

**Concept Note**

**Evaluation Synthesis on IFAD's Engagement with  
Indigenous Peoples**

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## Concept Note

# Evaluation Synthesis on IFAD's Engagement with Indigenous Peoples

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## I. Introduction

1. This note presents the conceptual framework for preparing an evaluation synthesis report on the opportunities and challenges of IFAD's engagement with indigenous peoples. The synthesis report will include an assessment of IFAD's approaches to engaging with indigenous peoples and identification of good practices and lessons learned. In addition to IOE's evaluation findings, it will also entail a review of evaluative evidence available outside IOE as well as a broader literature review on the topic. The synthesis report will present lessons for future consideration, to which a written Management Response by IFAD will be provided.
2. This paper defines the objectives, scope, methodology and processes for this undertaking. This document includes four sections. After a general background on indigenous peoples (Section II), this note presents a summary of IFAD's strategy and portfolio in engaging with indigenous peoples (Section III) before presenting the objectives, scope and methodology, and risks and limitation of the study (Section IV). Section V describes the evaluation team and the tentative time line of the study.

## II. Background and context - indigenous peoples

3. According to the IFAD's Policy on "Engagement with Indigenous Peoples" (2009, hereinafter referred to as "IFAD IP Policy" or "IP Policy"), IFAD uses a working definition of indigenous peoples based on the following criteria<sup>1</sup>:
  - (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 organisation, 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, marginalisation, dispossession, exclusion or discrimination.
4. This working definition is broadly consistent with that used by other international organizations which have some sort of policies relating to indigenous peoples (often safeguard policies), such as the World Bank<sup>2</sup>, although there are some differences<sup>3</sup>. These policies on indigenous peoples normally include ethnic minorities and tribal peoples. This is also implied in the IFAD IP policy<sup>4</sup>.
5. Indigenous peoples are estimated to number around 370 million in the world<sup>5</sup>. Although they account for less than 5 per cent of the global population, they

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<sup>1</sup> These criteria are almost the same as those in "Working paper on the concept of 'indigenous people'" produced in 2004 by the the Working Group on Indigenous Populations under the UN Department of Social and Economic Affairs, except for that the last criterion in the IFAD IP policy did not have "whether or not the conditions persist" ..

<sup>2</sup> The World Bank Operational Policy 4.10 Indigenous Peoples.

<sup>3</sup> 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, marginalisation, dispossession, exclusion or discrimination also as an identifying characteristic".

<sup>4</sup> By the fact that the IP policy states that "across countries and continents, many terms and definitions are used to refer to indigenous peoples", examples for which included tribes and ethnic minorities.

<sup>5</sup> Department of the Economic and Social Affairs of the United Nations (2009), State of the World's Indigenous Peoples. United Nations Permanent Forum on Indigenous Issues: Factsheet (not dated).

constitute more than 15 per cent of the world's poorest and most vulnerable<sup>6</sup>. While there are indigenous peoples in every region of the world, about 70 per cent of them live in Asia, and they constitute about 11 per cent of the Latin American population. The majority of indigenous peoples live in rural, marginalized and vulnerable areas, difficult to be reached by economic development's initiatives.

6. According to IFAD, "poverty reduction among indigenous peoples is not simply a matter of service delivery. It is about providing them with the capabilities they need to lead the kind of life they value, to be free from fear and to enhance their role as agents in transforming their lives"<sup>7</sup>. One of the root causes of the poverty and marginalization of indigenous peoples is loss of control over their traditional lands, territories and natural resources.
7. The International Labour Organization (ILO) adopted the Indigenous and Tribal Peoples Convention No. 169 in 1989. The Convention 169 covers a wide range of issues concerning indigenous peoples, including their social, economic, and political matters. However, it is applicable only to countries that have ratified the Convention; so far only 20 countries<sup>8</sup> have done so, all of which have an obligation to apply its requirements in domestic law and its practice.
8. More recently, in 2007 the United Nations General Assembly adopted the *Declaration on the Rights of Indigenous Peoples*, which was voted for by 144 countries. The Declaration establishes a universal framework of minimum standards for the survival, dignity, well-being and rights of the world's indigenous peoples. The Declaration addresses both individual and collective rights. It outlaws discrimination against indigenous peoples and promotes their full and effective participation in all matters that concern them. In 2008, the United Nations Development Group Guidelines on Indigenous Peoples' Issues (entered into force in February 2008) was prepared to assist United Nations agencies in the application of the Declaration at the international and country levels.

### III. IFAD's strategy and portfolio

9. **Loan and grant financed support - overview.** It is reported that between 1979 and 2012, IFAD has financed around US\$1.5 billion in loans in support of indigenous peoples<sup>9</sup> and that since 2003, an average of about 22 per cent of IFAD's annual lending has supported initiatives for indigenous peoples, mainly in Asia and Latin America<sup>10</sup>.
10. In addition to its regular loan and grant financed activities, another important channel for IFAD support has been the Indigenous Peoples Assistance Facility (IPAF), a dedicated grant facility that was originally established in 2003 by the World Bank. In recognition of its experience and knowledge of indigenous peoples' issues, IFAD's Executive Board approved in 2006 the transfer of the IPAF to IFAD. IPAF aimed to build a direct partnership with indigenous peoples to enable them and their communities to design, approve and implement grass-roots development projects based on their own perspectives. A board composed in majority by representatives of indigenous peoples' organizations governs the IPAF. In 2011, the management of the Facility has been decentralized at regional level to regional indigenous peoples' organizations.<sup>11</sup> Through small grants of up to US\$50,000,

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<sup>6</sup> [http://www.ruralpovertyportal.org/en/topic/home/tags/indigenous\\_peoples](http://www.ruralpovertyportal.org/en/topic/home/tags/indigenous_peoples)

<sup>7</sup> [http://www.ruralpovertyportal.org/en/topic/home/tags/indigenous\\_peoples](http://www.ruralpovertyportal.org/en/topic/home/tags/indigenous_peoples)

<sup>8</sup> <http://www.ilo.int/indigenous/Conventions/no169/lang--en/index.htm> These 20 countries are mostly in Latin America (Argentina, Bolivia, Brasil, Chile, Colombia, Costa Rica, Dominica, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Paraguay, Peru, Venezuela – 15 countries). The remaining countries are: Fiji, Nepal, Central African Republic, Denmark, Netherlands, Norway and Spain.

<sup>9</sup> [http://www.ifad.org/english/indigenous/documents/policy\\_flyer.pdf](http://www.ifad.org/english/indigenous/documents/policy_flyer.pdf) The figure is based on the estimated percentage of indigenous peoples amongst project beneficiaries multiplied by IFAD funding for each project.

<sup>10</sup> [http://www.ifad.org/english/indigenous/index\\_full.htm](http://www.ifad.org/english/indigenous/index_full.htm)

<sup>11</sup> Three indigenous peoples' organizations, namely *Foro Internacional de Mujeres Indigenas* (FIMI) in Latin America and the Caribbean; *Mainyoto Pastoralist Integrated Development Organization* (MPIDO) in Africa; and *Tebtebba Foundation* in Asia act as co-managers of IPAF.

IPAF supports indigenous peoples by funding small projects that strengthen indigenous culture, identity, knowledge, natural resources, intellectual property and human rights. Since 2007, there have been three calls for proposals (2007, 2008 and 2011) which generated more than 3,000 proposals, and IPAF has so far supported 102 projects in 42 countries for a total amount of about US\$2.6 million<sup>12</sup>.

11. **Policy and strategy.** In line with the corporate mandate, IFAD's Strategic Framework (2011-2015) and IFAD's Targeting Policy broadly define the target group as rural people living in poverty and experiencing food insecurity in developing countries. Whilst specific target groups should be defined in each country context according to the Targeting Policy, there are some "sub-groups" of poor rural people that are more likely to be subjected to poverty and be marginalized. Those that are specifically mentioned in various corporate documents as important target sub-groups are indigenous peoples and ethnic minorities, rural women and youth.
12. IFAD Policy on Engagement with Indigenous Peoples (2009) defines principles that enhance the effectiveness of programmes and projects. The policy document 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.
13. In its engagement with indigenous peoples, 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

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<sup>12</sup> IFAD (no date): "The Indigenous Peoples Assistance Facility: A promising link between grassroots indigenous peoples' organisations and the international community".

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
14. 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<sup>13</sup> have been prepared in partnership with indigenous peoples' organisations.
15. The policy further 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

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<sup>13</sup> Country Technical Notes on Indigenous Peoples' Issues are available for 31 countries: Asia: Bangladesh, Cambodia, India, Indonesia, Laos, Nepal, Pakistan, Philippines, Viet Nam; Africa: Kenya, Tanzania, Democratic Republic of the Congo, Niger; 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 on <http://www.ifad.org/english/indigenous/pub/index.htm>. Additional five country technical notes are being developed for Cameroon, Gabon, Rwanda, Burundi and Congo Brazzaville.

partnership with the UN Permanent Forum on Indigenous Issues, Inter-Agency Support Group on Indigenous Issues.

16. **Advocacy at global level.** IFAD has not restricted its activities to an operational/loan-financed project level, but has been engaging actively with the United Nations (UN), inter-governmental and indigenous peoples' organizations for policy issues and advocacy at regional and global level.
17. In 2006, IFAD organized its first policy forum discussion on IFAD's principles of engagement. The same year, the Fund chaired the Inter-Agency Support on Indigenous Peoples' Issues (IASG) and hosted its annual meeting in September<sup>14</sup>. In August 2008 and January 2009, IFAD organized two exchanges among the representatives of indigenous peoples in charge of the small projects, the members of organizations supporting indigenous peoples and IFAD to seek feedback and subsequently prepared a report on the lessons learnt from the IPAF projects financed during 2007 and 2008. Consultation with indigenous experts on the Dialogue Paper for IFAD's Engagement with Indigenous Peoples and feedback received formed the basis for the IFAD's draft policy on indigenous peoples, which was adopted in 2009.
18. To help translate policy commitments into action, and to respond directly to indigenous peoples' demand for systematic dialogue with UN organizations, the Fund established its Indigenous Peoples' Forum at IFAD (IPF) 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. The first global meeting of the IPF was held on 11-12 February 2013, at IFAD headquarters in Rome in conjunction with IFAD Governing Council<sup>15</sup>. The report on the Forum indicates that the Forum was considered as a way to "institutionalize" the relationship between the indigenous peoples and IFAD and to "establish a shared learning environment, based on the principles of consultation, participation and dialogue"<sup>16</sup>.
19. IFAD also actively participates in the United Nations Permanent Forum on Indigenous Issues (UNPFII), which is one of the four formal mechanisms within the UN System, with an advisory role to the Economic and Social Council (ECOSOC), and a mandate to discuss indigenous issues related to economic and social development, culture, the environment, education, health and human rights<sup>17</sup>.

#### **IV. Objectives, scope and methodology**

20. This section outlines the objectives, key evaluation questions, scope and methodology, and limitations of the evaluation synthesis.
21. **Objective.** The evaluation synthesis has the following two key objectives:
  - Identify lessons and good practices on IFAD's engagement with indigenous peoples at the operational, country and global levels, with the ultimate aim of contributing to IFAD's knowledge base on the topic; and

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<sup>14</sup> IFAD is an active member of The United Nations Inter-Agency Support Group (IASG) on Indigenous Issues aims to strengthen cooperation and coordination among UN agencies, funds, entities and programmes on indigenous peoples' issues and to support the UN Permanent Forum on Indigenous Issues. The IASG is formed by about 30 UN agencies and inter-governmental organizations.

<sup>15</sup> <http://www.ifad.org/english/indigenous/forum/index.htm>

<sup>16</sup> IFAD (2013), summary flyer on the Forum

<sup>17</sup> The other mechanisms within the UN are the Inter-Agency Support Group on Indigenous Peoples' Issues in support to the UNPFII; the Special Rapporteur on the Situation of Human Rights and Fundamental Freedoms of Indigenous Peoples under the Human Rights; and the Expert Mechanism on the Rights of Indigenous Peoples under the Human Rights Council.

- Identify key issues for further reflection on opportunities and challenges, strategic directions, priorities and instruments for IFAD's engagement with indigenous peoples in the future.
22. **Key questions.** The proposed main questions that the synthesis study will attempt to answer are:
- a. Does IFAD have appropriate **corporate policies and strategies**, in line with international standards, to guide its work in support of indigenous peoples?
  - b. What approaches and strategies, in different countries and project contexts, have been used and found effective (or not) to **ensure that indigenous women and men are appropriately included in the target group and beneficiaries** – both in the design and in implementation?
  - c. **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?
  - d. To what extent and in what ways has IFAD's loan and grant financed support contributed to the **empowerment of indigenous peoples and their organisations** to improve their well-being, income and food security according to their values and perspectives? What are good practices and lessons learnt?
  - e. 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 level and **policy dialogue at national/local level** where appropriate?
23. **Scope.** The study will consist of four components: (i) a rapid literature review to provide an overall context for the study; (ii) a synthesis of findings from IOE evaluations of operations relevant to indigenous peoples (operational level); (iii) a review of IFAD strategy and approach at country level based on a review of country strategic opportunities papers/programmes (COSOPs) before and after the 2009 IP Policy (which may be supplemented by country programme evaluations (CPEs) where applicable), as well as project design documents (including quality enhancement/assurance documents) for more recent projects; and (iv) a rapid assessment of IFAD's activities at corporate level, partnerships with and influence on other development partners (global strategic level). These are briefly discussed below.
24. *Component 1: Literature review.* In order to contextualize the study, a rapid literature review will be undertaken with regard to the development approaches to indigenous peoples in the past decade – overall and at IFAD. This would involve a review on socio-economic trends of indigenous peoples, normative frameworks, relevant global development agenda, similar or comparable policies and strategies of other development agencies, evaluations by other organizations, as well as reports and publications by indigenous peoples' organisations. The review will also cover relevant IFAD policies, strategies and publications to enhance understanding on relevant IFAD's portfolio over time and how the issue of indigenous peoples has been reflected in its corporate agenda and strategies.
25. *Component 2: Review and synthesis of IFAD evaluation findings at operational level:* The study will review relevant findings in IOE evaluations undertaken between 2002 and 2013. The projects to be covered would be those completed after 2002. Initial screening of the list of IOE reports was done by comparing against the list of projects that are reported to include indigenous peoples in the

target group<sup>18</sup>. According to this screening exercise, there are 37 relevant IOE reports (12 CPEs and 25 project-level evaluation reports). They cover 62 projects in 21 countries, including 13 relatively new projects at the time of the respective CPEs (see Table 1).

Table 1  
Indicative number of relevant projects covered in IOE country programme and project evaluations

#	Countries	Project specific evaluations				CPEs	Total all (a)	Total (b) excluding new projects in CPEs
		PPA	PCRv	CE	IE	No. projects covered only in CPEs		
1	Argentina			1		3	4	3
2	Bangladesh					1	1	1
3	Belize			1			1	1
4	Bolivia	1	1			2	4	3
5	China	1				6	7	5
6	Ecuador					3	3	2
7	Ethiopia					1	1	1
8	Guatemala				1		1	1
9	Honduras		2				2	2
10	India				1	5	6	4
11	Indonesia					3	3	2
12	Lao			1	1		2	2
13	Mali					2	2	2
14	Mexico			1		1	2	2
15	Nepal				1	4	5	4
16	Pakistan		1				1	1
17	Panama		1				1	1
18	Peru		1		2		3	3
19	Philippines	1		1	2		4	4
20	Venezuela				1		1	1
21	Vietnam	1			1	6	8	4
	<b>Total</b>	<b>4</b>	<b>6</b>	<b>5</b>	<b>10</b>	<b>37 (12 CPEs)</b>	<b>62</b>	<b>49</b>

Total (a): The total of all projects covered in IOE evaluations. Total (b): The total of all projects covered in IOE evaluations excluding those relatively new projects with ratings only for a few evaluation criteria (typically only relevance).

PPA: Project Performance Assessment (involving a field mission, since 2010)

PCRv: Project Completion Report Validation (desk based)

CPE: Country Programme Evaluation, which includes assessment of project performance, although its depth varies. Also, depending on the stage of the project, CPE provides only partial assessment (e.g. only for relevance). The number under CPE does not include the project for which project-specific evaluation exists.

CE: Completion Evaluation

IE: Interim Evaluation

Note: Three projects with IOE evaluations that were found in the database of projects with indigenous peoples were removed as it was indicated that only 1% of the target group was expected to be indigenous peoples. They were in Azerbaijan, Rwanda and Syria.

26. The context, the approach for and level of targeting on indigenous peoples would vary in different projects: some projects target almost exclusively indigenous peoples (by targeting geographical areas where most, if not all, of the population is indigenous), whereas other projects include indigenous peoples as part of a larger target group of rural people living in poverty. Consequently, there might be a need to distinguish them when reviewing and analysing the experience with regard to

<sup>18</sup> The database is maintained and regularly updated by the IFAD Operational Policy and Technical Advisory Division, which also include a planned/estimated proportion of indigenous peoples in the target group. The percentage of indigenous peoples in the target group varies significantly from 1 to 100 per cent.

targeting and targeting approaches, subject to the availability of information. The quality and depth of coverage of assessment specifically relating to indigenous peoples has not been verified for all evaluation reports and it is likely that for some countries or projects, inputs for the synthesis could be little, or less rich than others.

27. In addition, a review and synthesis will also be undertaken for relevant thematic, sector, and corporate level evaluations that include a discussion on indigenous peoples. These may, for example, include the evaluation synthesis on rural differentiation and smallholder development (2013) and corporate evaluations such as Evaluation of IFAD's Regional Strategy in Asia and the Pacific (2006).
28. *Component 3: Review of IFAD strategies and approaches:* The study will also try to assess the relevance of the 2009 Policy and its influence, if any, on IFAD's engagement with indigenous peoples at country and project level. In other words, how has IFAD's approach to working with indigenous peoples been strengthened or refined after the 2009 IP Policy based on an analytical framework gleaned from the Policy? This component will look forward and try to understand the strengths of IFAD's strategic approach, and identify any lessons thereof. For this purpose, amongst the countries where indigenous peoples' issues are relevant, 10 countries have been selected where IFAD has COSOPs both before and after the 2009 Policy (see table 2).
29. In addition, IOE will also undertake a desk review of recent project designs in these 10 countries (at least one project per country) to better understand IFAD's strategies and approaches. Main source of information would be project design documents together with quality enhancement/ assurance reports, complemented by interviews with concerned CPMs/CPOs and PTA staff. This review is expected to provide indications on: (i) trend in project strategies and approaches; (ii) to what extent the principles of engagement in the IP policy may have been taken into consideration in project design after the policy; and (iii) how lessons may have been incorporated into design and implementation.

Table 2: Selected countries with COSOPs before and after 2009

No	Country	Region	Previous COSOP	Latest COSOP	CPE	Country covered in Component 2?
1	China	APR	Dec-05	Sep-11	2013	Yes
2	India	APR	Dec-05	May-11	2010	Yes
3	Vietnam	APR	Sep-08	Apr-12	2012	Yes
4	Laos	APR	Sep-05	Sep-11	NA	Yes
5	Honduras	LAC	Apr-07	Dec-12	1996 (not reviewed)	Yes
6	Nicaragua	LAC	Dec-05	Dec-12	NA	No
7	Ecuador	LAC	2004	2014	2012	Yes
8	Mexico	LAC	2007	2014	2006	Yes
9	Nepal	APR	2006	2012	2012	Yes
10	DRC	WCA	2003	2011	NA	No
		<b>TOTAL</b>				

\* Based on the list maintained by the IFAD Policy and Technical Advisory Division – the projects that are due to close after 2014. The number in the parentheses indicates the number of projects that started after 2009. More than half of these projects have also been covered in CPEs (thus part of 61 projects mentioned above).

30. *Component 4: Review of IFAD activities at global level.* As noted earlier, in addition to providing loans and grants at operational/field level, IFAD participates in many regional and international forums/platforms/networks for the purpose of engaging with the UN system and with indigenous peoples, for empowering them, and for sharing knowledge on issues related to indigenous peoples. IFAD has also extended

some grants to support advocacy for indigenous peoples' issues (e.g. support for the World Conference on Indigenous Peoples, indicators on the well-being of indigenous peoples, training of the UN and governments at country level). This fourth component will assess the relevance and effectiveness of such work both from a point of view of indigenous peoples as well as other development partners.

31. This component will also include a review of the IPAF, the special programme managed by IFAD, with a focus on assessing its contribution to learning and knowledge management – both with regard to IFAD's lending programme, as well as in a wider community. For this, a focused review will be conducted on existing desk review reports of IPAF-financed small projects, complemented by interviews and possibly a survey with IPAF stakeholders. To the extent possible, the review will seek to identify interface and linkage between the IPAF-supported activities and loan-financed projects, as may be relevant.
32. **Methodology:** According to the standard IOE approach for evaluation syntheses, the primary instruments will be a desk review, interviews and discussions with stakeholders and key informants, without field missions. Annex II provides a preliminary list of documents that will be reviewed including operational documents of IFAD. In order to enrich the output, the exercise will be broader than a synthesis of evaluation findings by IOE (and other organisations) – principally by undertaking a broader and more extensive review of various IFAD documents that are not from IOE evaluations, as well as non-IFAD documents.
33. The desk review will be supplemented by semi-structured interviews or focus group discussions with selected IFAD staff to better understand how IFAD's policy for indigenous peoples is being interpreted and implemented. The interviews will seek feedback to deepen understanding of the findings of the evaluation synthesis and validate those on the relevance of IFAD strategies. Semi-structured interviews may also be organized with selected representatives of IPAF grant recipients and/or other indigenous peoples' institutions to better understand their perspectives on IFAD's current strategy and approaches.
34. These interviews may be based on a common questionnaire for the different sets of stakeholders. If deemed useful, an electronic survey may be issued to allow for some quantification of findings. In attempt to benchmark IFAD approach and to validate lessons, a rapid review will be undertaken of the policies and strategies concerning indigenous peoples of three other multilateral banks including the Asian Development Bank, the Inter-American Development Bank, and the World Bank, together with studies and evaluations on the topic.
35. **Process.** Given that the main aim of evaluation syntheses is "to facilitate learning and use of evaluation findings by identifying and capturing accumulated knowledge on common themes and finding across a variety of situations" (Evaluation Policy 2011), the process would be supported by a group of selected IFAD staff members that would provide inputs at key steps (e.g., in finalisation of the concept note, exchange of experiences and lessons on key topics that would feed into the exercise, validation of draft findings and lessons, etc.).
36. Such a group ("Core Learning Partnership") will include both IFAD staff (e.g. PTA staff, Country Programme Managers/Officers with experience in relevant country programmes), as well as representatives from the indigenous peoples' organisations (those IFAD has been partnering with, such as Tebtebba (Indigenous Peoples' International Centre for Policy Research and Education), FIMI (International Indigenous Women's Forum) and IWGIA (International Work Group for Indigenous Affairs)).
37. The possibility of presenting the findings of this exercise to the Indigenous Peoples Forum, planned in conjunction with the 2015 Governing Council at IFAD headquarters, will be explored with the steering committee of the Forum.

38. **Limitations:** As a general point, it should be noted that evaluation syntheses are conducted with limited budget based on a desk study in a shorter time period, as compared to CPEs or CLEs that include field missions to multiple countries. Furthermore, there are some specific factors that could make synthesis of available information and comparisons challenging. First, the evaluations that constitute the sample for this exercise have different scope and time periods, ranging from 2002 to 2013. The evaluation designs also differ in that they include a mix of country, sector, thematic, and project level evaluations. Second, the depth and quality of information with regard to indigenous peoples in the available evaluations or the documents varies, depending on a number of factors such as inclusion of specificities of indigenous peoples' issues in COSOPs and project designs (such as tailored strategies, specific indicators, etc.), the composition of missions and available expertise, interest of CPMs, priority issues in the portfolio or particular projects, etc. Some documents may provide rich information, while others may not. Third, there was no specific framework that would guide an analysis of indigenous peoples' issues until IFAD's 2009 IP policy. All evaluations in the sample cover interventions that were approved before 2009. A preliminary review suggests that the evaluations are often based on reports and supervision that have not used a consistent methodology for the analysis making a comparative analysis difficult.
39. In order to address such possible limitations, as indicated earlier, this "synthesis" will go beyond that of a pure desk review of evaluations. Also, depending on the quality and richness of relevant information found in the past evaluations, in COSOPs and project designs in selected countries, or based on the information obtained from interviews, the scope and depth of review in different components may be adjusted during the exercise.

## V. Evaluation team and proposed timetable

40. **Evaluation Team:** The study will be undertaken by a team that will be comprised as follows: Fumiko Nakai, IOE Evaluation Officer and lead evaluator; Anita Kelles-Vitanen (lead consultant); Gita Gopal (consultant); and Ann-Kristin Rothe (consultant, research assistant). Laure Vidaud, IOE Evaluation Assistant, will provide research and administrative support. Finally, in line with the Evaluation Policy (2011), IOE will hire a Senior Independent Adviser for this synthesis report. His/her role will be to review and provide comments on the draft final report as well as participate in any learning event IOE might organise on the topic during the preparation of the report. S/he will also provide a report (2-3 pages) with his/her final comments on the quality of the evaluation process and the contents of the final evaluation synthesis report.
41. **Proposed timetable.** The indicative timeframe is provided in the below.

<i>Activity</i>	<i>Indicative date</i>
Establishment of core learning partnership	Mid July 2014
Finalisation of the concept note	Late July 2014
Main phase	Mid July – late September 2014
A rapid literature review	Mid July 2014
IOE reports and other project documents review (Component 2 & 3)	Mid July – early August 2014
Interviews with key IFAD staff (telephone or in Rome)	August – September 2014 (depending on availability of people to be interviewed)
Review of IFAD activities at global level (desk review, interviews)	September 2014
Discussion on emerging key issues with Core	Mid-late September 2014

Learning Partnership and key staff	
Preparation of first draft by the team	October 2014
IOE Internal peer review	Mid November 2014
Sharing of the draft report with Core Learning Partnership	Late November 2014
Learning event	Early December 2014
Preparation of final draft report	December 2014-January 2015
Sharing key findings at the IP Forum (to be confirmed)	February 2015
Publication	April 2015

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# **Evaluation synthesis on engagement with indigenous peoples – proposed report outline**

## **FOREWORD EXECUTIVE SUMMARY**

### **1. Introduction (3 pages)**

- Background
- Objectives
- Scope, methodologies and process
- Limitations

### **2. Broad context: Indigenous peoples and rural development (3-4 pages)**

- Socio-economic trends of indigenous peoples
- Evolving global frameworks on indigenous peoples

### **3. Approaches and operations of other agencies (4 pages)**

- International financial institutions (World Bank, Inter-American Development Bank, Asian Development Bank)
- United Nations agencies
- Business and private sector

### **4. Overview of IFAD's portfolio with indigenous peoples (5-6 pages)**

- IFAD policy on engagement with indigenous peoples
- Indigenous peoples in various IFAD policies and strategies
- Evolution of operational requirements and guidelines
- IFAD financial support
- IFAD non-financial support

### **5. Review of IFAD's engagement with indigenous peoples (15-18 pages)**

- *Synthesis of evaluation findings related to indigenous peoples: Project and country programme performance*
- *Assessment of IFAD's country strategy and approach after IP policy*
- *Review of IFAD's activities at corporate/global level*

### **6. Key issues emerging and lessons learnt (3-4 pages)**

## **ANNEXES**

## **APPENDICES**

## **Preliminary list of documents for review**

*The list includes documents that will be or may be consulted. Depending on the coverage and relevance, the final list will be revised. Additional documents will also be added in the course of the exercise.*

### **A. IFAD's strategy documents**

- IFAD. 2012. Policy on Environment and Natural Resource Management. Rome: IFAD.
- IFAD. 2012. Policy on Gender Equality and Women's Empowerment. Rome: IFAD.
- IFAD. 2011. IFAD Strategic Framework 2011-2015: Enabling Poor Rural People to Improve Their Food Security and Nutrition, Raise Their Incomes and Strengthen Their Resilience. Rome: IFAD.
- IFAD. 2011. Report of the Consultation on the Ninth Replenishment of IFAD's Resources. Rome: IFAD.
- IFAD. 2011. Rural Poverty Report 2011: New Realities, New Challenges: New Opportunities for Tomorrow's Generation. Rome: IFAD.
- IFAD. 2010. IFAD Climate Change Strategy. Rome: IFAD.
- IFAD. 2009. Guidelines on Poverty Targeting in IFAD Supported Projects. Rome: IFAD.
- IFAD. 2009. Policy on Engagement with Indigenous Peoples. Rome: IFAD.
- IFAD. 2008. Guidance Note on Institutional Analysis. Rome: IFAD.
- IFAD. 2008. Policy on Improving Access to Land and Tenure Security. Rome: IFAD.
- IFAD. 2006. IFAD Policy on Crisis Prevention and Recovery. Rome: IFAD.
- IFAD. 2006. IFAD Targeting Policy: Reaching the Rural Poor. Rome: IFAD.

### **B. IFAD's evaluation reports**

#### **(i) Corporate**

- IFAD. 2006. Evaluation of IFAD's Regional Strategy in Asia and the Pacific (EVEREST)

#### **(ii) Country programme evaluations**

- Argentina (2010)
- Bangladesh
- Bolivia (draft)
- China (draft)
- Ecuador (2012)
- Ethiopia
- India
- Indonesia
- Mali
- Mexico
- Nepal
- Vietnam

### **(iii) Thematic & Sector**

IFAD. 2013. IFAD's Engagement with Cooperatives: A Study in Relation to the United Nations International Year of Cooperatives Evaluation Synthesis

IFAD. 2005. Organic Agriculture and Poverty Reduction in Asia: China and India Focus, 2005

IFAD. 2003. Promotion of Local Knowledge Systems and Innovations for the Asia and Pacific Region, 2003

IFAD 2013. Evaluation Synthesis on Rural Differentiation and Smallholder Development

### **C. Other IFAD documents**

IFAD. Learning by working together, Microprojects financed by the Indigenous Peoples Assistance Facility (IPAF)

IFAD. 2011. IPAF small projects desk review – analysis of the performance of the small projects financed in 2007 and 2008 through the Indigenous Peoples Assistance Facility.

IFAD. Custodians of culture and Bioversity: Indigenous peoples take charge of their challenges and opportunities.

IFAD PTA. Country technical notes on indigenous peoples issues (internal documents, for various countries)

IFAD. Proceedings of the first global meeting of the Indigenous Peoples' Forum at IFAD

IFAD statements and reports submitted to the United Nations Permanent Forum on Indigenous Issues.

### **D. Case studies on various IFAD-financed projects conducted by indigenous peoples organizations**

#### **D. Others**

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Asian Development Bank. 2007. Indigenous Peoples Safeguards – Evaluation Study.

Cordaid, Hivos and ICCO. 2010. Synthesis report: indigenous peoples,

Inter-American Development Bank. 2002. Summary of evaluation findings of 10 projects that include indigenous people as beneficiaries.

Inter-American Development Bank. 2012. Implementation of the Strategy for Indigenous Development (GN-2387-5): Lessons from the Portfolio Review.

Sedfrey M. Candelaria, International Labour Organization. 2012. Comparative analysis on the ILO Indigenous and Tribal Peoples Convention No. 169, UN Declaration on the Rights of Indigenous Peoples (UNDRIP), and the Indigenous Peoples' Rights Act (IPRA) of the Philippines / vii, 116 p.

United Nations. 2008. United Nations Declaration on the Rights of Indigenous Peoples.

United Nations, Department of Economic and Social Affairs. 2009. The State of World's Indigenous Peoples.

United Nations Development Group. Guidelines on Indigenous Peoples' Issues.

World Bank. Operational Policy 4.10 – Indigenous Peoples.

World Bank. 2003. Implementation of Operational Directive 4.20 on Indigenous Peoples: An Independent Desk Review.

World Bank. Undated. *Policy Brief, Indigenous Peoples - Still Among the Poorest of the Poor* Washington, D.C: World Bank.

## Definition of indigenous peoples

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 (No. 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 states 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. D

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 time, 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 organisation, 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 specialized agencies, as well as in certain regional intergovernmental organisations

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