from "*Indigenous Peoples in Africa: The Forgotten Peoples? The African Commission's work on indigenous peoples in Africa*" (African Commission on Human and Peoples' Rights (ACHPR) and International Work Group for Indigenous Affairs (IWGIA), 2006)

Misconception

One of the misconceptions regarding indigenous peoples is that to advocate for protection of the rights of indigenous peoples would be to give special rights to some ethnic groups over and above the rights of all other groups within a state. This is not the case. The issue is not special rights. As explained above, the issue is that certain marginalized groups are discriminated in particular ways because of their particular culture, mode of production and marginalized position within the state. This is a form of discrimination which other groups within the state do not suffer from. It is legitimate for these marginalized groups to call for protection of their rights in order to alleviate this particular form of discrimination.

A closely related misconception is that the term 'indigenous' is not applicable in Africa as 'all Africans are indigenous'. There is no question that all Africans are indigenous to Africa in the sense that they were there before the European colonialists arrived and that they were subject to subordination during colonialism. The ACHPR is in no way questioning the identity of other groups. When some particular marginalized groups use the term 'indigenous' to describe their situation, they are using the modern analytical form of the concept (which does not merely focus on aboriginality) in an attempt to draw attention to and alleviate the particular form of discrimination from which they suffer. They do not use the term in order to deny all other Africans their legitimate claim to belong to Africa and identify as such. They are using the present-day broad understanding of the term because it is a term by which they can very adequately analyse the particularities of their sufferings and by which they can seek protection in international human rights law and moral standards.

Another misunderstanding is that talking about indigenous rights will lead to tribalism and ethnic conflict. This is, however, turning the argument upside down. There exists a rich variety of ethnic groups within basically all African states, and multiculturalism is a living reality. Giving recognition to all groups, respecting their differences and allowing them all to flourish in a truly democratic spirit does not lead to conflict, it prevents conflict. What does create conflict is when certain dominant groups force through a sort of "unity" that only reflects the perspectives and

interests of certain powerful groups within a given state, and which seeks to prevent weaker marginalized groups from voicing their particular concerns and perspectives. Or, put another way: conflicts do not arise because people demand their rights but because their rights are violated. Finding ways to protect the human rights of particularly discriminated groups should not be seen as tribalism and disruption of the unity of African states. On the contrary, it should be welcomed as an interesting and much needed opportunity in the African human rights arena to discuss ways of developing African multicultural democracies based on respect for, and the contributions of, all ethnic groups. The ACHPR recognizes the concern of those who feel that the term 'indigenous peoples' has negative connotations in Africa, as it was used in derogatory ways during European colonialism and has also been misused in chauvinistic ways by some post-colonial African governments. However, notwithstanding the possible negative connotations of the word itself, it has today become a much wider internationally recognized term by which to understand and analyse certain forms of inequalities and repression, such as those suffered by many pastoralists and hunter-gatherers in Africa today, and by which to address their human rights sufferings.

Indigenous peoples as distinguished from minorities

In debates and discussions on the issue of indigenous peoples in Africa, some argue that "minorities" would be a more appropriate term to describe the groups of people known as "indigenous". It is the ACHPR's position that it is important to accept the use of the term indigenous peoples all over the world, including in Africa, as the concept of indigenous peoples in its modern form more adequately encapsulates the real situation of the groups and communities concerned.

There may certainly be overlaps between groups identified as 'indigenous' and groups identified as 'minorities', and no definition or list of characteristics can eliminate these overlaps. Moreover, cases will continue to arise that defy any simple attempt at classification. The usefulness of a sharp and clear-cut distinction between minorities and indigenous peoples is therefore limited, which is why it is important to apply a flexible approach based on a concrete.

The nature of the types of rights ascribed to indigenous peoples and minorities in international law differs considerably and this has major implications. The crucial difference between minority rights and indigenous rights is that minority rights are formulated as individual rights whereas indigenous rights are collective rights. The specific rights of persons belonging to national or ethnic, religious or linguistic minorities include the right to enjoy their own culture, to practise their own religion, to use their own language, to establish their own associations, to participate in national affairs etc. These rights may be exercised by persons belonging to minorities individually as well as in community with other members of their group.

Indigenous rights are collective rights, even though they also recognize the foundation of individual human rights. Some of the most central elements in the indigenous rights regime are the collective rights to land, territory and natural resources. The United Nations Declaration on the Rights of Persons belonging to National or Ethnic, Religious and Linguistic Minorities (the Minority Declaration) contains no such rights, whereas land and natural resource rights are core elements of ILO Convention 169 (arts 13- 19) and the United Nations Declaration on the Rights of Indigenous Peoples (arts 25-30). Collective rights to land and natural resources are one of the most crucial demands of indigenous peoples – globally as well as in Africa – as they are so closely related to the capability of these groups to survive as peoples, and to be able to exercise other fundamental collective rights such as the right to determine their own future, to continue and develop their mode of production and way of life on their own terms and to exercise their own culture.

The types of human rights protection which groups such as the San, Pygmies, Ogiek, Maasai, Barabaig, Tuareg, Hadzabe, etc. are seeking are, of course, individual human rights protection, just like other individuals the world over. However, it goes beyond this. These groups seek recognition as peoples, and protection of their cultures and particular ways of life. A major issue for these groups is the protection of collective rights and access to their traditional land and the natural resources upon which the upholding of their way of life depends. As the protection of their collective rights, including land rights, is at the core of the matter, many of these groups feel that the indigenous human rights regime is a more relevant platform than the minority rights arena.

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IFAD investment financing in support of indigenous peoples: 2004-2013

Table VIII-1
IFAD investment financing in support of indigenous peoples (2004-2013): total amount approved vs. financing in support of indigenous peoples (US$ million)

Year	Total loan and DSF grant approved	Of the total amount, financing in support of indigenous peoples (IPs)	% of financing in support of IPs
2004	406.7	65.5	16%
2005	499.3	77.5	16%
2006	515	52.2	10%
2007	520.3	29.56	6%
2008	552.2	119.8	22%
2009	644.1	113.79	18%
2010	777.7	90.1	12%
2011	947.2	92.2	10%
2012	960.7	127.18	13%
2013	731.1	152.56	21%
2004-2013	*6 554.3*	*932.69*	*14%*

Source: IFAD annual reports; IPs financing data adjusted based on a review of PTA table and IFAD reports to UNPFII (see also the table below for adjustments made).

Note 1: Following the methodology used by PTA, the financing figures "in support of indigenous peoples" estimated based on multiplying the total IFAD financing amount by estimated proportion of indigenous peoples in beneficiaries.

Note 2: The amounts include supplementary financing (loans and DSF grants). Loan cancellation reflected in the figures (partial cancellation for a loan for Indonesia approved in 2004 and full cancellation for a loan for Guatemala approved in 2010).

Figure VIII-1
IFAD investment financing in support of indigenous peoples (2004-2013): annual amount of financing in support of indigenous peoples (US$ million) and % against total
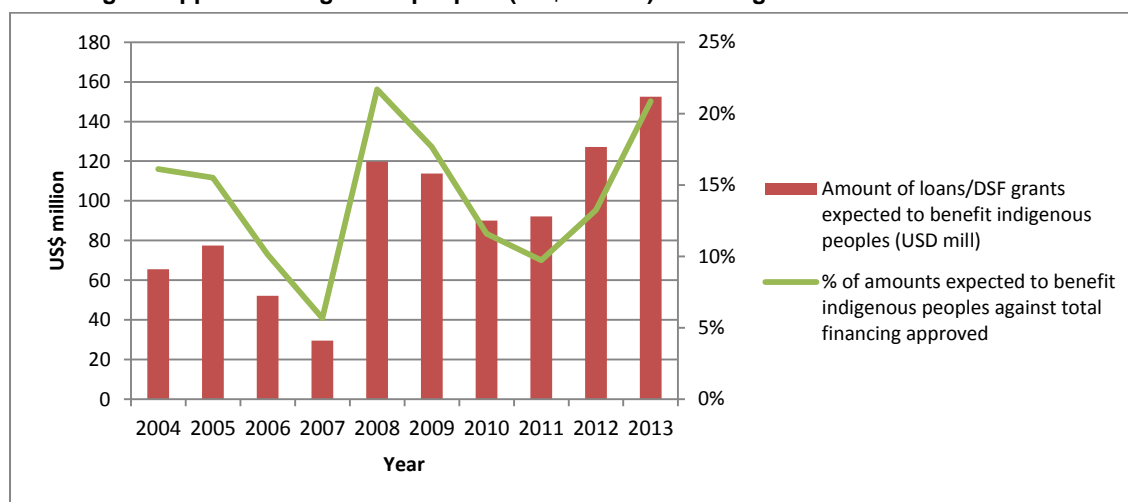
Table VIII-2
Investment projects in support of indigenous peoples: by number of projects

| Year | Total no. of projects approved | Nº of projects with IPs* | % of projects with IPs of total | Countries by region (supplementary financing separate) | | | | |
				Asia	LAC	Other	Suppl. financing **	Notes
2004	24	8	33%	Indonesia Nepal Viet Nam	Argentina Ecuador Guatemala	DRC Sudan		For Indonesia READ, originally approved in 2004 but the loan amount revised in 2006
2005	31	7	23%	China India Laos Philippines	Mexico *Paraguay*	Tanzania		
2006	27	8	30%	China Viet Nam Laos	Argentina Bolivia Colombia	Mali Sudan		
2007	34	7	21%	Cambodia Nepal Viet Nam	El Salvador Guyana Honduras	Gabon		Listed in 2008 report to UNPFII but not included here: (a) Philippines approved in 2008 and not 2007; (b) China and Peru – not in PTA table
2008	29	12	41%	China India Philippines (2) Viet Nam *Laos*	*Belize* Guatemala Panama Venezuela	Niger Tanzania		Laos not in 2009 report to UNPFII but added based on PTA table
2009	31	9	26%	Afghanistan Cambodia Nepal	Bolivia Ecuador Mexico	Chad Ethiopia	India Paraguay Peru	
2010	32	8	25%	PNG Solomon Viet Nam (2)	*El Salvador* Honduras Nicaragua	Burundi		Guatemala cancelled UNPFII report lists Kenya, Eritrea and Mali but not costed
2011	34	9	26%	China India Indonesia Laos	Argentina Bolivia Columbia Ecuador	Niger	Cambodia Laos	
2012	33	9	27%	China (2) India Nepal Philippines	Columbia Mexico Paraguay Peru		Nepal (2) Philippines	
2013	25	9	36%	China Viet Nam (2) Laos	Brazil Honduras Nicaragua	Ethiopia Kyrgyzstan	India Nepal Ecuador	Ethiopia with US$ 85 mill
2004-2013	**300**	**86**	**29%**					

Source: IFAD annual reports to UNPFII (2005-2014); database on projects with indigenous peoples maintained by PTA ("PTA table"); Compilation of IFAD projects and Programmes in support of indigenous, tribal and minority groups and peoples (regularly updated); Grants and Investment Projects System (GRIPS).

Countries in italic font indicate that the respective projects are of national scope.

* Number of projects expected to benefit indigenous peoples with varied proportions.

** Supplementary financing (loans or grants provided under debt sustainability framework) for ongoing projects. They are not counted as part of the number of projects approved.

Figure VIII-2
Number and % of investment projects including indigenous peoples 2004-2013 (by year of approval)

Example of regional and global level grants specifically in support of indigenous peoples (2008–2013)

Grant number Grant title Timeframe	Recipient	Grant amount (USD)	Objectives	Activities	Target group
I-R-1456- IWGIA IFAD support to the processes of the United Nations World Conference on IPs 2013-2017	**International Work Group for Indigenous Affairs (IWGIA),** Denmark (non-profit international human rights-based membership organization, with mission to endorse and promote the collective rights of the world's indigenous peoples)	900 000	Support indigenous peoples' (IPs') organizations, governments and United Nations agencies to effectively engage in the process of the World Conference on Indigenous Peoples (WCIP).	(i) support to participation of IPs representatives in the preparation for WCIP and WCIP; and (ii) capacity-building and policy dialogue to promote broad understanding, elaboration and dissemination of the UNDRIP and WCIP outcomes and implementation steps (both in six priority countries).	IPs organizations + representatives, governmental and United Nations agencies.
G-I-R -1366 BIODIVERSITY Promoting Indigenous Food Security and Agro biodiversity 2012-2014	**Biodiversity International,** Italy. Research centre on agricultural-related issues and biodiversity	50 000	(i) To build the capacity for indigenous communities to effectively document their traditional practices so as to share and exchange knowledge for improved nutrition and resilience of indigenous food security systems; (ii); to create opportunities for dialogue between specific knowledge and traditional knowledge for a differentiated approach to increased food security and improved nutrition; (iii) to promote indigenous knowledge presence at regional or global forums on food security.	(i) Identification of indigenous champions of food security and agro biodiversity; (ii) development of an updated framework for the inclusion of other indigenous champions of local food security and agro biodiversity.	Indigenous peoples communities in India, Malaysia, Thailand, Ethiopia, Kenya and Peru.
G-I-R-1365-IWGIA Enabling representatives of IPs' organizations worldwide to articulate their strategies on effective participation in the decision making process on development initiatives that affect their lives and territories 2012-2015	**International Work Group for Indigenous Affairs (IWGIA),** Denmark (non-profit international human rights-based membership organization, whose mission is to endorse and promote the collective rights of the world's indigenous peoples)	500 000	(i) Enabling IPs' representatives to implement the road map leading to the 2013 first global meeting of the Indigenous Peoples Forum at IFAD; (ii) enabling Indigenous peoples to conduct independent assessment of IFAD funded projects targeting indigenous peoples; (iii) support the full participation of indigenous peoples during the +20 World Conference; iv) contribute to the promotion and visibility of the proposed model of development of indigenous peoples.	(i) Implementation by the IPs of the 2012 Road Map leading to 2013 first global meeting of IPs Forum at IFAD; (ii) organization of regional workshops in Africa, Asia, the Pacific and Latin America and the Caribbean; (ii) conduction of an independent assessment of selected IFAD-funded projects with IPs; (iii) provision of support to IPs participation in Rio +20 processes.	Representative of IPs at the national, the regional and the international level from Africa, Asia, the Pacific and Latin America and the Caribbean.

Grant number Grant title Timeframe	Recipient	Grant amount (USD)	Objectives	Activities	Target group
I-R-1288 Building capacity and growing shared networks for global Sustainable Food System Development and Indigenous Terra Madre 2011-2014	**Slow Food International, Italy** (organization engaged in promoting food security and improvement in nutrition quality around the world by also protecting biodiversity)	249 375	(i) To improve the capacity of smallholder farmer organizations and rural communities to apply a sustainable food systems approach; (ii) to increase knowledge exchange between Slow Food`s networks and IFAD country programmes on indigenous food security and development of the market for indigenous products; (iii) to organise Indigenous Terra Madre.	(i) To hold start-up workshop to assess needs in selected regions;(ii) to design a work plan for joint activities; (iii) to organise in country networking opportunities between Slow Food and IFAD project partners; (iv) to identify new local products having potential for improved quality; (v) to plan workshops to share specific knowledge in the areas of sustainable food production and consumption; (vi) to invite ten delegates from target countries to participate in Terra Madre 2012 in Turin, Italy.	1 000 smallholder families in a selected number of countries that benefit from existing local Slow Food network and IFAD financed development programmes.
I-R-1283-TEBTEBBA Indigenous Peoples Assistance Facility (IPAF) 2011-2015	**Tebtebba Foundation, Philippines**	466 620	(i) To empower IPs communities and their organizations to design and implement development projects based on their identity and culture; (ii) to build the capacity of IPs organizations to manage financial instruments that support grass-roots development initiatives; (iii) to generate and share knowledge on IPs development initiatives.	(i) Financing projects designed and implemented by IPs communities; (ii) strengthening the capacity of IPAF sub grantees to manage and implement their projects; (iii) linking IPs to regional and global platforms; (iv) provision of training to Mainyoito Pastoralists in implementing development initiatives; (v) supporting Mainyoito Pastoralists in playing a catalytic role as a regional-level IPs platform; (vi) preparation of results based studies by the IPAF, to highlight to be scaled up; (vii) establishment of communities practice with IPAF sub grantees for stronger networking among IPs communities .	IPs communities (and their organizations) living in the rural areas of IFAD developing Member States.
I-R-1282-MPIDO Indigenous Peoples Assistance Facility (IPAF) 2011-2015	**Mainyoito Pastoralist Integrated Development Organization,** Kenya (Non-governmental organizations with the aim to promote IPs human rights and their secure access to natural resources and livelihoods)	405 670	As above	As above	As above

Grant number / Grant title / Timeframe	Recipient	Grant amount (USD)	Objectives	Activities	Target group
I-R-1281 MADRE Indigenous Peoples Assistance Facility (IPAF) 2011-2015	**Madre Inc,** international women`s rights organizations	577 710	As above	As above	As above
G 1251 IWGIA Fostering dialogue between indigenous peoples, Un organizations and governments 2010-2012	**International Work Group for Indigenous Affairs (IWGIA)**, Denmark	200 000	To support IPs organizations to implement their strategies on effective participation in the decision making processes (rural development initiatives and poverty reduction).	(i) Organization of a workshop in 2011; (ii) production of videos and publications; (iii) dissemination of the findings among IPs organizations, United Nations organizations and Governments; iv) organization of a side event during the X Session of the UN Permanent Forum on Indigenous Issues.	Representatives of existing regional and sub-regional indigenous peoples organizations.
1098 Regional Summits on Climate Change and IPs in Africa, Asia and Latin America and participation of regional representatives in the Global Summit on Climate Change and IPs 2009-2010	**Mainyoito Pastoralist Integrated Development Organization (MPIDO) Kenya**	200 000	(i) To promote a platform for IPS to influence negotiations in the United Nations Framework Convention on Climate Change (United Nations FCCC) (ii) to enable IPs to gather information on climate change debate and negotiations at the international level; (iii) to enable IPs collective deliberations on strategies; (iv) to document the effects of climate change initiatives, policies and strategies on IPs; (v) to enable IPs to share experiences on impacts of climate change; (vi) to establish regional networks on IPs and Climate Change and to form a core group of representatives of IPs who will engage in the negotiations on climate change leading to the 2009 Copenhagen Conference of Parties.	(i) Regional summits on IPs and climate change preparatory meetings: (ii) documentation/publication on impact of climate change on IPs and strategies put in place to mitigate and adapt to climate change.	IPs in Africa, Asia and Latin America.
1097-UNPFII Capacity development at country level for improved dissemination and implementation of the United Nations Declaration on the Rights of IPs 2009-2012	**Secretariat of the United Nations Permanent Forum on Indigenous Issues**, United Nations body, The United States	200 000	(i) To contribute to the dissemination, promotion and implementation of the United Nations Declaration on the Rights of IPs through training of government agencies, IPs organizations, United Nations system and governmental staff at country level; (ii) to contribute to the dissemination, promotion and implementation of the United Nations DG. Guidelines on IPs	(i) Development, publication and dissemination of two Training Modules on the United Nation Declaration of IPs Rights); (ii) translation into Spanish and French of existing training module on IPs; (iii) organization of training workshops for government agencies and IPs organizations.	Government agencies, IPs organizations and United Nations system staff.

Grant number / Grant title / Timeframe	Recipient	Grant amount (USD)	Objectives	Activities	Target group
1062-TEBTEBBA Asia Regional Summit on Climate Change and IPs 2008-2010	**Tebtebba Foundation**, The Philippines (Indigenous Peoples' International Centre for Policy Research and Education)	25 000	(i) To document local mitigation and adaptation processes put in place by IPs in Asia; (ii) to provide a platform of dialogue among indigenous representatives on the post Kyoto negotiations on climate change; (iii) to allow participation of representatives of selected indigenous organizations in the Asia Regional Summit on Climate Change and IPs.	(i) to conduct researches on impacts of climate change on Indigenous Peoples; (ii) to conduct country researches on adaptation and mitigation, strategies/interventions put in place by indigenous peoples; (iii) identification of policy issues to be addressed by various stakeholders during the Asia Regional Summit of IPs and Climate Change and advocacy strategy.	IPs in Asia (particularly from Malaysia, Indonesia, Thailand, Philippines, India, Nepal, Bangladesh, Cambodia, Lao People's Democratic Republic, Viet Nam, Myanmar, China, Japan and Bhutan).
1046-WFFP Strengthening fisher folk organizations capacities as advocates for small scale fishers and fish farmers 2008-2009	**World Forum of Fishers People**, Sri Lanka. Advocacy forum of small scale fisher people	50 000	(i) To engage the WFFP as one consolidated and informed voice with a wider audience of l policy makers in fisheries and aquaculture to promote their objectives.	Aboriginal fishing communities from Canada, small scale fisher peoples from Basque country (France), women fisher form Galicia. Then, targeted countries will be India, Pakistan, The Philippines, Sri Lanka, Bangladesh, Thailand, Malaysia, Indonesia, Nepal, Senegal, Mali, South Africa, Sierra Leone, Kenya.	
1004-UOX Strengthening the World Alliance of Mobile Indigenous Peoples (WAMIN) 2008-2009	**Refugees Studies Centre**, Oxford (multidisciplinary study centre on forced migration)	60 000	(i) To develop capacity among Mobile Indigenous Peoples (MIPs) to successfully represent themselves at international; (ii) to facilitate dialogue with other Agricultural Producers Organizations; (iii) to strengthen the capacity of MIPs' organization worldwide.	(i) Formal registration of the WAMIP a NOGO in Switzerland; (ii) capacity-building and awareness raising workshop for selected leaders of WAMIP's members; (iii) organization of a special "side-event" on MIPs in the UNPFII May 2008 meeting; iv) participation of WAMIP`s representatives in the Farmers Forum global meeting in February 2008 upon invitation by IFAD.	MIPs Globally.
992-CTA Support the spread of "good practice" in generating, managing, analysing and communicating spatial information 2008-2010	**Technical Centre for Agricultural and Rural Cooperation**, The Netherlands (joint international institution of the African, Caribbean and Pacific (ACP) Group of States and the European Union whose aim is to promote	199 763	(i) To support the spread of "good practice "in generating, managing, analysing and communicating community spatial information, through the collaborative generation of multimedia training kits.	(i) To establish member Steering Group including international recognised subject matter specialists; (ii) to establish an advisory group to facilitate remote collaboration between Steering Group and Advisory Group Members.	Indigenous peoples as beneficiaries of the Fund`s interventions.

Grant number Grant title Timeframe	Recipient	Grant amount (USD)	Objectives	Activities	Target group
	advancement in food and nutritional security and to encourage sound natural resource management in ACP countries).				

Number of small IPAF-funded projects by country and region

Table X-1
Number of projects approved in three calls for proposals: by country

Regions	2007	2008	2011	Total	
Asia and the Pacific	**10**	**16**	**9**	**35**	**34.3%**
Bangladesh	1	2	1	4	3.9%
Cambodia	1	0	0	1	1.0%
China	0	1	0	1	1.0%
India	3	3	2	8	7.8%
Indonesia	0	1	0	1	1.0%
Lao People's Democratic Republic	0	1	1	2	2.0%
Malaysia	0	1	0	1	1.0%
Mongolia	1	0	0	1	1.0%
Nepal	0	2	1	3	2.9%
Papua New Guinea	0	0	1	1	1.0%
Pakistan	0	2	0	2	2.0%
Philippines	2	3	2	7	6.9%
Solomon Island	1	0	1	2	2.0%
Viet Nam	1	0	0	1	1.0%
Latin America and the Caribbean	**16**	**14**	**12**	**42**	**41.2%**
Argentina	1	0	0	1	1.0%
Belize	0	1	1	2	2.0%
Bolivia	2	1	1	4	3.9%
Brazil	0	0	1	1	1.0%
Chile	1	1	1	3	2.9%
Colombia	1	1	2	4	3.9%
Ecuador	1	2	0	3	2.9%
El Salvador	1	0	0	1	1.0%
Guatemala	2	2	1	5	4.9%
Guyana	1	1	0	2	2.0%
Honduras	1	1	0	2	2.0%
Mexico	1	1	1	3	2.9%
Nicaragua	1	0	2	3	2.9%
Panama	1	1	0	2	2.0%
Peru	2	2	1	5	4.9%
Suriname	0	0	1	1	1.0%
West and Central Africa	**2**	**4**	**4**	**10**	**9.8%**
Central African Republic	0	0	1	1	1.0%
Cameroon	1	2	2	5	4.9%

Regions	2007	2008	2011	Total	
Democratic Republic of the Congo	0	1	1	2	2.0%
Niger	1	1	0	2	2.0%
East and Southern Africa	**2**	**7**	**6**	**15**	**14.7%**
Botswana	0	1	0	1	1.0%
Burundi	0	1	1	2	2.0%
Ethiopia	0	0	1	1	1.0%
Kenya	1	1	1	3	2.9%
Rwanda	0	1	0	1	1.0%
Tanzania	0	1	1	2	2.0%
Uganda	1	1	1	3	2.9%
South Africa	0	0	1	1	1.0%
Zimbabwe	0	1	0	1	1.0%
TOTAL	**30**	**41**	**31**	**102**	**100.0%**

Table X-2
Number of projects approved in three calls for proposals: summary by region

Division	2007		2008		2011	
	Number	%	Number	%	Number	%
Asia and the Pacific	10	33.3%	16	39%	9	29%
Latin America and the Caribbean	16	53.3%	14	34%	12	38.7%
East and Southern Africa	2	6.6%	7	17%	6	19.3%
West and Central Africa	2	6.6%	4	9.7%	4	12.9%
TOTAL	**30**	**100%**	**41**	**100%**	**31**	**100%**

Selection process: IOE evaluations for synthesis

Selection of IOE reports: country programme evaluations (CPEs), project evaluations (PEs) and project completion report validations (PCRVs)

1. The main sources of information used for the selection process were as follows:

    *   List (database) of IOE evaluations (CPEs, PEs and PCRVs published after 2002) ("IOE database"); and

    *   Excel table maintained by Indigenous and Tribal Issues Desk in the IFAD Policy and Technical Advisory Division (PTA) containing a list of projects that are/were expected to benefit indigenous peoples ("PTA data" or "PTA table"). In addition to basic information (project financing, period, etc.), the table also contains expected proportions of indigenous peoples in beneficiaries

2. As for the PTA table, the data on proportions of indigenous peoples in beneficiaries are mostly based on: (i) demographic data in geographical areas covered by the project (i.e. proportion of indigenous peoples in the areas); and/or (ii) targets for outreach to indigenous peoples expressed in project designs, which is less common. Most projects have a process of narrowing down smaller units of geographical areas for interventions (e.g. selection of districts and then villages within a province(s) or a larger geographical coverage defined as a project area). Sometimes the selection criteria for narrowing down geographical areas may include the proportion of indigenous peoples. When a project relevant to indigenous peoples is designed and approved, the project is added to the PTA table/data and at that point, the expected proportion of indigenous peoples benefiting under the project is validated with country programme managers.

3. Based on the expected proportion of indigenous peoples in beneficiaries, IFAD financing in support of indigenous peoples is calculated by multiplying the total IFAD financing for a given project by the proportion of indigenous peoples.

4. Based on the above-mentioned two sources, the following process was undertaken:

    *   **First screening.** Based on a simple comparison of the IOE list and PTA table, **19 project evaluations** (interim evaluations, completion evaluations and project performance assessments) and **6 project completion report validations** (PCRVs) were identified to be in the both lists.

    *   For CPEs, the list of projects in the PTA table was compared against the projects that were covered in CPEs. In case only one relevant project was covered in the CPE and this project had assessment *after* the CPE (e.g. project evaluations or PCRVs), that CPE was not included. This exercise resulted in **12 CPEs** which included: six in Asia (Bangladesh, China, India, Indonesia, Nepal, Viet Nam), five in Latin America (Argentina, Bolivia, Ecuador, Mexico) and two in Africa (Mali, Ethiopia).

    *   In total, the first screening resulted in **31 evaluations** (19 PEs and 12 CPEs) and **6 PCRVs.**

    *   **Review of relevance of evaluations.** A rapid review of 37 reports (31 evaluations and 6 PCRVs) was undertaken to assess the relevance of information contained therein to indigenous peoples and to this evaluation synthesis. All 19 project evaluations included some reference and findings relevant to indigenous peoples varied degrees. Five PCRVs had little information on indigenous peoples but there was an indication that the projects covered them. One PCRV (Sierra Sur-PE) had no clear indication that the project involved indigenous peoples.

- One CPE (Ethiopia) had some reference to pastoralists and pastoral development under one relevant project (Pastoral Communities Development Project). The project was also covered in PCRV conducted after the CPE.

- Three CPEs (Bangladesh, Indonesia and Mali) had no or little information/ reference specifically related to indigenous peoples in the context of country programme performance and there was no relevant project-specific evaluation in these countries.

- **Review of relevance of projects for this evaluation synthesis**. For some projects identified through previous steps, the concerned evaluation reports (CPEs and one PCRV) contained no or little information specific to indigenous peoples. For these projects, the expected proportion of indigenous peoples in beneficiaries and the basic descriptions for corresponding projects were reviewed. For the projects covered in the CPEs, only those close to completion were reviewed. The review was intended to understand whether indigenous peoples were expected to be or identified to be among key groups in beneficiaries. This was determined based on: (a) whether the PTA table indicated more than 40 per cent as the proportion of indigenous peoples in beneficiaries; and (b) even when the percentage was less than 40 per cent, whether the project area and descriptions indicated that indigenous peoples were recognized as important part of the target group. As a result, 11 projects that were covered only in CPEs (i.e. with no project evaluation nor PCRV) were retained and used mainly for ratings analysis (see table below), in addition to other clear cases. One PCRV in Peru was also retained.

Review of relevance of CPEs and projects covered only in CPEs

Category of CPEs	CPEs	N° of projects covered only in CPEs - added to the pool for ratings analysis
Some findings related to indigenous peoples in the CPE with more than one relevant project. At least one project-specific evaluation or PCRV in the country, with other additional projects covered in the CPE	8 CPEs: China, India, Nepal, Viet Nam, Argentina, Bolivia, Ecuador, Mexico	China (2), India (2)*, Nepal (3), Viet Nam (2) (project-specific information was discernible for 4 out of 8 projects, which was included also in qualitative analysis)
Some findings related to indigenous peoples in the CPE with only one relevant project. Project specific evaluation or PCRV for the one project covered in CPE.	Ethiopia	Ethiopia (0) (the relevant project covered in PCRV conducted after the CPE)
No/little specific findings on indigenous peoples in the CPE. No relevant project-specific evaluations in the country, but at least one project covered in the CPE	Indonesia, Bangladesh, Mali	Indonesia (2), Mali (1)
Included in the review	**8 CPEs**	**Total 12 projects**

* OTELP in India was part of the CPE India, but the evaluation ratings for this project was not included in the Annual Report on Results and Impact and therefore not included in the ratings analysis. Qualitative information was included in the review.

5. Consequently, in total, evaluations and projects covered were as follows:

- **8 CPEs** with findings relevant to indigenous peoples (China, India, Nepal, Viet Nam, Argentina, Bolivia, Ecuador, Mexico), although to varied degrees

- **19 project evaluations**

- **6 PCRVs**

6. The rating analysis (annex XII) was undertaken for a total of **36 projects:** 19 projects in 19 project evaluations; 11 projects covered *only* in CPEs (i.e. without project-specific evaluations) except for OTELP India, and 6 projects in 6 PCRVs.

Information on projects covered in IOE evaluations

Table XII-1
Basic information on evaluated projects reviewed

Project ID No	Country	Project	Approval	Effective	Completion Date	IPs/ EMs%*	Project evaluations	PCRV	CPE
ASIA									
1153	China	West Guangxi Poverty Alleviation Project	07/12/2000	21/03/2002	31/03/2008	81%	CE 2010		2013
1271	China	South Gansu Poverty-Reduction Programme	08/09/2005	22/08/2006	31/03/2013	48%			2013
1323	China	Xinjiang Uygur Autonomous Region Modular Rural Development Programme	14/12/2006	29/04/2008	31/12/2014	60%			2013
1040	India	North Eastern Region Community Resource Management Project for Upland Areas (NERCORMP)	29/04/1997	23/02/1999	31/03/2008	100%	IE 2006		2009
1063	India	Jharkhand-Chhattisgarh Tribal Development Programme	29/04/1999	21/06/2001	30/06/2012	48%			2009
1155	India	Orissa Tribal Empowerment and Livelihoods Programme	23/04/2002	15/07/2003	31/03/2015	61%			2009
1258	Indonesia	Rural Empowerment and Agricultural Development Programme in Central Sulawesi (READ)	02/12/2004	18/11/2008	31/12/2014	70%			2012
1341	Indonesia	National Programme for Community Empowerment in Rural Areas Project	11/09/2008	17/03/2009	31/03/2016	15%			2012
1041	Lao People's Democratic Republic	Northern Sayabouri Rural Development Project	04/12/1997	30/03/1998	30/06/2004	52%	IE 2004		NA
1207	Lao People's Democratic Republic	Oudomxai Community Initiatives Support Project (OCISP)	23/04/2002	19/09/2002	31/03/2010	75%	CE 2010		NA
250	Nepal	Hills Leasehold Forestry and Forage Development Project (HLFFDP)	07/12/1989	18/02/1991	30/06/2003	50%	IE 2003		2012
1119	Nepal	Western Uplands Poverty Alleviation Project	06/12/2001	01/01/2003	15/07/2016	75%			2012
1285	Nepal	Leasehold Forestry and Livestock Programme (LFLP)	02/12/2004	07/09/2005	30/09/2014	100%			2012
1450	Nepal	Poverty Alleviation Fund Project II	13/12/2007	31/07/2008	30/06/2017	100%			2012
1078	Pakistan	Southern Federally Administered Tribal Areas Development Project	07/12/2000	24/07/2002	30/09/2010	100%		2012	NA
486	Philippines	Cordillera Highland Agricultural Resource Management Project	06/12/1995	04/12/1996	31/12/2004	90%	CE 2006		NA
1066	Philippines	Western Mindanao Community Innitiatives Project	23/04/1998	25/03/1999	30/06/2007	16%	IE 2007		n/a
1137	Philippines	Northern Mindanao Community Initiatives and Resource Management Project	06/12/2001	01/04/2003	30/06/2009	60%	PPA 2011		NA

Project ID No	Country	Project	Approval	Effective	Completion Date	IPs/ EMs%*	Project evaluations	PCRV	CPE
1025	Viet Nam	Ha Giang Development Project for Ethnic Minorities	04/12/1997	27/04/1998	31/12/2003	100%	PPA 2004		2010
1202	Viet Nam	Rural Income Diversification Project in Tuyen Quang Province	06/12/2001	21/08/2002	30/09/2009	74%	PPA 2011		2010
1272	Viet Nam	Decentralized Programme for Rural Poverty Reduction in Ha Giang and Quang Binh Provinces	02/12/2004	17/08/2005	30/09/2011	88%			2010
1374	Viet Nam	Programme for Improving Market Participation of the Poor in Ha Tinh and Tra Vinh Provinces	14/09/2006	18/04/2007	30/06/2012	28%			2010
LATIN AMERICA									
506	Argentina	Rural Development Project for the North-Eastern Provinces (PRODERNEA)	18/04/1996	15/10/1998	30/06/2007	11%	CE 2009		2009
1067	Belize	Community-Initiated Agriculture and Resource Management Project (CARD)	23/04/1998	30/06/1999	31/12/2005	20%	CE 2008		NA
1031	Bolivia	Small Farmers Technical Assistance Services Project (PROSAT)	29/04/1997	30/04/1998	31/12/2007	50%		2010	2014
1145	Bolivia	Management of Natural Resources in the Chaco and High Valley Regions Project (PROMARENA)	13/09/2000	22/08/2003	30/09/2010	61%	PPA 2014		2014
1043	Ecuador	Indigenous and Afro-Ecuadorian Peoples' Development Project (PRODEPINE)	04/12/1997	02/11/1998	30/06/2004	93%	IE 2004		2012
1085	Guatemala	Rural Development Programme for Las Verapaces (PRODEVER)	08/12/1999	06/09/2001	30/09/2011	100%	IE 2007		NA
1128	Honduras	National Fund for Sustainable Rural Development Project (FONADERS)	08/12/1999	03/07/2000	30/11/2009	58%		2012	NA
494	Mexico	Rural Development Project of the Mayan Communities in the Yucatan Peninsula	07/12/1995	04/11/1997	31/12/2004	100%	CE 2005		NA
1199	Panama	Sustainable Rural Development Project for the Ngobe-Buglé Territory and Adjoining Districts	06/12/2001	16/09/2003	30/09/2011	12%		2012	NA
475	Peru	Management of Natural Resources in the Southern Highlands Project (MARENASS)	14/09/1995	09/04/1997	31/12/2004	75%	IE 2002		NA
1044	Peru	Development of the Puno-Cusco Corridor Project	04/12/1997	17/10/2000	30/06/2008	93%	IE 2007		NA
1240	Peru	Market Strengthening and Livelihood Diversification in the Southern Highland Project (SIERRA SUR)	11/12/2002	22/04/2005	30/06/2011	50%		2013	NA
521	Venezuela	Economic Development of Poor Rural Communities Project (PRODECOP)	11/09/1996	25/06/1998	31/12/2007	3%	IE 2006		NA

Project ID No	Country	Project	Approval	Effective	Completion Date	IPs/ EMs%*	Project evaluations	PCRV	CPE
AFRICA									
1237	Ethiopia	Pastoral Community Development Project (PCDP)	11/09/2003	05/04/2004	30/03/2009	90%		2011	
1356	Mali	Kidal Integrated Rural Development Programme (PIDRK)	14/12/2006	20/07/2007	30/09/2014	70%			2012
							19 PEs	6 PCRVs	

* Intended, expected or estimated proportion of indigenous peoples and ethnic minorities in project beneficiaries. Based on the PTA table (as verified by IFAD country programme managers)

Project ID No	Country	Project			Completion Date	IPs/ EMs%*	Project evaluations	PCRV	CPE

Table XII-2
Project area and target group: 37 projects in relevant IOE evaluations covered in the evaluation synthesis

Country Project ID	Project	Project area	Target group
China 1153	West Guangxi Poverty Alleviation Project (WGPAP)	The project area covers about 15 400 km^2, comprising 74 townships in 10 counties of the western part of Guangxi Zhuang Autonomous Region in south-western China. The total population of the 74 selected townships is about 1.3 million in 260 000 households, and resides in 684 administrative villages covering 10 590 natural villages. The vast majority belong to the Zhuang **ethnic minority**, with substantial elements of other minorities, such as Yao, Maonan, Miao, Yi and Dong.	The target group comprises 240 000 households in the 74 poorest townships of 10 of the poorest counties in Guangxi Zhuang Autonomous Region in south-western China. The population consists of several **ethnic minorities** with the Zhuang people forming a majority in most counties. At least 80% of the households are poor to very poor, with almost 10% classified as poorest, many physically unable to undertake any type of labour.
China 1271	South Gansu Poverty-Reduction Programme	The programme area consists of 109 selected townships, in ten poverty-stricken counties with a significant presence of Muslim minorities, and is located in the middle-south portion of Gansu Province, in the so-called "yellow" loess plateau.	The target group comprises 300 000 households in the 109 poorest townships of ten of the poorest counties in the middle-southern part of Gansu Province. The population comprises substantial Muslim minorities, living predominantly in the Linxia Autonomous Prefecture. At least 90% of the households are poor to very poor and about 10% are classified poorest. Women are the most significant part of the target group, since they contribute most to farm production and household tasks.
China 1323	Xinjiang Uygur Autonomous Region Modular Rural Development Programme	Ten selected counties in the Xinjiang Uygur Autonomous Region. Six counties are in southern Xinjiang which is the poorest area and where over 95% of the rural residents are **Uygur**. Other four counties are in two prefectures located in the northern and eastern parts of Xinjiang. The main **ethnic minorities** there are Kazak, Xibo, Kirgiz, Hui and some Mongolian groups. There are also substantial clusters of majority Han Chinese people, living in the programme area, in separate villages or mixed with the minorities in all the ten counties. Mostly **the minorities** live in the least productive environments and therefore tend to be worse off than the Han population.	The programme targets about 793,000 persons in roughly 176,000 households, equivalent to 41 per cent of the population in the 10 target counties. These households live below the official poverty line and tend to have low skills levels and difficult access to financial resources. Labour resources are scarce and the productivity of economic activities is low. It is expected that about 50 per cent of the target group will benefit directly from several of the programme's modules.
India 1040	North Eastern Region Community Resource Management Project for Upland Areas (NERCORMP)	Six districts in three states within the North Eastern Region, namely Meghalaya, Manipur, and the hill districts of Assam during the initial pilot phase. A total of 460 villages will be covered by the project.	The project target group includes a total of 20,000 poor rural households living in 400 villages located in the six NERCORMP districts of the States of Assam (Karbi Anglong and North Cachar Hills), Manipur (Ukhrul and Senapati) and Meghalaya (West Khasi Hills and West Garo Hills). It is expected that targeted households will include the most vulnerable groups, such as **scheduled tribes,** woman-headed households, marginal farmers heavily dependent on shifting cultivation, and landless households.

Source: Presidents reports, appraisal report, evaluation reports. In most cases, the description is based on the design and the actual implementation may have differed.

Country Project ID	Project	Project area	Target group
India 1063	Jharkhand-Chhattisgarh Tribal Development Programme	The proposed programme will cover two of the three states with the highest proportion of tribal population of India: Madhya Pradesh and Bihar. It proposes to use the opportunity created by the recent constitutional amendment concerning the extension of the Panchayats Act to the Scheduled Areas and to assist state governments in establishing and empowering collaborative relationships with the **scheduled tribe communities**.	The target groups will comprise all households in the selected villages, i.e., villages, hamlets and habitations with **tribal groups, primitive tribal groups** (PTGs) and scheduled caste population of not less than 50% of the total population in which the majority of the households live below the poverty line. The programme will benefit an estimated 370 000 beneficiaries of 74000 households located in 1370 natural villages. Of these, almost 6000 families will come from the PTGs. The **scheduled tribes** have been specifically selected as the target group because they bear a disproportionate share of the poverty in India. While they account for only 8% of the total population, they comprise 40% of the displaced population.
India 1155	Orissa Tribal Empowerment and Livelihoods Programme	The programme will cover 30 blocks in eight districts of western Orissa, one of the poorest and most deprived regions of India. With three fourths of the population living below poverty line, it has a total rural population of 1.4 million people belonging to over 390 000 households.	The programme will directly benefit some 338000 people belonging to 75 000 households living in over 1000 villages. Some 61% of the total population are members of **various tribal groups**, and 12% are scheduled castes. To be eligible, a watershed will have to have a population consisting of at least 60% **tribals** and scheduled castes. Within this, the programme will pay special attention to marginalized groups, namely women, un(der)employed youth and children, primitive tribal groups, hill cultivators, landless and marginal farmers and scheduled castes.
Indonesia 1258	Rural Empowerment and Agricultural Development Programme in Central Sulawesi (READ)	Five districts in Central Sulawesi province. The province is endowed with abundant natural resources, a very favourable climate and flourishing research and knowledge centres, but poverty affects 65% of the population, reaching 80 to 90% in the upland and coastal areas. Communities inhabiting these marginal areas show complex social stratification, with migration flows adding pressure to the hitherto undisputed tenure of productive resources. Competition between the more skilled migrant farmers and native subsistence farming groups has led to unconcealed conflict situations.	The programme works at three different levels of impact: (a) at the household level, by targeting the poorest, including **ethnic minorities** and women, and it is thus, disaggregating further, responsible for the impact at the level of intra-household relationships through special attention to gender issues; (b) at the community level, by targeting the poorest; and (c) at the level of the whole provincial economic system, Central Sulawesi being the fifth poorest province of the country.
Indonesia 1341	National Programme for Community Empowerment in Rural Areas Project	PNPM will be a national programme from 2009-2015 with funds provided to each rural sub-district. Under IFAD support to PNPM, IFAD will provide targeted support for agricultural development in 8 districts and 28 rural sub-districts in two provinces that are largely populated by **indigenous and ethnic populations**, Papua and West Papua.	The target group is estimated at 117.8 million people (31.8 million rural households). Of this total, 20 per cent, or 23.6 million people (6.4 million households), live below the national poverty line, and another 29 per cent, or34 million people (9.2 million households), live above the poverty line but arevulnerable to falling into poverty.
Lao People's Democratic Republic 1041	Northern Sayabouri Rural Development Project	Four northern districts of the Sayabouri Province	The target beneficiaries are 78,000 population or 13,000 households of the four northern districts of Sayabouri. **Ethnic groups** are mentioned as beneficiaries of different project components/activities, e.g. drinking water, dispensaries in villages with high percentage of ethnic groups, improved schools in **non-Lao villages**, irrigation in villages 30 per cent of which with ethnic groups.

Country Project ID	Project	Project area	Target group
Lao People's Democratic Republic 1207	Oudomxai Community Initiatives Support Project (OCISP)	The project area comprises seven districts containing 728 villages. The total population, according to 2000 data, is 236 525, belonging to 38 587 households, of which nearly 90% live in the rural areas. Some 91% of the population belong to **non-Lao Loum ethnic groups**. The average landholding is about 1.2 ha per rural household. Four main farming systems can be distinguished in the project area: (i) upland rice-based; (ii) upland rice- and opium-based; (iii) lowland rice-based; and (iv) mixed upland and lowland rice-based. The upland rice-based farming systems are the most widespread.	Project beneficiaries will include about 29 000 households, or nearly 177000 people who live below the national poverty line in the province of Oudomxai. The second-poorest province in the country, Oudomxai has a poverty index of 73.2%. Most targeted households belong to **ethnic groups** living in the midland and upland areas who practise shifting cultivation and opium production. Women are an important part of the target group because of the major role they play in on- and off-farm farm activities. By the end of the project period, 64200 people (10000 households) in 187 villages, or about 27% of the rural population in Oudomxai, will benefit directly from the project.
Nepal 250	Hills Leasehold Forestry and Forage Development Project (HLFFDP)	Four contiguous Hill districts in the Central Development Region.	Poor households with little land. A particular marginal group whom the project would seek to assist would be the **Chepangs**, a formerly nomadic people, whose only resource base is the marginal forest land. They continue to live mainly on forest produce and the collection of an indigenous bean from the forst represents their only source of income. They are concentrated in a few districts including Makwanpur within the project area.
Nepal 1119	Western Uplands Poverty Alleviation Programme (WUPAP)	The project area covers 11 upland Districts in the far and mid-western development regions. These districts contain approximately 226 000 households and a population of approximately 1.2 million. The area is characterized by a high incidence of poverty, low human development indicators and overall deprivation. Due to the marginalization of people in these areas, an insurgency movement has been growing in strength over recent years. The project will be initiated in the districts least affected by the insurgency and expand to other districts based on their experience in dealing with the insurgency.	The priority target group consists of the most disadvantaged members of the community (women, *dalits* (disadvantaged castes), youth, landless or semi-landless households and **other minority groups**.
Nepal 1285	Leasehold Forestry and Livestock Programme (LFLP)	22 districts out of 27 districts covering the mid-hills of Nepal where the Government initiated a national leasehold forestry programme. Remaining 5 covered by the other project WUPAP.	About 5.3 million people live in these 22 districts, of which a total of 2.55 million or 48% live below the poverty line. It is expected that by the end of the programme period, some 44300 households (man- and woman-headed) will have directly benefited. The programme's target group will consist of poor and food-insecure households **living in the hills in areas adjacent to degraded forest land**.
Nepal 1450	Poverty Alleviation Fund Project II (PAFPII)	Based on the Phase I operating in 6 districts, the scope to be expand nationally in a phased manner, increasing by 15 districts each year.	The project's target group are poor and socially disadvantaged community members. The PAF uses targets and incentives to encourage community organizations to include women, *dalits* and ***janajatis*** as members and beneficiaries and also to hold positions of responsibility.
Pakistan 1078	Southern Federally Administered Tribal Areas Development Project (SFATADP)	FATA comprises a strip of mountainous or marginal uplands that adjoin the Afghan mountain chain, running in a narrow belt along the Pakistani-Afghan border. The project will concentrate its activities in the three agencies (or districts) of Kurram, North Waziristan and South Waziristan (occupying the southern and central part of FATA along the border),	The project will target about 1.17 million beneficiaries (or 65 550 extended households), with special emphasis on women. These are mainly small farmers, landless farm labourers, tenant/sharecroppers and those engaged in rural off-farm occupations. Most work under poor conditions, with frequent crop failure due to unreliable climatic conditions. Priority needs of the target

Country Project ID	Project	Project area	Target group
		with an area of 14 707 km² (54% of FATA) and a population of about 1.2 million (35%), organized in about 138 000 nucleus households (or about 65 550 extended rural families with from 9 to 27 members) of which some 97% are rural.	group have been roughly identified through rapid rural appraisal and beneficiary workshops, and the project has been designed on this basis. In general, relatively poorer villages or communities are small, remote, have low average farm size, an above-average number of the landless and poorly developed physical and social infrastructure
Philippines 486	Cordillera Highland Agricultural Resource Management Project (CHARM)	The project would be implemented in 82 barangays located in 16 municipalities within three of the five provinces of the CAR. The 82 barangays have a total population of 850 000. The criteria for selecting the target barangays within the selected municipalities focused on quantitative and qualitative criteria, including (i) minimizing the extent of new road construction, especially through environmentally fragile areas, based on experiences gained from HADP; (ii) taking into account the potential for intensifying commercial crop production such as vegetables through irrigation; (iii) assessing the area of agricultural land that could be developed relative to the cost of upgrading access to it; and (iv) poverty indicators.	The intended beneficiaries belong to five of the eight major ethno-linguistic groups that form the ICC of the Cordillera. In contrast to the rest of the Philippines, immigration to the area has been low due to in part local customs and to topography. Consequently, within the project area, **90% of the population are indigenous**.
Philippines 1066	Western Mindanao Community Initiatives Project (WMCIP)	Western Mindanao covers three provinces known collectively as Region IX, (Zamboanga del Norte, Zamboanga del Sur and the offshore island Basilan).	The project will target some 16,000 households of **indigenous peoples**, upland groups, coastal communities and ex-combatants from the recent communal conflicts in Western Mindanao. The region is one of the most depressed and deprived in The Philippines having suffered an increase in poverty incidence in the last five years and with only 14 municipalities classified as having limited poverty.
Philippines 1137	Northern Mindanao Community Initiatives and Resource Management Project (NMCIRMP)	The project will initially cover 270 barangays in Regions X (Caraga) and XIII (Northern Mindanao). Following extensive local consultations and data collection, 250 barangays were selected on the basis of the presence of prospective stakeholders who include: (i) agrarian reform beneficiaries; (ii) land users operating under other systems of tenure, such as Integrated Social Forestry; (iii) indigenous peoples; (iv) other poor upland farmers; (v) women; and (vi) poor coastal and lakeside fishing communities. An additional 20 barangays will be selected during project implementation. Upland areas cover about 60% of the project area; the rest are coastal areas.	The six-year project aims to reach approximately 58 500 poor households living in 270 of the poorest villages (barangays) of Regions X (Caraga) and XIII (Northern Mindanao). The project's target group comprises poor and disenfranchised groups including, but not limited to, **indigenous peoples**, fisher families, agrarian reform beneficiaries, landless workers, upland dwellers and women.
Viet Nam 1025	Ha Giang Development Project for Ethnic Minorities (HPM)	The total population of the province is 557 000 persons (98 000 households), with a population growth rate between 1991 and 1995 of 2.8%/annum. The area is divided administratively into ten districts, 184 communes and about 1600 villages. **Ethnic minorities** represent over 90% of the total population, and include Hmong (27.6%), Tay (26.5%), Dzao (15%), Nung (7%) and Thai (0.9%). Another 15 **minor ethnic groups** account for a further 12.5%. The Kinh (Vietnamese) account for about 10%. Education levels are among the lowest in Viet Nam, and	The primary target group for the project is 34 000 poor households in Ha Giang Province, defined as households having a per capita income, in rice equivalent, of 15 kg per capita/month (US$51/annum). This group includes the vast majority of households in the province and is composed almost entirely of ethnic (non-Kinh) groups. It is located in upland areas, and is often reliant on shifting cultivation, utilizing a land resource base that is under increasing pressure.

Country Project ID	Project	Project area	Target group
		illiteracy rates the highest. Health services are considerably inferior to those available in other regions.	
Viet Nam 1202	Rural Income Diversification Project in Tuyen Quang Province (RIDP)	Tuyen Quang Province, roughly 160 km northwest of Hanoi, is located in the Northern Uplands Region. The province is predominantly mountainous, with altitudes of up to 1 400 m above sea level. It is divided into five administrative districts, 141 communes and 2 137 villages. The total population of the province is 610 200, or 137 900 households. **Ethnic minority groups** account for almost 52% of the total population and for more than 73% of all poor. The largest groups are the Tay (26%), Dao (11%) and San Chay (8%). The ethnic population is highest in the northern districts, particularly Na Hang, Chiem Hoa and Ham Yen	The project will target the 66 poorest communes in the province, including 936 villages and 49000 households. Fifty-four of the 66 communes are poor upland communes, the remaining 12 communes being more lowland in character but with high poverty levels. Specific activities will be targeted to the poorest households within these communes.
Viet Nam 1272	Decentralized Programme for Rural Poverty Reduction in Ha Giang and Quang Binh Provinces (DPRPR)	In Ha Giang, it will cover five of the ten rural districts in the province: three districts in Zone 1 and two districts in Zone 2. Within the five districts, 45 communes, in which the overall poverty rate is 29.3%, will be covered. Most poor households are food-insecure, and commonly have food deficit periods of four to five months. These periods are especially common among the **H'Mong and Dzao ethnic minorities**, who mainly rely on production of upland crops, with limited access to paddy. In Quang Binh, the programme will cover four of the six rural districts in the province. Within the four districts, 48 communes, with an overall poverty rate of 29.5%, will be covered. Within these communes, average poverty rates are higher for upland communes, at 37%, than for coastal and lowland or riverside communes, at 24-25%.	The primary target group in both provinces are the officially designated poverty households in selected communes. **Ethnic minorities** and women are targeted because of their disadvantaged position with regard to household representation and community decision making, excess workload and inadequate access to resources.
Viet Nam 1374	Programme for Improving Market Participation of the Poor in Ha Tinh and Tra Vinh Provinces (IMPP)	The Programme will directly benefit rural poor households in 50 poor communes in Ha Tinh and 30 communes in Tra Vinh. Seven districts in each province have been selected with 50 communes in Ha Tinh and 30 communes in Tra Vinh. In Ha Tinh, the average poverty rate is 39%, 23% of the communes have poverty rates higher than 50% and close to 40% of households are classified as poor. In Tra Vinh, 33% of households are classified as poor, and landlessness is a serious problem.	With its focus on investment to create jobs and enhance market access, IMPP is likely to help raise rural incomes for the following groups: (i) poor people who remain in farming; (ii) poor people who develop their own micro/household enterprises in rural areas; (iii) poor people who find permanent jobs and become employees; and (iv) local entrepreneurs investing in employment-creating SMEs. IMPP will target poorer, more vulnerable households with underemployed members and sub-economic holdings; women and women-headed households; underemployed youth; and ethnic minorities, especially the Khmer in Tra Vinh.
Ethiopia 1237	Pastoral Community Development Project (PCDP)	The pastoral areas encompass almost seven million people, 500,000 km^2 or 61% of the land area of Ethiopia, and over 11 million animals. People living in the lowlands comprise the comparatively wealthy few who hold substantial assets in the form of livestock, a large number of poor people who have small herds and flocks, and a limited number of people who are dependent upon cropping or sale of their labour (agropastoralists).	The target group of the PCDP comprises about 450 000 **poor pastoral and agropastoral households** in 30 woredas of Afar, Somali, Southern Nations, and Oromiya Regions. The project participants would consist of approximately 14 070 families (about 10 570 would be small farmers, and about 3 500 aborigine families) of essentially three different categories and needs.

Country Project ID	Project	Project area	Target group
Argentina 506	Rural Development Project for the North-Eastern Provinces (PRODERNEA)	PRODERNEA would be carried out in priority areas of the three northe-astern Provinces of Corrientes, Formosa and Misiones which were included under the NEA Programme, as well as the fourth north-eastern Province of Chaco. The north-eastern region contains approximately 25% of the total smallholder farms existing in the country. The total area of the four provinces is 291300 km2, which is equivalent to approximately 10.4% of the national territory. According to the 1988 census, there were 34 900 thousand agricultural holdings of up to 25 ha, which represents 46.7% of the total properties of the project area with a cultivated area equal to 2.3% of the total area identified.	The target population of PRODERNEA is made up of poor rural families in the northeast of Argentina. These include: (a) families of rural producers with property of less than 25 ha with net annual incomes not higher than USO 2 500 per family, with high indices of Unsatisfied Basic Needs (UBN). It is estimated that there are approximately 34 900 families in this category; (b) "colono" (colonist) farmers with titles to plots of less than 25 ha, located on land which consists of new agricultural areas of the Provinces that were not registered or defined in the Agricultural Census of 1988. There are approximately 6 800 "colono" families, primarily in the Provinces of Misiones and Chaco; (c) **aborigine** communities in the Provinces, independently of whether they are employed in agriculture, handicrafts, fishery, hunting or gathering activities. There are approximately 62 000 **aborigines** in 170 communities, primarily in Misiones, Chaco and Formosa.
Belize 1067	Community-Innitiated Agriculture and Resource Management Project (CARD)	The project area is defined as the southern region of Belize which covers the area south of the Hummingbird Highway in Stann Creek district and all of Toledo district (Map). The total area of the southern region is about 2 500 square miles of which about half is national parks and forest reserves with a large part of the remainder under permanent or **shifting cultivation**.	The target group will be the 72 rural communities with some 24000 poor rural people, or 3900 households, living in Toledo district and the south of Stann Creek district. Project services will be available to about 2 600 rural households as direct beneficiaries who will be poor rural people whose net incomes are lower than the poverty line estimated at approximately US$644 in 1996. Toledo district exhibits sharp ethnic differences from Stann Creek district, being more homogeneous in composition. Toledo has the greatest concentration of **indigenous people** still largely devoted to traditional patterns of existence, which profoundly influence its economic and cultural life. The Kekchi and Mopan Mayans constitute 75% of its rural population. Other ethnic groups that will be beneficiaries of the project are the Garifunas, Creoles, Mestizos and East Indians.
Bolivia 1031	Small Farmers Technical Assistance Services Project (PROSAT)	PROSAT operated in 20 municipalities.	The target population of the project were both segments of the market for technical assistance: first, farmers and rural producers, and secondly, the technical suppliers, called Assisting technicians. Small producers were considered as households with farmland tenure of no more than 10 ha, and/or livestock units of no more than five units of cow, and/or family income of no more than US$2,400 per year.
Bolivia 1145	Management of Natural Resources in the Chaco and High Valley Regions Project (PROMARENA)	The project area included 50 municipalities in the departments of Tarija, Chuquisaca, La Paz, Cochabamba and Santa Cruz.	The rural population in the area is approximately 340,000, or around 79,600 families. The target group is 58470 families, of which 15,424 (19.4%) would benefit directly from project activities. The indigenous population in the Valles Altos region are of **aymará and quechua origin**. In Chaco, there are Guaraní, Wenayeek and Tapiete communities.
Ecuador 1043	Indigenous and Afro-Ecuadorian Peoples' Development Project (PRODEPINE)	Geographic focus 19/22 provinces, 108/215 cantons and 434/788 rural parishes.	Socioeconomic focus on indigenous groups and afro-Ecuadorians. Approx 815 000 ethnic minorities. Executive summary discussed deficiencies in targeting groups based on ethnicity when non-ethnic groups in neighbouring areas were in similar poverty conditions.

Country Project ID	Project	Project area	Target group
Guatemala 1085	Rural Development Programme for Las Verapaces (PRODEVER)	The programme will be located in the northern region of the country and will comprise eight municipalities of the Department of Alta Verapaz and four municipalities of Baja Verapaz. The region covers approximately 6 300 km2 and presents a great variety of topographical, environmental and climatic conditions. Due to its cold, tropical and subtropical climate, the region has a rich biodiversity.	The programme area has a population of approximately 356 000 people, of which 319 000 or 90% live in rural areas, scattered over approximately 744 peasant communities. There are different indigenous groups; however, the most prominent ones being the Mayans, which represent 80% of the population. The target group will comprise approximately 53 700 poor rural families whose income level is lower than US$1.40 per capita, per day, consisting of: (a) 8 700 marginal producers; (b) 26 000 subsistence producers; (c) 6 000 emergent commercial producers; and (d) 13 000 landless rural families. The programme will directly benefit 16 000 rural families and indirectly reach 20 000 families who will benefit from socio-community investments, improved roads and reforestation activities.
Honduras 1128	National Fund for Sustainable Rural Development Project (FONADERS)	The area of intervention comprises a rural population of some 111 000 families in 81 municipalities, more than 80% of which live in conditions of extreme poverty. Their livelihood is derived mainly from subsistence production of basic grains, sales of surplus production and wage earnings, mainly from coffee harvesting.	The direct project beneficiaries will comprise about 12 000 families from the country's **indigenous populations**, smallholders, landless farmers, rural women and youths.
Mexico 494	Rural Development Project of the Mayan Communities in the Yucatan Peninsula	The project area comprises the three states that make up the Yucatan Peninsula: Campeche, Quintana Roo and Yucatan, which have a total of 64 municipalities and an indigenous population of approximately 670 000 people	The target group includes 51 100 families. Geographic and ethnic minority focus with gender component but not clear if these are the poorest groups.
Panama 1199	Sustainable Rural Development Project for the Ngobe-Buglé Territory and Adjoining Districts	The project area is located in the western region of Panama, comprising all districts of the Comarca Ngöbe Buglé and 12 neighbouring districts of the provinces of Bocas del Toro, Chiriquí and Veraguas. Based on the project strategic approach, a central indigenous area, the Comarca Ngöbe Buglé, will be the core of the project area. Surrounding non-indigenous communities and villages have been selected in order to establish an inclusive project area in which market and services relations could be strengthened, stimulating the integration and joint development of the total indigenous and non-indigenous areas.	Based on the incidence of poverty and extreme poverty among indigenous and non-indigenous rural inhabitants of the project area, the target group has been estimated at 96000 individuals. Direct beneficiaries have been estimated at 30 000 and indirect at 36 000. Direct beneficiaries will include 21800 Ngöbe Buglé and 8 200 non-indigenous rural poor. It has been estimated that 3000 nonindigenous small-farmer families live inside the comarca and that close to 5000 Ngöbe Buglé families live in surrounding districts outside of it.
Peru 475	Management of Natural Resources in the Southern Highlands Project (MARENASS)	The project area is between the south-eastern and south-central regions of the Republic of Peru. It encompasses all the provinces in the departments of Apurímac and some provinces in the departments of Ayacucho and Cusco. The area had been severely affected by violence during the 1980s and 1990s (IE)	Farm families living in the communities in the area.
Peru 1044	Development of the Puno-Cusco Corridor Project	A corridor along the main road network between the cities of Puno and Cusco and lateral feeder roads, comprising 128 districts in 14 provinces (five in the department of Puno and nine in the department of Cusco). (IE)	The target group included 30 000 families, half of whom were to benefit directly from the project, accounting for some 15 per cent of all rural families. (IE)

Country Project ID	Project	Project area	Target group
Peru 1240	Market Strengthening and Livelihood Diversification in the Southern Highland Project (SIERRA SUR)	The project area covers a total area of 73 515 km² in 16 provinces in the departments of Arequipa, Cusco, Moquegua, Puno and Tacna:	The population of the project area comprises approximately 120 000 families. According to the 1993 census, 81% of these households are located in the rural areas. They are mostly Quechua or Aymara indigenous people, of whom about 62% speak a native language. The FONCODES poverty map, which measures poverty conditions by districts, shows that 87% of the population in the project area are poor or extremely poor.
Venezuela 521	Economic Development of Poor Rural Communities Project (PRODECOP)	Vast geographical area with eight states and 39 municipalities (IE)	Poor farming families and small-scale producers.
Ethiopia 1237	Pastoral Community Development Project (PCDP)	The pastoral areas encompass almost seven million people, 500 000 km2 or 61% of the land area of Ethiopia, and over 11 million animals. People living in the lowlands comprise the comparatively wealthy few who hold substantial assets in the form of livestock, a large number of poor people who have small herds and flocks, and a limited number of people who are dependent upon cropping or sale of their labour (agropastoralists).	The target group of the PCDP comprises about 450 000 poor pastoral and agropastoral households in 30 woredas of Afar, Somali, Southern Nations, and Oromiya Regions. . The project participants would consist of approximately 14 070 families (about 10 570 would be small farmers, and about 3 500 aborigine families) of essentially three different categories and needs.
Mali 1356	Kidal Integrated Rural Development Programme (PIDRK)	Kidal region. The population is mostly rural and can be distinguished in four main ethnic groups: (i) the Sonrhaïs, sedentary farmers concentrated along the Niger stream,; (ii) the Peulses, semi-sedentary, organized around the transhumance of livestock toward the central Delta; (iii) the Kel Tamasheqs (Touaregs) representative 70% of the population in Kidal; and (iv) the Arabs. The ethnic groups Kel Tamasheq and Arabs have a nomadic life style.	The programme will target 20,000 persons in three categories: (i) extremely vulnerable households with an average of 4 goats; (ii) highly vulnerable households with a mixed flock of about 10 small ruminants; and (iii) vulnerable households with a flock of approximately 30 small ruminants. Within each category, special attention will be given to women through specific activities and inclusive measures.

Table XII-3
Comparison of average evaluation ratings: IOE average (Latin America and Asia) and evaluation synthesis sample

		N° projects	Relevance	Effectiveness	Efficiency	Empowerment	Institutions & policies	Environment & NRM	Sustainability	Overall
All evaluation ratings (Latin America and Asia, 2003-2014*)		98	4.78	4.18	3.82	4.35	4.06	3.95	3.73	4.13
Evaluation synthesis sample (projects with indigenous peoples)	All 34 in LAC and Asia and 2 in Africa	36	4,81	4.17	3.83	4.48	4.22	3.84	3.83	4.22
	Only project evaluations	19	5.11	4.42	3.95	4.58	4.53	3.89	4.00	4.47
Non-IPs projects in LAC and Asia	All ratings	64	4.75	4.17	3.81	4.29	3.96	4.00	3.68	4.15
	Only project evaluations	24	4.83	4.42	4.21	4.43	4.21	3.85	3.71	4.33

* By year of inclusion in the analysis in the Annual Report on Results and Impact of IFAD Operations (ARRI).
Rating scales: 6 – highly satisfactory; 5 – satisfactory; 4 - moderately satisfactory; 3 – moderately unsatisfactory; 2 – unsatisfactory; 1 – highly unsatisfactory

Table XII-4
Evaluation ratings: IOE average (Latin America and Asia) and evaluation synthesis sample over different periods

Period	LA + Asia all evaluations (no of projects)	Projects not with indigenous peoples (no)	Evaluation synthesis (ES) sample (no of projects)	Relevance			Effectiveness			Efficiency			Sustainability		
				LA+Asia (all)	Non-IPs projects	ES sample	LA+Asia (all)	Non-IPs projects	ES sample	LA+Asia (all)	Non-IPs projects	ES sample	LA+Asia (all)	Non-IPs projects	ES sample
2003-2007	30	20	10	5.43	5.45	5.4	4.38	4,37	4.4	4.13	4.15	4.1	3.69	3.68	3.70
2005-2009	33	22	11	5.21	5.23	5.18	4.34	4.48	4.09	3.94	3.95	3.91	3.72	3.71	3.73
2007-2011	33	20	13	4.76	4.76	4.92	4.18	4.20	4.15	3.94	3.85	4.08	3.97	3.90	4.08
2009-2013	47	28	19	4.36	4.36	4.47	3.94	3.89	4.00	3.66	3.61	3.74	3.67	3.61	3.76
2010-2014	57	37	20	4.46	4.46	4.55	4.07	4.02	4.15	3.68	3.62	3.80	3.76	3.69	3.89
2003-2014 *	98	64	34*	4.78	4.75	4.82	4.18	4.17	4.18	3.82	3.81	3.82	3.73	3.68	3.84
**2003-2014 **			36**			4.81			4.17			3.83			3.82

* 34 projects excluding 2 projects in Africa covered in the evaluation synthesis. ** All 36 projects covered in the evaluation synthesis including 2 projects in Africa.

Period	Social capital and empowerment			Institution and policies			Environment			Overall
	LA+Asia (all)	Non-IPs projects	ES sample	LA+Asia (all)	Non-IPs projects	ES sample	LA+Asia (all)	Non-IPs projects	ES sample	LA+Asia (all)	Non-IPs projects	ES sample
2003-2007	**4.35**	**4.19**	**4.6**	**4.11**	**3.82**	**4.6**	3.77	3.75	3.80	4.38	4.26	4.6
2005-2009	4.39	4.47	4.27	**4.07**	**3.83**	**4.45**	3.88	4.07	3.64	4.28	4.29	4.27
2007-2011	4.59	4.68	4.46	4.33	4.22	4.5	4.07	4.06	4.09	4.21	4.15	4.31
2009-2013	4.34	4.30	4.41	4.03	3.96	4.13	3.88	4.05	3.67	3.96	3.96	3.95
2010-2014	4.33	4.24	4.5	3.98	4.00	3.94	4.02	4.08	3.94	4.05	4.06	4.05
2003-2014*	4.35	4.29	4.43	4.06	3.96	4.22	3.95	4.00	3.87	4.13	4.15	4.20
2003-2014**			4.48			4.22			3.84			4.19

* For ES sample, 34 projects in Latin America and Asia
** For ES sample, 34 projects in Latin America and Asia plus 2 projects in Africa (Mali and Ethiopia)

Recent projects reviewed: basic information

Country Project	Approval	Project area	Target group	Project components
China Yunnan Agricultural and Rural Improvement Project (YARIP)	Dec-12	Nine counties in Yunnan province.	Focus on poor and the vulnerable in geographical areas selected based on poverty level, etc. "Within the project villages all households could be involved in project activities with particular priority given to assisting economically active members of the poorest category, **ethnic minorities** and women."	(i) Community infrastructure improvement; (ii) agricultural productivity enhancement; (iii) value chain development and improved market access; and (iv) project management and coordination.
India Jharkhand Tribal Empowerment and Livelihoods Project (JTELP)	Sep-12	14 districts in Jharkhand. 30 **subdistricts with a rural tribal population >50%** and population below the poverty line >50% to be selected. Within a subdistrict, Panchayat with highest concentration of tribal population.	Scheduled tribes households, **particularly vulnerable tribal groups households**, women-headed households, rural youth and below-poverty-line households	(i) Community empowerment; (ii) integrated NRM; (iii) livelihood support; (iv) project management.
Lao People's Democratic Republic Community-Based Food Security and Economic Opportunities Programme, "Soum Son Seun Jai" (SSSJ)	Dec-11	225 villages, where the incidence of poverty is greater than 30%, in nine districts in two provinces, four districts in Sayabouly and five in Oudomxay	"**Ethnically diverse** (e.g. Khmu, Hmong and Phrai) poor rural households, with two primary sub-groups: (i) highly vulnerable food-insecure households with limited capacity to enter into the market; and (ii) poor households that are moderately food-secure and have a greater potential to enter into the market."	(i) Integrated farming systems: (a) improving upland conservation and production systems; (b) livestock development; (c) water management. (ii) Links to markets: (a) village-access roads; (b) improving access to markets.
Nepal Kisangali Unnat Biu-Bijan Karyakram (Improved Seeds for Farmers Programme, ISFP)	Sep-12	First phase: 4 districts in the Mid-Western Region and 2 districts in the Western Region. All targeted districts in hill areas with high poverty levels. Additional districts to be selected for second phase.	"Smallholder farmers, goat owners and members of local production groups and financial service cooperatives." Particular emphasis to be given to "ensuring the full participation of **indigenous**, *dalits* and other vulnerable groups" Overall, >50% to be women; >50% with holdings <0.5 ha. For goat production groups, > 30% to be from indigenous or lower caste families.	(i) support to expansion of the formal seed sector; (ii) smallholder livestock commercialization; (iii) local institutional and entrepreneurial development (incl. financial and non-financial services, institutional strengthening).
Viet Nam Agriculture, Farmers and Rural Areas Support Project in Gia Lai, Ninh Thuan and Tuyen Quang Provinces ("Tam Nong Support Project, TNSP")	Dec-10	Three provinces of Tuyen Quang, Gia Lai and Ninh Thuan. 117 communes selected in 16 districts in these provinces based on poverty levels.	Poor households and **ethnic minority** households (including both the poor and the near-poor) who are engaged in the agricultural sector as farmers, farm labourers, or in other roles.	(i) Institutional Strengthening for Implementation of Pro-Poor Initiatives in Tam Nong; (ii) Promotion of Pro-Poor Value Chains; (iii) Commune Market-Oriented Socio-Economic Development Planning and Implementation.

Country Project	Approval	Project area	Target group	Project components
Ecuador Buen Vivir in Rural Territories Programme (Buen Vivir)	Sep-11	Esmeraldas, Carchi and Imbabura territories (provincies) in the north; Los Ríos in the centre; Tungurahua and Chimborazo; Bolívar in the central Sierra; Manabí, Guayas and Santa Elena in the semi-arid coast area; Loja in the south bordering with Peru. (areas scattered around the country)	The Project directly benefit approximately 12,500 poor rural families(about other 32,500 poor rural families would be indirect beneficiaries) .Socio-economic types targeted: (a) small-scale farmers, artisans, small-scale vendors and micro-entrepreneurs with limited access to productive resources; (ii) members of vulnerable groups (women, youth and **ethnic populations**); and (iii) poor rural populations with low levels of income and food security problems	(i) Strengthening capacities for territorial development; (ii) territorial initiatives investment fund; and (iii) participatory monitoring and evaluation; and (iv) programme management and organization.
Honduras Project for Competitiveness and Sustainable Development in the South-Western Border Region (PRO-LENCA)	Aug-13	42 municipalities in the departments of Intibucá, La Paz and Lempira selected on the basis of their poverty levels, their degree of social and environmental vulnerability, **the presence of indigenous people**, agricultural resources available, existing markets and inclusion of development "poles".	Food-insecure, poor rural households living in 8 different territories with a combined population of 760,000 (roughly 16 per cent of the country's rural population). These small-scale producers and, in some areas, indigenous and afro-Ecuadorian communities, are dependent to some degree on small-scale agriculture, either as producers on their own land; as day labourers; or both.	(i) Development and strengthening of rural organizations; (ii) productive and business development; (iii) improvement of rural infrastructure and management of natural resources; and (iv) project management and coordination.
Mexico Rural Development Project in the Mixteca Region and the Mazahua Zone (Note: The information according to the original design as approved. The project design was modified afterwards.)	Apr-12	Mixteca Region (states of Guerrero, Oaxaca and Puebla), 50 municipalities (**with high presence of Mixteca IPs**), and the Mazahua Zone (2 selected municipalities **with significant presence of Mazahua IPs**).	With Mixtecas comprising its majority, target group mainly consists of: (i) subsistence agricultural producers who cultivate communal lands and lack organized production and commercialization systems; (ii) unorganized small livestock producers, raising goats and sheep on communal lands; (iii) unorganized artisans, with weak linkages to markets; (iv) **rural and indigenous women** with a limited participation in production and income-generation activities; and (v) **rural and indigenous young women and men** who migrate from rural areas because of the severe lack of education, employment and business development opportunities.	(i) Development of human and social capacities; (ii) sustainable production; (iii) access to markets and rural businesses; and (iv) project management.
Nicaragua Programa de Desarrollo Rural en la Costa Caribe de Nicaragua (NICARIBE)	Dec-10	**7 Indigenous and Afro Territories** in 3 agro-ecological areas: (a) Río Coco (RAAN) and the territories of Wangki Maya, Wangi Twi; (b) Mines (RAAN) and the territories of Tuahka, Matunbak, Mayangna Sauni As; and (c) Laguna de Perlas (RAAS) and the territories of Laguna de Perlas and Awaltara Luhpia Nani)	(i) rural poor **indigenous and African descendants** in three agro-ecological zones; and (ii) rural poor who are non-indigenous or African descendants seated in the mentioned territories and recognized by territorial authorities.	(i) Production development (e.g. TA for production, support for access to markets, financing, through a Capitalization Fund (FOCADET) of the productive investments, diversification, added value and sustainable use of natural resources; (ii) Strengthening of local capabilities; (iii) Project management.

Indigenous peoples, ethnic minorities and relevant national frameworks in selected countries

Table XIV-1
Overview of indigenous peoples and ethnic minorities in selected countries

	Terms used *Who are indigenous peoples/ethnic minorities and where do they live?*	*% indigenous peoples/ethnic minorities of the total country's population*
China	"ethnic minorities" 55 ethnic minority groups recognized by the Government. The Han Chinese is the majority group (over 91%). The officially recognized ethnic minority groups have rights protected by the Constitution. This includes establishing ethnic autonomous regions, setting up their own local administrative governance and the right to practise their own language and culture. "Ethnic autonomous regions" constitute around 60% of China's land area (mainly in the west, south and north along the border with Mongolia). (IWGIA, 2014)	**8.49%** (in 2010) According to China's sixth national census of 2010 ethnic minorities represent 113,792,211 persons. Source: IWGIA, 2014
India	"scheduled tribes", "tribal groups", "*Adivasis*" 461 ethnic groups are recognized as Scheduled Tribes. In mainland India, the Scheduled Tribes are usually referred to as *Adivasis*, which literally means indigenous peoples. The largest concentration of IPs can be found in the seven states of North Eastern India (Manipur, Mizoram, Nagaland, Meghalaya, Tripura, Arunachal Pradesh, Assam) and in the so-called "central tribal belt" stretching from Rajasthan to Western Bengali. Source: IWGIA, 2014.	**8.2 %** In 2001 the percentage of scheduled tribes population amounted to approximately 8,2 % of the population Source: Bijoy C.R. and Nongbri T, 2013. IFAD *CTN India*.
Lao People's Democratic Republic	"**Ethnic groups**" The 2005 census identified 49 ethnic groups with at least 240 subgroups. These groups can be roughly divided into four broader ethno-linguistic groupings: Lao-Tai, Mon-Khmer, Chinese-Tibetan and Hmong Mien. The Lao-Tai dominate politically, culturally and economically and generally inhabit the river plains. The majority of the other ethnic groups inhabit the remote, mountainous and forested areas. Source: *Country Technical Notes on Indigenous Peoples' Issues. Lao People's Democratic Republic People`s Democratic Republic*. November 2012	**33%** 7 million population according to 2011 data Source: IGWIA, 2014
Nepal	"*Janajatis*" 125 caste and ethnic groups (63 IPs), 59 castes and 3 religious groups are recognized by the Nepal Government. Source: IWGIA 2014 They live different parts of the country (in the Terai, Mountain, Hill and Trans Himalayan regions). Their populations are concentrated in and around respective ancestral lands Source: Bhattachan K.B., 2012. *Country Technical Notes on Indigenous Peoples Issues. Federal Democratic Republic of Nepal*. Rome: IFAD	**35,8%** According to the 2011 Census Source: IWGIA 2014
Viet Nam	"ethnic minorities" As a multi-ethnic country, Viet Nam has 54 recognized ethnic groups. The Kinh represents the majority, comprising 87%, and the remaining 53 are ethnic minority groups, with an estimated 13 million accounting for around 14% of the country's total population of 90 million. The ethnic minorities live across the country but concentrated mostly in the Northern Mountains and Central Highlands in the South. Source: Mikkelsen C., (ed.), 2014. *The Indigenous World 2014*. Copenhagen: IWGIA	Approximately **14%** Source: IWGIA 2014
Ecuador	15 main ethnic groups, namely the Aka-Kwaiker, the Chachi, the Épera, Tsáchila (living mainly in the Pacific Coast) , the Kichwa (settled in the Highlands), the Acmar, the Afro Ecuatorians, A`I Cofán, the Amazonian Kichwa, the Huaorani, the Secoyas, the Shiwiar, the Shemar, the Siona, the Zápara (concentrated in the Amazon region) Source: Pero Ferreira A.M., 2014, Country Technical Note on Indigenous Peoples. Republic of Ecuador.	**7%** of the total population in 2011 Source: IGWIA, 2014

	Terms used Who are indigenous peoples/ethnic minorities and where do they live?	% indigenous peoples/ethnic minorities of the total country's population
Honduras	Nine main ethnic groups, namely Lencas, Mískitus, Cho`rtís, Tolupan, Pech, Tawankas, Negros, Garífunas, Nahuas. Indigenous Peoples are scattered across the national territory, mainly concentrated in the Western, Southern and Central areas. Source: IGWIA, 2014; CADPI, 2012 Nota técnica de país sobre cuestiones de los pueblos indígenas. *. República de Honduras.*	**6,2%** according to the 2001 National Census Source: IGWIA, 2014
Nicaragua	Seven indigenous peoples (Chorotega, Cacaopera/ Matagalpa, Ocanxiu/ Sutiaba, Nahoa/ Náhuatl, Miskitu, Sumu-Mayangna, Rama). They are concentrated in two main regions, namely the Pacific Coast (and Centre North of the country) and in the Caribbean (or Atlantic) Coast. There are also the black populations of African descent, known as "ethnic communities" in accordance with the national legislation. These include the Kriol/ Afro-Caribbeans and the Garífuna. Source: IWGIA, 2014	**5%-10%** Source : CADPI, 2012 *Nota técnica de país sobre cuestiones de los pueblos indígenas. República de Nicaragua.*
Mexico	According to the National Commission for the Development of Indigenous Peoples, there are 62 ethnic groups in the country. (Source: Instituto Nacional Indigenista, 1994.*Colección Pueblos Indígenas de México*, México; Conaculta y otros, 1998. *La diversidad cultural de México. Mapa*.) They are scattered across all the state of the Federal Republic (only 30 municipalities do not register any presence of indigenous individuals in the administered territories) Source: CADPI, 2012. Nota técnica de país sobre cuestiones de pueblos indígenas. The 10 states with the greatest concentration of indigenous inhabitants are Campeche, Chiapas, Guerrero, Morelos, Oaxaca, Puebla, Quintana Roo, Tabasco, Veracruz and Yucatán. In addition, from 2003 onwards, three autonomous indigenous governments were established in in Chiapas, Michoacán and Oaxaca. Source: Mikkelsen C., (ed.), 2014. The Indigenous World 2014. Copenhagen: IWGIA	**Almost 14%** of the population according to the 13th Census of the Population and Housing carried out in 2010 by the National Institute for Statistics, Geography and Computing (INEGI). Source: IGWIA, 2014

Table XIV-2
Overview of national frameworks and status of ILO 169 ratification in selected countries

	National constitution and some legal frameworks relevant to indigenous peoples and ethnic minorities	*ILO Convention 169*
China	• Constitution (articles 4, 112 – 122) regulates the ethnic autonomous system. Peoples Republic of China (PRC) has 155 ethnic autonomous regions	Not ratified

India	• Scheduled tribes in Constitution and 9 Presidential Orders
	
	• A number of central and state legislations. Among them:
	
	  – Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Act of 1989
	
	  – Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Rights) Act of 2006
	
	  – Panchayat (Extension to Scheduled Areas) Act (PESA Act) of 2006
	
	  – Forest Rights Act of 2006 which provides a legal framework for transferring rights of tribal communities for NRM while protecting their heritage, rights, indigenous knowledge & skills
		Not ratified
		
		(but ratified ILO 107 in 1958 still in force)

Lao People's Democratic Republic	• In 1981 the Government adopted a Policy on the Hmong people which aimed to strengthen the political opportunities for Hmong to participate in the governing process. The policy also attempted to improve the living conditions of Hmong people, and to increase national security for the country as a whole. • In 1992, the policy was adjusted and developed into a resolution of the Administrative Committee of the party,‖ The Ethnic Minority Policy‖, which applies to all ethnic groups throughout the country. There are no specific articles in it, rather it is an agreement on the principles that all ethnic groups should have improved access to services and that all discrimination must be eradicated. Moreover the policy does not outline specifically how to achieve these principles. • The National Assembly is the central forum that claims to speak on behalf of all people of the Lao People's Democratic Republic, and has the power to make decisions on the fundamental issues of the country; it is defined as the body of representatives of the rights of the multi-ethnic people of the country. The National Assembly is currently made up of 115 members who are elected by universal adult suffrage to serve a five-year term; it elects the President of the People's Democratic Republic, who is Head of State. • Within National Assembly there is the Ethnic Minorities Committee, responsible for ethnic affairs throughout the country. It is in charge of the supervision of the implementation of the plan for socio-economic development and state budget related to ethnic issues, of the draft plans and state budget related to ethnic issues, of making recommendations on draft laws and draft regulations on ethnic issues, of the implementation of the constitutions and law in the ethnic sector, and of the exercise of other rights and duties as assigned by the President of the National Assembly or by the Standing Committee of the National Assembly.	Not ratified
Nepal	• The constitution of 1990 and the current Interim Constitution of Nepal of 2007 accept caste, ethnic, linguistic and religious diversities, but does not acknowledge rights to indigenous peoples. • No specific legislation to indigenous peoples has been developed. • In 2002, the first law on indigenous peoples was passed: also in this case there wasn`t a formal acknowledgment of indigenous peoples' right but rather, the approval of the establishment of the Foundation for Development of Indigenous Nationalities which is an independent organization, but which maintain a strong link with the Ministry of Local Development. Moreover, it relies on the central Government for funding. It serves as a "bridge" between the Government and the indigenous peoples. • As a consequence of the lack of recognition of IPs rights, almost all laws, including those on land and natural resources, have deprived indigenous peoples of ownership, control and use of their traditionally owned, and used ancestral lands. • Another element which accounts for the difficulties faced by IPs in Nepal is represented by the recommendations put forward by the Special Rapporteur on indigenous peoples' issues about indigenous peoples' rights over land, territory and natural resources: "Existing initiatives of land tenure reform should incorporate a specific focus on the rights of the *Adivasi Janajati* [indigenous peoples] over the lands, territories and natural resources they traditionally have inhabited or used, or otherwise possessed, either individually or collectively". And then: "Appropriate measures should be adopted to ensure that *Adivasi Janajati* (indigenous peoples) are consulted, through their own representative institutions, in the planning and undertaking of any development project, either private or public, that affects their traditional land use patterns or access to natural resources."	Ratified (2007)

	National constitution and some legal frameworks relevant to indigenous peoples and ethnic minorities	ILO Convention 169
Viet Nam	Viet Nam's amended 2014 Constitution, like the earlier one, recognizes minority communities with equal citizenship rights. It prohibits ethnic discrimination (article 5.2.)	Not ratified
	• Article 75 and 77 decree the composition and role of the Ethnic Council in overseeing implementation of policies on ethnic groups, programs and plans for socio-economic development in mountainous and ethnic minority areas	
	• The Cultural Heritage Law of 2001 guarantees for cultural heritage and traditional practices	
	• Article 42.5 and 61 ensure ethnic minorities right to determine their ethnicity, use their mother tongue and prioritise development in mountainous areas and ethnic minority areas.	
	• The new land law adopted in 2013 decrees only that ethnic communities are recognised as one category of land users. All proper land users shall be given land use certificates	
Ecuador	• Ecuador's New Constitution was approved in September 2008. It acknowledges the collective rights of indigenous and Afro Ecuadorians peoples by stipulating the right to create and maintain their own organizations as well as by providing the possibility of establishing autonomous entities in areas where indigenous or Afro Ecuadorian are the majority. The Constitution also establishes the commitment of the Ecuadorian state to take affirmative actions to guarantee the participation of the discriminated sectors of the populations.	Ratified (1998)
	• Also, the 2006 Collective Rights of Black and Afro Ecuadorian Peoples Act recognises the rights of Afro descendants and establishes the National council for Afro Ecuadorian Development as an administrative and financial independent agency made up of State institutions and civil society organizations.	
	• The 2004 Agrarian Development Law establishes the capacity development of indigenous peoples, Afro Ecuadorians, Montubios and rural workers to enhance their knowledge in the areas of soil preparation, cultivation, harvesting and marketing to ensure the improved commercialization of their products.	
	• The 2004 Vacant Lands and Colonization Law ensures the protection of indigenous territories. According to the law, he ancestral domains of IPs and nationalities will not be considered a tierra baldía (uncultivated land.	
	• The 2007 Hydrocarbons Act and the environmental Regulation governing hydrocarbon operations enable the local populations concerned to take part in the monitoring of an oil company and their operations.	
	• The 2011 new educational law (*Ley orgánica de Educación Intercultural)* was approved. It establishes an intercultural bilingual education system which comprises an institute of ancestral languages, sciences and knowledge.	
Honduras	• The 1982 Constitution acknowledges IPs rights over the land they traditionally hold.	Ratified (1995)
	• No specific legislation recognising the rights of IPs has been introduced but there are some regulations (e.g. on property, environment, forestry, agriculture, tourism).	
	• In 2010 the Secretary for the Development of Indigenous Peoples and Afro Hondurans was established to serve as a governmental tool aiming to convey into the formal institutions the attention devoted to IPs issues.	
Mexico	• As a result of the amendment to article 6 in 1992 of the Constitution, Mexico was acknowledged as a multicultural (*pluricultural*) nation.	Ratified (1990)
	• In 1996 the government and the *Ejército Zapatista de Liberación Nacional* (EZLN; Zapatista National Liberation Army) negotiated the *Acuerdos de San Andrés* (San Andrés agreements)which granted autonomy and acknowledged the rights of indigenous population of Mexico. The agreements were based on five principles (namely recognition for the diversity of the indigenous population of the State of Chiapas, preservation of the natural resources within the lands occupied by the indigenous population, increased participation by individuals within indigenous communities in the decisions and control of public expenditures and in deciding their own development plans, including control over their own political and judicial policies; acknowledgement of the autonomy of indigenous communities and their right to fully participate to public life). Also, they envisaged the promotion of the conservation of the natural resources within the territories used and occupied by indigenous peoples, a greater participation of indigenous communities in the decisions and control of public expenditures, the participation of indigenous communities in determining their own development plans, and the autonomy of indigenous communities and their right of free determination in the framework of the State.	
	• In 2001, due to a mobilization of indigenous peoples claiming the legalization of the *Acuerdos de San Andrés* (San Andrés agreements) the articles 1, 2, 4, 18 and 115 of the Mexican Constitution were amended, thus abolishing any form of discrimination made on the basis of ethnic origin and formally recognising indigenous peoples` rights.	

	National constitution and some legal frameworks relevant to indigenous peoples and ethnic minorities	*ILO Convention 169*
	• From 2003 onwards and the *Congreso Nacional Indígena* (Indigenous National Congress) started implementing the *Acuerdos de San Andrés* (San Andrés agreements).	
Nicaragua	• The Indigenous Peoples and ethnic Communities of the Atlantic Coast Autonomy Act enacted in 1987 is the first legal text which recognises IPs as legal persons.	Ratified (2010)
	• Such an acknowledgement has been extended to IPs of the Pacific Coast (generically named as Atlantic Coast Communities) and the Northern Area of the country by art.5 of the 1995 Constitution. The same article recognises Nicaragua as a multi-ethnic state.	
	• Referring to the IPs of the Atlantic Coast, the Constitution dedicates a whole section to them under chapter IV on the Rights, Obligations and Guarantees of the Nicaraguan people (art.89) in which it is stated that these communities have the same rights and obligations of the rest of the population since they are an indissoluble part of the Nicaraguan People"	

Comparison of old and new COSOPs for selected countries

Methodological note: Assessing the treatment of indigenous peoples in COSOPs proved to be challenging since the mode of preparation of COSOPs has changed over the past few years as a result of different guidelines. In assessing whether the objectives included indigenous peoples (column A), the team looked at the strategic objectives but also at the overall section to see if indigenous peoples were brought in as a crosscutting issue or specifically included in any manner in the section. In reviewing targeting (column B), mere geographic targeting was not taken for granted, but some additional measures, which would ensure that indigenous peoples would be reached, were looked out for. In terms of an indigenous peoples related indicator (column C), it was considered sufficient if the results framework included some specific indicators related to how indigenous peoples would benefit, or proposed to segregate data along ethnic lines. In assessing whether indigenous peoples were consulted (column E), the evaluation synthesis looked for specific mention that indigenous peoples or their organizations had been consulted. Merely consulting *about* indigenous peoples was not considered adequate.

	A		B		C		D		E	
Country	IPs Included in objectives of COSOPs - country or project level		Targeted explicitly in COSOP at country or project levels		Includes or refers to an IPs related indicator		Specific gender issues of IPs covered at country or project-level		Consultations with IPs for COSOP formulation	
COSOP	Previous	Later	Previous	Later	Previous	Later	Previous	Later	Previous	Later
Bangladesh	N	N	N	Y	N	N	N	N	NSM	Y
China	N	N	N	Y	N	N	N	Y	NSM	NSM
Cambodia	N	N	Y	Y	Y	Y	N	N	NSM	NSM
India	N	Y	Y	Y	N	N	N	Y	NSM	Y
Lao People's Democratic Republic	N	Y	N	Y	N	Y	Y	Y	NSM	Y
Nepal	Y	Y	Y	Y	Y	Y	N	Y	NSM	Y
Viet Nam	Y	Y	Y	Y	N	Y	Y	Y	NSM	NSM
Ecuador	N	N	N	Y	N	N	Y	N	NSM	Y
Honduras	Y	Y	Y	Y	Y	Y	N	Y	Y	Y
Mexico	N	**Y**	Y	Y	N	Y	N	N	NSM	Y
Nicaragua	N	Y	N	Y	N	Y	N	Y	NSM	Y
Niger	N	N	N	N	N	N	N	N	NSM	NSM
Kenya	N	Y	Y	Y	Y	Y	N	N	NSM	NSM
Democratic Republic of the Congo	N	N	N	Y	N	N	N	N	NSM	NSM

Y=Yes; N=No; NSM=no specific mention

"IPs" indicates indigenous peoples and ethnic minorities

In Ecuador, although the targeting improved from a focus on geographical locations where indigenous peoples were present to direct targeting of IPs, the analysis of IPs-specific attributes such as the unique gender characteristics of indigenous peoples' communities and their attachment to land was not as evident in the later COSOP.

Recommendations by UNPFII with IFAD as a main addressee

Session/year	Addressee	Recommendations
03/2004	IFAD	The Forum recommends that **IFAD**, in collaboration with multilateral and regional agencies and indigenous organizations, **lead the mainstreaming of indigenous issues and concerns in poverty reduction strategies at the country level**. In view of the decreasing support to pastoral and semi-nomadic groups in Africa, the Forum recommends that **IFAD initiate programmes in support of these groups** and submit its planned work programme to the Forum at its fourth session.
04/2005	IFAD	The Forum, recognizing the contributions of IFAD in reducing rural poverty and its experience of good practices, **recommends that IFAD consider operational guidelines on indigenous peoples and a framework tool** for advocacy for promoting indigenous rights and development and achieving international development goals which emerged from international conferences, summits and conventions which are relevant for indigenous peoples.
05/2006	IADB, IFAD, World Bank	The Permanent Forum **congratulates IFAD** for the work undertaken in India on disaggregating the human development index and associated development indicators for indigenous and non-indigenous peoples. It further recommends that the Fund, in collaboration with the World Bank, the Inter-American Development Bank and other appropriate organizations, undertake similar work in any developing country where existing data allow for estimates of disaggregated development indicators.
05/2006	United NationsESCO, IFAD	The Permanent Forum recommends that the United Nations Educational, Scientific and Cultural Organization (United NationsESCO) and **IFAD establish an institutional partnership with indigenous peoples** so that they can fully participate in the monitoring and other mechanisms of United NationsESCO conventions and IFAD projects and programmes that are relevant to indigenous peoples. The Permanent Forum further recommends that United NationsESCO establish an advisory group of indigenous experts to provide advice.
05/2006	IFAD, SPFII	The Permanent Forum **recommends that IFAD take the lead** in a process whose aim would be to generate a global report on the status of indigenous peoples regarding their development with identity and dignity, as a complement to the proposed indigenous peoples' world status report.
05/2006	IFAD, SPFII	The Permanent Forum **highly appreciates** the initiatives undertaken by IFAD to highlight the need to give a high profile to indigenous issues within the organization and globally by nominating an Assistant President on Special Assignment for Indigenous and Tribal Issues. The Permanent Forum recommends that IFAD ensure that the gains made so far are sustained in the future and urges other organizations and international financial institutions to follow the Fund's example by assigning a person in a senior management position to coordinate indigenous issues within their organization.
05/2006	IFAD	The Permanent Forum **supports the willingness of IFAD** to consider continuing to operate the World Bank's Grants Facility for Indigenous Peoples. It recommends that IFAD make every effort to substantially enhance this Facility through its own grant funding mechanism as well as through seeking the contributions of other international financial institutions as well as bilateral and multilateral donors.
08/2009	IFAD	The Permanent Forum takes note of the difficulties mentioned in the IFAD report and during the in-depth dialogue regarding engagement with partners whose approach may not be favourable to indigenous issues. The United Nations Declaration on the Rights of Indigenous Peoples has been acknowledged by IFAD as an important instrument to promote a strong focus on indigenous peoples with its partners. The Permanent Forum recommends that IFAD use the Declaration actively and engage in a constructive dialogue regarding indigenous peoples' issues, even if its partners demonstrate a lack of interest or a less-than-positive attitude.
08/2009	IFAD	The Permanent Forum acknowledges the Fund's country strategic opportunities programmes as an important instrument for actively focusing on indigenous issues at the national level. The Permanent Forum recommends that IFAD construct mechanisms to secure the complementary use of the national operative planning instruments and the new institutional policy on engaging with indigenous peoples. The alignment of those instruments with the future institutional policy on indigenous issues is important for the mainstreaming of indigenous peoples' issues within IFAD.
08/2009	IFAD	The Permanent Forum **takes note of the determination of IFAD** — for which it congratulates the Fund — to identify indigenous peoples as a specific target group within the agency's strategic framework, which, in a significant way, has consolidated and legitimized indigenous peoples' issues in its work with its partners, other organizations and States. The Permanent Forum finds that identifying indigenous peoples as a specific target group is a standard-setting approach, to be duplicated by the United Nations and other international agencies. It is recommended that IFAD maintain its strong focus on indigenous peoples' issues in the formulation of the new institutional strategic framework, which is due to commence soon.

Session/year	Addressee	Recommendations
08/2009	IFAD	The Permanent Forum recommends that IFAD develop a stronger focus on issues relating to land and territory and actively promote indigenous peoples' rights to land.
08/2009	IFAD	The gaps and challenges facing IFAD in terms of its commitment to indigenous peoples' issues include the mainstreaming of the new institutional policy on engaging with indigenous peoples at all levels of the organization globally, regionally and nationally. The Permanent Forum recommends that institutional mechanisms be established so as to secure the process of mainstreaming within the agency.
08/2009	IFAD	The Permanent Forum recommends that when planning, preparing and implementing its programmes and projects, IFAD conduct the necessary investigations so as to ensure that the particularities and cultural sensitivities of indigenous peoples involved in and affected by the programmes and projects are taken into account. The Permanent Forum underlines the fact that indigenous peoples are to be engaged as an active and equal partner in all processes and phases of programmes and projects.
08/2009	IFAD	As part of the active engagement of IFAD with indigenous peoples' issues, the Permanent Forum recommends that the Indigenous Peoples Assistance Facility be incorporated into the organization's general budget so as to guarantee sustainability and the transfer of good practices and lessons learned within IFAD programmes and projects. The Permanent Forum also recommends that the facility extend its funding directly to indigenous peoples' organizations. Support for indigenous peoples' organizations should have as its point of departure the co-administration and co implementation of the projects.
08/2009	IFAD and other organizations	The Permanent Forum recommends the proposal by IFAD and other organizations to hold an expert workshop on the contribution to development of pastoralist cultures and hunting and gathering societies.
09/2010	IFAD	The Permanent Forum **congratulates IFAD for the approval of its policy** on engagement with indigenous peoples, consistent with international standards, in particular with the United Nations Declaration on the Rights of Indigenous Peoples and the United Nations Development Group guidelines. In the implementation of the policy, the Forum encourages the Trust Fund to establish an indigenous peoples' forum at IFAD, as an example of a good practice to be followed by other United Nations agencies and other intergovernmental organizations.
10/2011	IFAD	The Permanent Forum **congratulates IFAD on the establishment of an indigenous peoples' forum** on 18 February 2011. This is consistent with international standards and, in particular, with the United Nations Declaration on the Rights of Indigenous Peoples. It is also an example of good practice to be followed by other United Nations entities. The Forum encourages IFAD to: (a) actively promote the participation of indigenous peoples' organizations in country strategies and programme cycles; (b) improve the design, monitoring and evaluation of IFAD-funded projects by using specific indicators for the well-being of indigenous peoples and by promoting an independent assessment of such projects by indigenous peoples; and (c) improving its advocacy role in disseminating its best practices in terms of development approaches with indigenous peoples at the national, regional and international levels.
11/2012	FAO, IFAD, ILO, United NationsEP, United NationsESCO, United NationsITAR, United Nations Women, World Bank	The Permanent Forum urges relevant United Nations agencies, funds and programmes, including FAO, IFAD, ILO, United NationsEP, the United Nations Educational, Scientific and Cultural Organization, the United Nations Institute for Training and Research, United Nations-Women and the World Bank, to recognize and support this form of cultivation.
11/2012	FAO, IFAD	The Permanent Forum recommends that FAO and IFAD provide special attention and support to food sovereignty and security concerns of indigenous peoples through thematic studies, the adoption of participatory methodologies, and technical and financial assistance.
13/2014	IFAD, Member States, United Nations System, and the Private Sector	The Permanent Forum recommends that **IFAD convene platforms of dialogue** with countries, United Nations agencies and private sector actors to find solutions to improve the economic empowerment of indigenous peoples consistent with their cultural identity and diversity, as well as sustainable and equitable development. The Forum also recommends that specific indicators pertaining to the well-being of indigenous peoples be systematically adopted in IFAD-funded projects implemented in accordance with article 41 of the Declaration.

Comparison of policies of selected development agencies on indigenous peoples

1. This annex provides a brief comparative analysis of policies of different development agencies as follows:

    *   World Bank: Operational Policy on Indigenous Peoples (OP 4.10, 2005)

    *   Asian Development Bank (ADB): Safeguard Policy Statement (2009)

    *   Inter-American Development Bank (IDB): Operational Policy on Indigenous Peoples and Strategy for Indigenous Development (2006)

    *   FAO: Policy on indigenous and tribal peoples (2010)

2. **Definitions of indigenous peoples used in these policies are broadly in line with the internationally accepted standards.**[1] They are basically focused on a handful of principles, namely collective attachment to lands or territories where their ancestors resided; distinct in traditions and cultures from that of dominant communities; a high degree of identification as a separate group, and a recognition of this by others; and an indigenous language. IFAD's definition (as is FAOs) is further nuanced in that the description of indigenous peoples includes another element with regard to having an experience of subjugation, marginalization, dispossession, exclusion or discrimination. This is indeed in line with the factors that were "considered relevant to the understanding of the concept of indigenous" by the United Nations Working Group on Indigenous Populations.[2] Thus, in the case of IFAD and FAO, the predominant approach appears to be one of inclusion and empowerment rather than merely safeguarding their identity and assets. This dimension appears to have arisen from the focus of these two agencies on development of agriculture in rural areas and on food security.

    Box XVII-1
    Explanation of the term "Indigenous peoples" in the World Bank Operational Policy 4.10

    > For purposes of this policy, the term "Indigenous Peoples" is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:
    >
    > (a)   self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
    >
    > (b)   collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories*
    >
    > (c)   customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
    >
    > (d)   an indigenous language, often different from the official language of the country or region.
    >
    > A group that has lost "collective attachment to geographically distinct habitats or ancestral territories in the project area" because of forced severance remains eligible for coverage under this policy. Ascertaining whether a particular group is considered as "Indigenous Peoples" for the purpose of this policy may require a technical judgment.
    >
    > (World Bank Operational Policy 4.10, paragraph 4)

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[1] Including ILO Convention 169 (Indigenous and Tribal Peoples Convention, 1989), the United Nations Declaration on the Rights of Indigenous Peoples (2007), *United NationsDG* [United Nations Development Group] *Guidelines on Indigenous Peoples' Issues* (2008), the United Nations Permanent Forum on Indigenous Issues and the Inter-Agency Support Group on Indigenous Issues.
[2] United Nations (2009). Guidelines on Indigenous Peoples' Issues (2009). Noting the absence of a universal definition of indigenous peoples, the guidelines provided an overview on "existing attempts to outline the characteristics of indigenous peoples".

3. **In terms of the degree of focus on safeguard aspects, IFAD and FAO policies are different from that of other IFIs (ADB, IDB, and the World Bank).** The latter finance large-scale multi-sectoral transport, energy, health, and education projects that are much larger than IFAD and involve significant involuntary resettlement and environment issues, with potential of harming indigenous peoples. Hence their policies require more stringent requirements in terms of safeguards. IFAD and FAO interventions are focused on agriculture, food security, and rural development. Hence, their policies are more focused on doing good through inclusive targeting and provision of appropriate support. The safeguard element is not detailed, for example, in the FAO policy, which merely notes that "FAO will establish measures to collaborate with indigenous peoples and discourage ventures that will have an adverse impact on their communities." When a direct impact or relation to indigenous peoples' issues is found, FAO will follow the provisions of the UNDRIP that relate to free, prior and informed consent.

4. **The current policies of ADB and the World Bank take a prominent safeguard approach, while the IDB policy also combines a "do good" approach**. The policies require that interventions are designed to ensure that the indigenous peoples receive social and economic benefits that are culturally appropriate and gender and inter-generationally inclusive.[3]

    - *ADB's Safeguards Policy Statement aims to create a more coherent, consistent, and comprehensive safeguard policy that unifies the existing environmental and social safeguard policies into one*.[4] Section 29 of the Statement notes that it distinguishes the safeguards from the aspirational development objectives**.** It, however, codifies a higher standard for livelihood restoration rather than simply requiring that that displaced people be at least as well-off as they would have been in the absence of the project. The policy also requires that ADB help borrowers and clients to strengthen their safeguard systems and develop the capacity to manage environmental and social risks.[5] A Special Evaluation Study by its Independent Evaluation Department[6] concluded that the Safeguards Policy Statement struck a good balance between seeking efficiency gains in the use of safeguards and maintaining a compliance-based regulatory system to achieve positive environmental and social outcomes.[7]

    - *The 2009 IDB policy emphasizes both the do good and do no harm aspects**.** It explicitly brings in the concept of a "strategy for the economic development of indigenous peoples." IDB is thus required to contribute in achieving a systematic and relevant mainstreaming of indigenous issues in national development agenda and in its own operations portfolio, even if the projects are general and have only a potential to support indigenous peoples. Further, the IDB policy distinguishes between adverse impact and particularly significant potential adverse impacts. The latter are impacts that carry a high degree of risk to the physical, territorial or cultural integrity of the affected indigenous peoples or groups. In the latter cases, IDB further requires that the project proponent demonstrate that, through good faith negotiation, it has obtained agreements regarding the operation and measures to address the adverse impacts as necessary to support, in the Bank's judgment, the sociocultural viability of the operation.

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[3] The 2011 WB self-assessment found that among the projects triggering the policy, the proactive (do good') projects which seek to benefit Indigenous Peoples outweigh the projects which raise safeguards (do no harm') issues, by a ratio of 5 to 1.

[4] US Position on ADB's Safeguard Policy Statement (July 2009)

[5] The following review suggests there is no dilution in the area of approach towards IPs when compared to the previous policy. 2010, Understanding the Asian Development Bank's Safeguard Policy – What protection does the Bank's new safeguard policy provide for communities and the environment, Jessica Rosin, Oxfam

[6] ADB. 2013. Corporate Evaluation Study: Safeguards Operational Review *ADB Processes, Portfolio, Country Systems, and Financial Intermediaries*. Manila

[7] ADB, 2014, Safeguards Operational Review, ADB Processes, Portfolio, Country Systems, and Financial Intermediarie. Manila.

- *The World Bank's currently policy (which is under revision) emphasizes the safeguard aspects, but also combines a do good approach*. It requires that for all projects that are proposed for Bank financing and affect indigenous peoples, the Bank must engage the borrower in a process of free, prior, and informed consultation. The Operational Policy 4.10 also requires that in furtherance of its objectives, the Bank may, at a member country's request, support the country in its development planning and poverty reduction strategies by providing financial assistance for a variety of initiatives. Thus, although it has a proactive approach this is only at the request of the Government, unlike in the case of the IDB.

5. **The FAO's "Policy on Indigenous and Tribal Peoples"** (2010) provides the "core principles of engagement" that are similar to IFAD but with slight differences as follows: (i) self-determination; (ii) development with identity; (iii) FPIC; (iv) participation and inclusion; (v) right over land and other natural resources; (vi) cultural rights; (vii) collective rights; and (viii) gender equality. What may be distinguishable from the IFAD's policy is the use of the term "self-determination" which is not in the IFAD document.

6. **The IDB policy is different from other IFIs as well as IFAD and FAO in that it also distinguishes a small group of indigenous peoples described as "uncontacted indigenous peoples"**. The policy requires that IDB respect their rights including to remain in isolated condition and to live freely according to their culture. Thus, any projects that have "have potential impacts on these peoples, their lands and territories, or their way of life will have to include the appropriate measures to recognize, respect and protect their lands and territories, environment, health and culture, and to avoid contact with them as a consequence of the project".[8]

7. **The processing requirements of IFIs are similar**. The common processes include screening whether indigenous peoples are present, undertaking a social assessment if they are, consultation with communities, preparation of measures to address any adverse impact, and to see that they also receive culturally appropriate benefits. Both policies require where there are negative effects due to their interventions that cannot be eliminated or mitigated, there should be appropriate and acceptable compensation. The policies of these IFIs require the mandatory preparation and public disclosure of Indigenous People's Development Plans or Frameworks by Government when indigenous peoples are "affected".

8. **Free, prior and informed consent**. Inclusion of the principle of free, prior and informed consent (FPIC) in these IFIs' safeguard policies has been an issue frequently raised by UNPFII and indigenous peoples' organizations. The current World Bank policy (which is under revision) states "free, prior and informed *consultation*", which is considered not in line with UNDRIP specifying "consent". ADB's SPS does refer to UNDRIP and FPIC with "consent", however, the provisions in the SPS have been criticized as they are seen to "redefine" FPIC[9] and limit the scope of application of FPIC principle. In the FAO policy, as is the case for IFAD, "the adoption of FPIC" is one of the "core principles of engagement".

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[8] However, in case of the IDB, the number of loans with proactive approach has declined. See IDB 2012. (http://www.bicusa.org/institutions/idb/)
[9] ADB SPS defines FPIC as "a collective expression by the affected indigenous peoples communities, through individuals and/or their recognized representatives, of broad community support for the project". SPS further states that broad community support "may exist even if some individuals or groups object to the project activities" Oxfam Australia (2010) reported that "according to representatives of Indigenous Peoples networks, this redefinition undermines the consistent application of FPIC" and "a coalition of Indigenous Peoples' representatives submitted a letter to the ADB outlining their concerns regarding 'broad community support'".

Comments of the senior independent advisor on the final evaluation synthesis report on IFAD's engagement with indigenous peoples

Elsa Stamatopoulou[1]

Global context

1. This evaluation synthesis and learning exercise conducted by the Independent Office of Evaluation (IOE) is taking place at an important policy moment for indigenous peoples' issues at the intergovernmental level.

2. First of all, it is taking place after the adoption of one of the most significant international instruments, namely the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), in 2007. This instrument is the boldest recognition of cultural rights, of ethncity and of group rights. Moreover, *the duty bearers,* according to the Declaration, are not only states, but also the United Nations system and United Nations bodies according to Articles 41 and 42. We should add that this is a special case, where international organizations are given clear international legal human rights obligations. In a significant commentary on Article 42 issued in 2009 the United Nations Permanent Forum on Indigenous Issues (UNPFII)[2] stated that the Forum shall look to the Declaration as a set of superior norms and that the Declaration will gain in the workings of the Forum a superior status in relation to national law.

3. In the past decade, several United Nations entities and intergovernmental organizations have been redefining their own development policies, either by developing corporate strategies, strategic frameworks and policies or by implementing specific projects and initiatives that respect the cultural and linguistic diversity and development priorities of indigenous peoples. In 2008 United Nations agencies adopted the United Nations Development Group Guidelines on Indigenous Peoples' Issues, aimed at making UNDRIP a reality at the operational level.

4. 2014 was a watershed moment in indigenous peoples' issues at intergovernmental level: the United Nations marked the end of the Second International Decade of the World's Indigenous Peoples and also held the World Conference on indigenous Peoples (WCIP). The United Nations is in the process of setting the post 2015-development agenda with intense negotiations, also within the context of financing for development.

5. A major outcome of the WCIP is a strong emphasis on the need to respect free, prior and informed consent (FPIC), to disaggregate data and to use indigenous peoples-relevant indicators. An equally strong emphasis is on a system-wide action plan, in other words, the United Nations system must be more concretely engaged to help implement the UNDRIP at the national level.

6. On the side of challenges at this broad international context, we cannot but recognize that the MDGs and the efforts towards their implementation did not adequately take into account indigenous peoples' issues or engage their participation at country level. Indigenous peoples' situations have been obscured under national averages. Through the advocacy of indigenous peoples and policy advice of the UNPFII to the United Nations system, these gaps have been identified and the hope is that the post-2015 agenda will include measures for the well-being of indigenous peoples.

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[1] The adviser held the position of Chief of the Secretariat of the UNPFII from 2003 to 2010.
[2] E/2009/43, E/C.19/2009/14, annex.

IFAD-specific context and some methodological points

7. From the adviser's experience at the United Nations, IFAD was among the first United Nations system organizations actively and creatively involved with the work of the UNPFII. Given that each organization has its own culture of work and protocol, what stands out in connection with IFAD are two things: a) the visible engagement of high-level management with indigenous peoples' issues; and b) a dynamic culture of exchange and learning within, a culture that creates an atmosphere of openness and allows for resilience, flexibility and change.

8. In preparing a commentary for this evaluation synthesis report, the adviser was first of all placing as an umbrella consideration the rich normative framework on indigenous peoples' issues that now exists, namely the UNDRIP and ILO Convention N° 169 on Indigenous and Tribal Peoples. Secondly, she considered the international policy framework within which IFAD operates, namely UNPFII recommendations, the United Nations Development Group Guidelines on Indigenous Peoples' Issues and IFAD's own policy of 2009 as well as IFAD's own institutions.

9. Finally, the adviser looked at international comparators, namely comparison between IFAD and other IFIs and inter-governmental organizations.

10. Regarding the evaluation synthesis per se and given that this has been a learning exercise for IFAD, the adviser examined the lessons learned, seeking the identification of facilitating factors for the achievements, and of the obstacles for the challenges identified. She considered the framework for analysis used in this evaluation synthesis report in characterizing outcomes as good or in identifying challenges. She also paid special attention to IFAD's implementation of FPIC, its capacity strengthening work on indigenous peoples' issues as well as its leadership role on them, the issue of data collection and disaggregation as well as indicators, IFAD's institutional innovations and ways that knowledge management could be enhanced.

Commentary

11. This evaluation synthesis exercise has been the result of considerable internal work by IOE with broad consultation within the organization, as well as discussions with other partners, including indigenous people. Through the process of the evaluation synthesis report preparation, the adviser has been pleased to benefit from ample opportunity for dialogue with IOE and has provided inputs, which were duly considered: IOE was open to comments, as expected, given the adviser's experience with the culture of the organization.

12. The adviser has read the report with great interest and was impressed with the depth and spectrum it covered. The report corresponded to the desk reviews it had as its base and tried to get as much as possible from the data available. She was also pleased to see that the analysis tried to glean out how free, prior and informed consent (FPIC) is seen and dealt with by IFAD and what lessons are drawn from that. This was also the case with some other important questions that helped analyze why and how IFAD has been trying to maintain itself in a leadership position as a good example in indigenous issues internationally.

13. This adviser congratulates IOE for a well-rounded and well-documented evaluation synthesis report, that will be a resource on indigenous affairs for IFAD, for the whole United Nations system and beyond, especially at this particularly important juncture for indigenous issues internationally. We will therefore look forward to its publication and distribution.

14. The purview of the evaluation synthesis report covers IFAD's work on indigenous peoples' issues in the last ten years. It should be said that, in terms of public policy results, that it was an ambitious exercise for IFAD to be measuring results so soon after the adoption of its 2009 policy. Given that all evaluated projects reviewed

were designed prior to IFAD's policy on indigenous peoples, this exercise is testimony to IFAD's dynamic approach to indigenous and other issues.

15. Given the brevity of this note, the adviser is highlighting below a few points in the report that she considers of particular importance.

16. The adviser agrees with the lessons identified in paragraph 161. In the table at the end under "key points", she would have added reference to the internal capacity-building, namely that "understanding of indigenous peoples' issues by IFAD country programme managers/officers has an important influence on the direction of country programmes".

17. The adviser generally shares the conclusions in the report, paragraphs 162-173. Among those she would like to particularly highlight a few that bring out IFAD's comparative advantage, achievements and areas that can be strengthened.

18. Paragraph 172 rightly points out that IFAD is in a unique position among development agencies to support indigenous peoples' social and economic empowerment. The size and nature of IFAD-financed projects – comparably smaller than those financed by other IFIs and concentrating on rural and agricultural development for poverty reduction – as well as its unique focus on targeting, participatory approaches, community development, empowerment and inclusion, have enabled IFAD to naturally follow a proactive approach to supporting indigenous peoples. IFAD's comparative advantage stems from inter-linkages of its operations and activities at different levels: experience on the ground, various instruments at corporate level (the policy, a dedicated desk in PTA, IPAF, Indigenous Peoples Forum) and broad partnerships and networks, as well as the roles that IFAD plays at international level.

19. Among major IFAD achievements, the adviser would like especially to underline IFAD's substantial contribution to the international processes and its advocacy (para. 163); the Indigenous Peoples Assistance Facility (IPAF) that has been a flagship programme and unique instrument that has helped IFAD develop partnerships and trust with indigenous peoples' organizations and also contributed to their empowerment (para. 164). IFAD's 2009 policy on engagement with indigenous peoples is highly relevant to its overall corporate strategies and to indigenous peoples and there are indications that the attention to indigenous peoples' issues is becoming more visible in COSOPs and project designs even though there are still challenges in implementation, and although the trends are not consistent across the board (para. 165). The Indigenous Peoples Forum is another major institutional achievement for IFAD as it constitutes a formal consultative process with indigenous peoples. The Tebtebba study (2014) rightly considers IFAD "a global pioneer…in terms of establishing institutional mechanisms for sustained dialogue with indigenous peoples", through the Indigenous Peoples Forum. The same report also noted that "through the regional dialogues organized in the context of the Forum, IFAD is the only agency expanding the institutional dialogue with indigenous peoples to the African region".

20. In terms of the areas that need strengthening, those mentioned in paragraphs 167-170 are especially important: (i) building on the policy and overall achievements, there is a need to strengthen consistent policy implementation at an operational level; (ii) another challenge is the limited understanding of indigenous peoples' issues among some IFAD's country programme managers/officers; (iii) key issues related to investment projects include the need for tailored approaches and better monitoring with disaggregated data and specific indicators; and, quite importantly, (iv) amongst the principles of engagement in the policy, there has been lack of clarity about how to operationalize the requirement of FPIC. It would be important to: (a) clarify for which types of projects and in which cases FPIC at project design stage would be required, whether and how this should/could be practically and pragmatically achieved (including what would constitute a "consent"); and

(ii) understand and appreciate the possible implications on the budget for design work and projects, as well as the timeframe. Given IFAD's leadership role, it would indeed be crucial for IFAD to clarify FPIC in its operations.

21. The adviser commends the insightful conclusion in paragraph 173, that there may be tensions between increasing demand for results and efficiency in development cooperation on the one hand, and the perception that more time and resources would be needed for designing and implementing projects targeting or affecting indigenous peoples on the other. Full and meaningful participation of indigenous peoples in the development of a project is indeed key for ensuring relevance, as well as effectiveness, efficiency and sustainability of the project. Demand for better diagnostic analysis, differentiated targeting approach, full participation of indigenous peoples and FPIC, disaggregated data, capacity-building and empowerment, as well as challenges with implementation capacity, etc. – all of these *could* discourage IFAD operational staff from reaching out to indigenous peoples in investment projects. This core challenge is one that we will expect IFAD to successfully face. In that sense, IFAD cannot allow itself to "become victim of its own success". Attention to time for meaningful participation of indigenous peoples is indispensable for development with culture and identity.

22. One of the lessons and conclusions that may not be as clear, although mentioned in various contexts in the report, is that what has significantly helped IFAD reach this commendable level of leadership on indigenous issues is the high-level profile of these issues at institutional/management level. This approach should obviously continue.

23. The adviser fully shares the recommendations of the report, especially those on the operational level (paragraphs 176-178), including data collection and disaggregation, indicators, implementation of FPIC and capacity-building.

24. Finally, the recommendation on enhancing knowledge management and creating a study and flagship publication is an excellent one. IFAD could perhaps consider publishing such studies periodically, every three years for example, instead of an ad hoc volume.

25. Looking into the future, it would be desirable for IFAD to further enhance its country role and, in becoming part of the United Nations Country Teams, to exercise its advocacy on indigenous issues and to lead by example.

Concluding remark

26. At the sessions of the UNPFII and in their countries indigenous peoples engage with United Nations agencies. Agencies' programmes and projects have sometimes had results that indigenous peoples have been involved in and welcomed. IFAD has made considerable efforts to establish good practices with indigenous peoples' own participation. Indigenous peoples have also used the sessions of the UNPFII to develop relations with United Nations agencies, to promote global or national indigenous issues, and to seek the intervention of the Forum in order to change some agency policies and practices.

27. Including indigenous peoples' issues within intergovernmental organizations is a complex yet worthwhile enterprise, given the role that can be played by international public institutions in promoting social justice at national level. The strategy of integrating indigenous issues into intergovernmental public policies and, eventually, governmental public policies that will halt the marginalization of indigenous peoples, will therefore need to be multipronged. The interaction between the indigenous movement and the United Nations over the past four decades and the adoption of the United Nations Declaration on the Rights of Indigenous Peoples places the United Nations system and IFAD in particular at the forefront of helping to move from historical injustice in the past to responsibility for the future.