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**REVIEW OF
GEF'S ENGAGEMENT WITH INDIGENOUS PEOPLES**

(Prepared by the Independent Evaluation Office of the GEF)

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LIST OF ACRONYMS

ABS	Access and Benefit Sharing
ACHPR	African Commission on Human and Peoples' Rights
ADB	Asian Development Bank
AfDB	African Development Bank
AIIB	Asian Infrastructure Investment Bank
AIPP	Asia Indigenous Peoples Pact
APR	Annual Performance Reports
BD	Biodiversity
BOAD	West African Development Bank
CAF	Development Bank of Latin America
CBD	Convention on Biodiversity
CBR+	Community-Based REDD+
CC	Climate Change
CI	Conservation International
CICA	Coordinadora Indígena de Centro América
COP	Conference of Parties
CPS	Country Program Strategy
CSO	Civil Society Organization
DBSA	Development Bank of Southern Africa
EBRD	European Bank for Reconstruction
EES	World Bank's Environmental and Social Framework
ESMS	Environmental and Social Management System
FAO	Food and Agriculture Organization
FECO	China's Foreign Economic Cooperation Office
FPIC	Free, Prior and Informed Consent
FUNBIO	Fundo Brasileiro para a Biodiversidade
GEF	Global Environment Facility
GEFIEO	Global Environment Facility - Independent Evaluation Office
GEFSEC	Global Environment Facility Secretariat
IADB	Inter-American Development Bank
ICCAs	Indigenous and Community Conserved Areas
IDB	Inter-American Development Bank
IEO	Independent Evaluation Office
IFAD	International Fund for Agricultural Development
IITC	International Indian Treaty Council
ILO	International Labour Organisation
IPACC	Indigenous Peoples of Africa Co-ordinating Committee
IPAG	The Indigenous Peoples Advisory Group
IPCCA	Indigenous Peoples' Bio cultural Climate Change Assessment Initiative
IPFPs	Indigenous Peoples Focal Points
IPO	Indigenous Peoples Organization

IPs	Indigenous Peoples
IPTAG	Indigenous Peoples Technical Advisory Group
IPTF	Indigenous Peoples' Task Force
IUCN	International Union for Conservation of Nature
IW	International Water
LD	Land Degradation
MFA	Multi-Focal Area
MS	Minimum Standard
MVR	Monitoring Verification and Reporting
NGO	Non-Governmental Organizations
NPIF	Nagoya Protocol Implementation Fund
NSC	National Steering Committee
OP	Operational Phase
PAD	Project Appraisal Document
PIF	Project Identification Form
PMIS	Project Management Information System
PPG	Project Preparation Grant
REDD	Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
RRI	Rights and Resources Initiative
SES	UNDP's Social and Environmental Standards
SGP	Small Grant Programme
STAR	System for Transparent Allocation of Resources
TE	Terminal Evaluation
TER	Terminal Evaluation Review
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
UNPFII	United Nations Permanent Forum on Indigenous Issues
WB	World Bank
WWF	World Wildlife Fund

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EXECUTIVE SUMMARY

1. This is a review of the GEF's engagement with indigenous peoples. GEF IEO has undertaken the study to inform the replenishment process for the GEF-7 period.

PURPOSE OF THE REVIEW

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

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

GEF AND INDIGENOUS PEOPLES – AN OVERVIEW

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

5. At the same time, the literature and the patterns of response from key informant interviews point to trends that provide a backdrop for this deepening level of engagement:

- (a) Strong correlations are known to exist between the locations of indigenous peoples' territories (where cultural diversity is at its richest) and the places where biological diversity is most concentrated.
- (b) Indigenous peoples are recognized for the efficacy of their traditional knowledge and customary practices *vis a vis* resource management and conservation; however, a wide differential between customary rights and land tenure means that in many places indigenous peoples are restricted from asserting those rights.
- (c) The impacts of climate change significantly affect indigenous peoples and local communities because of their dependence on natural resources for livelihoods and of the locations of their territories.

REVIEW FINDINGS

Layered initiatives building on each other

6. Significant steps have been taken by GEF to increase the engagement and participation of indigenous peoples in GEF activities. Included in these was the formation of the agenda setting Indigenous Peoples' Task Force (IPTF) in 2011.

7. In its widely circulated Issues Paper, launched in 2012, the Task Force identified policy options that remain relevant today. The document makes proposals to GEF related to: individual and collective rights to land, territories and resources; rights to Free Prior and Informed Consent (FPIC); the principle of full and effective participation of indigenous

peoples; recognition of the importance of traditional knowledge, innovations and practices; and equitable access and benefit sharing *vis a vis* the utilization of genetic resources of indigenous peoples

8. The Issues Paper also proposes mechanisms for enhancing the engagement and participation of indigenous peoples with the GEF and its operations. The formation of the Indigenous Peoples Advisory Group (IPAG) was one such mechanism, established with a mandate to advise the development of a GEF policy on indigenous peoples. The inclusion of three Indigenous Peoples Focal Points (IPFPs) in the GEF-CSO Network added further profile to indigenous peoples' issues as have the half dozen GEF publications highlighting indigenous peoples' participation in GEF.

9. In 2011, the GEF issued a policy on Agency Minimum Standards and Social Safeguards, largely drawn from those of the World Bank. It did so acknowledging the possibility that funded activities might inadvertently create adverse social and economic impacts. The policy recognizes, as a matter of principle, that indigenous peoples are important partners in GEF's mission and that the identities and cultures of indigenous peoples are inextricably linked to the lands on which they live and the natural resources on which they depend. And it mentions concerns related to indigenous peoples that are articulated in the Issues Paper. Minimum Standard 4 in the Policy pertains to indigenous peoples.

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

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

Indigenous Peoples Advisory Group – capacity and performance

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

- (a) Input into GEF 6 programming strategy
- (b) Co-hosted events at international fora such as UN conferences the Convention on Biological Diversity meetings among others to raise awareness about IP related financing opportunities
- (c) Initiated the creation of a global and national fellowship program for indigenous peoples through the SGP

- (d) Advanced the principle of “free, prior and informed consent” in GEF projects.
- (e) Fostered the inclusion of an indigenous women’s vision/perspective in GEF’s gender discussions.
- (f) Improved coordination and interaction with civil society organizations, and
- (g) Assisted in developing indicators to better measure benefits and outcomes from GEF funded projects to indigenous peoples.
- (h) Developed a Financing White Paper with reviews and recommendations on financing options for GEF projects focused on indigenous peoples’ issues
- (i) Contributed to discussions on the GEF’s draft Stakeholder Engagement Policy

13. Constraints on IPAG’s performance, against its Terms of Reference, are identified and summed up under the following headings:

- (a) **Communication to and between indigenous peoples** – The diversity and dispersion of indigenous peoples around the world challenges the IPAG’s ability to communicate meaningfully. Most of IPAG’s working documents are only available in English.
- (b) **IPAG capacity** - Lack of IPAG members’ familiarity with aspects of GEF and GEF Agencies hampers informed interaction. Training, dissemination and formalizing communication and roles between IPAG and GEF have been constrained by financial resources and limited time allotted for IPAG meetings.
- (c) **Staffing capacity in GEFSEC and Agencies** – Dedicated staff experienced and trained in indigenous peoples’ issues in GEF is less than optimal. In some GEF Agencies, focal points are stretched in their abilities to meet competing responsibilities and address inputs from indigenous peoples.
- (d) **Coordination with indigenous peoples networks** – IPAG’s relations are constrained by the levels of understanding among the leadership of indigenous peoples organizations and networks over how best to engage with the GEF and GEF Agencies.

GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards – protection for indigenous peoples and application across the GEF Partnership

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

15. In general, the wording of GEF Agencies safeguard policies are in alignment with the requirements of GEF Minimum Standard 4. Of the nine provisions of Minimum Standard 4, Agencies show high levels of conformity in the areas of environmental and social impact assessments, appropriate socioeconomic benefits, indigenous peoples’ plans and document disclosure. In the areas of consultation, participation and the application of Free, Prior and Informed Consent (FPIC), the wording of GEF Agency safeguards tends to exceed Minimum

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

- (a) **Identification of indigenous peoples:** Minimum Standard 4 establishes some brief criteria regarding the identification of indigenous peoples. Some Agency safeguards elaborate on these criteria, in some instances referencing other widely accepted international criteria for identifying indigenous peoples to ensure that project implementing bodies and states have clarity regarding when to apply Minimum Standard 4. In some country contexts, the absence of recognition creates a significant challenge for the GEF partnership. In these situations, and where broader issues are being addressed, some Agencies have included indigenous peoples with the broader nomenclature of “local communities.” This term is sometimes used to avoid discrimination in places where populations are diverse in their makeup. The current consensus by the UN and climate convention bodies, adopted by the Convention on Biological Diversity in 2014, is that in these cases use of the term “indigenous peoples and local communities” enables inclusive approaches, while avoiding presumptions of common identity or that such groups are subject to the same circumstances.
- (b) **Consultations, Consent and Participation:** Regarding Free, Prior and Informed Consent (FPIC) - GEF limits FPIC application to the twenty-two ILO C169 signatory states, while Agency safeguard policies of ten GEF Agencies have put in place mandatory FPIC processes for all projects involving indigenous peoples. A further three Agencies have widened scope of FPIC application.
- (c) **Terminology related to FPIC** - GEF’s use of the term “free, prior and informed consultations” suggests ambiguity when it comes to “consent”. It appears to lack the element of consent. At the same time, other wording in the Minimum Standards seems to assert the importance of “consent”.
- (d) **IP participation in project processes** - While the involvement of indigenous peoples in environmental and social impact assessments is mandated, the level of participation is not specified. Some GEF Agencies have elaborated expectations or requirements for participation by indigenous peoples both in assessments and project monitoring processes.
- (e) **Alignment with Rights-Based Approach** – While the context of GEF support for UNDRIP is provided in several GEF publications on indigenous peoples, there is little in the GEF Principles and Guidelines on Engagement with Indigenous Peoples directly associated with human rights instruments. That noted, analysis does show that a number of UNDRIP Articles encapsulate elements of GEF’s approach with indigenous peoples. Other Agencies have gone further, directly referencing provisions set out in UNDRIP in the application of safeguards for indigenous peoples.

16. Regarding safeguard application and monitoring, the 2017 *Review of The GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards* recommends the implementation of tracking and checks of safeguard procedures under partner agencies.

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

GEF Portfolio - analysis of inclusion of indigenous peoples

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

- (a) The indigenous peoples portfolio identified for OPS6 is comprised of 426 projects within a time frame spanning from the pilot phase to middle of GEF-6. The portfolio represents approximately 10% of projects approved and about 11% of the total GEF portfolio investment across focal areas. 304 are Full-Size Projects (71%), and 122 are Medium-Size Projects (29%). Altogether, they represent US\$2,503 million in GEF grant investment and US\$12,893 million via co-financing.
- (b) By number of projects and by investment, the proportion of Full-sized and Medium-sized projects that include indigenous peoples has increased substantially since the beginning of GEF.
- (c) The greatest concentration of investment is in Latin America and the Caribbean (34%), followed by Asia (29%) and Africa (25%).
- (d) Most of the projects involving indigenous peoples fall into the Full-sized category, and have been implemented by four of the GEF accredited agencies (UNDP, WB, UNEP, FAO). This is not unexpected as these are also the main GEF implementing agencies.
- (e) The biodiversity focal area dominates the indigenous peoples portfolio, accounting for a total of 55 percent of projects, though a shift is evident toward a greater concentration of indigenous peoples projects in the Multi-focal and Climate Change focus areas.
- (f) Two-thirds of all indigenous peoples projects show “limited” (participation) or “moderate” involvement (beneficiaries) of indigenous peoples; thus far, exclusively indigenous peoples driven projects are in a minority.
- (g) From the outcome perspective, the indigenous peoples portfolio is comparable to the performance across the entire GEF portfolio as per the Annual Performance Report (APR) 2015. Seventy-five percent of Indigenous People projects are rated as moderately satisfactory or above, while 80% of the overall GEF portfolio are

rated above the same threshold. Future studies could further analyze correlation between indigenous peoples' participation and performance of the projects.

- (h) The performance of the indigenous peoples portfolio improved in outcome achievement from the pilot phase to GEF-1 and kept consistent in GEF-2 and GEF-3. The outcome rating increased from GEF-3 to GEF-4, with 90 percent of the projects rated as moderately satisfactory or above. There are only two indigenous peoples projects rated thus far in GEF-5, both have outcome ratings of moderately satisfactory or above.
- (i) Outcome ratings have been highest across indigenous peoples projects focused on land degradation, climate change and biodiversity. Indigenous Peoples projects are comparable to the GEF portfolio on the likelihood of being sustainable; over half of projects show moderate or greater likelihood of being sustainable. Project efficiency also measures comparably with the GEF portfolio.

19. The GEF Small Grants Programme (SGP), administered by UNDP is the primary modality for the GEF's engagement with indigenous peoples, though accessing SGP grants remains a challenge due to administrative and language hurdles. This limits the extent to which the mechanism can address needs and opportunities among indigenous peoples. SGP provides grants of up to US\$50,000 to local communities for projects involving Biodiversity, Climate Change Mitigation and Adaptation, Land Degradation and Sustainable Forest Management, International Waters and Chemicals in 125 countries. Approximately 15 percent of the 20,300 SGP grants awarded from 1992 up to 2016 benefitted indigenous organisations or communities of the projects are awarded to indigenous peoples or involve Indigenous communities.

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

Review Recommendations

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

22. **Recommendation 2: Update relevant Policies and Guidelines to reflect best practice standards concerning indigenous peoples, including a rights-based approach to engagement.** Internationally, safeguard norms regarding indigenous peoples have changed. This manifests in several GEF Agency standards that have emerged since 2012. To remain at

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

23. **Recommendation 3: Review the Indigenous Peoples' Advisory Group's role for operational constraints.** IPAG is unequivocally viewed as an important and advantageous body to guide GEF's decision making and engagement with indigenous peoples. To increase its effectiveness, GEF should undertake several steps including a review of succession planning and the introduction of a comprehensive orientation for IPAG members to preserve knowledge of outgoing members and to prepare new ones. Attention in this regard should be drawn to intergenerational leadership. GEF should review the existing scope/limitations of the IPAG's mandate and its relationship with the indigenous peoples Focal Points (IPFP) embedded within the CSO Network, GEF Agencies and with the SGP National Coordinators. As part of this, GEF should clarify IPAG's communication/engagement as it pertains to establishing more formal contacts with regional and global networks of indigenous peoples. It should also consider an increase in the staff time and resources allocated by the GEFSEC indigenous peoples focal point to IPAG activities; translation requirements for relevant documents such that IPAG is able to engage in English, French, Spanish.

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

25. **Recommendation 5: Monitor application of Minimum Standard 4 and indigenous peoples portfolio.** A greater flow of information should come from tracking the environmental and social risks of the GEF portfolio. Currently there is no requirement that Agencies report on compliance with safeguards, leaving the GEF portfolio vulnerable. Agencies should inform GEF of the safeguard risk categorization assigned to projects involving indigenous peoples and keep GEF informed of safeguards implementation issues

through monitoring and reporting. Ideally this builds off Agency systems rather than duplicates them. Similarly, an accurate monitoring of the portfolio of projects that engage indigenous peoples is currently not possible. Projects need to be tagged to allow for systematic retrieval. As part of the tagging, further definition within the GEF of what is considered indigenous peoples' engagement should ensue. Finally, the extent and type of indigenous peoples' engagement should be a standard evaluation question included in mid-term and terminal evaluations.

INTRODUCTION

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

EVALUATION OBJECTIVES

2. The aim of this review is to provide insight for the GEF regarding engagement with indigenous peoples through GEF projects and operations. This report provides:
- (a) An analysis of GEF's engagement with indigenous peoples and background for indigenous peoples' participation in addressing environmental issues;
 - (b) Good practices and lessons learned from GEF's engagement, to date, with indigenous peoples;
 - (c) Recommendations for roles that the GEF could incorporate in GEF-7, taking into account the GEF's programming strategy and indigenous peoples' needs and existing peer offerings.

METHODOLOGY

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

Desk Research

4. The documents reviewed include relevant Council documents, GEF project documents, including terminal evaluations. Additionally, external leading reports from international Agencies (e.g. World Wildlife Fund, IFAD, IDB, etc.), specialized initiatives (e.g. State of the World's Minorities and Indigenous Peoples), and academic research papers were considered for background and literature review purposes. A list of documents used is presented in Annex 1.

Portfolio Analysis

5. The team analyzed a portfolio of GEF projects for trends. In developing the portfolio, "engagement with indigenous peoples" was interpreted broadly to extend from engagement with indigenous peoples' organizations as executors of GEF projects to beneficiaries and interested stakeholders.

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

documents associated with the initial list of projects were also reviewed to ensure the integrity of the list.

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

8. The method by which the portfolio was assembled is set out in Annex 2 and the list of project identified with indigenous peoples is in Annex 3.

Online surveys

9. To better understand the realities in the field for engaging indigenous peoples, an online survey was designed that targeted Small Grants Programme National Coordinators. The contact list for the survey was provided by the Small Grants Programme team at UNDP. One hundred and four National Coordinators were sent the survey and 89 responded (85%). Survey findings are highlighted in the report. The survey questions are set out in Annex 4.

Interviews

10. In addition to the surveys, 29 in-depth interviews were conducted with different stakeholder group representatives from the GEF Secretariat, the indigenous peoples Advisory Group and external experts from GEF Agencies and the conventions. The GEF staff interviews included multiple conversations with the GEF indigenous peoples' focal persons. An overview of interviewees is provided in Annex 5.

Limitations

11. The study triangulated evidence from quantitative and qualitative sources, but with limitations. The portfolio analysis relies on the GEF Project Management Information System (PMIS) database to explore GEF engagement with indigenous peoples. The drawback with the PMIS, however, is that it does not allow for a systematic 'tagging' of projects that engage indigenous peoples, be it partnerships with or outreach to indigenous peoples. It is also the case that more attention was paid to tagging starting in GEF-5. In the face of this, the Secretariat developed a listing of projects that involve indigenous peoples. While helpful, it is not possible to match the list by drawing reports from organizational databases. Complicating further the task of assembling a portfolio of projects for analysis, 'engagement with indigenous peoples' is interpreted broadly within the GEF partnership. This factor was also evident in the way SGP National Coordinators interpreted survey questions related to the SGP portfolio. In the end, then, there is no assurance that the portfolio created for IEO's analysis is comprehensive and it is not possible to delineate projects by "type of participation".

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

13. Resources allocated to the review did not allow for country visits. These would have been useful to substantiate findings, conclusions and recommendations. Regarding the SGP, for example, key informant interviews with the SGP National Coordinators might have shed further insight on responses to the survey regarding the make-up, results and sustainability of projects.

BACKGROUND

THE RELEVANCE OF INDIGENOUS PEOPLES WITHIN GEF ACTIVITIES

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

The presence of indigenous peoples and biodiversity are mutually reinforcing

15. With an estimated population of 370 million¹, indigenous peoples constitute approximately four to five percent of the world's population. Indigenous peoples' territories encompass up to 22 percent of the world's land surface that, in turn, holds 80 percent of the planet's biodiversity². Across these territories, a strong correlation exists between biological richness and cultural diversity. Indigenous populations represent 95 percent of the world's cultural diversity, and nine out of the 12 main centres of cultural diversity are within biological-rich nations.³

16. Moreover, the global land under tenure or designated occupation by indigenous peoples and Local Communities also contains approximately an eighth of the world's forest. As significant as this is, it represents only half of the forested area utilised by indigenous peoples and local communities, according to the World Resources Institute. Resource management practices, where applied, provide protection from over-exploitation and preserve biodiversity while also providing essential carbon sinks. These sinks are estimated to store 37 to 54 billion tonnes of carbon which is, at minimum, equivalent to the total global carbon dioxide emissions in 2014⁴.

17. Most forest areas managed by indigenous peoples and local communities have shown long-term sustainability. This comes from centuries of dependence on forest resources, reinforced by extensive traditional knowledge and cultural practices, such as controlling access to resources, placing limits on their usage and forbidding usage of vulnerable species, protecting certain areas and adopting production techniques that increase biodiversity.⁵

Increasing alignment of "best" practices with traditional and customary practices

18. Indigenous peoples are now widely recognized for their traditional knowledge and customary practices that continue to influence understanding of forestry, traditional medicine, conservation, resource management and livelihood patterns, as well as responses to climate change, resilience and adaptation. Furthermore, a scan of the literature reveals evidence from a range of non-GEF projects suggesting that empowering indigenous peoples

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

² World Resources Institute (2005) "Securing Property and Resource Rights through Tenure Reform" in [World Resources Report 2005: The Wealth of the Poor – Managing Ecosystems to Fight Poverty](#), p.83-87

³ M. Toledo (2000) "Indigenous Peoples and Biodiversity" Institute of Ecology, National University of Mexico

⁴ World Resources Institute (2014) "[Securing Rights, Combating Climate Change](#)" and Rights and Resources Initiative (2016) "Toward a Global Baseline of Carbon Storage in Collective Lands" estimates respectively

⁵ Collaborative Partnership on Forests (2012) "SFM Fact Sheet 4: SFM and indigenous peoples"

to manage biodiversity in their own territories can result in more sustained and cost-effective ways to protect biodiversity. Several illustrations follow:

- (a) A World Bank funded sustainable forest management project in Panama trained 24 indigenous technicians on forest Monitoring Verification and Reporting (MVR) methods and let indigenous peoples take full ownership of the work.⁶ The project included comprehensive monitoring coverage, reaching nine remote areas that previously could only be sampled using a much higher cost method of airborne remote sensing.
- (b) In West Africa, an indigenous soil management system was adopted into a modern sustainable agriculture system. Integration of traditional knowledge led to improved fertility of highly degraded soils and, more broadly, to clues about how to enhance climate change mitigation potential when working with carbon-poor tropical soils⁷.
- (c) From a reviewed study on conservation partnerships in New Zealand, traditional ecological knowledge in ancestral sayings have been analyzed to generate new scientific strategies to retain local floral biodiversity.⁸
- (d) And in Australia, the widespread adoption of indigenous fire management practices has greatly reduced damage to ecosystems, important habitats, agricultural land, infrastructure⁹ and has reduced carbon emissions¹⁰ from uncontrolled wildfires. Renewing the practice of traditional targeted early burning, that reduces spread and fuel loads of wildfires, is now strongly promoted by the Government of Australia.¹¹

19. Article 8(j) of the Convention on Biological Diversity (CBD) specifically recognises the value of indigenous peoples' traditional knowledge. As well, policy guidance of the United Nations Convention to Combat Desertification (UNCCD) states that integrating traditional knowledge with modern technologies can improve efficacy in combating desertification. As underscored by indigenous peoples through their input and presentations at each convention's Conference of the Parties, indigenous peoples play an important role in meetings and policy development of the CBD¹², UNCCD¹³ and United Nations Framework Convention on Climate Change (UNFCCC)¹⁴.

20. Finally, regarding alignment between best practices and traditional knowledge, there are examples of landscape design within some ancestral territories of indigenous peoples that can resist the negative effects of climate change. The community-based *acequia*

⁶ Mateo-Vega et al. (2017) "Full and Effective Participation of Indigenous Peoples in Forest Monitoring for Reducing Emissions from Deforestation and Forest Degradation (REDD+): Trail in Panama's Darien"

⁷ Dawit et al. (2016) "Indigenous African soil enrichment as a climate-smart sustainable agriculture alternative". Lancaster University, University of Ghana, University of Sussex, Cornell University

⁸ Priscilla M. Wehi. (2009) "Indigenous Ancestral Sayings contribute to Modern Conservation Partnership: Examples Using Phormium Tenax". Department of Biological Sciences, University of Waikato

⁹ <http://www.klc.org.au/land-sea/indigenous-fire-management>

¹⁰ Russell-Smith et al. (2013) Managing fire regimes in north Australian savannas: applying Aboriginal approaches to contemporary global problems. The Ecological Society of America

¹¹ <http://www.environment.gov.au/climate-change/government/international/land-emissions>

¹² <https://www.cbd.int/traditional/participation.shtml>

¹³ <http://www2.unccd.int/news-events/land-rights-prerequisite-land-degradation-neutrality>

¹⁴ https://unfccc.int/meetings/unfccc_calendar/items/10151txt.php

management in the US and Mexico, the *qanat* ground water system in Syria, and traditional water harvesting practices in India are three such examples¹⁵. Observers of these traditional practices point out that they constitute an important body of knowledge for innovation in sustainable resource management.

A wide differential existing between customary rights and land tenure

21. Ownership of rich biological and cultural resources notwithstanding, indigenous peoples are still some of the most vulnerable social groups, often living in remote and socially marginal places¹⁶. In a recent assessment by the Rights and Resources Initiative (RRI)¹⁷ of 64 countries - totalling over 80 percent of global land - it was estimated that indigenous peoples and local communities assert their customary rights over up to two-thirds of the land analyzed. At the same time, however, tenure rights for indigenous peoples and local communities only exist in ten percent of that area, with another eight percent designated for their occupation without formal tenure. This leaves the remaining 82 percent of customary lands held by states or private entities.

22. The RRI assessment finds that, worldwide, members of indigenous groups are disproportionately suffering displacement, alienation, and cultural loss of a way of life in the name of economic development. Extractive industries (principally oil, gas and mining), logging activity and large-scale agriculture are often cited in this regard. Conservation initiatives are also cited in the literature. They can limit livelihoods or reduce access to resources, and have frequently been imposed upon indigenous groups¹⁸. Furthermore, a Wildlife Conservation Society study notes that vulnerable peoples with no representation in indigenous organizations are among the most likely to be affected by displacement for conservation reasons¹⁶.

Impacts of Climate Change

23. Indigenous peoples and local communities are particularly affected by the impacts of climate change due to their dependence on natural resources for livelihoods and to the location of their territories, often in biodiverse marginal and remote areas. Impacts include changes to precipitation levels, exposure to extreme weather events, and variations in seasonal weather patterns and temperatures which in turn lead to changes in the availability and sustainability of water, food and natural resources. Some of clearest impacts are found in the mild winters and low snowfalls experienced by indigenous peoples in Arctic areas, and in the rising sea-levels that threaten to displace indigenous peoples on Pacific islands such as those in Kiribati¹⁹.

¹⁵ B.R. Johnston (2013) "Human Needs and Environmental Rights to Water: A Biocultural Systems approach to Hydrodevelopment and Management"

¹⁶ Avecita Chicchon (2009) "Working with Indigenous Peoples to Conserve Nature: Examples from Latin America". Wildlife Conservation Society

¹⁷ <http://rightsandresources.org/en/publication/who-owns-the-land-in-africa/#sthash.QJdiRqEH.dpbs>, and as data mapped on <http://www.landmarkmap.org>

¹⁸ Uila Popova (2013) "Conservation, Traditional Knowledge, and Indigenous Peoples"

¹⁹ For example, see <http://www2.ohchr.org/english/issues/climatechange/docs/IUCN.pdf> and http://www.un.org/esa/socdev/unpfii/documents/backgroundunder%20climate%20change_FINAL.pdf

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

GEF's Poverty Reduction, Inclusive Governance and Gender Equality Commitments

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

26. While the UNDRIP is non-binding, in signing the resolution states have indicated their approval of its provisions and commitment to the direction given to the development of future legislation. For its part, the GEF Secretariat has indicated support for the provisions of the UNDRIP. Further elaboration has been suggested by consultative bodies to the GEF, the Indigenous Peoples' Task Force (IPTF) and its successor the Indigenous Peoples' Advisory Group (IPAG) on establishing a rights-based policy.²⁰

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

INDIGENOUS PEOPLES AND LOCAL COMMUNITIES

28. While the terms "local communities" and "indigenous peoples" are applied in many international treaties and domestic laws, ambiguity exists as to their usage and acceptance. Neither term has a fixed or internationally agreed definition. However, there is a consensus between a range of international organisations, academics and community representatives on the meaning of the terms. These have been documented in reports and articles, including those by the CBD²¹.

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

30. In some contexts, "local communities" or similar terms have been used in place of "indigenous peoples". Often, this is due to a limited acceptance of the concept of

²⁰ See the GEF Indigenous Peoples Task Force (2011) Issues Paper and GEF (2012) Principles and Guidelines for Engagement with Indigenous Peoples

²¹ For example, see the summary provided by the CBD in the report "Compilation of Views Received on Use of the Term "Indigenous Peoples and Local Communities", UNEP/CBD/WG8J/8/INF/10/Add.1

indigenous peoples on the part of the national government. The terminology might also be used to avoid discrimination where there is a significant amount of diversity.

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

32. Overall, the term “indigenous peoples and local communities” appears to be the more widely accepted of the two. It has been adopted by the CBD after discussions at the Conference of Parties (COP) 12 in 2014.²² The term retains a reference to “indigenous peoples”. This is important for its consistency with the terminology of international human rights law and advocacy. It ensures inclusive approaches to both indigenous peoples and local communities while avoiding presumptions of a common identity or same circumstance.

A RETROSPECTIVE OF GEF ENGAGEMENT WITH INDIGENOUS PEOPLES

33. Over the last 26 years of operations, aspects of GEF’s work with indigenous peoples have become a feature of GEF policies, strategies and operations. Growth in the international recognition of the role of indigenous peoples in promoting biodiversity, safeguarding protected areas and in the sustainable management of vulnerable ecosystems is mirrored in the progression of GEF Council and GEF Secretariat publications addressing indigenous peoples’ issues, and enhancements *vis a vis* their participation within GEF.

34. GEF-financed projects involving indigenous peoples have been implemented since the GEF Pilot Phase. Of the approximately 4,319 GEF financed projects approved from the Pilot Phase up to September 2016, approximately 426 (9.9 percent) involved indigenous peoples from a limited to a significant level (see *GEF Portfolio Analysis of Projects Involving Indigenous Peoples* section). Additionally, approximately 15 percent of the 20,300 SGP grants awarded from 1992 up to 2016²³ benefitted indigenous organisations or communities. This is estimated to be more than 3,000 projects in total.

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

36. Formalising the input of indigenous peoples into the design of GEF-financed projects and GEF strategies began in 1995, with the inception of the **GEF-NGO Network**. This consultative group of GEF-accredited NGOs was established by the GEF Council in 1996. Its Coordination Committee included an Indigenous representative. Where possible,

²² <https://www.cbd.int/doc/meetings/cop/cop-12/insession/cop-12-L-26-en.pdf>

²³ GEF SGP Annual Monitoring Report 2015-2016

participation of indigenous peoples' organisations in subsequent consultative meetings was encouraged by the GEF. The GEF-NGO Network, renamed as the GEF-CSO Network in 2013 to reflect the wider participation of civil society organizations, currently has three Indigenous Peoples Focal Points (IPFPs) from Asia, Africa and Latin America and a role in promoting GEF engagement with indigenous peoples.

37. In 1996, the GEF Council approved and published Public Involvement in GEF Projects (GEF/C.7/6), a policy for public involvement in the design, implementation and evaluation of GEF-financed projects, that also sets out activities and the resources needed to ensure this involvement. The document recognizes the need for information, consultation and stakeholder participation for all groups involved in GEF-financed projects, including communities and local groups. It also recognises that projects may have impacts on the livelihoods of "disadvantaged groups", which include indigenous peoples, and that involvement activities should "address the social, cultural, and economic needs of people affected by GEF-financed projects". As well, the document highlights the extent to which projects with groups such as indigenous peoples require them to pay particular attention to stakeholder engagement processes. The Public Involvement Policy is currently being reviewed through stakeholder consultations. An updated policy is expected for GEF-7.

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

39. During GEF 5 (2010-2014), the visibility of GEF engagement with indigenous peoples increased significantly, with eight specific publications, a formalised strategy and the establishment of a dedicated indigenous peoples reference group. In 2011, consultations began between GEF and indigenous peoples' representatives forming the **Indigenous Peoples' Task Force (IPTF)**, on the development of a GEF policy on indigenous peoples. The IPTF consultations resulted in an issues paper, launched in 2012 but drafted shortly before the launch of the GEF Council's **GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards** (GEF/C.41/10/Rev.1) in November 2011.

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

41. The issues identified by the Task Force were further developed by GEF and in 2012 Council adopted the **Principles and Guidelines for Engagement with Indigenous Peoples** (GEF/C.42/Inf.03/Rev.1). In lieu of a policy, this document affirms the importance of indigenous peoples in GEF-financed projects, identifies unintended adverse effects that can result from such projects and expresses a desire for enhanced engagement between indigenous peoples and the GEF. The Principles and Guidelines document builds upon the 2011 GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards, the 1996 Public Involvement Policy, the IPTF issue paper and GEF partner agency standards. GEF guidelines for engagement with indigenous peoples are developed and set out under the areas of: Planning and Development; Participation, Rights and Governance; Resettlement; Traditional Knowledge and Benefit Sharing; Gender Equality; Accountability, Grievances and Conflict Resolution (see the following section).

42. The Principles and Guidelines paper was published without annexes in a brochure format by the GEF Secretariat. It was distributed in English, French and Spanish. Broad reader appeal among Indigenous People's organizations, GEF agency personnel and stakeholders, was the intent behind this action.

Box 1: Indigenous Peoples Task Force Issues Paper Recommendations

The paper made four key recommendations

- a) Establish an Indigenous Peoples advisory committee to provide advice to the secretariat and to the council on issues related to the implementation of this policy.
- b) Recruit and develop expertise on indigenous issues in the GEF secretariat, including a direct communication and access point for Indigenous Peoples into the secretariat
- c) Establish and administer, through a GEF agency, a direct access financing avenue for Indigenous Peoples' organizations
- d) Establish a recourse mechanism comprising of indigenous representatives, GEF agencies at the local, national and international levels

43. Similarly, the IPTF issues paper developed in 2011 was published in a brochure format in 2012, as the **Issues Paper on Indigenous Peoples prepared by the Indigenous Peoples Task Force to the GEF**. This paper sets out GEF policy options for indigenous peoples in five keys areas: Individual and Collective Rights to Land, Territories and Resources; Free, Prior and Informed Consent (FPIC); Full and Effective Participation; Traditional Knowledge, Innovations and Practices, and Access and Benefit Sharing. The paper called for the establishment of a rights-based approach to GEF's engagement with indigenous peoples, with relevance to the UNDRIP, ILO C169 and ACHPR (African Commission on Human and Peoples' Rights), and the progressive advances in GEF's policies towards FPIC, traditional knowledge, land rights and resource rights.

44. The approach of the paper was broad in scope, taking into account comparable activities of other international institutions (including: WB, IDB, IFAD, ADB, UNDP, FAO). It included a comparative review of existing policies on indigenous peoples in GEF Agencies.

45. The first recommendation of the Issue Paper on Indigenous Peoples prepared by the Indigenous Peoples Task Force to the GEF led to the formation of the GEF **Indigenous Peoples Advisory Group (IPAG)** in 2013.

Box 2: Indigenous Peoples Advisory Group

IPAG consists of four indigenous representatives from regional indigenous peoples' groups who provide advice to the GEF Secretariat on Indigenous Peoples' issues, and coordination for Indigenous Peoples with the GEF-CSO Network. Other members include one independent representative, and one representative and an alternate from a GEF Agency (they have been from the World Bank, UNDP/SGP and IBD. At points, alternates from the CSO Network have been included. The group meets once or twice a year, though IPAG members have a continuous role of input in their individual capacity into meetings and publications, and attend conferences including the UN Permanent Forum on Indigenous Issues, CBD COP, UNFCCC COP, World Conference on Indigenous Peoples and the IUCN World Conservation Congress and often discuss IPAG matters.

See the IPAG section for further details.

Box 3: The Nagoya Protocol – An Example of Achievement

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

Several articles of the Nagoya Protocol respond and provide provisions recognizing indigenous peoples and local communities and traditional knowledge: the interconnectedness of genetic resources and traditional knowledge; diversity of situation and context surrounding traditional knowledge ownership; identification of traditional knowledge owners; and capacity building and awareness generation of indigenous peoples and local communities. Also, the protocol emphasizes on access, participation in equitable benefit sharing, free, prior and informed consent, and mutually agreed on terms, community protocols and model clauses related to ABS of traditional knowledge associated with genetic resources.

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

46. Towards the end of the GEF 5 replenishment in mid-2014, the GEF Secretariat published **Partnership in Practice: Engagement with Indigenous Peoples**, with input from IPAG. This provides a concise summary of GEF policy on indigenous peoples, and includes a similar analysis of GEF-financed projects as the 2008 Indigenous Communities and

Biodiversity document, with updated figures. Additionally, a breakdown of projects by GEF agency is provided. The document presents a series of case studies of projects involving indigenous peoples, and a summary of lessons learned and future directions of GEF engagement with indigenous peoples.

47. In the current GEF 6 replenishment (2014-2018), two publications feature indigenous peoples. In 2016, the GEF Secretariat published the **User Guide: Indigenous Peoples and GEF Project Financing**, a guide to the structure of GEF, funding guidelines and thematic areas. The document, drafted with input from IPAG, covers the processes and application procedures for the Small Grants Programme, Medium- and Full-Sized Projects and the Critical Ecosystem Partnership Fund, and is designed to encourage applications by indigenous peoples' organisations and networks as project leads or beneficiaries.

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

49. Looking back over these 25 years through GEF Council and Secretariat documents, a growing acceptance of indigenous peoples is evident, both as project beneficiaries and as active partners. Active engagement occurs through consultation, strategy development and project design. Increasingly, indigenous peoples are portrayed as custodians of biodiversity, land and natural resources. While these documents show a lack of specific data on indigenous peoples within GEF-financed projects, the GEF stance on indigenous peoples is now more nuanced than it was when Minimum Standard 4 was formulated in the 2011 Minimum Standards on Environmental and Social Safeguards. GEF publications elaborate more fully project obligations under ILO C169, and GEF's position on the UNDRIP. At the same time, the participation of indigenous peoples has been secured in GEF consultation structures through IPAG and the GEF-CSO Network, ensuring that these communities have representation to further develop GEF's engagement with indigenous peoples.

PRINCIPLES AND GUIDELINES FOR ENGAGEMENT WITH INDIGENOUS PEOPLES

50. The 2012 *Principles and Guidelines for Engagement with Indigenous Peoples* (GEF/C.42/Inf.03/Rev.1) was published by GEFSEC for dissemination to stakeholders in three languages. The document brings together current GEF policies on indigenous peoples (principally the *GEF Policy on Public Involvement in GEF Projects* and *GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards*) with explanations and intentions regarding further engagement, in response to concerns expressed by indigenous peoples. Consultation was carried out with indigenous peoples during the drafting of the document.

51. The Principles and Guidelines are frequently used as a reference in the implementation of GEF funded projects involving indigenous peoples. The survey of SGP National Coordinators carried out during this evaluation indicated that 67% of the respondents always referred to *GEF Principles and Guidelines for Engagement with Indigenous Peoples* in projects involving indigenous peoples.

52. While not containing any enforceable standards regarding indigenous peoples, over and above what is set out in the antecedent documents the *Principles and Guidelines for Engagement with Indigenous Peoples* document does illustrate the recognition of indigenous peoples' role in GEF operational activities, as well as deficiencies in the realization of indigenous peoples' rights including those associated with the UNDRIP, ILO C169 and the ACHPR. The document "acknowledges the importance of the participation and capacity building of indigenous peoples for the identification, development, implementation, monitoring and evaluation of projects" (p.5, para.21) and it calls for further action to improve inclusion of indigenous peoples in GEF activities. By reinforcing the application of GEF Agency standards at or above Minimum Standard 4, the document is widely perceived to be significant in GEF's engagement with indigenous peoples.

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

54. The document provides internal mechanisms for GEF to use to uphold the standards proposed in the document (para.45, p.13). They are summarized and commented upon below:

(a) "Designation of an indigenous peoples focal point for effective and timely engagement with indigenous peoples":

GEF appointed an indigenous peoples focal point in 2010, along with a Gender focal point, and has maintained the position, though over time the responsibilities listed for the position have encompassed a wider area of GEFSEC operations.

(b) "Enhanced coordination between GEF Partner Agencies, GEF Secretariat staff, and indigenous peoples through the creation of an Indigenous Peoples Advisory Group":

IPAG was established in 2013.

(c) **“Reviewing and enhancing GEF monitoring systems to track the effectiveness of the implementation of GEF Policies, Procedures, and Guidelines related to indigenous peoples”:**

Adjustments to monitoring have recently been put into place to better track projects involving indigenous peoples within GEF. However, the monitoring of GEF Agency standards and their application remains an area in need of improvement according to the 2017 Review of The GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF/ME/C.52/inf.08,).

(d) **“Knowledge and capacity development for indigenous peoples to support their active and effective participation in GEF planning, project cycle and other relevant processes”:**

While efforts have been directed at this area, especially through the SGP, it is acknowledged by IPAG and GEF that further substantial support will be needed to achieve effective participation of indigenous peoples in GEF processes.

(e) **“Capacity building among the GEF Secretariat staff, as well as knowledge development and transfer mechanisms”:**

Given the scope of work specifically on projects involving indigenous peoples, an indigenous peoples focal point and the allocated staff time is insufficient capacity to fulfil the focal point role as envisaged. As a case in point, while IPAG fulfils an important communication and dissemination role, no formal system of contact with the larger regional indigenous peoples’ networks appears to exist within either IPAG or GEFSEC.

(f) **“Identification and strengthening of financial arrangements to support indigenous peoples and their efforts to protect their rights and effectively manage their resources”:**

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

55. The Principles and Guidelines document also provides guidance for the protection of Indigenous People’s tenure rights:

“...where avoidance (of negative impacts) is not possible, adequate mitigation measures should be taken. This will include the preparation of appropriate land tenure evaluations, as needed, protective measures, and social impact assessments, among others” (p.11, para.36 d).

56. With regard to the provision on tenure, comment is made over the level of specificity in the language used. Use of the phrases “adequate mitigation measures” and “among others” introduces the possibility of flexible responses, but also ambiguity in the interpretation of what constitutes an acceptable measure toward the protection of indigenous peoples’ tenure rights. There also appears to be a missed opportunity here to underline GEF’s commitment to a rights-based approach by drawing upon international standards such as those contained in the UNDRIP and ILO C169.

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

THE INDIGENOUS PEOPLES ADVISORY GROUP (IPAG)

58. The GEF Indigenous Peoples Advisory Group (IPAG) was launched in 2013. Its genesis can be traced to recommendations by the Indigenous Peoples Task Force (IPTF) and other stakeholders. The IPTF was formed in July 2011, in response to requests from indigenous peoples and their organizations for clarifications regarding various aspects of GEF's involvement with indigenous peoples. The IPTF was comprised of nine indigenous representatives with support from the GEFSEC, GEF CSO Network and an expert consultant on indigenous peoples. The task force provided feedback and recommendations to the GEFSEC on the engagement and participation of indigenous peoples.

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

60. IPAG members and GEFSEC staff note that IPAG's structure was designed to include enough members to have adequate geographic representation of indigenous peoples, while keeping the size manageable for dialogue and consensus building as well as within cost parameters. The structure was to include non-indigenous members with expertise in indigenous projects and programming within implementing agencies to ensure IPAG's approaches are realistic and harmonized. This has occurred, though to date this breadth of representation has mostly been achieved within the thematic area of biodiversity. Of late, IPAG has also been focused on issues of indigenous peoples and chemicals and waste.

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

62. IPAG provides advice to the GEF Secretariat on indigenous peoples' issues including: enhancing dialogue among indigenous peoples and GEF; developing indigenous peoples capacity to engage in GEF projects and processes; providing inputs to the GEFSEC indigenous peoples focal point on policy and practice; providing inputs on resources and tools that can be used to enhance implementation policy and practice in projects involving indigenous peoples; recommendations on financial arrangements to better support indigenous peoples' projects and project development; and on reaching out to indigenous peoples organizations and communities. In one recent initiative, for example, IPAG assisted

in developing indicators for GEFSEC to better measure benefits and outcomes from GEF funded projects to indigenous peoples. These are now being used to improve monitoring systems.

63. Since the inaugural meeting in July 2013, IPAG has met on average twice per year to provide advice to the GEF Secretariat and to coordinate the dissemination of information from GEF and GEF Agencies to indigenous communities. IPAG members have a continuous role of input into meetings and publications, and have attended annual international meetings to discuss issues and present issues related to GEF financing and indigenous peoples' development. In particular, the IPAG is noted for its influence on GEF-6 replenishment discussions on programming direction and focal area strategies, and for encouraging further engagement in GEF projects through various international forums including MEA COPs (particularly CBD COP12 and 13 and at the UNFCCC) and UNPFII (2014 onwards), and the IUCN World Conservation Congress. IPAG and GEFSEC have collaborated on side events including those with the IPs caucus/forum of the MEAs, and GEFSEC funded IPAG members and other indigenous representatives to attend the 2014 Fifth GEF Assembly and Associated Meetings in Mexico. Individually, IPAG members have also been selected to participate in ECWs and GEF Council meetings,

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

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

- (a) Creation of a global and national fellowship program for indigenous peoples with respect to the Convention on Biological Diversity, the Nagoya Protocol (See Box 3) and Climate Change. Regarding the former, the first global scholarship recipients were nominated last December during COP 13.
- (b) Ability to influence action by member states on the principle of "free, prior and informed consent" of indigenous peoples regarding potential development projects or other activities carried out on communal lands.
- (c) Inclusion of indigenous women's vision in the development of GEF Policy on Gender Mainstreaming (2011).
- (d) Coordination and interaction within a framework of mutual respect with civil society organizations. Achieving this required intense lobbying by indigenous peoples to achieve the inclusion of indigenous peoples' requests in various CSO declarations.

66. By all accounts, a key achievement of IPAG is the establishment of the Indigenous Peoples Fellowship Initiative, under the UNDP implemented GEF Small Grants Programme (SGP). The fellowship resulted from discussions by IPAG on increasing access to GEF financing for indigenous peoples, through dissemination of information, capacity building and the development of leadership skills. It has a global and a, still to be launched, national component. At each level, the program is designed to build skills of proven indigenous

leaders for sustainable development and environmental issues, within GEF biodiversity conservation and climate change focal areas.

67. IPAG is continuing to prepare inputs on indigenous peoples' issues for the GEF 7 Replenishment process, including the establishing the following targets from the June 2016 IPAG meeting²⁴:

- (a) A review of implementation of the GEF Principles and Guidelines Mechanisms, with focus on what IPAG has achieved and what needs to be addressed further
- (b) Indigenous peoples' inputs into GEF-7 policy and programming directions
- (c) Additional trainings related to indigenous peoples at relevant international and national meetings
- (d) Further work on implementing the recommendations of the IPAG Financing Paper
- (e) Enhanced engagement with GEF Agencies, with focus on their approach and experiences partnering with indigenous peoples, and how to enhance collaborations
- (f) Consideration of ways that IPAG can assist with bringing more diverse indigenous peoples' perspectives to intergovernmental systems and forums relevant to the GEF's work

IPAG – PERCEIVED LIMITATIONS

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

Communication

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

Box 4: Quote from GEFIEO interview

"Spanish is the official language in the bulk of the countries in the Latin America and the Caribbean region, with the exception of countries that speak in Portuguese and French. Similarly, in Africa besides English speaking countries there are countries that speak Portuguese and French. Although in Asia English is becoming a common language, there are countries where the local language is not English. In addition, due to a lack of resources, there are persistent problems in translation and interpretation. Within regions, Indigenous Peoples can communicate relatively easily using the alternative common language. At the same time, it is essential to recognize that we are people of oral tradition. Therefore, alternative means to communication through reports and brochures must be considered"

²⁴ Source; 'Meeting Notes, GEF Indigenous Peoples Advisory Group (IPAG) Meeting, 3 June 2016'

the working language of IPAG. Reaching a wider range of indigenous groups would require a minimum of Spanish, French and Portuguese - common languages for a large number of indigenous peoples. Furthermore, a recurrent periodic drafting and dissemination of materials to indigenous networks with the assistance of GEFSEC may aid communication outreach.

70. Expectations around how IPAG members are to provide feedback to their own regional indigenous peoples' networks and organisations are not clearly set out, according to IPAG informants. Given infrastructure, geographic and language barriers to communication with indigenous peoples, it is vital that GEF engages with indigenous networks and larger national or cross border indigenous organizations. Significant indigenous peoples regional networks include: the Asia Indigenous Peoples Pact (AIPP), Indigenous Peoples of Africa Co-ordinating Committee (IPACC), Coordinadora Indígena de Centro América (CICA), International Indian Treaty Council (IITC), the Indigenous Peoples' Bio cultural Climate Change Assessment Initiative (IPCCA),e among many others. IPAG members are selected for their knowledge and expertise, not as direct representatives. As it stands, the expectation is to disseminate information about the GEF as and when opportunities arise. The concern is that without clearer expectations regarding the dissemination of IPAG meeting recommendations, materials and reports, there may be lost opportunities to engage with (and be reinforced by) indigenous peoples at this larger scale. Ensuring all relevant IPAG minutes and documentation are uploaded and updated on the GEF website would assist with this process, as would consultation with IPAG members and indigenous networks on improving channels of communication.

IPAG capacity

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

Box 5: A Characterization of IPAG from the Inside - I

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

Quote from GEFIEO interview

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

Role delineation

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

Staffing capacity in GEFSEC and Agencies

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

Capacity within Indigenous Peoples' Networks

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

Box 6: A Characterization of IPAG from the Inside - II

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

Quote from GEFIEO interview

involved in processes at regional and international levels, including past and present IPAG members.

GEF INDIGENOUS PEOPLES SAFEGUARD: ANALYSIS AND AGENCY COMPARATIVE VIEW

BACKGROUND

75. The GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF/C.41/10/Rev.1) was launched in November 2011. The development of these safeguards can be traced to the increase in the number of GEF Agencies being accredited, and to a heightened level of recognition across the partnership that projects may have unintended negative consequences, or trade-offs, wherein fundamentally positive impacts have unintended negative consequences. As such, the need for a minimum level of social and environmental compliance in GEF-funded projects across the multiple agencies of differing geographic and implementation focus became an obvious requirement.

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

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

78. The GEF Minimum Standards do not prescribe the formulation of Agency policies. Rather, they provide a range of obligations to GEF Agencies regarding indigenous peoples. GEF MS 4 asks of them the following:

- (a) To ensure the quality of community consultations
- (b) To undertake environmental and social assessments
- (c) To provide appropriate and inclusive community benefits through projects
- (d) To include indigenous peoples in planning and benefits where restricted access to protected areas occurs
- (e) To confirm prior agreement in use of cultural resources or knowledge of indigenous peoples
- (f) To ensure the development of specific comprehensive plans for indigenous peoples affected by projects
- (g) To disclose consultation processes and the indigenous peoples plan in an accessible manner, and
- (h) To monitor benefits and negative impacts of projects on indigenous peoples by social scientists

79. The document states that GEF requires Free, Prior and Informed Consultation (FPIC) where it is required as a consequence of a country's ratification of International Labour Organisation Convention No.169 (ILO C169).

80. It should also be noted that as the GEF Safeguards were modelled after the World Bank’s Safeguards, the GEFSEC recommended that the World Bank be considered as having met the newly drafted GEF Minimum Standards on Environmental and Social Safeguards²⁵.

A COMPARATIVE VIEW OF GEF AND GEF AGENCY INDIGENOUS PEOPLES SAFEGUARDS

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

82. At the time of the GEF Safeguards publication, the landscape of GEF Agency safeguards for Indigenous Peoples was significantly less developed than it is today. A review of the summaries of agency safeguards and limitations, shows that many GEF agencies have either added or updated provisions including specific safeguards on indigenous peoples in the years following the publication of GEF Minimum Standard 4 (MS 4). These developments are illustrated in Table 1. The table shows that MS 4 was published in 2011, while eleven of the seventeen GEF Agencies included in the comparison have safeguards published **in 2015 or later**.

Table 1: GEF and Agency Indigenous Peoples Safeguards, by Year Published

GEF Agency	Policy	Year Published
United National Development Programme (UNDP)	Social and Environmental Standard 6: Indigenous Peoples	2017
International Union for Conservation of Nature (IUCN)	ESMS Standard on Indigenous Peoples	2016
World Bank (WB) 2018 onwards	Environmental and Social Standard 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities	2016
Conservation International (CI)	Environmental and Social Management Framework Policy 4	2015
Development Bank of Latin America (CAF)	Environmental and Social Safeguards for CAF/GEF Projects	2015
Development Bank of Southern Africa (DBSA)	Social Safeguard Standard 4: Community Stakeholders and Vulnerable Groups	2015
Food and Agriculture Organization (FAO)	ESS 9 Indigenous Peoples and Cultural Heritage	2015
Foreign Economic Cooperation Office (FECO) ²⁶	Environmental and Social Safeguard Framework	2015

²⁵ “...because the GEF’s minimum safeguard standards are derived from World Bank safeguard policies, and the World Bank already has a best-practice accountability system, the Secretariat recommends that the Council note that the Bank already meets the proposed minimum standards.” (para.5, p.iii, GEF/C.41/10/Rev.1)

²⁶ Not included in comparison

United Nations Environmental Programme (UNEP)	Safeguard Standard 5: Indigenous Peoples	2015
United Nations Industrial Development Organisation (UNIDO)	Operational Safeguard 4: Indigenous Peoples	2015
West African Development Bank (BOAD)	Operational Policy 8: Indigenous Peoples	2015
World Wildlife Fund (WWF)	Indigenous Peoples Safeguard	2015
European Bank for Reconstruction (EBRD)	Performance Requirement 7: Indigenous Peoples	2014
African Development Bank (AfDB)	Integrated Safeguards System	2013
Fundo Brasileiro para a Biodiversidade (FUNBIO)	Indigenous Peoples Policy	2013
Global Environment Facility (GEF)	Minimum Standard 4	2011
Asian Development Bank (ADB)	Safeguard Requirements 3: Indigenous Peoples	2009
International Fund for Agricultural Development (IFAD)	Engagement with Indigenous Peoples Policy	2009
Inter-American Development Bank (IADB)	Operational Policy on Indigenous Peoples	2006
World Bank (WB) <i>up to 2018</i>	Operational Policy 4.10: Indigenous Peoples	2005

83. Many key informants have asserted that GEF MS 4, in its current wording, has outlived its utility and needs to be updated to again demonstrate leadership within the partnership. As it is, the foundational World Bank Operational Policy (OP) safeguards, published 12 years ago are about to be superseded by new World Bank Environmental and Social Standards (ESS) in 2018 (also see Table 1).

84. In reviewing MS 4, a comparison has been made between the nine key provisions set out by GEF in the MS 4 section and the wording of provisions among 17 GEF Agency indigenous peoples' safeguard policies. One agency, FECO, is excluded from this analysis due to the agreement between GEF and FECO that no projects affecting indigenous peoples will be proposed by the agency, due to inapplicability of the Minimum Standards²⁷. The comparison includes two policies from the World Bank (the current OP 4.10, and ESS 7²⁸ applied from 2018 onwards), hence 18 policies in total across the 17 Agencies. A summary of this comparison is contained in Table 2, below.

85. It should be noted that though Agencies are expected to meet conditions within the safeguards, GEF does not prescribe the wording of GEF Agency Safeguard policies. The table below therefore indicates the extent of comparable wording and provisions within Agency

²⁷ See section 4.03 of the Memorandum of Understanding between FECO and the GEF (<https://www.thegef.org/documents/memorandum-understanding-between-feco-and-gef>)

²⁸ Environmental and Social Standard 7 is titled "Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities"

policies, not safeguard compliance within projects. However, where inconsistencies between safeguard policies occur, additional focus or provisions would be expected to mitigate any potential risks.

Table 2: Summary of GEF Agency Conformity with GEF Minimum Standard 4: Indigenous Peoples

GEF Minimum Standard 4: Indigenous Peoples	Summary of GEF Agency Conformity with MS 4		
	Exceeds	Consistent	Partial
1. Undertake free, prior, and informed consultations with affected IPs to ascertain their broad community support for projects affecting them and to solicit their full and effective participation in designing, implementing, and monitoring measures to (a) ensure a positive engagement in the project (b) avoid adverse impacts, or when avoidance is not feasible, minimize, mitigate, or compensate for such effects; and (c) tailor benefits in a culturally appropriate way (MS 4 para.36)	BOAD CI DBSA FAO FUNBIO IFAD IUCN UNDP WWF	ADB AfDB CAF EBRD IADB UNEP UNIDO WB(4.10) WB(ESS7)	
2. Undertake environmental and social impact assessment, with involvement of IPs, to assess potential impacts and risks when a project may have adverse impacts (MS 4 para.37)	UNDP	ADB AfDB BOAD CAF CI DBSA EBRD FAO FUNBIO IADB IFAD IUCN UNEP UNIDO WB(ESS7) WWF	WB(4.10)
3. Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected indigenous peoples for provision of benefits and mitigation measures (MS 4 para.38)		ADB AfDB BOAD CI CAF DBSA EBRD FAO FUNBIO IADB IFAD IUCN UNDP UNEP UNIDO WB(4.10) WB(ESS7) WWF	

<p>4. If access restriction to parks and protected areas, ensure that affected IPs fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such areas and share equitably in benefits from the areas (MS 4 para.40)</p>	<p>ADB FAO UNDP UNIDO WB(ESS7)</p>	<p>BOAD CAF CI DBSA EBRD FUNBIO IADB IFAD IUCN UNEP WB(4.10) WWF</p>	<p>AfDB</p>
<p>5. Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement (MS 4 para.41)</p>	<p>EBRD UNIDO WB(4.10) WB(ESS7)</p>	<p>ADB BOAD CAF CI DBSA FAO FUNBIO IADB IFAD IUCN UNDP WWF</p>	<p>AfDB UNEP</p>
<p>6. Where the economic or social impact assessment identifies adverse effects on IPs, Agency policies require that the project develop an IP plan or a framework that (a) specifies measures to ensure that affected IPs receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected IPs (MS 4 para.42)</p>	<p>-</p>	<p>ADB BOAD CAF CI DBSA EBRD FAO FUNBIO IADB IFAD IUCN UNDP UNEP UNIDO WB(4.10) WB(ESS7) WWF</p>	<p>AfDB</p>
<p>7. Disclose documentation of the consultation process and the required IP plan or framework, in timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them (MS 4 para.43)</p>	<p>-</p>	<p>ADB BOAD CAF CI DBSA EBRD FAO FUNBIO IADB IFAD IUCN UNDP UNEP UNIDO WB(4.10) WB(ESS7) WWF</p>	
<p>8. Monitor, by experienced social scientists, the implementation of the project (and any required IP plan or framework) and its benefits as well as challenging or negative impacts on indigenous peoples and address possible</p>	<p>FAO FUNBIO IFAD UNDP WWF</p>	<p>ADB BOAD CAF CI DBSA ERBD IADB IUCN UNEP UNIDO</p>	<p>AfDB</p>

mitigation measures in a participatory manner (MS 4 para.44)		WB(4.10) WB(ESS7)	
9. GEF SGs require FPIC where it is required by virtue of ratification of ILO 169. Must document mutually accepted consultation process and evidence of agreement as outcome of process (Agency MS Key Principles para.23, p.6)	ADB BOAD CI DBSA EBRD FAO FUNBIO IADB IFAD IUCN UNDP UNEP UNIDO WB(ESS7) WWF	CAF WB(4.10)	AfDB

86. In general, the wording of GEF Agencies safeguard policies are in alignment with the requirements of GEF MS 4. Of the nine provisions of MS 4, Agencies show high levels of conformity in the areas of environmental and social impact assessments, appropriate socioeconomic benefits, indigenous peoples’ plans and document disclosure (requirements 2, 3, 6 and 7 in Table 2 above).

87. In the areas of consultation, participation and the application of Free, Prior and Informed Consent (FPIC) (requirements 1 and 9 in Table 2), the wording of GEF Agency safeguards tends to exceed MS 4 provisions by insisting on greater protections for indigenous peoples or greater participation within project frameworks. To a lesser extent, MS 4 standards are also exceeded in terms of access, participation and benefits in protected areas, the use of cultural resources and traditional knowledge, and with the monitoring of GEF-funded projects (requirements 4, 5 and 8 in Table 2).

88. The comparison highlighted one case where UNEP and WB OP4.10 appear to provide a lesser degree of protection than provisions of GEF MS 4, regarding the protection of intangible culture and environmental and social impact assessment respectively (requirements 5 and 2 in Table 2). It should be noted that there is a lack of clarity over the Minimum Standards application to WB projects (see the later section *Safeguard Application and Monitoring*).

89. In the case of AfDB, five instances were identified where the wording of safeguard policy did not appear to provide the same level of protection as stated in MS 4 (requirements 4, 5, 6, 8 and 9 in Table 2). An explanation of the documents reviewed and specific issues raised regarding these instances is provided in Annex 6 of this report.

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

91. The GEF is expected to detect discrepancies through a process of periodic compliance monitoring, as specified in its current policy document.²⁹

²⁹ Monitoring Agency Compliance with GEF Policies on Environmental and Social Safeguards, Gender, and Fiduciary Standards: Implementation Modalities, GEF/C.51/08/Rev. 01, October 27, 2016

92. Regarding application of MS 4, Agencies found non-compliant by independent assessment at the time the GEF MS 4 policy was written (late 2011) were expected to upgrade their safeguards to meet the requirements for the current (GEF-6) replenishment cycle. According to the GEFSEC, all Agencies have satisfied these requirements at the time of writing. As per the Monitoring Policy of 2016 introduced at the 51st Council meeting, future self-assessments and risk-based third-party reviews are expected to take place with each replenishment cycle, starting with the final year of the GEF-7, (2022).

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

EXAMINING MINIMUM STANDARD 4

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

Design

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

Identification of Indigenous Peoples

96. MS 4 establishes criteria regarding the identification of indigenous peoples within project areas, as follows:

“(Indigenous peoples) are identified through criteria that reflect their social and cultural distinctiveness. Such criteria may include: self-identification and identification by others as indigenous peoples, collective attachment to land, presence of customary institutions, indigenous language, and primarily subsistence-oriented production” (p.24, para.35).

97. Organizations such as the UN, ILO and ACHPR provide a widely-accepted range of criteria to identify indigenous peoples, while avoiding exacting definitions which may prove difficult given the diversity of indigenous peoples and the lack of recognition of such groups in some states. A number of GEF Agencies present a fuller explanation than GEF within their safeguard policies on the identification of indigenous peoples. One, in particular, is the UNDP with its Social and Environmental Standards (SES). The UNDP SES also reduces possible inconsistencies in the national application of the term by stating:

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

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

Consultations, Consent and Participation

99. There are several observations to be made about these aspects of engagement

- (a) **FPIC coverage** - Currently, GEF requires FPIC approaches only from ILO C169 signatory states (see next section). By contrast, the Agency safeguard policies of BOAD, CI, DBSA, FUNBIO, IFAD, FAO, IUCN, UNEP, UNIDO and WWF have put in place mandatory FPIC processes for all projects involving indigenous peoples. As well, the EBRD, UNDP and WB ESS7 require FPIC for projects involving a potential loss of land, natural resources and cultural heritage, and those involving resettlement.
- (b) **Expectations on Agencies regarding alignment** - The Minimum Standards state that “GEF Partner Agencies will rely on their systems for consultation with indigenous peoples” (para.24, p.6). Expectations regarding the quality of engagement *vis a vis* the Minimum Standards are not spelled out, however.
- (c) **IP participation in project processes** - While the application of environmental and social impact assessments is clearly defined in MS 4, and the involvement of indigenous peoples in such assessments is mandated, the level of participation is not well defined, as illustrated below:

“(Agency is to) undertake the environmental and social impact assessment, with involvement of indigenous peoples, to assess potential impacts and risks when a project may have adverse impacts. Identify measures to avoid, minimize and/or mitigate adverse impacts” (MS 4, para.37)

100. Some GEF Agencies have specified the level of required participation by indigenous peoples. The UNDP SES, for example, requires that:

“Projects with potentially significant adverse impacts require a full social and environmental assessment conducted by an independent and capable entity. Reviews and assessments will be conducted transparently and with the full, effective and meaningful participation of the indigenous peoples concerned” (Requirement 10, UNDP SES Standard 6: Indigenous Peoples)

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

- (a) **GEF’s terminology related to FPIC** - Some ambiguity exists around GEF’s use of the term “free, prior and informed consultations”, a term borrowed from the World Bank Operational Policies that includes elements of, but is not the same as, Free,

Prior and Informed Consent – the exact wording behind FPIC. While the construction of the term “free, prior and informed consultations” indicates a positive relation to elements of FPIC, opting for such a similar term introduces opacity. In content and in use of acronym, the phrase is similar but the meaning is emphatically different; it lacks the element of consent. As GEF is promoting an engagement with indigenous peoples that is transparent and participatory, wording along the lines of, “consultations that are free, prior and informed” would give more clarity to GEF’s position.

102. That said, it is also important to note that while the use of “free, prior and informed consultations” lacks the requirement for consent, the Minimum Standards also state that GEF Partner Agencies must “ensure that such consultations result in broad community support for the GEF-financed operation being proposed” (para.24, p.6). This suggests that what is called for is consent. As such, adopting an inclusive approach to FPIC may be unlikely to generate operational changes, as it seems unlikely that GEF would finance projects that lack community consent (within the accepted definitions of consent that align with broad agreement, and not unanimity).

Human Rights

103. While the GEF Minimum Standards sought to address requests from the GEF CSO Network and others to clarify GEF’s relationship with the UNDRIP and the ILO C169³⁰, little explanation of the relationship is given in the document itself. More context is provided in subsequent GEFSEC publications. By contrast, FUNBIO, UNDP and WWF directly reference provisions set out in UNDRIP in the application of safeguards for indigenous peoples, and FAO, IUCN and UNIDO link to specific aspects of the UNDRIP.

104. The GEF Principles and Guidelines for Engagement with Indigenous Peoples does state that GEF “supports the realization of the provisions articulated in the Declaration, and believes that GEF-financed projects can positively contribute to the realization of the principles of the Declaration” (para.34, p.9). However, the nature of this support remains undefined in GEF publications and is yet to be reflected in other GEF policies.

105. The analysis carried out for this review, and summarized in Table 3 below, shows that UNDRIP Article 29(1) broadly encapsulates much of GEF’s approach with indigenous peoples. As such, it paves the way for defining a rights based approach within the GEF partnership, bringing clarity to the alignment that exists between GEF’s policy positions *vis a vis* the provision of the UNDRIP. It says that, “indigenous peoples have the right to the conservation and protection of the environment and the productive capacity of their lands or territories and resources. States shall establish and implement assistance programmes for indigenous peoples for such conservation and protection, without discrimination”.

³⁰ UNDRIP is a non-binding international convention signed by nearly all UN member states and adopted by the General Assembly, and International Labour Organization Convention 169 is a binding convention signed by 22 states, 15 of which are in Latin America

Table 3: Corresponding areas between GEF Minimum Standard 4 and the UNDRIP

GEF Minimum Standard 4: Indigenous Peoples	Corresponding UNDRIP Article
<p>MS 4 para.38: Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected indigenous peoples for provision of benefits and mitigation measures</p>	<p>Article 21(2): States shall take effective measures and, where appropriate, special measures to ensure continuing improvement of their economic and social conditions. Particular attention shall be paid to the rights and special needs of indigenous elders, women, youth, children and persons with disabilities.</p>
<p>MS 4 para.40: If access restriction to parks and protected areas, ensure that affected IPs fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such areas and share equitably in benefits from the areas</p>	<p>Article 32(1): Indigenous peoples have the right to determine and develop priorities and strategies for the development or use of their lands or territories and other resources.</p>
<p>MS 4 para.41: Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement</p>	<p>Article 31(1): Indigenous peoples have the right to maintain, control, protect and develop their cultural heritage, traditional knowledge and traditional cultural expressions, as well as the manifestations of their sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts. They also have the right to maintain, control, protect and develop their intellectual property over such cultural heritage, traditional knowledge, and traditional cultural expressions.</p>

GEF Minimum Standard 4: Indigenous Peoples	Corresponding UNDRIP Article
<p>MS 4 para.42: Where the economic or social impact assessment identifies adverse effects on IPs, Agency policies require that the project develop an IP plan or a framework that (a) specifies measures to ensure that affected IPs receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected IPs</p>	<p>Article 18: Indigenous peoples have the right to participate in decision-making in matters which would affect their rights, through representatives chosen by themselves in accordance with their own procedures, as well as to maintain and develop their own indigenous decision-making institutions.</p>

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

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

107. Hence, taken in context with Articles 14 to 17 containing specific provisions on land and natural resources and rulings by the Inter-American Court of Human Rights on the application of FPIC³¹, signatory states are compelled to obtain indigenous peoples’ consent for all projects affecting them. As such, GEF’s adoption of FPIC in these countries appears to be a necessity rather than a choice.

108. Additionally, while MS 4 (para.22) states “there is no universally accepted definition of FPIC”, it is also the case that in Latin American signatory states to C169, there is domestic and regional jurisprudence providing a clear basis for FPIC processes, and FPIC processes have been clarified by various UN agencies and civil society organisations³². A key reference in this regard is the UN Development Group FPIC guidelines that form Annex 2 of the GEF Principles and Guidelines for Engagement with indigenous peoples.

³¹ See for example *Saramaka People v. Suriname*, Inter-Am. Ct. H.R. (Ser. C) No. 172, Judgment of November 28, 2007 or *Kichwa Indigenous People of Sarayaku v. Ecuador*, Inter-Am. Ct. H.R., Judgment of June 27, 2012

³² For example, see UN REDD FPIC guidance <http://www.unclearn.org/sites/default/files/inventory/un-redd05.pdf> and FAO’s FPIC manual <http://www.fao.org/3/a-i6190e.pdf>

Safeguard Application and Monitoring

109. With reference to page 6, paragraph 24, the Minimum Standards state that for projects in ILO C169 non-signatory states “GEF Partner Agencies will rely on their (own) systems for consultation with indigenous peoples and will ensure that such consultations result in broad community support for the GEF-financed operation being proposed”. In this context, the way Agencies monitor consultation and project implementation is up to them. Indeed, there is no requirement that agencies report to GEF on compliance with safeguards, including those of Minimum Standard 4.

110. The 2017 Review of The GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF/ME/C.52/inf. 08), recommends that GEF should consider tracking and/or providing independent control checks of consultation procedures under partner agencies.

Box 7: Recommendation from Review of GEF Policy on Agency Minimum Standards for Environmental and Social Safeguards

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

111. On another note, it was recommended in the Minimum Standards to exclude the World Bank from assessment in demonstrating compliance with GEF safeguards:

“Because the GEF safeguard standards are derived from a version of the WB's safeguard standards it is understood that the World Bank already meets the standards. For this reason, the GEF will not assess the World Bank according to the minimum standards in this policy.” (GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards, p.10, para.41).

112. However, there is also a lack of clarity regarding the active application of Minimum Standards to the World Bank:

“GEF will apply the standards in an equitable manner to all GEF Partner Agencies. However, because the GEF's minimum safeguard standards are derived from World Bank safeguard policies, and the World Bank already has a best-practice accountability system, the Secretariat recommends that the Council note that the Bank already meets the proposed minimum standards.” (GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards, p.ii, para.5).

113. While this approach may reduce administration in terms of applying similar safeguards, it is also the case that the two institutions are separate and have independently developed and approved their safeguards. Hence it would have been more transparent to apply all Minimum Standards processes equally to all GEF Agencies. During the drafting of the World Bank's EES 7, the Agency faced criticism from indigenous peoples organisations³³. In this instance, elements of the approved EES 7, including the necessity for Indigenous Peoples Plans obligated under MS 4, appeared less robust than what is contained in OP 4.10³⁴. The concern here is that Agency safeguarding processes, including those of the World Bank are largely evolving independently of each other. As such, to not apply GEF Minimum Standards universally to Agencies, including the World Bank, increases the risk over time of financing GEF projects with sub-standard safeguard applications.

114. Finally, regarding FECO, while a moratorium on GEF financing of FECO projects involving indigenous peoples may have been agreed by both parties, China has a high population of indigenous peoples. Almost one third of the world's indigenous peoples by International Work Group for Indigenous Affairs estimates.³⁵ GEFSEC's position regarding the moratorium is that FECO has the same opportunity as other Agencies to submit their materials supporting their eligibility to undertake projects that engage indigenous peoples.

Minimum Standard 4 - Concluding Remarks

115. As highlighted earlier in the section, GEF Minimum Standard 4 provided an important baseline in 2011 for Agency activities; this at a time when safeguards for indigenous peoples were less well developed across GEF's Partner Agencies. In subsequent years, MS 4 has been a basis for the progressive development and acceptance of indigenous peoples' rights manifested in revised policies among GEF Agencies. And so, today, there is a high level of consistency between MS 4 and GEF Agency safeguards. Indeed, a number of GEF Agencies have exceeded the requirements of MS 4, especially in areas of consultation, defined participation, the application of FPIC (see above sub-section section ii) Consultation and Consent) and the acceptance and support of various international human rights mechanisms, principally the UNDRIP (see above sub-section iii) Human Rights).

116. As an organization, GEF has continued to be a proponent of progressive scientific and technical approaches to environmental conservation, management and adaptation, an approach that has recognized and embraced the enormous contribution of indigenous peoples to environmental conservation and management practices. That said, this

³³ For examples see submissions from IWGIA

https://consultations.worldbank.org/Data/hub/files/iwgia_letter_to_world_bank.pdf, Forest Peoples Programme and Asia Indigenous Peoples Pact: <http://www.forestpeoples.org/topics/safeguard-accountability-issues/news/2015/02/joint-aipp-and-fpp-submission-world-bank>, and compiled feedback: https://consultations.worldbank.org/Data/hub/files/submission_from_members_and_secretariat_of_the_international_land_coalition_ilc.pdf

³⁴ See for example, Forest Peoples Programme:

<http://www.forestpeoples.org/sites/fpp/files/news/2016/07/WB%20article%20July%2021%20near%20final.pdf> and US Government response to WB ESS7 p.3-4: <https://www.treasury.gov/resource-center/international/development-banks/Documents/US%20Position%20on%20the%20Review%20and%20Update%20of%20the%20World%20Bank's%20Safeguard%20Policies.pdf>

³⁵ See Patrinos and Hall (2010) Indigenous Peoples, Poverty and Development, p.9-11, and IWGIA: The Indigenous World 2017: http://www.iwgia.org/publications/search-pubs?publication_id=760

commitment remains an area that could be better reflected in GEF Safeguards, and could further influence the recognition of indigenous peoples' rights and roles in the realization of environmental conservation efforts.

117. More specifically, in any future GEF policies pertaining to indigenous peoples, consideration should be given to either clarifying the GEF position on the use of the FPIC universally, or to defining GEF's position on indigenous peoples' right to self-determination, a core component of FPIC principles that links to many of the provisions within the UNDRIP and ILO C169. Additionally, further linkages could be made from current MS 4 requirements and any future safeguard development to the International Covenant on Economic, Social and Cultural Rights³⁶ and to the International Covenant on Civil and Political Rights³⁷, both of which are widely applied and carry relevance to all projects partnered with communities.

³⁶ <http://www.ohchr.org/EN/ProfessionalInterest/Pages/CESCR.aspx>

³⁷ <http://www.ohchr.org/EN/ProfessionalInterest/Pages/CCPR.aspx>

PORTFOLIO ANALYSIS

METHODOLOGY

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

119. The evidence presented in the following analysis draws on two inter-related sources:

- (a) **Documents in the GEF’s Project Management Information System (PMIS)** – this includes project documents, the Safeguard datasheet, and project review sheets. This review was used as a starting point for developing the indigenous peoples portfolio. The final portfolio is derived from a combination of a GEF-Secretariat list, a new list developed in 2017³⁸, and a list of projects provided by the Terminal Evaluation (TE) team in June 2017³⁹.
- (b) **GEF-IEO’s internal project performance portfolio (Terminal Evaluation Review Database)**, which contains ratings on outcomes, sustainability and efficiency that have been evaluated through the Office’s Annual Performance Evaluation (APRs). One-hundred-eighty-eight (188) of the 426 GEF indigenous peoples project are included in the Evaluation Office’s TER database, with 181 projects having ratings on project outcomes. The other seven projects did not have sufficient information on the TE reports to assign performance ratings. Using this information on project performance, this study compared the relative performance of projects that engaged indigenous peoples with the overall GEF portfolio along the dimensions of outcome, likelihood of sustainability, and outcome efficiency.

PORTFOLIO HIGHLIGHTS

120. Analysis of the GEF portfolio covers from the pilot phase to mid-way through GEF6⁴⁰ and shows that projects that engage Indigenous peoples are gaining in presence and are performing comparably. Highlights include:

- (a) By number of projects and by investment, the proportion of Full-sized and Medium-sized projects that include indigenous peoples has increased substantially since the beginning of GEF

³⁸ In October 2016, the GEF IEO received a list of 223 projects engaged indigenous peoples from the GEF Secretariat. The Secretariat’s list collected projects that were approved up to May 2014, using methods of keyword searching and project document review. The Secretariat’s list was further reviewed in December 2016 to update their categorization (moved 13 projects to the new category “Others”), and 5 non-Indigenous Peoples projects were removed. Followed the same methodology and applied additional text-analysis software, the IEO also reviewed the GEF 5 & 6 projects and added in 154 projects to compile the final 372 projects portfolio.

³⁹ In June 2017, the IEO-TE review team provided a list of 69 OPS6 projects that had substantial effects on indigenous peoples. The TE team reviewed project documents of 355 closed projects from OPS6, and focused on indigenous people’s engagement and consultation activities. Among the reviewed projects, 69 projects included activities that are likely to have substantial effect on indigenous peoples.

⁴⁰ Projects approved as of September 30, 2016.

- (b) At the same time, project holders have improved their ability to leverage co-financing for projects engaging indigenous peoples
- (c) Most of the projects involving indigenous peoples fall into the Full-sized category, and have been implemented by just four of the GEF accredited agencies (UNDP, WB, UNEP, FAO)
- (d) Over half of funded projects fall into the Bio-diversity focal area, though a shift is evident toward a greater concentration of projects engaging indigenous peoples in the Multi-focal and Climate Change focus areas
- (e) The greatest number of projects and the largest concentration of investment occurs in Latin America and the Caribbean
- (f) Two-thirds of all projects identified with indigenous peoples show “limited” (participation) or “moderate” involvement (beneficiaries) of indigenous peoples; thus far, projects exclusively driven by indigenous peoples are in a minority
- (g) In the last two GEF cycles, performance lags between Indigenous People focused projects and the GEF portfolio have been replaced by consistently high levels of satisfaction across the two groups
- (h) Outcome performance levels have been highest across Indigenous People projects focused on land degradation, climate change and biodiversity and among projects operating globally and in the Latin America and the Caribbean
- (i) Indigenous People projects are comparable to the GEF portfolio on the likelihood of being sustainable; however, attaining sustainability poses a challenge for the portfolio, as a whole, with just over half of projects showing moderate likelihood or greater of being sustainable
- (j) On project efficiency, Indigenous People projects measure comparably with the GEF portfolio, though there is scope for improvement (with over half rated as moderately satisfactory or lower)

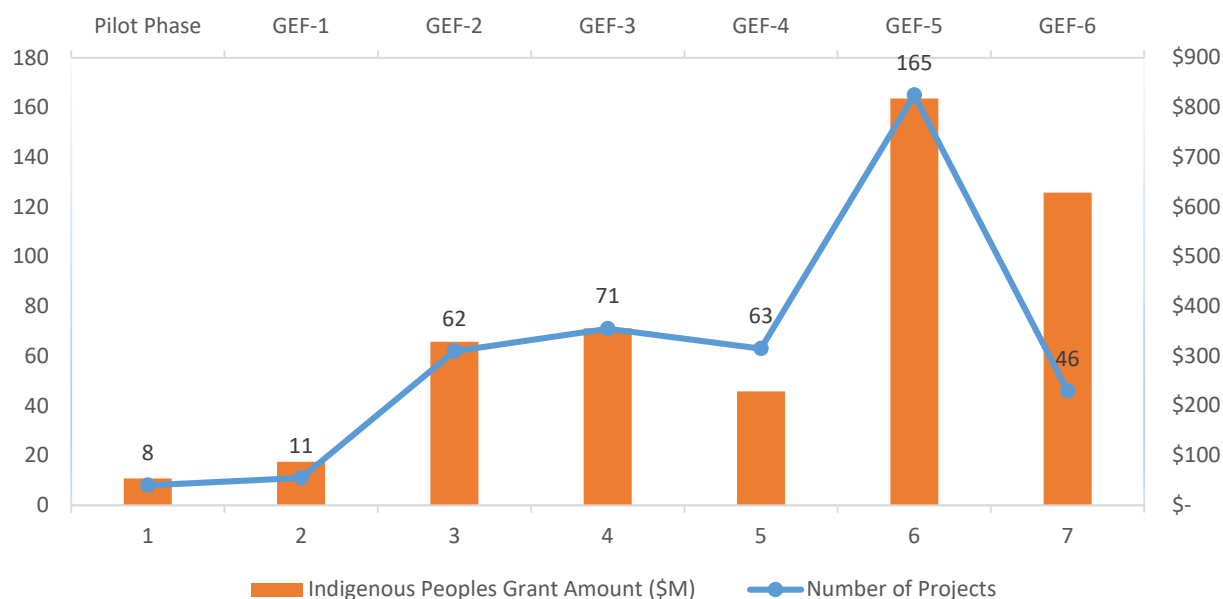
PORTFOLIO TRENDS

121. The indigenous peoples portfolio identified for OPS6 is comprised of 426 projects within a time frame spanning from the pilot phase to part of GEF-6 (See Annex 2). The portfolio represents approximately ten percent of the 4,319 projects approved as of September 30th, 2016. From a financial perspective, this portfolio comprises about 11 percent of the total GEF portfolio investment across focal areas.

122. Among the 426 projects, 304 are Full-Size Projects (71%), and 122 are Medium-Size Projects (29%). Altogether, they represent US\$2,503 million in GEF grant investment and US\$12,893 million via co-financing.

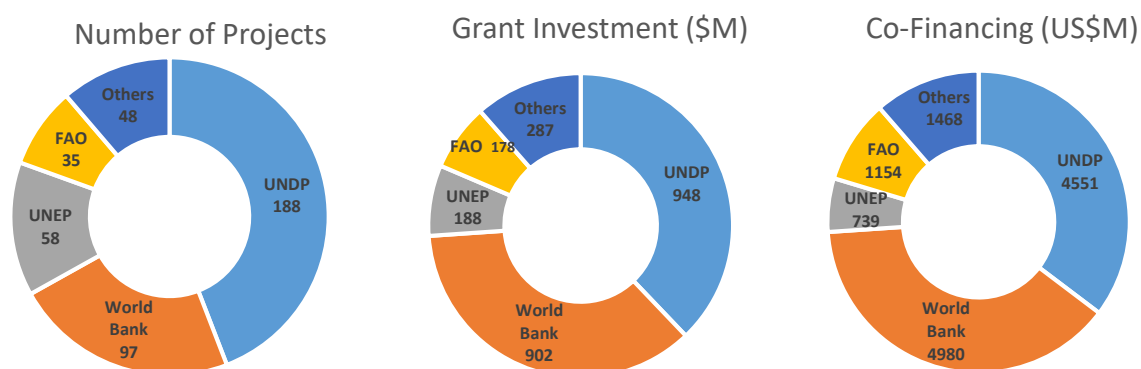
123. The trends in project number and grant amount are presented in Figure 1. The graph shows a prominent increase from GEF-4 to GEF-5. Here, though, it should be noted that the portfolio development process before and after GEF-5 were conducted by different groups. There is some uncertainty about the exact number of projects with the involvement of indigenous peoples and their actual investment amount due to the lack of systematic tagging in the PMIS.

Figure 1: Comparison of Investment Volume and Number of Projects, by GEF Phase (note: GEF-6 ~50% complete)



124. The lead implementing Agencies in this portfolio, in order of magnitude are: UNDP (44%), World Bank (23%), UNEP (14%) and FAO (8%). The remaining 11 percent of projects were implemented by ADB, AfDB, IADB, UNIDO, Funbio, CI, IUCN, IFAD and WWF. Figure 2 presents the number of projects and the corresponding GEF grant amount and co-financing amount with these implementing agencies.

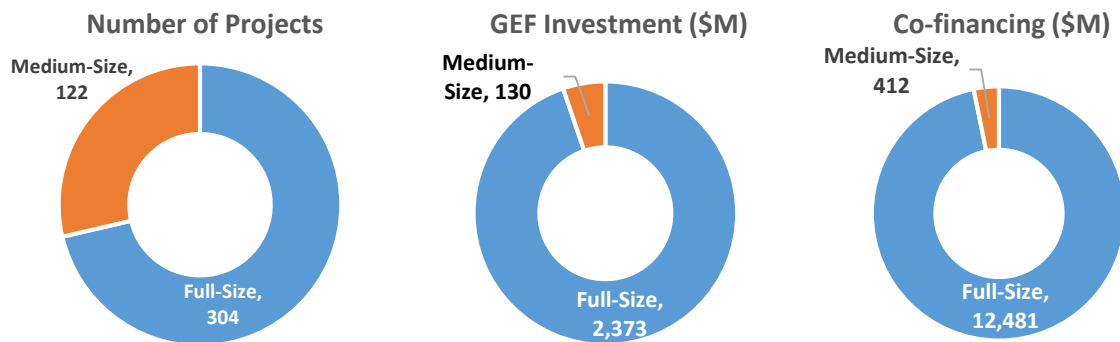
Figure 2: Distribution of Indigenous Peoples Grant Projects, by Agency



Modality and Focal Area

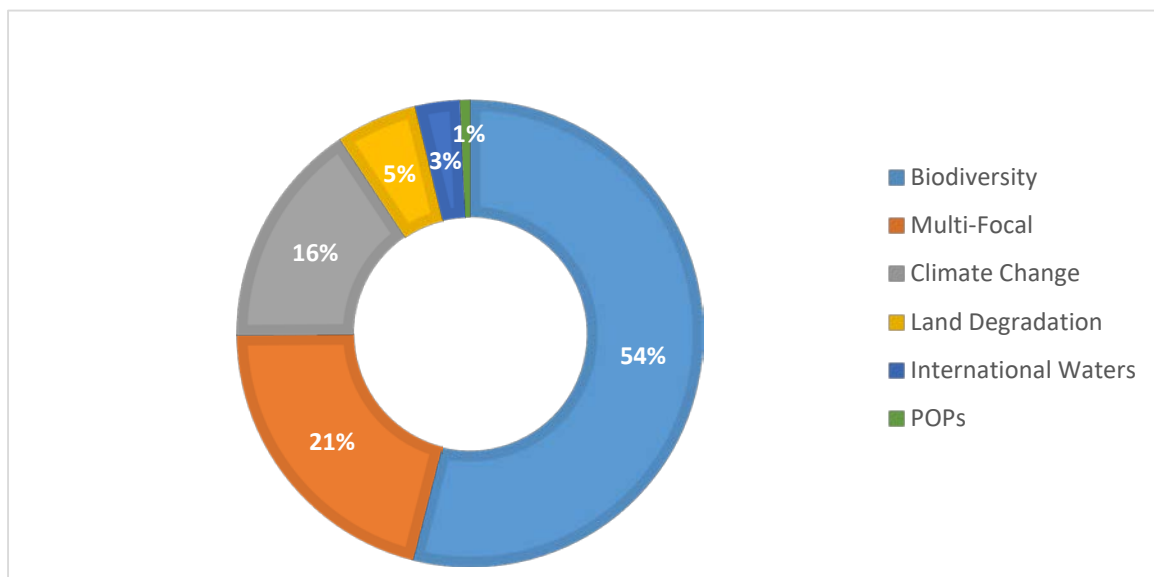
125. In the indigenous peoples portfolio, 304 projects are full-size (71%), and 122 projects medium-size (29%). As shown in Figure 3, full-size projects greatly outnumber medium-size projects in terms of GEF grant amount and co-financing amount.

Figure 3: Distribution of Indigenous Peoples Grant Projects, by Project Type



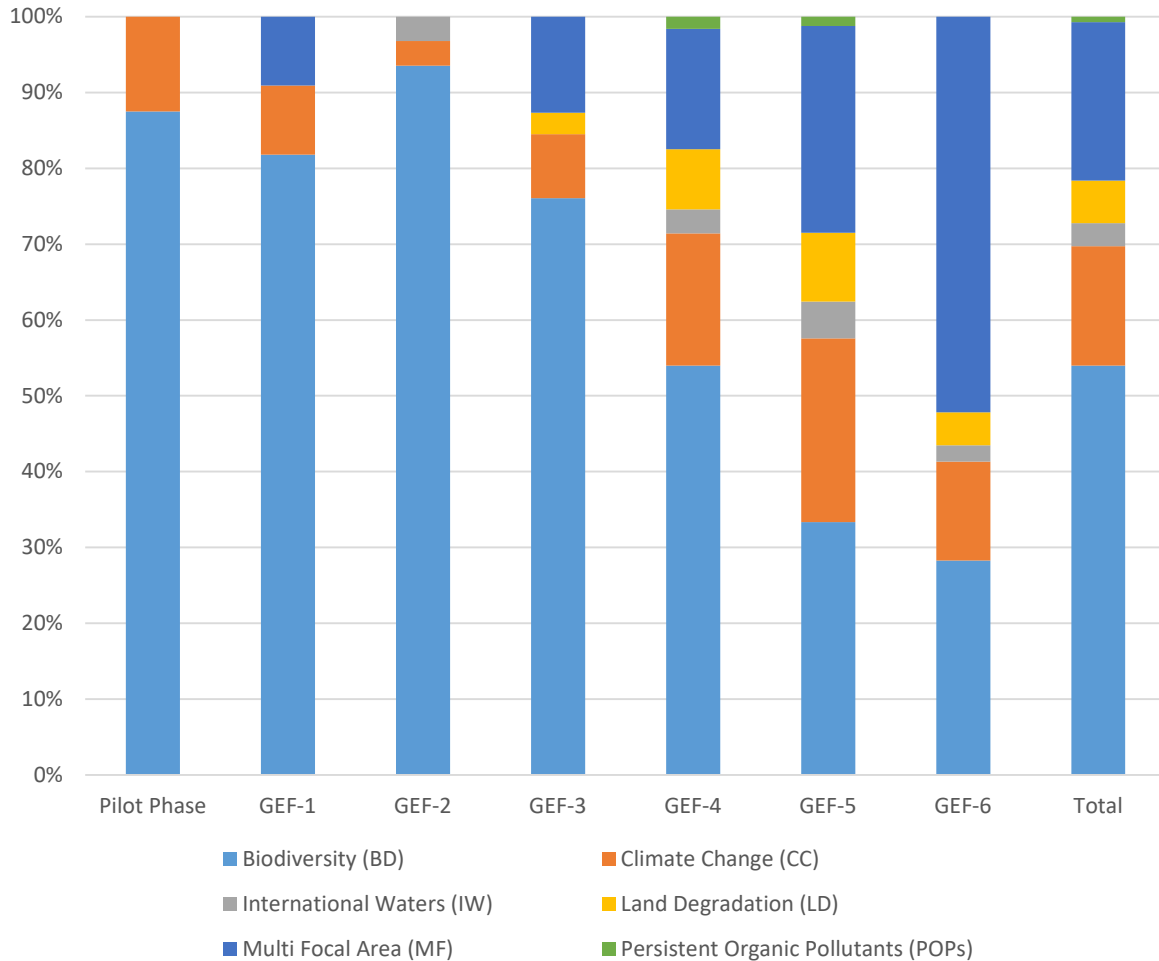
126. As illustrated by Figure 4, the Biodiversity (BD) focal area dominates the indigenous peoples portfolio with a total of 205 projects (55%), though indigenous peoples have been increasingly engaged in the other focal areas as well: 80 projects (22%) are Multi-Focal Area (MFA) projects, 52 projects (14%) are Climate Change(CC) projects, 22 projects (6%) are Land Degradation (LD) projects, and the remaining 4 percent of projects are with focal areas of International Water (IW) and POPs.

Figure 4: Distribution of GEF Projects, by Focal Area



127. Indeed, as shown in Figure 5, the relative number of Biodiversity projects in the indigenous peoples portfolio declined over time, with an increase of projects especially in the Multi-Focal Area and Climate Change focal area.

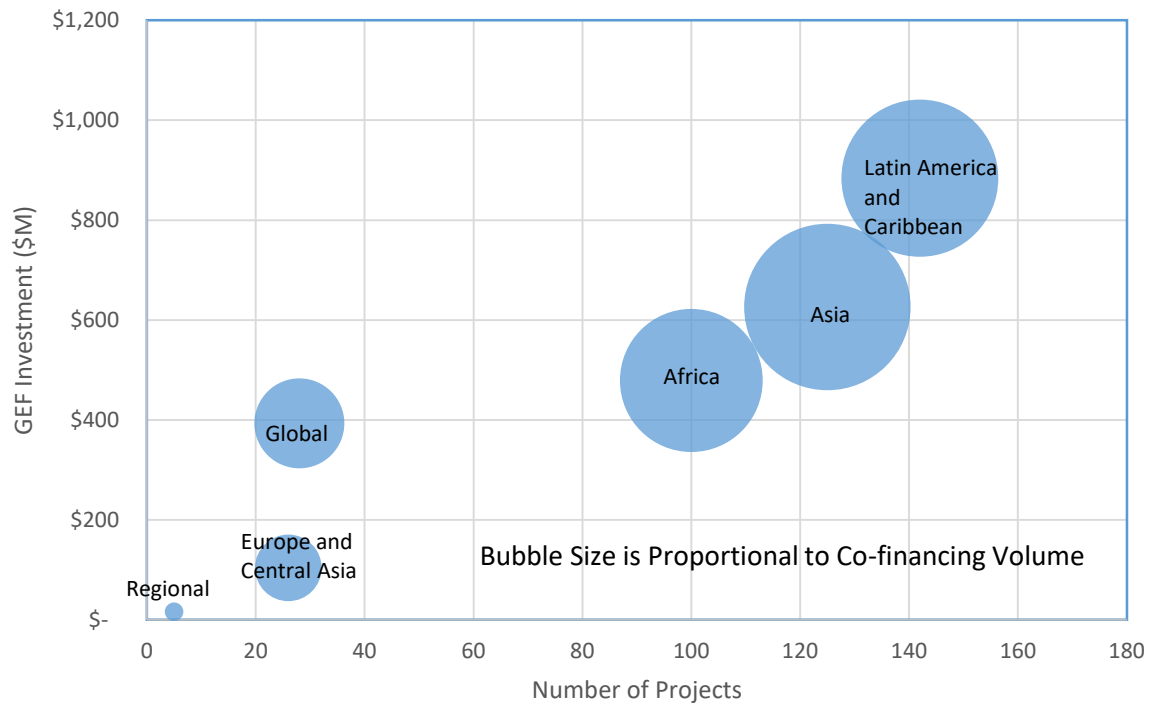
Figure 5: Focal Area Distribution of Indigenous Peoples Grant Portfolio, by GEF Phase (note: GEF-6 ~50% complete)



Regional Distribution of projects

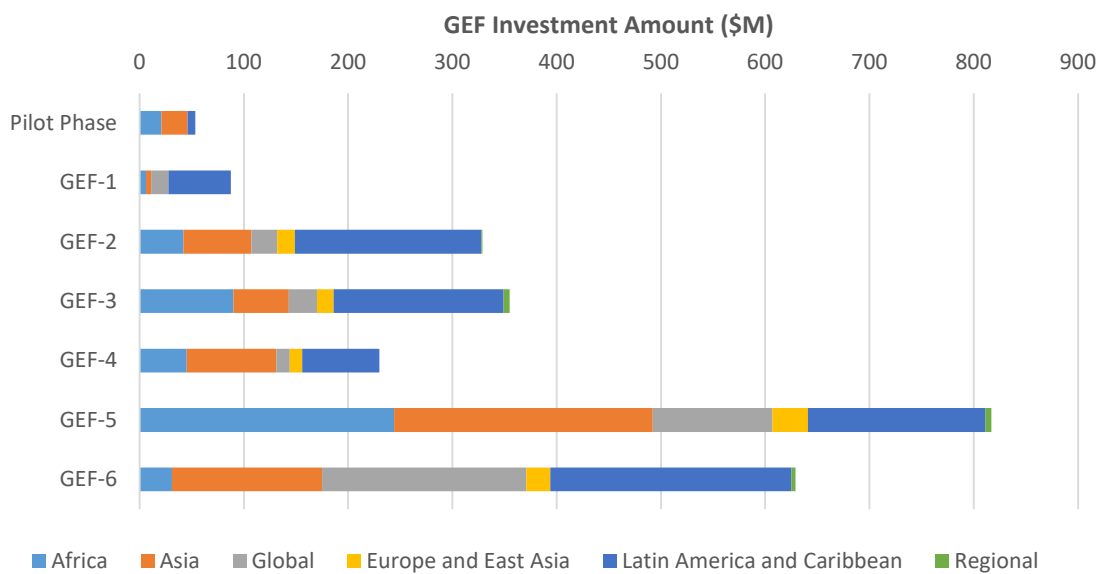
128. Based on the analysis captured in Figure 6, the greatest concentration of investment is in Latin America and the Caribbean (34%), with Asia (29%) and Africa (25%) in second and third place in terms of project number, GEF grant amount and co-financing amount. Regional projects are the smallest in number, in grant amounts and in co-financing.

Figure 6: Investment and Number of Indigenous Peoples Grant Projects, by Region



129. Figure 7 illustrates the increasing number of Global projects funded over the years, and the growth in projects in Asia, Latin America and Caribbean over GEF phases.

Figure 7: Regional Distribution of Investment in Indigenous Peoples Grant Projects, by GEF Phase (note: GEF-6 ~50% complete)



Degree of Indigenous Peoples Engagement

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

- (a) **Significant involvement:** Projects designed exclusively to benefit indigenous peoples or projects where the executing and/or implementing agency was an indigenous organization.
- (b) **Moderate involvement:** Projects that had distinct components and/or sub-projects benefiting and targeting indigenous peoples.
- (c) **Limited involvement:** Projects where indigenous peoples participated in a few project activities.
- (d) **Others:** Projects that involve local stakeholders identified as ethnic/religious minorities, marginalized populations or faith-based organizations, but did not use term "indigenous peoples".

131. The review team sorted 372 out of the 426⁴¹ projects, as shown in the Figure 8. Highlights include:

- (a) Involvement of indigenous peoples
 - (i) 39 projects (11%) Significant Involvement
 - (ii) 145 projects (39%) Moderate Involvement
 - (iii) 143 projects (38%) Limited Involvement
 - (iv) 45 projects (12%) involved local stakeholders such as ethnic/religious minorities and faith-based organizations, or other groups that share the same ancestry, culture, language and social status.

⁴¹ Fifty-four projects were added to the portfolio based on an analysis of terminal evaluations by the IEO performance team. The late receipt of these projects prevented an analysis of level of IP engagement.

Figure 8: Degree of Indigenous Peoples Involvement in GEF Projects

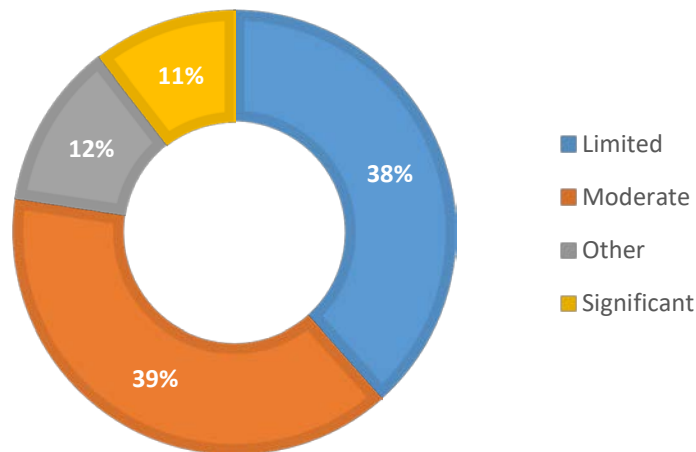
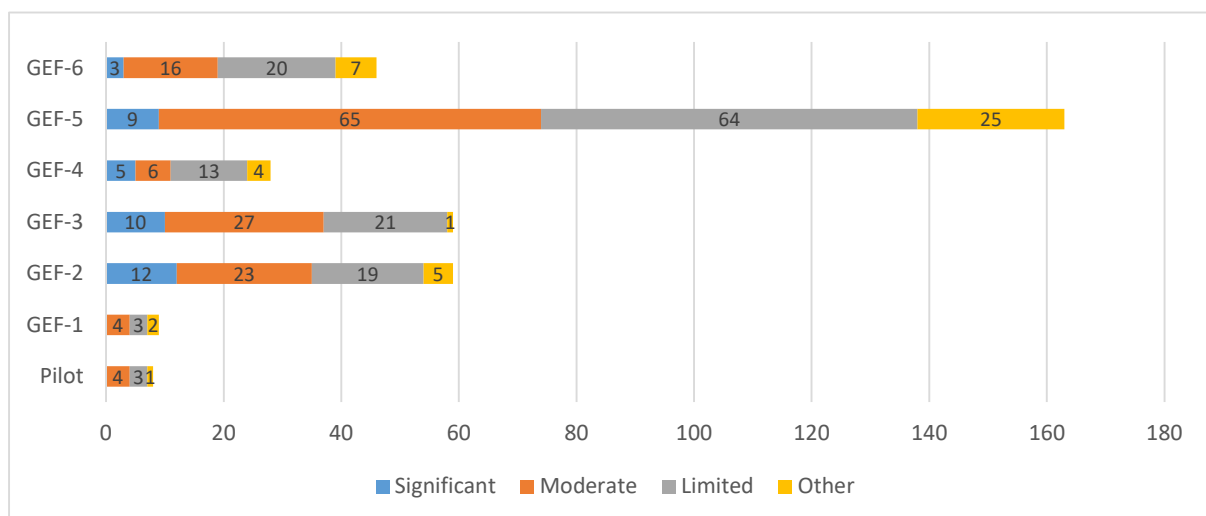


Figure 9: Degree of IPs Involvement, by Project Number and GEF Phase (note: GEF-6 ~50% complete)



Performance of the Portfolio

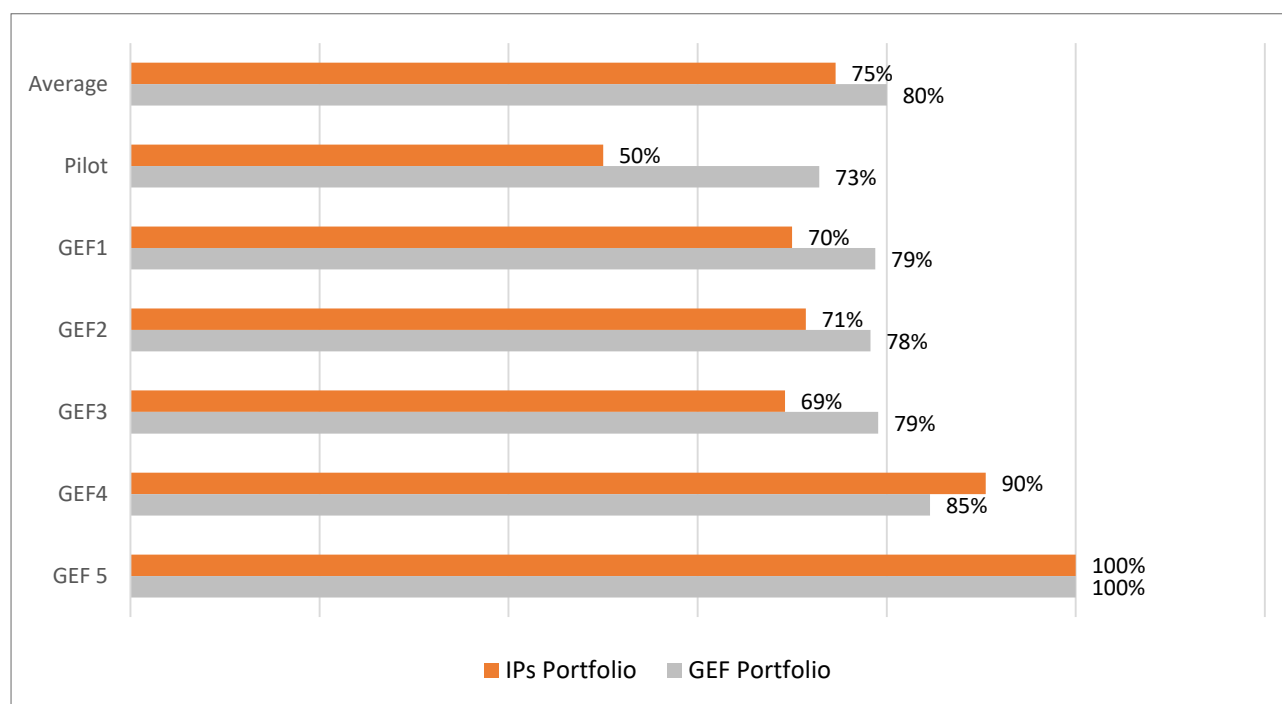
132. The evaluators examined completed projects for overall performance, broken down according to the following performance indicators:

- (a) Achievement of planned outcomes (181 projects)
- (b) Likelihood of sustainability (179 projects)
- (c) Efficiency (123 projects)

133. From the outcome perspective, the Indigenous People portfolio is comparable to the performance across the entire GEF portfolio as per the Annual Performance Report (APR) 2015. Figure 10 compares performance ratings between projects in the Indigenous People portfolio and the GEF portfolio. Seventy-five percent of Indigenous People projects are rated as moderately satisfactory or above, while 80% of the overall GEF portfolio are rated above the same threshold. Future studies could analyse the correlation between indigenous peoples’ participation and project performance.

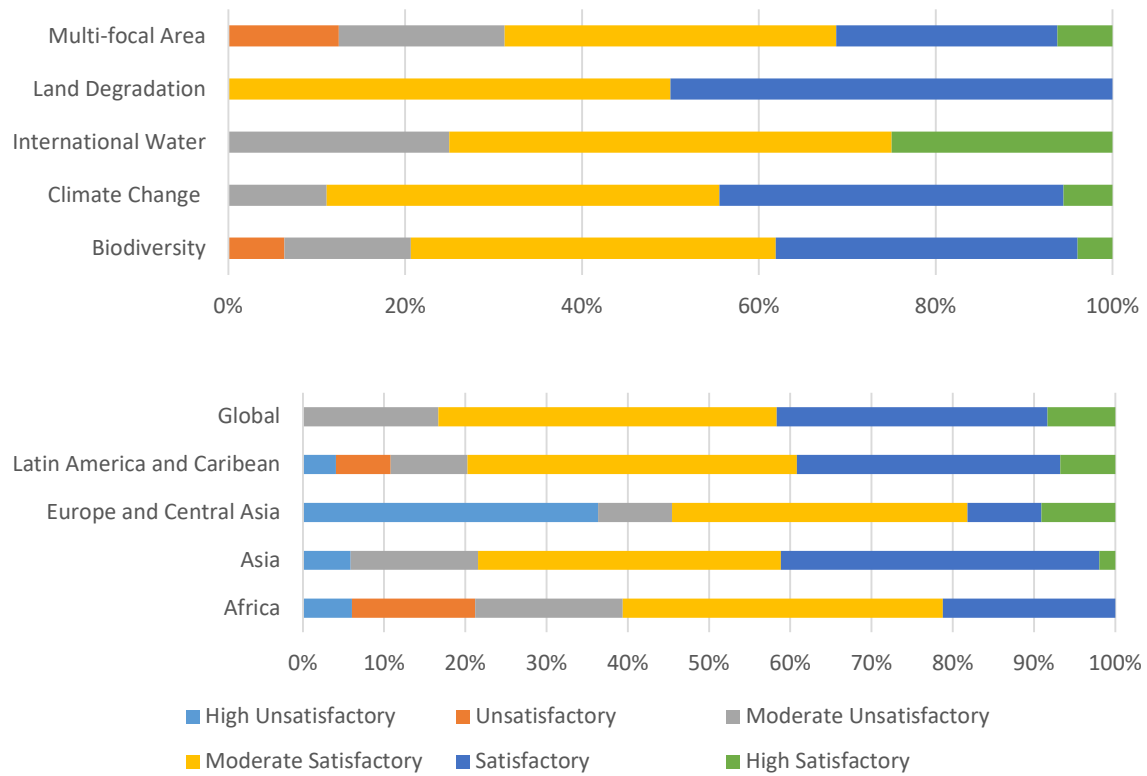
134. According to Figure 13, the performance of the indigenous peoples portfolio improved in outcome achievement from the pilot phase to GEF-1 and kept consistent in GEF-2 and GEF-3. The outcome rating increased from GEF-3 to GEF-4, with 90 percent of the projects rated as moderately satisfactory or above. There are only two indigenous peoples projects rated thus far in GEF-5, both have outcome ratings of moderately satisfactory or above.

Figure 10: Moderately Satisfactory or Above Outcome Ratings, by GEF Phase



135. As illustrated in Figure 11, Global (83%) and Latin America and Caribbean (80%) projects have the highest percentages of projects that are rated as moderately satisfactory and above. Europe and Central Africa has the lowest percentage of projects in the same satisfaction range with 55 percent of the projects holding outcome ratings as moderately satisfactory and above. Regarding the distribution of ratings by focal area, Land Degradation (100%), International Waters (75%), Biodiversity (79%), Multi-Focal Area (69%) and Climate Change (89%) focal areas all received strong performance ratings.

Figure 11: Indigenous Peoples Portfolio Project Outcome Ratings, by Focal Area and Region



136. On measures of sustainability (Figure 12 and 13), the performance of indigenous peoples portfolio ranks slightly below the overall GEF portfolio by GEF phase. Sixty-one percent of the overall GEF portfolio has sustainability ratings of moderately likely or above, while only 54 percent of the indigenous peoples portfolio has ratings of moderately likely or above. At the same time, the performance of the indigenous peoples portfolio indicates improvements in the likelihood of project sustainability since the pilot phase.

Figure 12: Moderately Likely or Above Sustainability Ratings, by GEF Phase

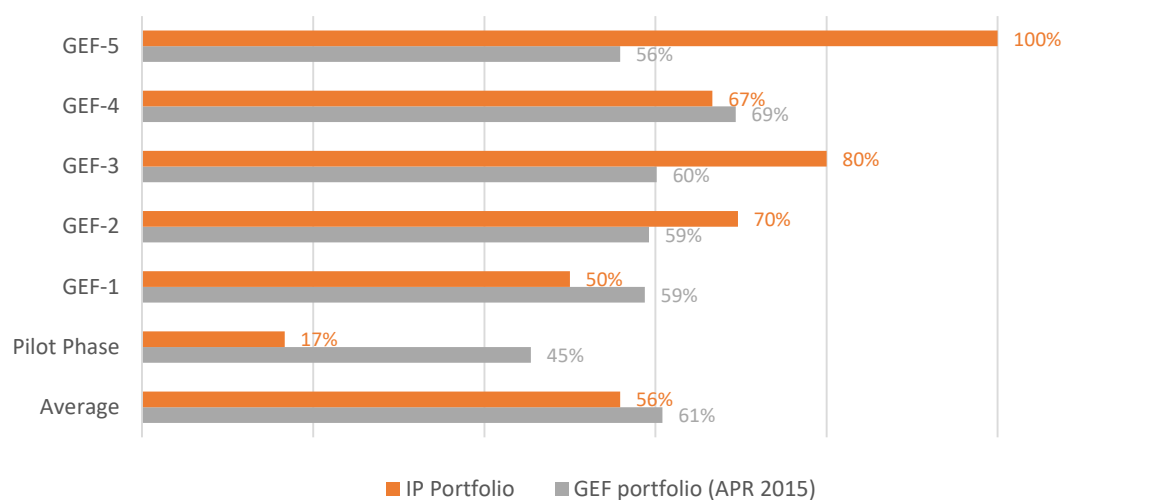
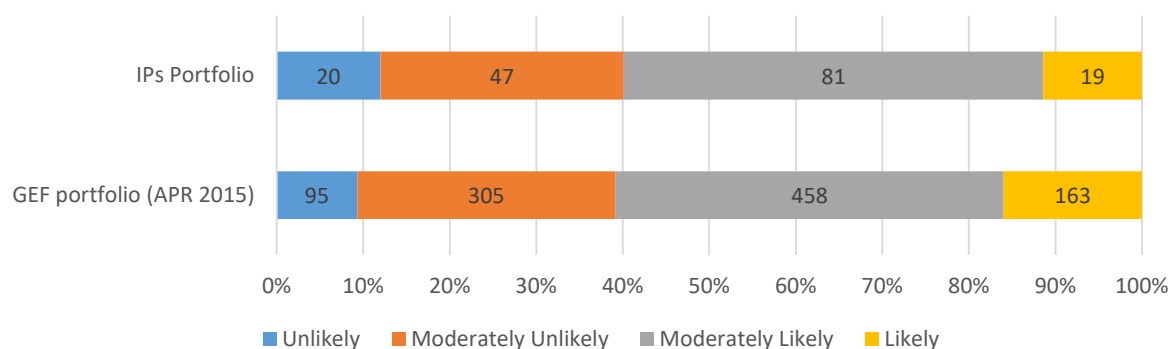


Figure 13: Distribution of Ratings on the Project Sustainability



137. To illustrate the application of GEF-financing to projects involving indigenous peoples, three examples are summarized in Annex 7. A few best practice themes emerge in their descriptions and in review of additional projects involving indigenous peoples, notably the importance of:

- (a) involving indigenous peoples in governance and in implementation around the project cycle – specifically in project steering committees/planning/strategy processes, through incorporation of local/traditional knowledge, and through support of indigenous network for sharing/collaboration
- (b) aligning support across major stakeholder groups indigenous and non – i.e. across sectors; government, non-government and private sector
- (c) embedding initiatives within policy and planning
- (d) protecting and re-enforcing initiatives by paying attention to demarcation/rights and livelihood options

SMALL GRANTS PROGRAMME PORTFOLIO ANALYSIS

138. The GEF Small Grants Programme (SGP) provides funding for projects that promote conservation, climate adaptation and environmental sustainability while also paying attention to local livelihoods and community well-being. Administered by the UNDP, SGP provides grants of up to US\$50,000 to local communities for projects involving Biodiversity, Climate Change Mitigation and Adaptation, Land Degradation and Sustainable Forest Management, International Waters and Chemicals in 125 countries. A substantial number of SGP-funded projects are awarded to indigenous peoples or involve indigenous communities. Indeed, because of the sheer number of projects involved around the world, SGP is regarded as the main modality for GEF's engagement with indigenous peoples.

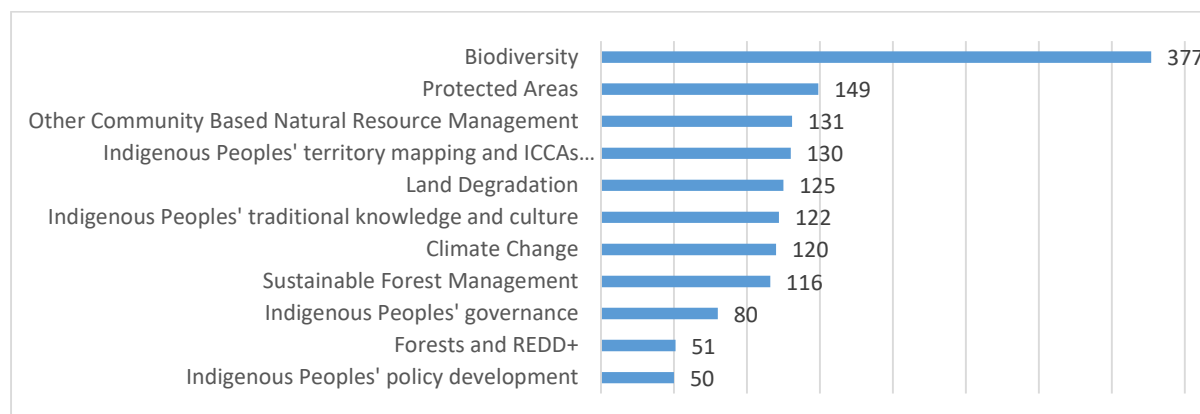
139. In April 2017, a survey was distributed to 104 National Coordinators for GEF/UNDP SGP to gather information on the SGP's engagement with indigenous peoples. Of the 89 National Coordinators who responded to the survey, about half (44) did not identify existence of significant populations of indigenous peoples in their countries. In some instances, governments of those countries do not define indigenous peoples in line with the definitions used by the international conventions under which GEF operates. For example, some countries have populations of indigenous peoples according to accepted international definitions but, in line with national policy, declined to recognize their existence in the survey. Others noted the presence of indigenous peoples but explained that the concept of indigenous peoples is not applied in their country. In this situation, projects involving indigenous peoples were not distinguished from those with ethnic groups, the vulnerable and the poor. This presents a challenge in terms of accurately defining and assessing GEF global engagement with indigenous peoples, and is also applicable to some GEF country offices.

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

141. The survey asked country respondents to provide lists of projects that work collaboratively with indigenous peoples since July 2010. In total, 43 national coordinators reported more than 630 SGP projects that have involved indigenous peoples since July 2010. The review team are in receipt of 485 individual project IDs. Among the 630 SGP projects, more than 362 projects were direct funding to indigenous peoples or Indigenous Peoples Organizations (IPOs). Since 2010, about US\$25 million has been awarded in grants towards projects working with indigenous peoples.

142. As shown in the Figure 14, Biodiversity is, by far, the most common thematic area covered across the SGP indigenous peoples' portfolio (377 projects). Other thematic areas covered in the portfolio include, in order of magnitude: Protected Areas (149 projects), Other Community Based Natural Resource Management (131 projects), Land Degradation (125 projects), Indigenous People's Traditional Knowledge and Culture (122 projects), Climate Change (120 projects) and Sustainable Forest Management (116 projects). Indigenous peoples' governance, Forests and REDD+ and indigenous peoples' policy development have relatively low frequency. It should be noted that according to interviews, governance and policy development are areas recommended for increased focus by IPAG.

Figure 14: Number of IP Projects Funded in Eleven Thematic Areas



143. Of the 45 responding SGP country offices, 34 report an indigenous peoples focal point in their SGP National Steering Committee (NSC), 50% of whom are Indigenous. At the same time 42 of the offices have a specific focus on indigenous peoples in their SGP Country Program Strategy (CPS).

144. Additionally, 26 country respondents included specific emphasis on the inclusion of indigenous peoples in OP5 (OP5, 2011-2014) and 30 countries included indigenous peoples emphasis in OP6 (2015-2018). The types of activities included in projects that focus on indigenous peoples include: capacity building, support to indigenous peoples in grant proposal development, work with indigenous peoples on landscape or seascape conservation, promotion of the Global Support Initiative for indigenous peoples, Community-Conserved Territories and Areas (ICCA-GSI), and the Indigenous Peoples Fellowship Program.

145. Examples of projects working with Indigenous People included:

- (a) **Zambia:** Help to indigenous peoples to create small and medium enterprises at the local communities that contribute to sustainable resource use
- (b) **Belize:** Encouragement in the use of native languages for environmental training activities
- (c) **China:** Establishment of a network in China to promote the recognition of Indigenous and Community Conserved Areas⁴² (ICCAs) and empower the ethnic group and vulnerable group people.
- (d) **Panama:** Allocation of 80% of UN-REDD funds (CBR+ Programme) to Indigenous People.

146. Observed benefits of SGP funding to indigenous peoples includes: Access to training/capacity building (53%), Income and livelihoods improvements (47%), and Increased inclusion for consultation and project design (34%). Less frequently mentioned benefits include: indigenous peoples' policy development (8%), increased inclusion on policy level discussion (11%), and increased land tenure of security (11%). Available project IDs were categorized according to 10 benefit areas named above, as illustrated below.

⁴² <https://www.iccaconsortium.org/index.php/discover/>

Figure 15: Number GEF-SGP projects Benefiting Indigenous Peoples (Project IDs available)

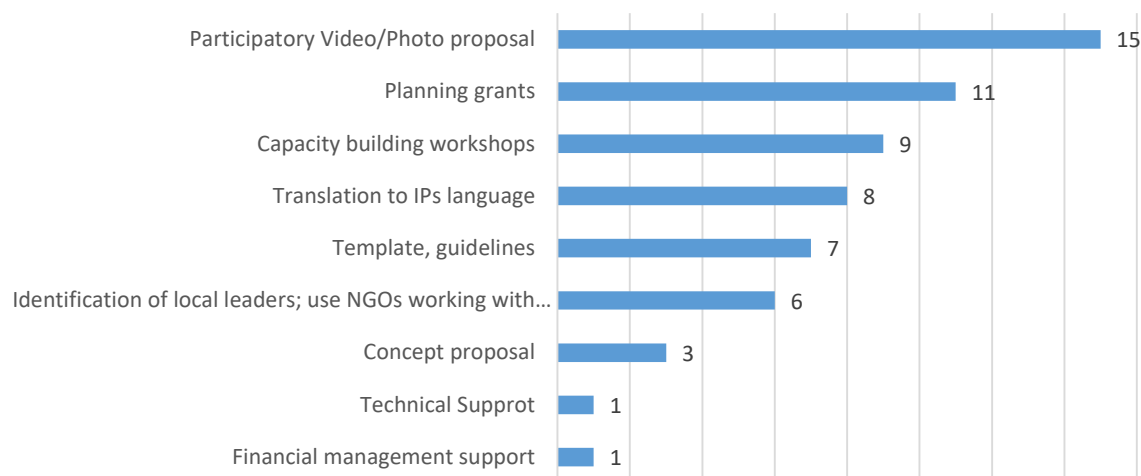


147. The most common barrier to indigenous peoples for access to SGP funding selected in the questionnaire was noted as, the “Limited capacity in administrative management skills and communication technology in indigenous peoples Organizations” (76%). More research would be needed to understand whether the capacity support provided by many SGP offices partially addresses this issue, or whether novel approaches are required.

148. Other barriers selected in the survey included “Timing requirements” (67%), “Language limitations” (64%), and “Geographic or communication barriers to access funds” (51%). Thirteen countries reported other challenges that were not listed in the survey: regional security limiting access to indigenous peoples; a hostile environment for policy dialogue between government and indigenous peoples; a lack of support to indigenous peoples for proposal design and project management; lack of recognized land rights at the national level; lack of recognition of indigenous peoples knowledge by experts and policy makers; an out-migration of indigenous peoples; difficulty for indigenous peoples to justify their projects to the GEF-SGP objectives, and difficulty to engage Women and Youth in Indigenous communities.

149. As indicated in Figure 16, the most common mechanisms adopted by countries to assist indigenous peoples to access GEF SGP grants are the development of participatory video/photo proposal in local languages, and provide planning grants with guidance.

Figure 16: Mechanisms for Assisting Indigenous Peoples to Access SGP Grants (Number of Countries)



150. Some National Coordinators also provided possible solutions to the most observed challenges in their open-ended responses:

(a) Limited Capacity in administrative management skills and communication technology

- (i) Use local expertise and mentors to guide the implementation of community-based actions, and to build community capacity
- (ii) Provide more training for indigenous peoples on proposal writing, project implementation and management to close the gap in administrative management skills by international NGOs or Community-Based organizations
- (iii) Include money for technical assistance in budgets for indigenous peoples projects. The other suggestion is to give indigenous peoples planning grants, so the indigenous peoples communities' capacities can be built through participatory project design and development.

(b) Timing requirements

- (i) Apply for planning grants for proposal development for the IPOs, to allow time for indigenous peoples on preliminary work and to help build their capacity in project design.
- (ii) Support indigenous peoples on concept proposals, guiding them through the process and understanding their process of consultation.
- (iii) Allow additional time to understand socio-economic context and indigenous peoples' relationship with the local resources, including time extensions for proposal development and project implementation.

(c) Language limitations

- (i) Develop more culturally appropriate and user-friendly procedures for securing SGP funds, including an increase in innovative methods of using video and non-written grant application. Through the non-written proposal,

it will be easier for the indigenous peoples to present project ideas in their native languages.

- (ii) Provide financial support to community radio to broadcast GEF/SGP information in local languages.
- (iii) Seek help from qualified local NGOs to assist in proposal writing and hiring local translators.

151. With regard to networking and communications, 29 SGP country offices reported collaboration with indigenous peoples' networks and mechanisms, including national, regional and global networks such as the ICCA Consortium and the UN Permanent Forum on Indigenous Issues. Indigenous peoples in 16 countries reported providing feedback to the GEF via the GEF CSO Network focal point, 11 countries through the GEF Expanded Constituency Workshops, and seven countries through the GEF Indigenous Peoples Advisory Group (IPAG) and only one country through the GEF Secretariat.

CONCLUSIONS

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

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

154. **Conclusion 3: At the Partnership level, the participation of indigenous peoples is well secured in GEF consultation arrangements, and is advancing GEF's engagement with indigenous peoples.** In 2011, consultations began between GEF and indigenous peoples'

representatives forming the Indigenous Peoples' Task Force (IPTF). Discussion was focused on the development of a GEF policy on indigenous peoples. IPTF consultations resulted in an issues paper, launched in 2012 and drafted shortly before the launch of the GEF Council's GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF/C.41/10/Rev.1) in November 2011. Included is "Minimum Standard 4: Indigenous Peoples", providing detailed minimum requirements including standards for consultation, social and environmental impact assessments and references to land, culture, traditional knowledge and livelihoods. The policy also details the GEF grievance system. The contents of the IPTF Issues Paper were further developed by the GEF in 2012, resulting in the adoption by Council of the *Principles and Guidelines for Engagement with Indigenous Peoples* (GEF/C.42/Inf.03/Rev.1). In lieu of a policy, this document affirms the importance of indigenous peoples in GEF-financed projects, identifies unintended adverse effects that can result from such projects and the desire for enhanced engagement by both indigenous peoples and GEF. The Principles and Guidelines form a useful guide and reinforcement for GEF policy towards indigenous peoples, though they lack practical guidance on project design and indicators, or a specific list of requirements that might be useful to aid operationalization of Minimum Standard 4 and other relevant GEF policies.

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

156. **Conclusion 5: Concerning the GEF Safeguard on indigenous peoples, some restrictiveness and ambiguity exists around GEF's approach to Free, Prior and Informed Consent (FPIC).** Currently GEF requires FPIC approaches from ILO C169 signatory states. In so doing, it misses an opportunity to support self-determination – something intrinsic to Indigenous People's rights. Currently, Agency safeguard policies of BOAD, CI, DBSA, FAO, FUNBIO, IFAD, IUCN, UNEP, UNIDO and WWF all have mandatory FPIC processes for projects involving indigenous peoples, and IADB requires a similar approach while not utilising the term FPIC. As well, GEF's use of the term "free, prior and informed consultations" complicates matters somewhat. This is a term borrowed from the World Bank Operational Policies that includes elements of, but is not the same as free, prior and informed *consent*. Any implied intention to avoid a commitment to "consent" appears to be confounded by Minimum Standard 4 which states that GEF Partner Agencies must "ensure that such consultations result in broad community support for the GEF-financed operation being proposed" (para.24, p.6).

157. **Conclusion 6: The GEF's ability to describe the application of Minimum Safeguard 4 and the benefits that flow from its engagement with indigenous peoples is restricted by the lack of monitoring information.** Some adjustments to monitoring practices have

recently been introduced to better track projects involving indigenous peoples and to report in the corporate scorecard and the Annual Monitoring Report. What is being counted here, though, are instances of projects with indigenous peoples' involvement; there is little in the way of qualitative information. While there is some assurance (through the agency accreditation process) that GEF agencies are prepared to abide by safeguards, there are presently no requirements on GEF agencies to report against them at a portfolio level. Further, there are a few cases where Agency safeguards do not appear to extend to as high a level of protection as GEF Minimum Standard 4. In these instances, there is a lesser basis for assurance that engagement with IPs is occurring to expectations. At the same time, some GEF agencies are recognizing the need for more engagement – through, for example the inclusion of indigenous peoples on staff and setting up indigenous peoples' advisory structures – and more robust tracking of Indigenous People engagement and benefits. The latter appears to be a growth area for GEF.

158. **Conclusion 7: The Indigenous Peoples' Advisory Group (IPAG) provides relevant advice to the GEF Secretariat on Indigenous Peoples' issues.** The development of IPAG has been a positive step for GEF's engagement with indigenous peoples. By the way it is composed and facilitated, the IPAG has drawn together traditional and expert knowledge in dialogues among indigenous peoples and GEF, in developing indigenous peoples capacity to engage in GEF projects and processes, in providing recommendations on financial arrangements to better support indigenous peoples' projects and project development, and in providing outreach with indigenous peoples organizations and communities. IPAG has also assisted in developing indicators for GEFSEC to better measure benefits and outcomes from GEF funded projects to indigenous peoples, that are now being used to improve monitoring systems. A key achievement of IPAG is the establishment of the Indigenous Peoples Fellowship Initiative, under SGP, aimed at developing leadership to advance the work in Indigenous communities, organizations and networks on a national, regional and global scale. It is too soon to draw conclusions about the impact of the Fellowship, with only a few beneficiaries, however anecdotal signals are promising.

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

160. **Conclusion 7: The GEF's ability to systematically gather evidence on elements of GEF's indigenous peoples engagement is hampered by the lack of specificity within the GEF's Project Management Information System (PMIS).** GEF projects that have an element of indigenous peoples engagement are not easily retrieved from the organizational database. This lack of systematic 'tagging' of those projects confounds the generation of accurate project data. Moreover, the quality of the information about indigenous peoples engagement contained in terminal evaluations is extremely variable.

161. By number of projects and by investment, the proportion of Full-sized and Medium-sized projects that include indigenous peoples has increased substantially since the beginning of GEF. The Biodiversity (BD) focal area dominates the indigenous peoples portfolio with a total of 55% of projects. Indigenous peoples have been increasingly engaged in the other focal areas, however, and the relative number of Biodiversity projects in the indigenous peoples portfolio has declined over time, with an increase of projects especially in the Multi-Focal Area and Climate Change focal area. Most of the projects involving indigenous peoples fall into the Full-sized category, and have been implemented by just four of the GEF accredited agencies (UNDP, WB, UNEP and FAO). The greatest number of projects and the largest concentration of investment occurs in Latin America and the Caribbean. Seventy-five (75) percent of indigenous peoples projects are rated as Moderately Satisfactory or Above. Indigenous peoples projects are comparable to the GEF portfolio on their likelihood of being sustainable. However, attaining sustainability poses a challenge for the portfolio with just over half of projects showing moderate likelihood or greater of being sustainable. Capacity issues stand in the way of some IP organizations assuming project management roles.

162. Conclusion 8: The Small Grants Programme (SGP) of UNDP is the primary modality for GEF’s engagement with indigenous peoples, though accessing SGP grants remains a challenge due to administrative and language hurdles. This limits the extent to which the mechanism can address needs and opportunities among indigenous peoples.

Approximately 15 percent of SGP grants are awarded to the benefit of Indigenous organizations or communities. Flexible approaches to proposal development enable involvement by IP organizations. Biodiversity is, by far, the most common thematic area covered across the SGP IP portfolio. Results from a survey with SGP National Coordinators indicated that 67% of respondents always referred to *GEF Principles and Guidelines for Engagement with Indigenous Peoples* in projects involving indigenous peoples. According to survey respondents, observed benefits of SGP funding to indigenous peoples includes: access to training/capacity building, Income and livelihoods improvements, and Increased inclusion for consultation and project design.

RECOMMENDATIONS:

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

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

and to **free, prior and informed consent (FPIC)** as they pertain to consultations with indigenous peoples concerning GEF projects. Revisions should be reflected in pertinent safeguards documents, including the GEF Principles and Guidelines. As part of this exercise, GEF should also anchor its engagement with indigenous peoples with relevance to UNDRIP and ILO C169 and to progressive advances with regard to traditional knowledge, land rights and resource rights. Finally, the GEF should expand its own criteria or directly reference other widely accepted international criteria for identifying indigenous peoples, to ensure clarity by all stakeholders. Specifically with regard to its nomenclature, consideration should be given to the merits and drawbacks of *inclusive* language such as *indigenous peoples and local communities (IPLCs)*.

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

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

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

the mid-term and terminal evaluation templates should include sections that capture indigenous peoples' engagement and results.

ANNEX 1: LIST OF DOCUMENTS REVIEWED

Internal Documents:

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International Finance Corporation (2012), Performance Standard 7 Indigenous Peoples

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ANNEX 2: METHOD NOTES

Projects in OPS6's Indigenous Peoples (IPs) Portfolio

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

List A. 218 IPs project (1991-2014)

List A was shortlisted from 223 IPs projects between 1991 and May 2014, provided by the GEF Secretariat. The original list was created through manual search, document review, PMIS search, and online materials search. Search terms used include "indigenous, traditional, tribal, tribe, ethnic, pastoral, minority, minorities and marginalized". The PIF or CEO Endorsement documents were reviewed to confirm the projects' IPs involvement. The process was implemented in multi-stages over multiple years.

In December 2016, these 223 IPs projects were further reviewed to count occurrence of IPs-keywords in project documents. The review shortlisted the IPs projects from 223 to 205. The following are detailed review process:

1. Downloaded the project documents from PMIS. Each of the 223 projects refers to one Project Appraisal Document (PAD), CEO Endorsement, Project Document, Project Preparation Grant (PPG) or Project Identification Form (PIF), depending on its project cycle.
2. Converted 223 project documents to .txt format and loaded them into the keyword-search R program.
3. The text analysis function of R allows keyword counting of 223 large documents at one time. Updated keywords are "indigenous people", "indigenous land", "indigenous community/communities", "indigenous territory/territories", "indigenous and local", "traditional land", "traditional knowledge", "tribal", "tribe", "ethnic", "pastoral", "minority/minorities", and "marginalized/marginalized".
4. An additional list of reference words was used in the search to support the accuracy, they are "local community/communities", "native community/communities", "protected area", "park", "conservation area", "aboriginal", "Nagoya protocol", "community based", "community-based", "rural livelihood", "ancestral", "self-identification", and "spiritual".
5. The resulted frequency table shows the numbers of words occurrence in each project documents. IPs involvement of each project was evaluated according to the frequency table and document review when the numbers are ambiguous.

According to the validation, 205 of the 223 projects involve indigenous peoples. 13 projects did not mention "indigenous people" in project documents but involve local stakeholders identified as ethnic/religious minorities, marginalized populations or faith-based

organizations; they were later categorized as “Other” projects in terms of degree of IPs engagement. Five projects were removed from the list as either no indigenous communities living in the project areas or project documents are missing. The final List A was shortlisted from 223 to 218 projects.

List B. 166 IPs Project (2014-2016)

List B was shortlisted from the 4319 projects approved in OPS-6 as of October 2016. Following steps identified 145 IP-involved projects:

1. First, projects approved after May 2014 (924 projects) were extracted from the 4000+ projects to avoid overlap with the List A.
2. Removed “Enabling Activities” and cancelled projects, 692 remained.
3. Then the IEO excluded the very unlikely projects by skimming through project titles, and shortlisted the list to 582. The following analyses were based on the 582 projects.
4. [Repeated Step 1 for List A.]
5. [Repeated Step 2 for List A.]
6. [Repeated Step 3 for List A.]
7. [Repeated Step 4 for List A.]
8. [Repeated Step 5 for List A.]

203 projects have moderate to high incidence of IP keywords/reference words. To further validate their IP-involvement, project documents of these 203 projects were downloaded from the PMIS and opened up to review. Thirty-seven projects were removed from the list as they do not have IPs participated in project activities, which give a list of 166 projects.

In addition, the GEF Secretariat identified 4 IPs-relevant projects in their [2016 Annual Portfolio Monitoring Report](#); they are of GEF ID 6931, 6940, 9352 and 6925. And the List B was further cross-referenced with the METT (BD Tracking Tool) database and added in 9 projects that indicated.

Finally, 25 overlapped projects were removed after the merge of List A and B, resulting in 372 IPs projects.

List C. 54 IPs Project Provided by the IEO Performance Team

By June 2017, as part of the review of terminal evaluations, the IEO Performance Team had reviewed 355 closed projects from OPS6 cohort for their indigenous peoples engagement and consultation activities. The TE team reviewed project documents of these 355 projects and identified 69 projects including activities likely to have substantial effect on indigenous peoples. After a further document review, 54 projects were identified as IPs-engaged projects and are included in this portfolio; these 54 projects include those with Indigenous Peoples Organization as the lead executing agency or co-Executing Agency, had consultations with the IPs in project design, or had consultations during implementation.

Lists A, B and C add up to the final IPs portfolio of 426 projects

ANNEX 3: INDIGENOUS PEOPLES ENGAGEMENT PROJECTS

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

651	FP	Peru	Indigenous Management of Protected Areas in the Amazon
653	FP	Philippines	Coastal and Marine Biodiversity Conservation in Mindanao
661	FP	Suriname	Conservation of Globally Significant Forest Ecosystems in Suriname's Guayana Shield
668	FP	Bangladesh	Coastal and Wetland Biodiversity Management at Cox's Bazar and Hakakuki Haor
671	FP	Costa Rica	Ecomarkets
672	MSP	Costa Rica	Conservation of Biodiversity in the Talamanca-Caribbean Biological Corridor
681	MSP	Panama	Effective Protection with Community Participation of the New Protected Area of San Lorenzo
682	MSP	Peru	Participatory Conservation and Sustainable Development with Indigenous Communities in Vilcabamba
762	FP	Regional	Maloti-Drakensberg Conservation and Development Project
771	FP	Brazil	Amazon Region Protected Areas Program (ARPA)
774	FP	Colombia	Conservation and Sustainable Use of Biodiversity in the Andes Region
775	MSP	Ecuador	Choco-Andean Corridor
776	FP	Egypt	Conservation and Sustainable Use of Medicinal Plants in Arid and Semi-arid Ecosystems
778	FP	Mexico	Indigenous and Community Biodiversity Conservation (COINBIO)
779	FP	Mexico	Mesoamerican Biological Corridor
795	MSP	Algeria	Biodiversity Conservation and Sustainable Natural Resource Management
796	MSP	Kenya	Lake Baringo Community-based Integrated Land and Water Management Project
798	MSP	Philippines	Sustainable Management of Mount Isarog
807	MSP	Russian Federation	Persistent Toxic Substances, Food Security, and Indigenous Peoples of the Russian North
834	FP	Brazil	Promoting Biodiversity Conservation and Sustainable Use in the Frontier Forests of Northwestern Mato Grosso
836	FP	Global	Critical Ecosystems Partnership Fund (CEPF)
838	FP	Kazakhstan	Integrated Conservation of Priority Globally Significant Migratory Bird Wetland Habitat
846	MSP	Ecuador	Albarradas in Coastal Ecuador: Rescuing Ancient Knowledge on Sustainable Use of Biodiversity
863	MSP	Belize	Community-managed Sarstoon Temash Conservation Project

864	MSP	China	Multi-agency and Local Participatory Cooperation in Biodiversity Conservation in Yunnan's Upland Ecosystem
877	FP	Mexico	Consolidation of the Protected Areas Program (SINAP II)
887	FP	Mexico	Biodiversity Conservation in the Sierra Gorda Biosphere Reserve
906	MSP	Nepal	Landscape-scale Conservation of Endangered Tiger and Rhinoceros Populations in and Around Chitwan National Park
907	MSP	Nepal	Arun Valley Sustainable Resource Use and Management Pilot Demonstration Project
925	FP	Colombia	Conservation of Montane Forest and Paramo in the Colombian Massif, Phase I
932	FP	Russian Federation	Demonstrating Sustainable Conservation of Biological Diversity in Four Protected Areas in Russia's Kamchatka Oblast, Phase I
939	FP	China	Sustainable Forest Development Project, Protected Areas Management Component
979	MSP	Costa Rica	Biodiversity Conservation in Cacao Agro-forestry
1020	MSP	Colombia	Conservation and Sustainable Development of the Mataven Forest
1021	MSP	Chile	Conservation and Sustainable Use of Chiloé Globally Significant Biodiversity
1086	MSP	Cambodia	Developing an Integrated Protected Area System for the Cardamom Mountains
1164	FP	Russian Federation	Support to the National Programme of Action for the Protection of the Arctic Marine Environment, Tranche 1
1170	FP	Tanzania	Conservation and Management of the Eastern Arc Mountain Forests
1261	FP	Papua New Guinea	Community-based Coastal and Marine Conservation in the Milne Bay Province
1300	MSP	Chile	Ecosystem Management of the Salar del Huasco for Biodiversity Conservation and Sustainable Use Outside Protected Areas
1301	MSP	Ecuador	Conservation of Biodiversity in Pastaza
1408	MSP	Peru	Biodiversity Conservation and Community Natural Resource Management in the Nanay River Basin (Peruvian Amazon)
1410	MSP	Regional	Biodiversity Conservation and Integration of Traditional Knowledge on Medicinal Plants in National Primary Health Care Policy in Central America and Caribbean
1416	MSP	Peru	Community -based Conservation and Sustainable Use of the Atiquipa and Taimara Lomas Ecosystems

1477	MSP	Vietnam	Conservation of Pu Luong-Cuc Phuong Limestone Landscape
1637	MSP	Guatemala	Community Management of the Bio-Itza Reserve Project
957	MSP	Peru	Conservation and Sustainable Use of Biodiversity in the Amarakaeri Communal Reserve and Adjoining Indigenous Lands
1030	MSP	Vietnam	Making the Link: The Connection and Sustainable Management of Kon Ka Kinh and Kon Cha Rang Nature Reserves
1061	MSP	Peru	Inka Terra: An Innovative Partnership for Self-Financing Biodiversity Conservation & Community Development
1063	FP	Cameroon	Forest and Environment Development Policy Grant (FEDPG)
1064	FP	Gabon	Strengthening Capacity for Managing National Parks and Biodiversity
1092	FP	Regional	Integrated Ecosystem Management in Indigenous Communities
1095	FP	Regional	Conservation of Transboundary Biodiversity in the Minkebe-Odzala-Dja Interzone in Gabon, Congo, and Cameroon
1100	FP	Mongolia	Community-based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia's Altai Sayan Ecoregion
1101	FP	Peru	Participatory Management of Protected Areas
1104	FP	Rwanda	Conservation of the Montane Forest Protected Area System in Rwanda
1107	FP	Nepal	Landscape Level Biodiversity Conservation in Nepal's Western Terai Complex
1139	FP	Guinea	Conservation of the Biodiversity of the Nimba Mountains through Integrated and Participatory Management
1152	FP	Mali	Biodiversity Conservation and Participatory Sustainable Management of Natural Resources in the Inner Niger Delta and its Transition Areas, Mopti Region
1161	FP	Russian Federation	Conservation and Sustainable Use of Wild Salmonid Biological Diversity in Russia's Kamchatka Peninsula, Phase I
1163	FP	Russian Federation	An Integrated Ecosystem Management Approach to Conserve Biodiversity and Minimize Habitat Fragmentation in Three Selected Model Areas in the Russian Arctic (ECORA)
1177	FP	Russian Federation	Biodiversity Conservation in the Russian Portion of the Altai-Sayan Ecoregion

1183	FP	Cambodia	Tonle Sap Conservation Project
1201	FP	Malaysia	Conserving Marine Biodiversity through Enhanced Marine Park Management and Inclusive Sustainable Island Development
1217	FP	Nepal	Conservation and Sustainable Use of Wetlands
1236	FP	Chile	Conserving Globally Significant Biodiversity along the Chilean Coast
1259	FP	Regional	In-situ Conservation of Crop Wild Relatives through Enhanced Information Management and Field Application
1296	MSP	Vietnam	The Green Corridor
1299	FP	Brazil	Integrated Management of Aquatic Resources in the Amazon (AquaBio)
1322	FP	Iran	Conservation of Biodiversity in the Central Zagros Landscape Conservation Zone
1362	FP	Kenya	Western Kenya Integrated Ecosystem Management Project
1438	MSP	Jordan	Conservation and Sustainable Use of Biodiversity in Dibeen Nature Reserve
1446	MSP	Peru	Conservation and Sustainable Use of Biodiversity in the Peruvian Amazon by the Indigenous Ashaninka Population
1489	MSP	Paraguay	Biodiversity Conservation and Sustainable Use in the Mbaracayu Natural Reserve
1611	MSP	Mongolia	Developing a Model Conservation Programme- Conservation of the Gobi Desert Using Wild Bactrian Camels as an "Umbrella Species".
1621	FP	China	Gansu and Xinjiang Pastoral Development Project
1682	MSP	Vanuatu	Facilitating and Strengthening the Conservation Initiatives of Traditional Landholders and their Communities to Achieve Biodiversity Conservation Objectives
1713	MSP	Costa Rica	Improved Management and Conservation Practices for the Cocos Island Marine Conservation Area
1721	MSP	Pakistan	Conservation of habitats and species of global significance in Arid and Semi-arid Ecosystems in Balochistan
1732	MSP	Argentina	In-Situ Conservation of Andean Crops and their Wild Relatives in the Humahuaca Valley, the Southernmost Extension of the Central Andes
1733	MSP	Guatemala	Consolidating a System of Municipal Regional Parks (MRPs) in Guatemala's Western Plateau
1836	MSP	Lao PDR	Integrated Ecosystem and Wildlife Management Project in Bolikhamxay Province
1842	MSP	Global	Indigenous Peoples' Network for Change
1855	FP	Chad	Community-Based Ecosystem Management Project

1876	MSP	Colombia	Naya Biological Corridor in the Munchique-Pinche Sector
1895	MSP	Global	Improved Certification Schemes for Sustainable Tropical Forest Management
1900	FP	Mexico	Large Scale Renewable Energy Development Project
2068	MSP	Belize	Integrating Protected Area and Landscape Management in the Golden Stream Watershed
2078	FP	Mexico	Consolidation of the Protected Area System (SINAP II) - Second Tranche
2099	FP	Regional	Corazon Transboundary Biosphere Reserve
2102	FP	Panama	Second Rural Poverty, Natural Resources Management and Consolidation of the Mesoamerican Biological Corridor Project
2183	MSP	Ghana	Community-based Integrated Natural Resources Management Project in Okyeman
2193	MSP	Global	Enabling Sustainable Dryland Management Through Mobile Pastoral Custodianship
2235	FP	Russian Federation	Demonstrating Sustainable Conservation of Biodiversity in Four Protected Areas in Russia's Kamchatka Oblast, Phase 2
2443	FP	Mexico	Environmental Services Project
2492	FP	Namibia	Strengthening the Protected Area Network (SPAN)
2499	FP	Guatemala	Productive Uses of Renewable Energy in Guatemala
2517	FP	Regional	Sustainable Environmental Management for Sixaola River Basin
2549	FP	Cameroon	Sustainable Agro-Pastoral and Land Management Promotion under the National Community Development Program Support Program (PNDP)
2594	MSP	Venezuela	DHEKUANA NONOODO: Sustainable Use and Conservation of Biodiversity Resources of Dhekuana Indigenous Lands
2638	FP	Turkmenistan	Conservation and Sustainable Use of Globally Significant Biological Diversity in Khazar Nature Reserve on the Caspian Sea Coast (Resubmission)
2774	FP	Global	Community-based Adaptation (CBA) Programme
2817	MSP	Brazil	Tabuleiro State Park: Conservation of Biodiversity and Ecosystem Rehabilitation
2884	FP	Costa Rica	Mainstreaming Market-based Instruments for Environmental Management Project
2949	FP	Global	Critical Ecosystems Partnership Fund (CEPF), Phase 2
1156	FP	India	Mainstreaming Conservation and Sustainable Use of Medicinal Plant Diversity in Three Indian States
1837	MSP	Uganda	Extending Wetland protected Areas through Community Based Conservation Initiatives
1999	MSP	Kenya	Wildlife Conservation Leasing Demonstration

2100	FP	Congo DR	Support to the Rehabilitation of the Protected Areas System in DRC, in the framework of the National Forest and Biodiversity Sector Program.
2184	MSP	Regional	SIP-Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)
2702	FP	Nicaragua	Strengthening and Catalyzing the Sustainability of Nicaragua's PAS
2820	FP	Regional	Supporting the Development and Implementation of Access and Benefit Sharing Policies in Africa
2896	MSP	Mexico	Sacred Orchids of Chiapas: Cultural and Religious Values in Conservation
2934	FP	Brazil	SFM Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems
2975	FP	Philippines	Mindanao Rural Development Program Phase II - Natural Resource Management Project
3284	MSP	Liberia	Consolidation of Liberia's Protected Area Network
3287	FP	Bangladesh	Community Based Adaptation to Climate Change through Coastal Afforestation
3361	MSP	Global	Assessment and Recommendations on Improving Access of Indigenous Peoples to Conservation Funding
3367	FP	Ethiopia	SIP-Community-Based Integrated Natural Resources Management in Lake Tana Watershed
3382	FP	Niger	SIP-Community Driven SLM for Environmental and Food Security
3385	FP	Senegal	SIP-Sustainable Land Management in Senegal
3443	FP	Indonesia	SFM Strengthening Community Based Forest and Watershed Management (SCBFWM)
3445	FP	Thailand	SFM: Integrated Community-based Forest and Catchment Management through an Ecosystem Service Approach (CBFCM)
3592	FP	Honduras	Conservation of Biodiversity in the Indigenous Productive Landscapes of the Moskitia
3637	FP	Mexico	SFM Transforming Management of Biodiversity-rich Community Production Forests through Building National Capacities for Market-based Instruments - under the Sustainable Forest Management Program
3717	FP	Ecuador	SFM Sustainable Management of Biodiversity and Water Resources in the Ibarra-San Lorenzo Corridor
3821	FP	Cameroon	CBSP Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon
3829	FP	Ecuador	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems

3909	FP	Russian Federation	Mainstreaming Biodiversity Conservation into Russia's Energy Sector Policies and Operations
3924	FP	Global	Development Market Place 2009: Adaptation to Climate Change (DM 2009)
3954	FP	Papua New Guinea	PAS Community-Based Forest and Coastal Conservation and Resource Management in PNG
4084	FP	Cameroon	C BSP Conservation and Sustainable Use of the Ngoyla Mintom Forest
4149	FP	Mexico	SFM Mitigating Climate Change through Sustainable Forest Management and Capacity Building in the Southern States of Mexico (States of Campeche, Chiapas and Oaxaca)
4382	FP	Costa Rica	Fifth Operational Phase of the GEF Small Grants Programme
4481	FP	Bolivia	Fifth Operational Phase of the GEF Small Grants Programme
4658	FP	Russian Federation	ARCTIC Integrated Adaptive Management of the West Bering Sea Large Marine Ecosystem in a Changing Climate
4665	FP	Russian Federation	Conserving Biodiversity in the Changing Arctic
4678	FP	Global	GEF SGP Fifth Operational Phase - Implementing the Program Using STAR Resources II
4700	FP	Bangladesh	Integrating Community-based Adaptation into Afforestation and Reforestation Programmes in Bangladesh
4702	FP	Niger	Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach
4720	FP	Angola	Land Rehabilitation and Rangelands Management in Small Holders Agropastoral Production Systems in Soutwestern Angola
4725	FP	Solomon Islands	Solomon Islands Water Sector Adaptation Project (SIWSAP)
4732	FP	Malaysia	Improving Connectivity in the Central Forest Spine (CFS) Landscape - IC-CFS
4764	FP	Regional	Enhancing the Resilience of Pastoral Ecosystems and Livelihoods of Nomadic Herders
4774	FP	Ecuador	Conservation and Sustainable Use of Biodiversity, Forests, Soil and Water to Achieve the Good Living (Buen Vivir / Sumac Kasay) in the Napo Province
4777	FP	Ecuador	Mainstreaming of the Use and Conservation of Agrobiodiversity in Public Policies through Integrated Strategies and In situ Implementation in three Provinces in the Andean Highlands

4780	MSP	Panama	Promoting the application of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Panama
4795	FP	Russian Federation	ARCTIC Integrated River Basin Management (IRBM) for Major Arctic Rivers to Achieve Multiple Global Environmental Benefits
4796	FP	Russian Federation	ARCTIC Improvement of Environmental Governance and Knowledge Management for SAP-Arctic Implementation
4822	FP	Mali	Strengthening Resilience to Climate Change through Integrated Agricultural and Pastoral Management in the Sahelian zone in the Framework of the Sustainable Land Management Approach
4860	FP	Paraguay	Mainstreaming Biodiversity Conservation and Sustainable Land Management into Production Practices in all Bioregions and Biomes
4901	FP	India	India: Sustainable Livelihoods and Adaptation to Climate Change (SLACC)
4916	FP	Colombia	Conservation of Biodiversity in Landscapes Impacted by Mining in the Choco Biogeographic Region
4942	FP	India	Integrated Biodiversity Conservation and Ecosystem Services Improvement
5075	FP	Lesotho	Reducing Vulnerability from Climate Change in the Foothills, Lowlands and the Lower Senqu River Basin
5080	FP	Peru	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience
5137	FP	India	Mainstreaming Agrobiodiversity Conservation and Utilization in Agricultural Sector to Ensure Ecosystem Services and Reduce Vulnerability
5160	MSP	Colombia	The Development and Production of Natural Dyes in the Choco Region of Colombia for the Food, Cosmetics and Personal Care Industries Under the Provisions of the Nagoya Protocol
5170	MSP	Fiji	Discovering Nature-based Products and Build National Capacities for the Application of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing
5171	FP	Indonesia	CTI: Coral Reef Rehabilitation and Management Program-Coral Triangle Initiative, Phase III (COREMAP-CTI III)
5172	MSP	Global	Global Support for the Entry into Force of the Nagoya Protocol on Access and Benefit Sharing
5190	FP	Mauritania	Improving Climate Resilience of Water Sector Investments with Appropriate Climate Adaptive Activities for Pastoral and Forestry Resources in Southern Mauritania

5194	FP	Rwanda	Building Resilience of Communities Living in Degraded Forests, Savannahs and Wetlands of Rwanda Through an Ecosystem Management Approach
5201	MSP	Global	Alliance for Zero Extinction (AZE): Conserving Earth's Most Irreplaceable Sites for Endangered Biodiversity
5203	FP	Nepal	Catalysing Ecosystem Restoration for Climate Resilient Natural Capital and Rural Livelihoods in Degraded Forests and Rangelands of Nepal.
5208	FP	Palau	R2R: Advancing Sustainable Resources Management to Improve Livelihoods and Protect Biodiversity in Palau
5220	FP	Ethiopia	PSG: Sustainable Land Management Project 2
5228	FP	Regional (Djibouti, Kenya)	RLACC - Rural Livelihoods's Adaptation to Climate Change in the Horn of Africa (PROGRAM)
5252	FP	Niger	GGW: Third Phase of the Community Action Program
5264	FP	Gabon	Sustainable Management of Critical Wetlands Ecosystems Project
5270	FP	Mali	GGW Natural Resources Management in a Changing Climate in Mali
5272	FP	Kenya	Scaling up Sustainable Land Management and Agrobiodiversity Conservation to Reduce Environmental Degradation in Small Scale Agriculture in Western Kenya
5276	FP	Brazil	Sustainable Land Use Management in the Semi-arid Region of North-east Brazil (Sergipe)
5277	FP	Nicaragua	Strengthening the Resilience of Multiple-use Protected Areas to Deliver Multiple Global Environmental Benefits
5281	FP	Philippines	LME-EA Philippine Rural Development Program
5285	FP	Indonesia	Strengthening Forest and Ecosystem Connectivity in RIMBA Landscape of Central Sumatra through Investing in Natural Capital, Biodiversity Conservation, and Land-based Emission Reductions (RIMBA project)
5288	FP	Colombia	Implementing the Socio-Ecosystem Connectivity Approach to Conserve and Sustainable Use Biodiversity in the Caribbean Region of Colombia
5295	MSP	Cambodia	Generating, Accessing and Using Information and Knowledge Related to the Three Rio Conventions
5304	FP	Regional	Sustainable Management of Bycatch in Latin America and Caribbean Trawl Fisheries (REBYC-II LAC)
5332	FP	Djibouti	Supporting Rural Community Adaptation to Climate Change in Mountain Regions of Djibouti

5338	FP	Argentina	Mainstreaming Sustainable Use of Biodiversity in Production Practices of Small Producers to Protect the Biodiversity of High Value Conservation Forests in the Atlantic Forest, Yungas and Chaco
5339	FP	Indonesia	Market Transformation through Design and Implementation of Appropriate Mitigation Actions in Energy Sector
5347	FP	Yemen	Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago
5348	FP	Cook Islands	Conserving Biodiversity and Enhancing Ecosystem Functions through a "Ridge to Reef" Approach in the Cook Island
5351	FP	Madagascar	Strengthening the Network of New Protected Areas in Madagascar
5352	FP	Madagascar	Conservation of Key Threatened Endemic and Economically Valuable Species in Madagascar
5363	FP	Philippines	Development for Renewable Energy Applications Mainstreaming and Market Sustainability (DREAMS)
5367	FP	Cameroon	PCB Reduction In Cameroon Through The Use Of Local Expertise And The Development Of National Capacities
5368	FP	Guinea-Bissau	Strengthening the Financial and Operational Framework of the National PA System in Guinea-Bissau
5376	FP	Chad	Enhancing the Resilience of the Agricultural Ecosystems
5382	FP	Guinea	Ecosystem-Based Adaptation Targeting Vulnerable Communities of the Upper Guinea Region
5386	MSP	Albania	Building the Resilience of Kune-Vaini Lagoon through Ecosystem-based Adaptation (EbA)
5397	FP	Vanuatu	R2R: Integrated Sustainable Land and Coastal Management
5398	FP	Fiji	Implementing a "Ridge to Reef" Approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji (Fiji R2R)
5401	FP	Regional	Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand
5403	MSP	Uzbekistan	Conservation and Sustainable Use of Agricultural Biodiversity to Improve Regulating and Supporting Ecosystem Services in Agriculture Production
5405	FP	Regional	EAS: Scaling up the Implementation of the Sustainable Development Strategy for the Seas of East Asia

5410	FP	Venezuela	Sustainable Forest Lands Management and Conservation under an Eco-social Approach
5420	MSP	Costa Rica	Promoting the Application of the Nagoya Protocol through the Development of Nature-based Products, Benefit-sharing and Biodiversity Conservation
5432	FP	Angola	Integrating Climate Resilience into Agricultural and Agropastoral Production Systems through Soil Fertility Management in Key Productive and Vulnerable Areas Using the Farmers Field School Approach
5433	FP	Mozambique	Strengthening Capacities of Agricultural Producers to Cope with Climate Change for Increased Food Security through the Farmers Field School Approach
5435	FP	Zambia	Promoting Climate Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province
5448	MSP	Bhutan	Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing
5454	MSP	Regional	Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing (ABS) for the Member Countries of the Central African Forests Commission COMIFAC
5456	FP	Bangladesh	Ecosystem-based Approaches to Adaptation (EbA) in the Drought-prone Barind Tract and Haor "Wetland" Area
5458	MSP	Peru	Conservation, Management and Rehabilitation of Fragile Lomas Ecosystems
5479	FP	India	Integrated SLEM Approaches for Reducing Land Degradation and Desertification
5481	MSP	Morocco	Conservation of Biodiversity and Mitigation of Land Degradation Through Adaptive Management of Agricultural Heritage Systems
5486	FP	Madagascar	A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape
5489	FP	Lao PDR	Climate Adaptation in Wetlands Areas (CAWA)
5503	FP	Senegal	Mainstreaming Ecosystem-based Approaches to Climate-resilient Rural Livelihoods in Vulnerable Rural Areas through the Farmer Field School Methodology
5510	FP	Papua New Guinea	R2R Strengthening the Management Effectiveness of the National System of Protected Areas
5512	MSP	Thailand	Conserving Habitats for Globally Important Flora and Fauna in Production Landscapes
5514	FP	Mauritius	Mainstreaming Biodiversity into the Management of the Coastal Zone in the Republic of Mauritius

5522	FP	Libya	Sustainable Land Management and Conservation of Oases Ecosystems in Libya
5528	FP	Macedonia	Achieving Biodiversity Conservation through Creation and Effective Management of Protected Areas and Mainstreaming Biodiversity into Land Use Planning
5529	MSP	Gambia	Gambia Protected Areas Network and Community Livelihood Project
5531	FP	Haiti	Ecosystem Approach to Haiti Cote Sud
5533	FP	China	Developing and Implementing the National Framework on Access and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge
5534	FP	Ecuador	Conservation of Ecuadorian Amphibian Diversity and Sustainable Use of its Genetic Resources
5535	FP	Regional	Improving IWRM, Knowledge based Management and Governance of the Niger Basin and the Iullemeden Taoudeni Tanezrouft Aquifer System (ITTAS)
5537	FP	Congo	Creation of Conkouati Dimonika PA Complex and Development of Community Private Sector Participation Model to Enhance PA Management Effectiveness CDC&CPSPM
5542	FP	Regional	Catalyzing Implementation of the Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems (CMLE+)
5544	FP	Marshall Islands	R2R Reimaanlok Looking to the Future: Strengthening Natural Resource Management in Atoll Communities in the Republic of Marshall Islands Employing Integrated Approaches (RMI R2R)
5546	FP	Panama	Sustainable Production Systems and Conservation of Biodiversity
5547	FP	Congo DR	Community-Based Miombo Forest Management in South East Katanga
5549	FP	Philippines	RicePlus-Dynamic Conservation and Sustainable Use of Agro-biodiversity in Rice-based Farming Systems
5551	FP	Kiribati	Resilient Islands, Resilient Communities
5552	FP	Niue	R2R Application of Ridge to Reef Concept for Biodiversity Conservation, and for the Enhancement of Ecosystem Service and Cultural Heritage
5554	FP	Regional	Strengthening of National Initiatives and Enhancement of Regional Cooperation for the Environmentally Sound Management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries

5559	FP	Russian Federation	Conservation of Big Cats
5560	FP	Colombia	Forest Conservation and Sustainability in the Heart of the Colombian Amazon
5567	FP	Myanmar	Adapting Community Forestry Landscapes and Associated Community Livelihoods to a Changing Climate, in Particular an Increase in the Frequency and Intensity of Extreme Weather Events
5579	MSP	Palau	Mainstreaming Global Environmental Priorities into National Policies and Programmes
5580	FP	Mauritania	Development of an Improved and Innovative Delivery System for Climate Resilient Livelihoods in Mauritania
5581	FP	Solomon Islands	Community Resilience to Climate and Disaster Risk in Solomon Islands Project
5592	FP	Somalia	Enhancing Climate Resilience of the Vulnerable Communities and Ecosystems in Somalia
5593	MSP	Malaysia	Developing and Implementing a National Access and Benefit Sharing Framework
5596	MSP	Nepal	Sustainable Land Management in the Churia Range
5605	MSP	Morocco	Developing a National Framework on Access to and Benefit-Sharing of Genetic Resources and Traditional Knowledge as a Strategy to Contribute to the Conservation and Sustainable Use of Biodiversity in Morocco
5609	MSP	Gambia	Greening the Productive Sectors in Gambia: Promoting the Use and Integration of Small to Medium Scale Renewable Energy Systems in the Productive Uses
5613	MSP	Cook Islands	Strengthening the Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in the Cook Islands
5622	FP	Indonesia	LME-EA Coral Triangle Initiative Project (COREMAPIII-CTI)
5626	MSP	Kenya	Developing the Microbial Biotechnology Industry from Kenya's Soda Lakes in line with the Nagoya Protocol
5634	MSP	Regional	Ratification and Implementation of the Nagoya Protocol in the Countries of the Pacific Region
5639	MSP	Mauritania	Stocktaking and Update of National Biosafety Framework of Mauritania
5651	FP	Sudan	Livestock and Rangeland Resilience Program
5653	MSP	Vietnam	Capacity Building for the Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing

5656	MSP	Global	Parks, People, Planet: Protected Areas as Solutions to Global Challenges
5657	FP	Turkey	Conservation and Sustainable Management of Turkey's Steppe Ecosystems
5660	FP	Pakistan	Sustainable Forest Management to Secure Multiple Benefits in High Conservation Value Forests
5665	FP	China	A New Green Line: Mainstreaming Biodiversity Conservation Objectives and Practices into China's Water Resources Management Policy and Planning Practice
5668	FP	Paraguay	Innovative Use of a Voluntary Payment for Environmental Services Scheme to Avoid and Reduce GHG Emissions and Enhance Carbon Stocks in the Highly Threatened Dry Chaco Forest Complex in Western Paraguay
5681	FP	Regional	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in Latin America and the Caribbean.
5692	MSP	Malaysia	Mainstreaming of Biodiversity Conservation into River Management
5694	FP	Comoros	Building Climate Resilience through Rehabilitated Watersheds, Forests and Adaptive Livelihoods
5703	FP	Sudan	Enhancing the Resilience of Communities Living in Climate Change Vulnerable Areas of Sudan Using Ecosystem Based Approaches to Adaptation (EbA)
5704	FP	South Africa	Promoting Organic Waste-to-Energy and other Low-carbon Technologies in Small and Medium-scale Enterprises (SMMEs): Accelerating Biogas Market Development
5712	MSP	Liberia	Improve Sustainability of Mangrove Forests and Coastal Mangrove Areas in Liberia through Protection, Planning and Livelihood Creation- as a Building Block Towards Liberia's Marine and Coastal Protected Areas
5719	FP	Angola	Promotion of Sustainable Charcoal in Angola through a Value Chain Approach
5724	FP	Global	Participatory Assessment of Land Degradation and Sustainable Land Management in Grassland and Pastoral Systems
5725	MSP	Thailand	Greening Industry through Low Carbon Technology Application for SMEs
5731	FP	Global	Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol
5735	FP	Global	Effectively Mainstreaming Biodiversity Conservation into Government Policy and Private Sector Practice

			Piloting Sustainability Models to Take the Critical Ecosystem Partnership Fund (CEPF) to Scale
5736	FP	Global	GEF SGP Fifth Operational Phase - Implementing the Program Using STAR Resources III
5738	FP	Mexico	Strengthening of National Capacities for the Implementation of the Nagoya Protocol Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity
5744	MSP	Bahamas	Strengthening Access and Benefit Sharing (ABS)
5745	FP	Nigeria	Sustainable Fuelwood Management in Nigeria
5748	FP	Regional	Integrated Water Resources Management in the Titicaca-Desaguadero-Poopo-Salar de Coipasa (TDPS) System
5749	FP	El Salvador	Conservation, Sustainable Use of Biodiversity, and Maintenance of Ecosystem Services in Protected Wetlands of International Importance
5751	MSP	Mexico	Maintaining and Increasing Carbon Stocks in Agro-silvopastoral Systems in Rural Communities of the Selva Zoque - Sumidero Canyon Complex as a Climate Change Mitigation Strategy.
5755	FP	Bolivia	Sustainable Management of Forest Ecosystems in Amazonia by Indigenous and Local Communities to Generate Multiple Environmental and Social Benefits
5759	FP	Indonesia	Mainstreaming Biodiversity Conservation and Sustainable Use into Inland Fisheries Practices in Freshwater Ecosystems of High Conservation Value (IFish)
5761	MSP	Dominica	Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System
5765	FP	Regional	Integrated Transboundary Ridges-to-Reef Management of the Mesoamerican Reef
5767	MSP	Philippines	Implementation of SLM Practices to Address Land Degradation and Mitigate Effects of Drought
5774	MSP	Regional	Advancing the Nagoya Protocol in Countries of the Caribbean Region
5782	FP	Gambia	Adapting Agriculture to Climate Change in the Gambia
5784	MSP	Global	Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio Ecological Production Landscapes and Seascapes (SEPLS)
5785	MSP	Mexico	Sustainable Land Management Promotion
5788	MSP	Cote d'Ivoire	Assessment of Land Degradation Dynamic in Coffee - Cocoa production and Northern Ivory Coast to promote SLM practices and Carbon Stock Conservation ALDD SLM CSC

5789	MSP	Botswana	Using SLM to Improve the Integrity of the Makgadikgadi Ecosystem and to Secure the Livelihoods of Rangeland Dependent Communities
5796	MSP	Cameroon	A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon (<i>Echinops giganteus</i>)
5797	MSP	Global	Securing Tenure Rights for Forest Landscape Dependent Communities: Linking Science with Policy to Advance Tenure Security, Sustainable Forest Management and People's Livelihoods
5798	MSP	Regional	Adaptive Management and Monitoring of the Maghreb's Oases Systems
5808	MSP	Algeria	Developing a National Strategy and Legal and Institutional Framework on Access to Genetic Resources and Related Benefit Sharing and Traditional Knowledge in Line with the CBD and Its Nagoya Protocol in Algeria
5811	MSP	Regional	Closing the Gaps in Great Green Wall: Linking Sectors and Stakeholders for Increased Synergy and Scaling-up
5815	FP	Regional	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in the Asia-Pacific Region.
5820	MSP	Argentina	Promoting the Application of the Nagoya Protocol on ABS
5824	MSP	Global	Sharing Knowledge on the Use of Biochar for Sustainable Land Management
5826	MSP	Philippines	Strengthening National Systems to Improve Governance and Management of Indigenous Peoples and Local Communities Conserved Areas and Territories
5847	MSP	Trinidad and Tobago	Capacity Development for Improved Management of Multilateral Environmental Agreements for Global Environmental Benefits
5848	MSP	Indonesia	Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanism for Sustainable Watershed/Land Management
5882	MSP	Gabon	Gabon - Implementation of National Strategy and Action Plan on Access to Genetic Resources and The Fair and Equitable Sharing of Benefits Accruing From Their Utilization
9325	FP	Djibouti	RLACC - Rural Livelihoods' Adaptation to Climate Change in the Horn of Africa (PROGRAM)
9512	MSP	Tuvalu	Climate Resilience in the Outer Islands of Tuvalu
6920	FP	Global	Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs

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

9071	FP	Global	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)
9088	FP	Costa Rica	Sixth Operational Phase of the GEF Small Grants Programme in Costa Rica
9092	FP	Peru	Sustainable Management of Agro-Biodiversity and Vulnerable Ecosystems Recuperation in Peruvian Andean Regions Through Globally Important Agricultural Heritage Systems GIAHS Approach
9094	FP	Regional	Integrated Natural Resources Management in Drought-prone and Salt-affected Agricultural Production Systems in Central Asia and Turkey (CACILM2)
9103	FP	Cambodia	Building Adaptive Capacity through the Scaling-up of Renewable Energy Technologies in Rural Cambodia (S-RET)
9129	FP	Indonesia	Eco-system Approach to Fisheries Management (EAFM) in Eastern Indonesia (Fisheries Management Area (FMA)- 715, 717 & 718)
9199	FP	Bhutan	Enhancing Sustainability and Climate Resilience of Forest and Agricultural Landscape and Community Livelihoods
9212	FP	Gabon	Wildlife and Human-Elephant Conflicts Management
9215	FP	Djibouti	Mitigating Key Sector Pressures on Marine and Coastal Biodiversity and Further Strengthening the National System of Marine Protected Areas in Djibouti
9232	FP	Regional	Sustainable Management of Peatland Ecosystems in Mekong Countries
9243	FP	India	Green-Ag: Transforming Indian Agriculture for Global Environmental Benefits and the Conservation of Critical Biodiversity and Forest Landscapes
9255	FP	South Africa	Development of Value Chains for Products derived from Genetic Resources in Compliance with the Nagoya Protocol on Access and Benefit Sharing and the National Biodiversity Economy Strategy
9262	FP	Honduras	Agroforestry Landscapes and Sustainable Forest Management that Generate Environmental and Economic Benefits Globally and Locally
9270	FP	Malaysia	Sustainable Management of Peatland Ecosystems in Malaysia (SMPEM)
9271	FP	Brazil	National Strategy for Conservation of Threatened Species (PROSPECIES)
9272	FP	Regional	Amazon Sustainable Landscapes Program
9277	FP	Regional	Risk Mitigation Instrument for Land Restoration (Non-Grant)

9288	FP	Suriname	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining
9289	MSP	Albania	Enhancing Financial Sustainability of the Protected Area System
9340	FP	Ghana	Food-IAP: Sustainable Land and Water Management Project, Second Additional Financing
9352	MSP	Nepal	Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal
9361	FP	Vietnam	Mainstreaming Natural Resource Management and Biodiversity Conservation objectives into socio-economic development planning and management of Biosphere Reserve in Viet Nam
9370	FP	Regional	The Meloy Fund : A Fund for Sustainable Small-scale Fisheries in SE Asia (Non-grant)
9380	FP	Mexico	Securing the Future of Global Agriculture in the Face of Climate Change by Conserving the Genetic Diversity of the Traditional Agro-ecosystems of Mexico
9407	FP	Regional	Healthy Ecosystems for Rangeland Development (HERD): Sustainable Rangeland Management for Biodiversity Conservation and Climate Change Mitigation
9445	FP	Mexico	Conservation and Sustainable Use of Biological Diversity in Priority Landscapes of Oaxaca and Chiapas
9449	FP	Brazil	Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapeutic Value Chains in Brazil
124	FP	Argentina	Renewable Energy in Rural Markets Project
135	FP	Global	Small and Medium Scale Enterprise Program (IFC, first replenishment)
765	FP	Indonesia	West Java/Jakarta Environmental Management Project
965	FP	Vietnam	Systems Efficiency Improvement, Equitization and Renewables (SEER) Project - Renewables Components
1089	FP	Philippines	Asian Conservation Company (ACC)
975	FP	Regional	Accelerating Renewable Energy Investments through CABI in Central America
1169	FP	Syria	Biodiversity Conservation and Protected Area Management
1234	FP	Benin	Community-based Coastal and Marine Biodiversity Management Project

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

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

3964	EA	Argentina	Third National Communication to the United Nations Framework Convention on Climate Change
3996	MSP	Honduras	SFM: Mainstreaming Biodiversity Conservation into the Management of Pine-Oak Forests
4180	MSP	Suriname	Coastal Protected Area Management
4216	FP	Samoa	Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS)
4806	MSP	Global	A Global Initiative on Landscapes for People, Food and Nature
4826	MSP	Vietnam	Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning
48	FP	Congo	Wildlands Protection and Management
54	FP	Uganda	Bwindi Impenetrable National Park and Mgahinga Gorilla National Park Conservation
78	FP	Lao PDR	Wildlife and Protected Areas Conservation
79	FP	Philippines	Conservation of Priority Protected Areas
85	FP	Cameroon	Biodiversity Conservation and Management
348	FP	Panama	Biodiversity Conservation in the Darien Region
360	FP	Regional	Regional Strategy for the Conservation and Sustainable Use of Natural Resources in the Amazon
377	FP	Sudan	Community Based Rangeland Rehabilitation for Carbon Sequestration

ANNEX 4: SURVEY TO SGP NATIONAL COORDINATORS

Evaluation of GEF Engagement with Indigenous Peoples (IPs) To be completed by SGP National Coordinators

1. Name:

2. SGP country programme:

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

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

- a. Yes b. No

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

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

- a. Yes b. No

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

If yes, please give brief details:

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

7.b Please estimate number of SGP projects directly funding IP organisations (IPOs) since July 2010

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

- a. Yes b. No

Please provide brief details:

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

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

Indigenous peoples' organisational capacity building	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' governance	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' policy development	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' traditional knowledge and culture	1. Frequently	2. Sometimes	3. Rarely	4. Never	

Please give details as necessary:

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

- a. Yes b. No

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

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

Benefit	Rating				Project IDs
	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased land tenure or security	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased natural resource rights or security	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased inclusion for consultation and project design	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased inclusion on policy level discussions	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Access to training / capacity building	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Promotion of public or private partnerships	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased awareness or of international conventions	1. Frequently	2. Sometimes	3. Rarely	4. Never	

Income and livelihoods improvements	1. Frequently	2. Sometimes	3. Rarely	4. Never	
No benefits observed	1. Frequently				

Please explain:

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

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

Other challenges (Please explain):

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

Please explain:

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

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

Other challenges: Please explain:

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

Policy	Rating				
	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
GEF Principles & Guidelines on IP Engagement	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
Existing ministerial guidelines (please provide details below)	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
UNDRIP	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain

ILO169	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
UN System Wide Action Plan (SWAP) for indigenous peoples	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
UNDG Guidelines on IPs	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
Other national policies	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
Other international treaties (please provide details below)	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain

Please give further information as relevant:

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

- a. Yes b. No

If yes, please give network(s) name:

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

- a. GEF CSO network focal point
- b. GEF IPAG processes
- c. GEF Secretariat
- d. GEF ECWs
- e. Others

If yes, please give brief details:

ANNEX 5: LIST OF INTERVIEWEES

Name	Email	Affiliation	Title
Yoko Watanabe	yoko.watanabe@thegefundp.org	UNDP-SGP; IPAG	Global Manager, the GEF Small Grants Programme, UNDP; former Senior Biodiversity Specialist and IP focal point, GEF
Terence Hay-Edie	terence.hay-edie@undp.org	UNDP-SGP	Deputy Global Manager, the GEF Small Grants Programme, UNDP
Sarah Wyatt	swyatt@thegef.org	GEFSEC	Operations Analyst, GEFSEC
Laura Ledwith	lauraledwith@aol.com	GEFSEC	Consultant to the GEF Secretariat on indigenous peoples
Hawe Hamman Boubou	hawehamman@gmail.com	Attendee UNPFII	Mbororo Social and Cultural Development Association (indigenous peoples' representative at UNPFII)
Daniel M. Kobei	dkobei@yahoo.com	Attendee UNPFII	Executive Director, The Ogiek Peoples Development Programme (indigenous peoples' representative at UNPFII)
Balkisou Buba	Balkisoububa2013@gmail.com	Attendee UNPFII	Vice National Coordinator Repaleac Cameroon (indigenous peoples' representative at UNPFII)
Luis Felipe Duchicela	lfduchicela@worldbank.org	WB; IPAG	Senior Social Development Specialist, World Bank Group
Lucy Mulenkei	mulenkei@gmail.com	IPAG	Executive Director, the Indigenous Information Center (Maasai, Kenya) (indigenous peoples' representative at UNPFII)
Edna Kaptoyo	kaptoyoedna@gmail.com	Fellowship	Program coordinator, the Indigenous Information Network (indigenous peoples' representative at UNPFII)
Yeshing Juliana Upun	upunjuliana@gmail.com	IPAG	coordinator for Indigenous Peoples Rights of Sotzil Association, Guatemala
Maria Yolanda Terán Maigua	yolanda.teran7@gmail.com	IPAG	Representative, the Andes Chinchansuyo Foundation
Thomas Jalong	rakankomuniti@gmail.com	IPAG	President, the indigenous peoples Network of Malaysia (or Jaringan Orang Asal SeMalaysia, JOAS)
Gonzalo Oviedo	gonzaloo@bluewin.ch	IPAG	Former Senior Advisor, the IUCN Social Policy Programme
Giovanni Reyes	shangrila.northwind@gmail.com	IPAG	Secretary-general, KASAPI
Tina Rai	mrinalini_rai@yahoo.com	IPAG	Chiang Mai University (Rai, Nepal/India)

Johnson Cerda	icerda@conservation.org	CI	Indigenous Advisor, Conservation International (Kichwa, Ecuador)
Minnie Degawan	mdegawan@conservation.org	CI	Director, Conservation International's Indigenous and Traditional Peoples Program
Carlos Tomas Perez-Brito	cperezbrito@worldbank.org	IPAG	Senior Social Development Specialist, WBG; former Social Scientist, the Inter-American Development Bank
Ramiro Batzin			Coordinator of the technical forum indigenous of Abya Yala (Latin America), director of the Association Sotzil and indigenous representative to the National Council for climate change in Guatemala.
John Scott	john.scott@cbd.int	CBD	Programme Officer, Traditional Knowledge, Convention on Biological Diversity (CBD)
Viviana Figueroa	viviana.figueroa@cbd.int	CBD	Top of Form Associate Programme Officer, Convention on Biological Diversity (CBD) Bottom of Form
Jeff Griffin	Jeffrey.Griffin@fao.org	FAO	Senior Coordinator, FAO-GEF Coordination Unit
Yon Fernandez-de-Larrinoa	Yon.FernandezLarrinoa@fao.org	FAO	FAO Indigenous Peoples Team Leader and Gender Advocacy
Valeria Poggi	Valeria.Poggi@fao.org	FAO	Programme and Country Technical Assistance, FAO Indigenous Peoples Team
Guido Agostinucci	Guido.Agostinucci@fao.org	FAO	FPIC Liaison, FAO Indigenous Peoples Team
Daniela Morra	daniela.morra@fao.org	FAO	Natural Resources Officer (Environmental and Social Safeguards), Environmental and Social Management Unit, Climate and Environment Division
Tommaso Vicario	Tommaso.Vicario@fao.org	FAO	M&E project specialist, FAO-GEF Coordination Unit
Chiara Pili	Chiara.Pili@fao.org	FAO	GEF project development specialist , FAO-GEF Coordination Unit

ANNEX 6: ISSUED RAISED REGARDING AGENCY CONFORMITY WITH GEF MS4

The following issues were flagged during a comparative review of wording between GEF Minimum Standard 4 and Agency safeguard policies, where partial consistency with MS4 requirements was shown. Hence issues raised are not known to be reflective of practice but, for instance, may be of consideration as a focus in monitoring activities related to GEF-funded projects involving Indigenous Peoples.

African Development Bank

Documents reviewed:

1. AfDB Group's Integrated Safeguards System: Policy Statement and Operational Safeguards (2013)
2. AfDB Group's Development and Indigenous Peoples in Africa (2016)
3. AfDB Integrated Safeguards System Guidance Materials Volume 1: General Guidance on Implementation of OS 1
4. AfDB Integrated Safeguards System Guidance Materials Volume 2: Guidance on Safeguard Issues
5. AfDB Environmental and Social Assessment Procedures (ESAP)

General overview:

The AfDB's policy paper on is clear about the difficulties and opposition with this issue in member states. The foreword details the following as the most progressive of three proposals regarding changing the AfDB policy on :

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

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

Additionally, the UN Permanent Forum on Indigenous Issues made a specific recommendation in its 12th session (2013) to the AfDB, on the strength of AfDB protections for :

"The Permanent Forum appreciates the steps taken by the African Development Bank to include safeguards for indigenous peoples in its integrated safeguards system. The Forum is concerned, however, that the Bank remains the only multilateral bank not to have a stand-alone safeguard policy for indigenous peoples. The Forum recommends that the Bank fast-track, in coordination with the African Commission on Human and Peoples' Rights and other regional bodies, a regional policy framework for indigenous peoples in line with the provisions of the

*African Charter on Human and Peoples' Rights and report on progress to the Forum at its thirteenth session, in 2014*⁴³

- **“If access restriction to parks and protected areas, ensure that affected IPs fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such areas and share equitably in benefits from the areas” (MS4)**

Regarding this MS4 requirement, the relevant sections from AfDB safeguard (regarding resettlement including from national parks) appear to be “...and that they share in the benefits of the project that involves their resettlement” and “The project promotes the notion of benefit sharing and improvement of the economic status of communities when designing common property compensation provisions”.

These statements do not adequately cover the requirement of MS4 in regard to participation of IPs in their (former) territories.

- **“Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement” (MS4)**

AfDB’s safeguard states that “access to and commercialisation of indigenous knowledge is based on equitable benefits”, but does not require consent for use of indigenous knowledge as within MS4.

- **“Where the E/S impact assessment identifies adverse effects on IPs, Agency policies require that the project develop an IP plan or a framework...”(MS4)**

Regarding the preparation of IP plans or frameworks required by MS4, AfDB plans (SMP/Resettlement Action Plan/Community Development Plans) have similar facets, but lack a “trigger” that is specific to IPs being involved. Safeguard guidance refers to IPDPs, but they are not clarified and the language of the guidance notes is not binding.

The AfDB’s own report on indigenous peoples safeguards states:

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

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https://esa.un.org/unpfiidata/UNPFII_Recommendations_Database_view.asp?editid=1851&editid2=&editid3=&TargetPageNumber=1&todo=readonly&masterkey=

This language indicates that IPDPs are not mandatory in projects.

- **“Monitor, by experienced social scientists, the implementation of the project (and any required IP plan or framework) and its benefits as well as challenging or negative impacts on and address possible mitigation measures in a participatory manner” (MS4)**

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

- **FPIC where it is required by virtue of ratification of ILO 169 (MS4)**

Free, prior and informed consent is not addressed in AfDB safeguards. Only one African state (Central African Republic) is a signatory to ILO C169, and due to insecurity implementation has been very limited. However, any GEF-funded project would be necessitated to utilise FPIC approaches.

United Nations Environment Programme

Documents reviewed:

1. UNEP Environmental, Social and Economic Sustainability Framework (2015)
2. UNEP and Indigenous Peoples: A Partnership in Caring for the Environment Policy Guidance (2012)
3. UNEP Handbook For Stakeholder Engagement (2014)

- **“Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement” (MS4)**

The UNEP safeguards for indigenous peoples are well developed and do include the applications of FPIC for all projects. That said, while protection of tangible cultural heritage (UNDEP ESES standard 7) is explicit, there is no mention of prior agreement for the use of intangible cultural heritage or for Traditional Knowledge. It may, however, be inferred that the application of FPIC would ensure exploitation is prevented.

World Bank (Operational Policy 4.10)

Documents reviewed:

1. Operational Manual OP 4.10 - Indigenous Peoples (2005)
2. Operational Manual BP 4.10 - Indigenous Peoples (2005)
3. WB Emerging Lessons Series No. 2 - The Inspection Panel: Indigenous Peoples (2016)

- **“Undertake E/S impact assessment, with involvement of IPs, to assess potential impacts and risks when a project may have adverse impacts” (MS4)**

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

ANNEX 7: CASE STUDIES OF GEF PROJECTS INVOLVING INDIGENOUS PEOPLES

Project Title: Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems			
Location: Brazil		Agency: UNDP	Duration: 2009-2016
GEF ID: 2934	GEF Phase: 4	GEF Grant: US\$5,762,185	Co-financing: US\$22,548,479
Outcome Ratings: Satisfactory (from TE)		Sustainability Rating: Moderately Likely (from TE)	Efficiency Rating: Satisfactory (from TE)

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

The and their local associations were significantly involved throughout the project. For institutional arrangement, 6 members of indigenous organizations were in the Project Steering Committee to provide political and strategic supports, along with members from the government and the FUNAI. The project preparation was also a collaborative effort among government agencies and the indigenous representatives and consultation results with indigenous peoples were incorporated into the final proposal to the GEF.

The immediate goal of the project was to put in place a ground-tested and officially recognized strategy for environmental management in Indigenous Lands by for effective conservation and sustainable use of forest biodiversity. The project fully achieved this goal by adapting the existed National Protected Areas Plan (PNAP) to meet the environmental and social needs of the indigenous lands, and replaced the PNAP with the National Policy for Environmental and Territorial Management of Indigenous Lands (PNGATI). The PNGATI sets the framework for the action planning related to the topic, and is currently the reference for actions by the Brazilian government. In addition, enthno-management activities, dissemination of information on project activities, and trainings of community members on sustainable activities were conducted in 32 indigenous lands of 5 forest biomes across the country.

At the local level, the project activities relied on the experience of and their organizations, and their capacities in conservation were strengthened through the engagement. The project also set up a network of indigenous representatives to enable the experience exchange on environmental management among different indigenous lands.

Project Title: Conservation of Biodiversity in the Indigenous Productive Landscapes of the Moskitia, Honduras			
Location: Honduras		Agency: UNDP	Duration: 2009-2014
GEF ID: 3592	GEF Phase: 4	GEF Grant: US\$2,159,300	Co-financing: US\$5,455,000
Outcome Rating: Satisfactory (from TE)		Sustainability Rating: Likely (from TE)	Efficiency Rating: Moderately Unsatisfactory (from TE)

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

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

These enabling conditions built foundations for securing medium-term funding for “Alliance for the Development of the Moskitia”, a continuing project by Honduras Government, UN, Swiss and German Development Cooperation to continue delivering benefits without GEF support.

Project Title: Wildlife Conservation Leasing Demonstration (WCL), Kenya			
Location: Kenya		Agency: World Bank	Duration: 2009-2012
GEF ID: 1999	GEF Phase: 4	GEF Grant: US\$752,270	Co-financing: US\$505,000
Outcome Rating: Moderately Satisfactory (from TER)		Sustainability Rating: Unsatisfactory (from TER)	Efficiency Rating: Satisfactory (from TER)

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

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

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

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