

# The Indigenous Peoples Assistance Facility (IPAF)

## ASSESSMENT OF THE PERFORMANCE OF THE FOURTH IPAF CYCLE

Desk Review



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Cover photo: Ethiopia, December 2018, Chench district. “Improving the livelihoods of the women of South-West Ethiopia who depend on the enset crop”, IPAF project (2015). ©IFAD/Petterik Wiggers

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# Table of contents

List of acronyms and abbreviations	4
Executive summary	7
<b>1. Introduction</b>	<b>9</b>
1.1 The Indigenous Peoples Assistance Facility	9
1.2 The IPAF assessment	10
<b>2. The implementation of the Facility: outputs, results and challenges</b>	<b>14</b>
2.1 Component 1. Empowering indigenous peoples' grassroots organizations	14
2.2 Component 2. Strengthening indigenous peoples' networks and linking them with the global indigenous peoples' movement	37
2.3 Component 3. Knowledge management	49
<b>3. IFAD's programme coordination and supervision</b>	<b>53</b>
<b>4. Financial management</b>	<b>56</b>
<b>5. Cross-cutting issues</b>	<b>67</b>
5.1 Gender and youth	67
5.2 Innovation	68
5.3 Linkages with IFAD's investment portfolio	70
<b>6. Sustainability</b>	<b>74</b>
<b>7. Lessons learned and recommendations</b>	<b>77</b>
<b>8. Conclusions</b>	<b>86</b>
Annex 1. IPAF logframe	88
Annex 2. List of main consulted documents for the present assessment	90
Annex 3. Proposals received within the 2015 IPAF cycle	91
Annex 4. Output indicators collected during the present assessment with the collaboration of RIPOs	92
Annex 5. 2017 IPAF monkey survey	93
Annex 6. List of main indicators under Tebtebba's IPSSDD Framework	97
Annex 7. Example of an IPSSDD baseline	99
Annex 8. List of main indicators used by FIMI for project baselines and M&E	104
Annex 9. Example of baseline with FIMI format	105
Annex 10. Summary of recommendations	109
Annex 11. Maps	113

# List of acronyms and abbreviations

AIPP	Asia Indigenous Peoples Pact
AMAN	AMAN-Kalimantan Barat
ARCAS	Asociación para la Recuperación de la Cultura Autóctona Salvadoreña
ASFUMUJER	Asociación para el Futuro con manos de Mujer
BINP	Bwindi Impenetrable National Park
CADT	Certificate of Ancestral Domain Title
CAFER	Centre d'Appui aux Femmes Et aux Ruraux
CCB	Community Connections Botswana
CDS	Cultural and Development Society
CHRAGG	Commission for Human Rights and Good Governance
CIARENA	Ciarena Conservación, Investigación y Aprovechamiento de los Recursos Naturales, Asociación Civil
CIAT	International Center for Tropical Agriculture
CIPA	Cambodia Indigenous Peoples Alliance
CIPO	Cambodia Indigenous Peoples Organization
COMUNDICH	Asociación Coordinadora de Asociaciones y comunidades para el Desarrollo Integral de la Región Ch'orti'
COSOP	IFAD's country strategic opportunities programme
CPAKI	Collectif pour les peuples autochtones au Kivu
CPM	IFAD Country Programme Manager
CSRA	Surul Centre For Services in Rural Area
DERE	DERE Integrated Development Action
EU	European Union
FIMI	Foro Internacional de Mujeres Indigenas
FMD	IFAD Financial Management Services Division
FPIC	free, prior and informed consent
GEF	Global Environment Facility
GEF-SGP	GEF Small Grants Programme
GSR	IFAD's Grant Status Report
IFAD	International Fund for Agricultural Development
IMPECT	Inter Mountain Peoples' Education and Culture in Thailand Association
IMSLI	La Voix de la femme amazighe
IOE	IFAD's Independent Office of Evaluation
IPAF	Indigenous Peoples Assistance Facility
IPAFT	Indigenous Peoples Assistance Facility tracking system
IPF	Indigenous Peoples' Forum at IFAD
IPSSDD	Indigenous Peoples' Sustainable and Self-Determined Development
ITFC	Conservation Institute of Tropical Forest
IWGIA	International Work Group on Indigenous Affairs

JTDS	Jharkhand Tribal Development Society
KM	knowledge management
MASAKA	Malayang Samahan ng mga Katutubo sa Antipolo
MoU	Memorandum of Understanding
MPIDO	Mainyoito Pastoralists Integrated Development Organisation
M&E	monitoring and evaluation
NATRIPAL	Nagkakaisang mga Tribu ng Palawan
NCIP	National Commission on Indigenous Peoples
NGO	non-governmental organization
NRM	natural resources management
OSEPCCA	Organization for Support to the Environment Protection and Climate Change Adaptation
PIFON	Pacific Island Farmers Organisation Network
RIPO	regional indigenous peoples' organization
SHG	self-help group
SOE	statement of expenditure
TOC	theory of change
TWG	technical working group
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNPFII	United Nations Permanent Forum on Indigenous Issues
URCT	Ujamaa Resource Community Team
UWA	Uganda Wildlife Authority
WA	withdrawal application
YKPM	Foundation for Community Studies and Development



# Executive summary

Established at the International Fund for Agricultural Development (IFAD) in 2006, the Indigenous Peoples Assistance Facility (IPAF) aims to strengthen indigenous peoples' communities and their organizations in Africa, Asia and the Pacific, and Latin America and the Caribbean by financing small projects which foster their self-driven development in the framework of the United Nations Declaration on the Rights of Indigenous Peoples.

The IPAF is implemented via a competitive process with the launch of a call for proposals.

Through small grants it supports the initiatives designed and implemented by indigenous peoples' communities and their organizations that build on their culture, identity, knowledge and natural resources.

Since 2007, as a result of four calls for proposals, which generated around 3,500 proposals, the IPAF has supported 127 projects in 45 countries for a total of about US\$3.6 million.

At the global level, the Facility is strategically directed by the IPAF Board and managed by IFAD. At the regional level, it is co-managed and coordinated by three regional indigenous peoples' organizations (RIPOs): *Foro Internacional de Mujeres Indigenas*; Kivulini Trust; and Tebtebba Foundation.

The IFAD grant financing to the fourth IPAF cycle was approved by IFAD's Executive Board on 13 September 2014 for a total of US\$1.5 million. Recipients were expected to contribute to the financing of the Facility with a total in-kind amount of US\$455,600.

In 2017 IFAD commissioned an independent assessment of this IPAF cycle with the aim to review and analyse the performance of partners in implementing the Facility and the results achieved in the execution of the small IPAF-funded projects between 2015 and 2018.

The methodology of the assessment was primarily based on a desk review of key technical, financial and knowledge-related documents emerging from the IPAF, complemented with interviews and exchanges with representatives from RIPOs and IFAD, and the analysis of the results emerging from a survey administered to grassroots organizations implementing the projects on the ground.

Overall, the fourth IPAF cycle supported the implementation of 25 projects in 23 countries for a total financing of US\$1.05 million. The projects globally reached over 21,850 direct and 458,100 indirect beneficiaries. Over 40 different indigenous peoples participated in and benefited from the implementation of the IPAF-supported projects.

Projects improved livelihoods of indigenous communities by increasing food and nutrition security and income generation, enhancing access to and management of natural resources, preserving and recovering traditional knowledge, assets and techniques, and empowering communities by raising awareness on indigenous peoples' rights and needs. The involvement and active participation of women further contributed to the reduction in gender inequality in the communities and reflected the recognition of the role women play for the life and well-being of their communities.

Overall, effectiveness was considered satisfactory given the significant results obtained with a relatively limited budget and implementation period.



IPAF also provided RIPOs with a unique experience in programme management, contributing to their growth as institutions. Although with different degrees of effectiveness, RIPOs ensured oversight and technical assistance to IPAF sub-grantees, contributing to the improvement of their operational capacities. RIPOs are also playing a key role in strengthening indigenous peoples' intercultural dialogue on national, regional and global policies that directly and indirectly affect them. Overall, taking into account the limited time and resources available, results achieved by RIPOs were impressive and their institutional growth remarkable.

Nonetheless, some challenges were faced in the implementation of the Facility, and areas of improvement were identified. In particular, the monitoring and evaluation (M&E) function of the Facility should be improved and more effort should be made to support capacity-building and institutional strengthening of grassroots organizations through RIPOs, particularly in terms of project design, M&E, resource mobilization and financial management.

More opportunities for peer knowledge-sharing and exchanges should be promoted and knowledge management should become a key strategic axis within the IPAF and with RIPOs playing a key role. This approach is considered key for grassroots organizations' institutional development and should become a central mechanism to accelerate the learning process by peers.

In addition, sufficient resources need to be mobilized for the effective coordination of the grant by RIPOs and for the achievement of ambitious expected results (e.g. in terms of the support to be provided to grassroots organizations, networking, linking with regional and international platforms, developing and disseminating knowledge). RIPOs should financially contribute to this effort for increased ownership and sustainability.

Finally, more importance should be placed on the synergies and articulations that the IPAF develops with IFAD country programmes through more structured dialogue and the establishment and monitoring of realistic and precise indicators. The responsibility for developing partnerships and improving dialogue should be shared among all partners.

Certainly, the continuity of the IPAF should be granted. Acknowledging that there is an untapped potential for sustainable development, IFAD and IPAF partners should strengthen their efforts to mobilize additional resources to reach a larger number of communities and beneficiaries.

# 1. Introduction

## 1.1 The Indigenous Peoples Assistance Facility

Established at IFAD in 2006,<sup>1</sup> the Indigenous Peoples Assistance Facility (IPAF) aims to strengthen indigenous peoples' communities and their organizations in Africa, Asia and the Pacific, and Latin America and the Caribbean by financing small projects which foster their self-driven development in the framework of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).

The IPAF is implemented through a competitive process with the launch of a call for proposals. Through small grants ranging from US\$20,000 to US\$50,000 and lasting up to two years, the Facility supports the initiatives designed and implemented by indigenous peoples' communities and their organizations that build on their culture, identity, knowledge and natural resources.

Since 2007, as a result of four calls for proposals (2007, 2008, 2011 and 2015) that generated around 3,500 proposals, the IPAF has supported 127 projects in 45 countries for a total of about US\$3.6 million financed by IFAD, the World Bank and the Governments of Canada, Finland, Italy and Norway.

**Objectives and components.** The IPAF has the following four main objectives:

- Enhance the capacity of indigenous peoples' communities and their grassroots organizations to design and implement development projects based on their identity, culture, knowledge and natural resources;
- Assist indigenous peoples' communities and their organizations to mobilize funds from programmes financed by governments and/or other donors for their grassroots projects;
- Strengthen indigenous peoples' networks at the regional level and link them up with the global indigenous peoples' movement; and
- Generate and share knowledge on indigenous peoples' self-driven development, thus contributing to policy dialogue on issues affecting indigenous peoples.

The IPAF comprises three main components:

- Component 1: Empowering indigenous peoples' grassroots organizations;
- Component 2: Strengthening indigenous peoples' networks and linking them with the global indigenous peoples' movement;
- Component 3: Knowledge management (KM).

**Governance and implementation arrangements.** The Facility is based on a competitive process governed by the full participation of indigenous peoples.

In particular, the IPAF is directed both operationally and strategically by the IPAF Board, composed mostly of indigenous members.<sup>2</sup> The main functions of the IPAF Board are to:

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1 IFAD's Executive Board 88th Session, September 2006, approved the transfer of the Facility from the World Bank to IFAD and its Governance Structure [https://www.ifad.org/documents/38711624/39417924/ip\\_policy\\_e.pdf/a7cd3bc3-8622-4302-afdf-6db216ad5feb](https://www.ifad.org/documents/38711624/39417924/ip_policy_e.pdf/a7cd3bc3-8622-4302-afdf-6db216ad5feb)

2 The Board is composed of: (i) four representatives of indigenous peoples' institutions/organizations; (ii) one representative from the United Nations Permanent Forum on Indigenous Issues (UNPFII); and (iii) one representative from IFAD.

(i) provide overall strategic guidance on the Facility focus and oversight on the use of funding; (ii) establish the criteria and guidelines for the calls for proposal; (iii) advise IFAD in the selection of organizations to manage the Facility at the regional level; (iv) and review and approve project proposals, ensuring consistency with the criteria and guidelines of the Facility.

At the global level, the IPAF is managed by IFAD through the IPAF Secretariat. IFAD is responsible for the overall coordination, financial management and direct supervision of the Facility (see more on IFAD's role in section 3).

At the regional level since 2010,<sup>3</sup> the IPAF is co-managed and coordinated by three regional indigenous peoples' organizations (RIPOs). *Foro Internacional de Mujeres Indigenas* (FIMI),<sup>4</sup> Kivulini Trust and Tebtebba Foundation were the implementers of the 2015 cycle in Latin America and the Caribbean, Africa, and Asia and the Pacific, respectively. As co-managers of the IPAF, partner organizations are responsible for: supporting the technical review process of IPAF applications; channeling resources to organizations awarded by the IPAF Board; monitoring and supervising IPAF-funded projects; strengthening the link between IPAF small projects and IFAD-funded country programmes; documenting and disseminating knowledge generated by IPAF; and supporting IPAF resource mobilization.

**Financing.** The IFAD grant financing to the 2015 IPAF cycle was approved by IFAD's Executive Board on 13 September 2014 for a total of US\$1.5 million. Recipients were expected to contribute to the financing of the Facility with a total in-kind amount of US\$455,600.<sup>5</sup>

## 1.2 The IPAF assessment

In 2017, as was the practice for previous cycles<sup>6</sup> and based on IFAD Management's request, IFAD commissioned an independent assessment of the 2015 IPAF cycle with the aim to review and analyse the performance of partners in implementing the Facility and the results achieved in the execution of the small IPAF-funded projects. The assessment was conducted between 2017 and 2018.

The methodology of the assessment was primarily based on a desk review of key technical, financial and knowledge-related documents emerging from the IPAF, complemented by interviews and exchanges with representatives from RIPOs and IFAD, and the analysis of the results emerging from a survey administered to grassroots organizations (IPAF sub-grantees) implementing the projects on the ground.

**Desk review.** A large number of documents were reviewed, including project proposals and design documents (baselines, logframes, concepts), technical and financial progress and completion reports and self-assessments by grassroots organizations and RIPOs, monitoring and supervision reports, financial and legal documents (grant agreements, audit reports, withdrawal applications (WAs), etc.), and knowledge and communication documents. Previous assessments, desk reviews

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3 In 2010, the IPAF was decentralized at the regional level with the aim of reducing IFAD's transaction costs in grant-making and of building and strengthening the capacity of RIPOs at the regional level. See more in section 2.2.

4 International Indigenous Women's Forum (IIWF).

5 US\$189,000 from Kivulini Trust; US\$145,000 from Tebtebba; and US\$121,600 from FIMI.

6 Two desk reviews and assessments were also conducted in relation to the 2007-2008 and 2011 cycles, respectively. In addition, in 2015 IFAD's Independent Office of Evaluation (IOE) conducted an evaluation of IFAD's engagement with indigenous peoples to highlight good practices, generate lessons, identify key issues for reflection and make recommendations for future IFAD operations to strengthen its engagement with indigenous peoples. The IOE Evaluation Synthesis Report on IFAD's Engagement with Indigenous Peoples also covers the IPAF.

and evaluations conducted by IFAD were also taken into account. (A list of main documents consulted is available in annex 2.)

**Survey.** A monkey survey (see annex 5) was prepared<sup>7</sup> and launched in English, French and Spanish to assess the IPAF decentralized process and the partnership between the RIPOs and grassroots organizations. It was administered to the 25 IPAF sub-grantees in October 2017. Twenty organizations (80 per cent of invited organizations) responded to the survey. Results were analysed and compared.

**Interviews and meetings.** Interviews were conducted with the three RIPOs between 2017 and 2018 in order to review the main results achieved and the challenges faced in the implementation of the Facility, clarify and/or complement information emerging from project-related documents, and collect their views and recommendations on how to improve the Facility in the future.<sup>8</sup> Further exchanges via Skype and email enabled additional inputs and information to be collected in order to consolidate and finalize the assessment report. In addition, regular interaction, exchanges and discussions were held with the IPAF Secretariat in Rome<sup>9</sup> (in person, via email or telephone). A meeting<sup>10</sup> with IFAD's Finance Officer from the Financial Management Services Division (FMD) was also held to review the Facility's financial management-related aspects.

The present report results from the analysis and review of the above-mentioned information and data. Although information was overall rich and complete, some challenges in the analysis were faced. In particular, the main limitation lay in the absence of a standard and coherent monitoring and evaluation (M&E) system with the collection of common indicators and information by RIPOs and grassroots organizations. In particular: (i) the baselines of the IPAF-supported projects often lacked quantitative data and indicators; (ii) a disconnect was observed between the logframes of the small projects and the IPAF overall logframe. In fact, none of the analysed projects' logframes included data/indicators needed to feed the indicators of the overall IPAF logframe. Similarly, none of the RIPOs attached to their progress reports to IFAD an updated logframe; (iii) outcome and output indicators common for all projects were not developed or integrated in the overall programme logframe and in projects' logframes. Based on the above, an effort was made during the present assessment to collect output data on projects by exchanging with RIPOs and reviewing project documents, and to integrate and complement the assessment accordingly;<sup>11</sup> (iv) the three RIPOs used different templates and models for project reporting. In some cases, the same happened at the level of grassroots organizations. Based on the above, consolidation was challenging and the collection of data not standardized; and (v) the quality and richness of the reports by RIPOs and grassroots organizations were variable.<sup>12</sup>

In addition, it is worth noting that some of the projects were not completed at the time when the survey to sub-grantees was conducted. Based on the above, some of the responses could not

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7 The survey was designed in collaboration between IFAD, Ms Judith D'Souza and Ms Valeria Galletti (independent consultants).

8 Interviews were conducted as follows: (i) FIMI, on 6 December 2017, with the participation of Ms Teresa Zapeta (Director), Mr Yohanis Amador (IPAF Coordinator) and Ms Tiziana Forte (M&E staff); (ii) Kivulini Trust, on 9 November 2018, with the participation of Ms Jacque Macharia (IPAF Coordinator); and (iii) Tebtebba, on 24 October 2018, with the participation of Ms Marie Ngoddo (IPAF Coordinator).

9 See more on the role and composition of the IPAF Secretariat in section 3.

10 The meeting was held on 20 November 2018.

11 The list of main indicators collected during the present assessment is available in annex 4.

12 These issues are discussed in sections 2.1 and 2.2.

be taken into account or were not complete/relevant (e.g. those on implementation support or supervision by RIPOs).

**Structure of the assessment.** The assessment is organized in five main sections:

- Section 2. The implementation of the Facility: outputs, results and challenges. This section reviews the performance of the Facility under its three components;
- Section 3. IFAD's programme coordination and supervision;
- Section 4. Financial management;
- Section 5. Cross-cutting issues (i.e. gender, innovation and linkages with IFAD's investment portfolio);
- Section 6. Sustainability.

An analysis of main lessons learned and recommendations to improve the Facility is also provided. The document is complemented by 10 annexes.



## 2. The implementation of the Facility: outputs, results and challenges

This section analyses the main outputs and results achieved and challenges faced in the implementation of the Facility under the three programme components.

### 2.1 Component 1. Empowering indigenous peoples' grassroots organizations

Component 1 aimed to empower indigenous peoples' grassroots organizations to determine priorities and develop strategies for fulfilling the development needs of their communities, based on their own culture and identity.

Under this component, IPAF was expected to finance through a competitive process between 25 and 35 small projects designed and implemented by indigenous peoples' communities and their organizations.

#### **The call for proposals**

The 2015 IPAF cycle was expected to finance indigenous peoples' demand-driven initiatives under the following thematic areas: (i) food security and nutrition; (ii) access to markets; (iii) land, territories and resources; and (iv) climate change adaptation and mitigation.

According to the Facility guidelines for screening and technical review, the mechanism for the selection of small projects (see box 1) consisted of key steps and processes.

**The launch of the call.** The call was launched on 15 January 2015 and remained open for approximately three months. It was advertised on IFAD's website and by RIPOs (on their websites and through their networks). The deadline for submission was 6 March 2015.

IFAD developed useful tools to facilitate applicants in the process, including an application form and very detailed guidelines for completing it (including information and examples regarding requirements for submitting applications, eligibility criteria and selection criteria). Templates and guidelines were clear and provided a very practical guide to enable a range of users (even those with limited skills and experience in the use of online technology) to participate in the call.

Overall, 540<sup>13</sup> applications were received from 66 countries: 222 proposals from Africa, 133 proposals from Asia and the Pacific, and 185 proposals from Latin America and the Caribbean.

In terms of national distribution, the origin of proposals was often concentrated in a limited number of countries. In particular, 302 proposals (or 56 per cent of total proposals) originated from 11 countries only. This trend was particularly observed in Latin America and the Caribbean, with 81 proposals (or 44 per cent of total proposals received from the region) originating from three countries only, namely Colombia, Guatemala and Mexico. The same applies to Africa, with 136 proposals (or 61 per cent of total proposals received from the region)

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<sup>13</sup> The figure does not include incomplete proposals (i.e. from organizations registering in the system but not finalizing the process or not submitting the proposal).

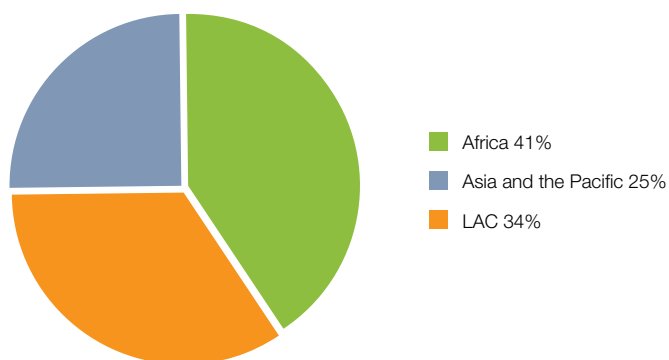
originating from five countries only, namely Cameroon, Democratic Republic of the Congo, Kenya, Tanzania and Uganda. In Asia and the Pacific, the national distribution of proposals is overall more homogeneous (between 1 and 13 projects originating from each country), although 55 proposals (or 41 per cent of total proposals) were received from India (see more on the national distribution of proposals in annex 3).

**Screening and review of proposals.** The screening process started at the closure of the call, and RIPOs assessed the applicant organizations' eligibility based on established criteria (see box 1 below).

**Box 1. Mechanism for the selection of projects to be financed by the IPAF**

- **Launch of the call.** A global call for proposals is launched at the beginning of the project cycle by IFAD.
- **Submission of proposals.** Organizations willing to participate to the call submit their proposal.
- **Eligibility assessment.** All proposals received by the set deadline are screened at the regional level by IPAF regional partners to assess their eligibility. Applicant organizations are expected to meet the following criteria to be considered eligible under the IPAF: (i) be an indigenous or tribal peoples' community or organization or a not-for-profit/non-governmental organization designated to act on its behalf; (ii) be legally registered in the country of grant implementation (the country has to be an IFAD developing Member State); and (iii) have an established bank account in their name.
- **Technical review.** A technical review is conducted by indigenous experts hired by RIPOs. Proposals are rated according to project relevance, feasibility, institutional capacity, institutional credibility, and adherence to indigenous peoples' development with culture and identity.
- **RIPOs and Country Programme Managers (CPMs) advice to the Board.** Based on the best-rated proposals, RIPOs highlight their prioritized projects. CPMs further provide their advice on those proposals which have good potential to be connected with the ongoing operations in their respective countries.
- **Final selection.** The final selection for grants awards is made by the IPAF Board, which convenes online following the finalization of the screening and technical review process. Decision on the approval of the project proposals is taken by consensus from all the IPAF Board Members.

**Graphic 1. Proposals received in the 2015 cycle by region (percentage)**





A technical review was further conducted by indigenous experts hired by RIPOs. Proposals were rated (from 0 to 3, with 3 being the highest rating) according to project relevance, feasibility and sustainability, institutional capacity and credibility of applicant organizations, and adherence to indigenous peoples' development with culture and identity. Other key aspects were also taken into account, such as the geographical distribution of proposals and gender issues.

As a result of the process, 402 proposals, or 74 per cent of total proposals received, were considered eligible. Of these, 199 (50 per cent) originated from Africa. It is worth noting that 48 per cent of the 125 proposals that received the highest rating originated from Latin America and the Caribbean.

**Table 1.** Eligibility of IPAF proposals

Region	Received proposals	Eligible proposals
Africa	222	199
Asia and the Pacific	133	64
Latin America and the Caribbean	185	139
<b>Total</b>	<b>540</b>	<b>402</b>

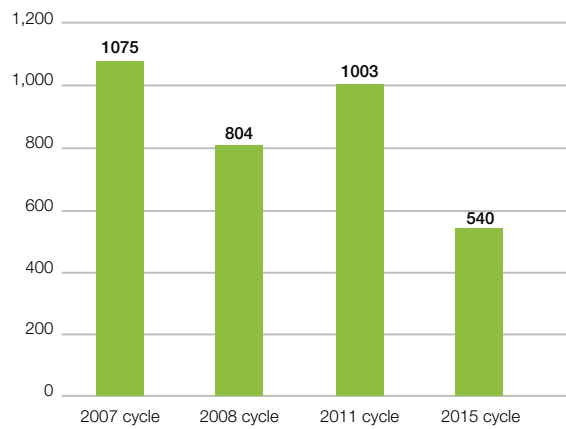
**Table 2.** Rating of IPAF proposals

Region	Projects with highest rating (3)	Percentage	Projects with average rating (2)	Percentage	Projects with lower rating (1)	Percentage
Africa	37	30%	66	47%	96	70%
Asia and the Pacific	28	22%	30	22%	6	4%
Latin America and the Caribbean	60	48%	43	31%	36	26%
<b>Total</b>	<b>125</b>	<b>100%</b>	<b>139</b>	<b>100%</b>	<b>138</b>	<b>100%</b>

Overall, the number of proposals received in 2015 saw a huge decrease compared with previous cycles and particularly with the 2011 cycle (almost by 50 per cent). While the decrease from 2007 to 2008 might be attributable to the short distance from one call to another, the rationale behind the decrease from 2011 to 2015 might be related to the different modalities for advertising the call in 2015.<sup>14</sup> The 2015 diminution in the number of proposals was particularly registered in Asia and the Pacific and Africa (over 60 and 56 per cent decrease, respectively, compared to 2011).

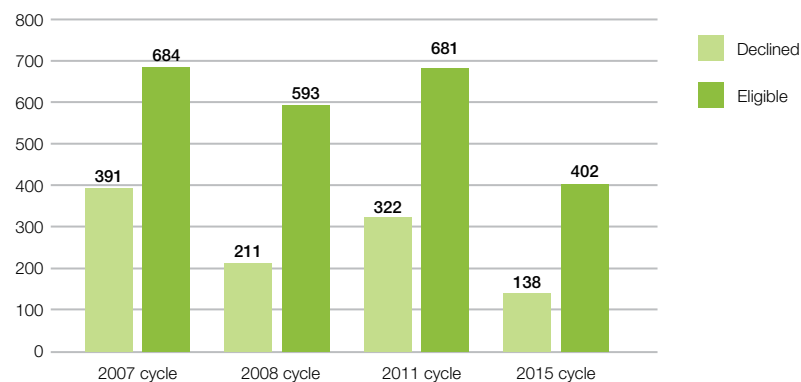
<sup>14</sup> Compared with previous cycles, the 2015 call included clear and specific reference to the grant amount available for financing projects and the number of grants to be approved under the Facility in order to fully inform the applicants and avoid raising expectations. According to the IPAF Secretariat, this might have discouraged many organizations from applying.

**Graphic 2.** Proposals received in the 2007-2015 cycles



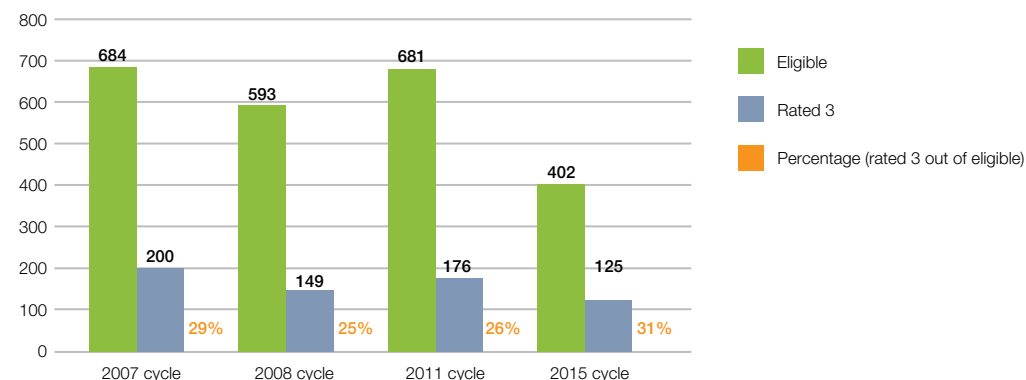
At the same time, the quality of the proposals seems to have slightly improved, with the rate of declined projects decreasing in 2015 compared with the previous cycle (26 per cent of declined projects in 2015 versus 32 per cent in 2011).

**Graphic 3.** Evolution of the quality of received proposals (2007-2015 cycles)



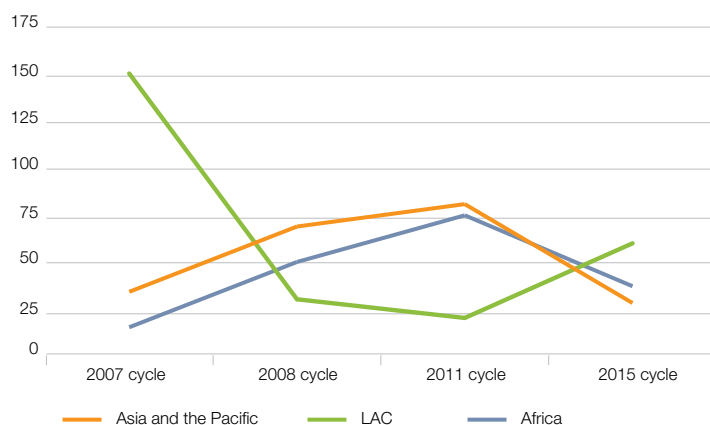
Similarly, highly rated projects increased, with an average of 31 per cent of eligible projects rated 3 in 2015 compared with 29 per cent in 2007.

**Graphic 4.** Evolution of the quality of received proposals (2007-2015 cycles)



The majority of best-rated proposals over time are in Latin America and the Caribbean, with 261 best-rated proposals, followed by Asia and the Pacific (212) and Africa (177). Nonetheless, the trend was discontinuous, as the graphic below shows.

**Graphic 5.** Best-rated proposals by region (2007-2015 cycles)



The technical review process was completed in June 2015. RIPOs subsequently prioritized a number of projects for financing based on different criteria depending on the region (e.g. the quality of the proposal, the experience and credibility of the organizations, gender-related aspects).

IFAD CPMs further provided their advice on proposals with a good potential to be connected with IFAD ongoing operations in their respective countries.

**Selection of projects for financing.** The final selection of grants to be awarded was made by the IPAF Board, which convened online following the finalization of the screening and technical review process. The decision on the approval of the project proposals was taken by consensus.

Overall, 25 projects in 23 countries (eight each in Africa and Latin America and the Caribbean and nine in Asia) were selected for a total financing of US\$1.05 million. A reserve list was also prepared. The budget for each project averaged US\$42,000,<sup>15</sup> ranging between US\$25,000 and US\$50,000. The established implementation period varied between 12 and 24 months although several extensions were granted during implementation (see more in section 4).

<sup>15</sup> In a number of cases, the budget submitted by the applicants was reduced in order to accommodate more projects.

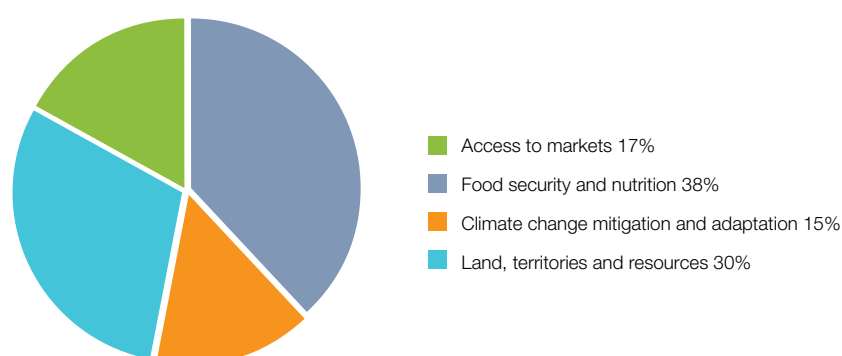
**Table 3. IPAF selected projects (2015 call)**

Country	Implementing organization	Title of project	Project area of support	Budget (US\$)
<b>Africa</b>				
Botswana	Community Connections Botswana (CCB)	Promotion and documentation of preservation of traditional Ikalanga foods using indigenous knowledge	Food security/nutrition; Climate change	48,200
Cameroon	Centre d'Appui aux Femmes Et aux Ruraux (CAFER)	Improving the livelihoods of Bedzang populations in the Tikar plain	Land, territories, resources; Access to markets; Climate change; Food security/nutrition	48,000
Democratic Republic of the Congo	Collectif pour les peuples autochtones au Kivu (CPAKI)	To empower the households of indigenous people from Kalonge and Bunyakiri through beekeeping in the province of South Kivu	Land, territories, resources; Access to markets; Climate change; Food security/nutrition	37,000
Ethiopia	DERE Integrated Development Action/Development Action	Improving the livelihood of the women of southwest Ethiopia who depend on enset crop	Food security/nutrition	35,000
Morocco	La Voix de la femme amazighe (IMSLI) amazighe (IMSLI)	Economic integration of the indigenous women in Morocco in support of the marketing of regional products	Access to markets	48,200
Rwanda	Organization for Support to the Environment Protection and Climate Change Adaptation (OSEPCCA)	Strengthening socio-economic and nutritional capacity of indigenous Batwa to achieve food security	Food security/nutrition	46,400
Tanzania	Ujamaa Resource Community Team (URCT)	Securing land and natural resources for the Hadzabe of northern Tanzania	Land, territories, resources; Food security/nutrition	48,200
Uganda	Institute of Tropical Forest Conservation (ITFC)	Building capacity of the Batwa for sustainable income-generating enterprises using cultural values approach	Land, territories, resources; Access to markets; Food security/nutrition	39,000
<b>Asia</b>				
Bangladesh	Cultural and Development Society (CDS)	Preservation and promotion of varieties of traditional crops	Food security/nutrition	40,000
Cambodia	Cambodia Indigenous Peoples Organization (CIPO)	Build and strengthen the capacity and raise awareness of indigenous peoples' rights to land and territories	Land, territories, resources	45,248
India	Surul Centre for Services in Rural Area (CSRA)	Revamping livelihood of Santhal tribe through WADI approach	Land, territories, resources; Access to markets; Climate change; Food security/nutrition	40,000
Indonesia	AMAN-Kalimantan Barat	Strengthening indigenous Dayak Jawant communities' capacity (especially women) in three villages to manage their indigenous forest/territory sustainably	Land, territories, resources	40,067
Malaysia	Foundation for Community Studies and Development (YKPM)	Enhance Ulu Gumum Jakun Orang Asli livelihoods through diversity, social enterprise and sustainable agriculture	Land, territories, resources	40,000

Country	Implementing organization	Title of project	Project area of support	Budget (US\$)
Pakistan	Sukhi Development Foundation	Empowering Bakarwals: income generation through propagation and marketing of medicinal plants in Neelam valley of Azad Jammu Kashmir-Pakistan	Food security/nutrition; Land, territories, resources; Access to markets	41,400
Philippines	Malayang Samahan ng mga Katutubo sa Antipolo (MASAKA)	Promoting organic agriculture within the Dumagat community (Pro-Agri)	Food security/nutrition	20,000
Philippines	Nagkakaisang Tribu ng Palawan (NATRIPAL)	NATRIPAL CADT and advocacy project	Land, territories, resources	39,935
Thailand	Inter Mountain Peoples' Education and Culture in Thailand Association (IMPECT)	Strengthening the highland environmental management network and ensuring land, natural resources and food security for six indigenous communities in northern Thailand	Land, territories, resources; Food security/nutrition	43,350
<b>Latin America and the Caribbean</b>				
Colombia	Asociación para el Futuro con manos de Mujer [Women's hands for the future]	Renacer – Climate change adaptation and food security for indigenous communities in Natagaima Tolima	Climate change; Food security/nutrition	40,000
Colombia	Indigenous Traditional Authorities of Colombia Governing Body	Indigenous women weaving life, knowledge and territory	Land, territories, resources	50,000
Ecuador	Centro Lianas Foundation	Amazon women farming native fish for food security and commercialization	Food security/nutrition	40,000
El Salvador	Association for the Recovery of Indigenous Culture of El Salvador (ARCAS)	Creating and strengthening indigenous peoples' capacities for ancestral knowledge and raising awareness of their rights	Land, territories, resources	44,700
Guatemala	Federation of Associations and Communities for Comprehensive Development of the Ch'orti' Region (COMUNDICH)	Strategic plan for water and soil conservation in territories restored by the government to Maya Ch'orti' indigenous communities in the municipality of La Union, Zacapa	Food security/nutrition	50,000
Mexico	CIARENA A.C. – Conservation, Research and Development of Natural Resources	Promoting and strengthening food security with integrated kitchen garden and backyard livestock farming by Mixe, Chinanteca and Zapoteca women using knowledge from indigenous peoples	Food security/nutrition	49,926
Nicaragua	Li Lamni Tasbaika Kum Indigenous Territorial Government (GTI-LLTK)	Establishment, production, collection, processing and commercialization of cacao in Li Lamni Tasbaika Kum indigenous territory, municipality of Waspam, Rio Coco, Northern Caribbean Coast Autonomous Region (RACCN)	Land, territories, resources; Access to markets, Climate change; Food security/nutrition	50,000
Paraguay	Yvy Porã Foundation	Honey production and commercialization by Fischat women	Access to markets; Climate change; Food security/nutrition	25,374

A review of the themes<sup>16</sup> selected by the awarded organizations indicates that the focus of projects was mainly related to the improvement of livelihoods by increasing food security and improving nutrition, and enhancing access to and management of natural resources such as land and water. Improving access to markets and addressing climate change were also among key themes selected by organizations. However, differences are recorded among regions (e.g. food security and nutrition was the main theme of selected projects in Latin America and the Caribbean and Africa, while access to and management of natural resources was the main theme in Asia).

**Graphic 6.** Projects' themes selected by awarded organizations



### Outputs from the implementation of the projects<sup>17</sup>

**Beneficiaries.** The 2015 IPAF projects globally reached over 21,850 direct and 458,100 indirect beneficiaries.<sup>18</sup> At least 48 per cent of direct beneficiaries were women and 27 per cent youth, aged between 14 and 24 years.<sup>19</sup> Also, 43 different indigenous peoples participated in and benefited from the implementation of the IPAF-supported projects.

16 It is important to note that, as indicated in table 3, many organizations registered their project under more than one thematic area.

17 Main source of information for this section: additional information and data requested by RIPOs in September-November 2017.

18 As previously mentioned, the M&E by RIPOs and sub-grantees was not homogeneous in terms of quality and type of information collected/monitored. Based on the above, figures provided in relation to direct and indirect beneficiaries were extracted from different sources of information as follows: (i) Tebtebba and FIMI: completion reports; and (ii) Kivulini Trust: due to the absence of data on beneficiaries in the completion report, additional data on direct and indirect beneficiaries were requested from and collected by Kivulini Trust during the present assessment. Nonetheless, the data do not include information on the project implemented in Botswana (prematurely terminated).

19 Data are not complete. Main sources of information on women and youth direct beneficiaries include the following: (i) Tebtebba: completion report; (ii) FIMI: completion report (for women beneficiaries) and survey administered to sub-grantees (for youth beneficiaries) since no information on youth beneficiaries was available in the completion report. Nonetheless, data do not include youth beneficiaries in Nicaragua and Colombia Mayor; and (iii) Kivulini Trust: survey administered to sub-grantees and additional data collected by Kivulini Trust during the present assessment (data on youth and women beneficiaries not collected/available in the completion report). Nonetheless, data provided do not cover all benefiting countries (Botswana, Tanzania and Uganda excluded).

**Table 4.** IPAF-awarded projects, areas of intervention and targets

Country	Region/Zone	Title of project	Involved indigenous peoples	Direct benef.	Youth	Women
<b>Africa</b>						
Botswana <sup>20</sup>	North-East	Promotion and documentation of preservation of traditional Ikalanga foods using indigenous knowledge	Bakalanga Baka	NA	NA	NA
Cameroon	Nyanka, Mansoh, Gah, Bedi-kouen, Ngoumé, Mbondé and Ngandié	Improving the livelihoods of Bedzang populations in the Tikar plain	Bedzang	825	35%	18%
Democratic Republic of the Congo	South Kivu	To empower the households of indigenous people from Kalonge and Bunyakiri through beekeeping in the province of South Kivu	Batwa	500	63%	65%
Ethiopia	South-West	Improving the livelihood of the women of southwest Ethiopia who depend on enset crop	Gamo	100	20%	100%
Morocco	Souss Massa and Benimellal-khnifra	Economic integration of the indigenous women in Morocco in support of the marketing of regional products	Amazigh women	60	NA	83%
Rwanda	Western Province, Rutsiro District	Strengthening socio-economic and nutritional capacity of indigenous Batwa to achieve food security	Batwa	600	58%	60%
Tanzania	Northern Tanzania, Lake Eyasi and Yaeda Valley	Securing land and natural resources for the Hadzabe of northern Tanzania	Hadzabe and Datoga	2400	NA	NA
Uganda	South Western Uganda	Building capacity of the Batwa for sustainable income-generating enterprises using cultural values approach	Batwa	70	NA	NA
<b>Asia</b>						
Bangladesh	Sherpur district, Sreebardi	Preservation and promotion of varieties of traditional crops	Garo, Koch and Hajong	355	32%	51%
Cambodia	Preah Vihear, Monduliri and Kratie Provinces	Build and strengthen the capacity and raise awareness of indigenous peoples' rights to land and territories	Bunong and Kui	933	20%	45%
India	West Bengal, Birbhum District	Revamping livelihood of Santhal tribe through WADI approach	Santhal	722	8%	68%
Indonesia	West Kalimantan, Sekadau District, Boti	Strengthening indigenous Dayak Jawant communities' capacity (especially women) in three villages to manage their indigenous forest/territory sustainably	Jawatn Dayak	2208	87%	58%
Malaysia	Pahang, Ulu Gumum, Orang Asli	Enhance Ulu Gumum Jakun Orang Asli livelihoods through diversity, social enterprise and sustainable agriculture	Jakun Orang Asli	49	8%	41%

<sup>20</sup> The project was prematurely terminated in February 2017 due to the non-compliance by CCB with the terms of the agreement with Kivulini Trust and to the very weak involvement of the concerned indigenous community in the project as assessed by Kivulini Trust.

Pakistan	Taoubt area of Tehsil Kel, Kashmir	Empowering Bakarwals: income generation through propagation and marketing of medicinal plants in Neelam valley of Azad Jammu Kashmir	Bakarwal	200	28%	38%
Philippines <sup>21</sup>	Sitio San Ysiro, Barangay San Jose, Antipolo City	Promoting organic agriculture within the Dumagat community (Pro-Agri)	Dumagat	67	45%	40%
Philippines	Palawan, Taytay	NATRIPAL CADT and advocacy project	Tagbanua	5105	13%	54%
Thailand	Chiang Mai, Chiang Rai, and Mae Hong Son	Strengthening the highland environmental management network and ensuring land, natural resources and food security for six indigenous communities in northern Thailand	Akha, Hmong, Lahu, Lisu, Lawa and Karen	2594	19%	55%
<b>Latin America and the Caribbean</b>						
Colombia	South Tolima, Natagaima	Renacer – Climate change adaptation and food security for indigenous communities in Natagaima Tolima	Pijao	420	8%	52%
Colombia	Huila, Tolima, Chocó, Cauca, Putumayo and Meta	Indigenous women weaving life, knowledge and territory	Yanacona, Pijao, Emberá Dobida, Wounan, Nasa, Misak, Inga, Kamentsa, Cubeo	300	NA	51%
Ecuador	Napo Province, Tena, Archidona, Muyuna, Chontapunta	Amazon women farming native fish for food security and commercialization	Kichwas	1000	46%	49%
El Salvador	Sonsonate and Morazán Departments	Creating and strengthening indigenous peoples' capacities for ancestral knowledge and raising awareness of their rights	Nahua and Lenca	318	42%	54%
Guatemala	La Unión municipality, department of Zacapa	Strategic plan for water and soil conservation in territories restored by the government to Maya Ch'orti' indigenous communities in the municipality of La Union, Zacapa	Maya Ch'orti	2760	14%	62%
Mexico	San Juan Jaltepec, San José Rio Manzo, Oaxaca	Promoting and strengthening food security with integrated kitchen garden and backyard livestock farming by Mixe, Chinanteca and Zapoteca women using knowledge from indigenous peoples	Mixes, Chinanteco, Zapotecos	81	1%	51%
Nicaragua	Región Autónoma de la Costa Caribe Norte	Establishment, production, collection, processing and commercialization of cacao in Li Lamni Tasbaika Kum indigenous territory, municipality of Waspam, Rio Coco, Northern Caribbean Coast Autonomous Region (RACCN)	Miskites, Mayagnes	100	NA	40%
Paraguay	Chaco	Honey production and commercialization by Fischat women	Fischat	40	30%	100%

21 The project was prematurely terminated in February 2017 due to conflicts within the organization that negatively affected implementation. The IPAF Board decided on the termination of the project during a meeting held in Rome on 14 February 2017.

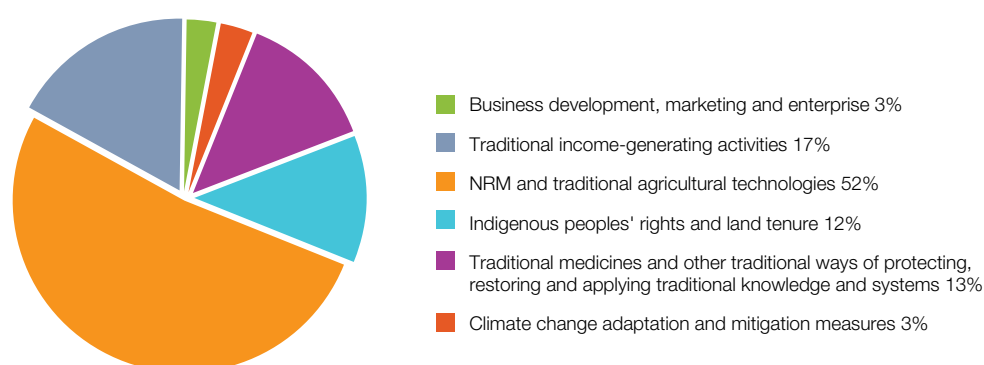


**Activities.**<sup>22</sup> Training and capacity-building were the primary activities supported by the IPAF, with over 16,690 people trained. Of these, over 57 per cent were women.

Main topics covered by training included natural resources management (NRM) and traditional agricultural technologies, traditional income-generating activities, and traditional medicines and other traditional ways of protecting, restoring and applying traditional knowledge and systems.

NRM was the main topic of training in the three regions, followed by traditional medicines and knowledge in Latin America and the Caribbean, indigenous peoples' rights and land tenure in Asia, and income-generating activities in Africa.

**Graphic 7.** Training (by theme) provided within IPAF-funded projects



**Table 5.** Number of people trained (by topic) in the different regions

Subject of the training	Africa	Asia and the Pacific	Latin America and the Caribbean	Total
NRM and traditional agricultural technologies	857	3,403	4,395	8,655
Indigenous peoples' rights and land tenure	0	1466	618	2,084
Traditional medicines and other traditional ways of protecting, restoring and applying traditional knowledge and systems	650	442	1,000	2,092
Climate change adaptation and mitigation	147	0	420	567
Business development, marketing and enterprise	120	262	54	436
Traditional income-generating activities	720	582	1,555	2,857
<b>Total</b>	<b>2,494</b>	<b>6,155</b>	<b>8,042</b>	<b>16,691</b>

Through activities aimed at building and strengthening local institutions, over 244 community groups were created for microenterprises, marketing, self-help groups (SHGs) and collective resources. These groups focused on improving livelihoods and economic development as well as documenting and applying traditional knowledge and systems. Overall, 47 per cent of them

<sup>22</sup> Source: complementary information requested from RIPOs between September and December 2017; progress reports by sub-grantees.

were headed by women. This percentage was higher in Africa and Asia, with 82 per cent and 67 per cent of community groups, respectively, being headed by women.

Also, as a result of the projects' focus on increasing marketing and production, several activities involved the creation and valorization of physical assets, infrastructure and equipment, including: the building of silos, mills, irrigation pipes and composting sites; the purchase and distribution of seeds and animals; and the set-up of shops, vegetable gardens, nurseries and beehives. A common aspect of these project activities is their focus on valuing indigenous peoples' own and traditional assets (e.g. native seeds, local species) rather than those coming from the outside. Further, efforts were made to stimulate communication and transfer of knowledge between young people and the elderly, creating value around their identity and increasing solidarity between generations.

Given the focus of projects on land, many activities also involved the establishment of mechanisms to monitor land and address legal issues associated with it, including land titling and land mapping using modern technologies such as GPS. Overall, over 260,000 ha of indigenous territories and lands were demarcated, titled, registered or protected.

People benefiting from the projects were also engaged in advocacy and awareness-raising activities (e.g. on indigenous peoples' rights, land issues) with the organization of a large number of meetings, workshops, consultations among peers and visits to authorities at different levels. Some projects combined the promotion of cultural identity with indigenous peoples' rights and focused on promoting and raising awareness about their culture and history.

KM and communication also received attention. This is particularly the case for projects implemented in Latin America and the Caribbean, where grantees developed a large number of knowledge and communication materials (e.g. videos, reports, leaflets, didactic material) and organized exchange visits among peers to learn from their experience, particularly in economic and marketing-related initiatives.

## **Results from the implementation of the projects<sup>23</sup>**

This section is intended to provide information on the results achieved and innovations proposed by IPAF-supported projects.

For the purpose of facilitating the analysis and the reading, it is divided by project area of support as set by the Facility. In addition, two results categories were added to reflect results achieved in terms of indigenous peoples' collective empowerment and capacity to mobilize resources, since these were two key indicators used to assess the performance of the IPAF as per the design document and logframe.

It is worth noting that project approaches were broader and inclusive, multisectoral and integrated. In fact, projects were guided by a holistic vision in which approaches encompass, combine and connect various issues and dimensions. For example, projects that promoted livelihood opportunities, economic development and food security also endeavored to protect indigenous rights, biodiversity, natural resources, environment and climate, and to facilitate participation in decision-making processes and social inclusion.

### ***Food security and nutrition***

The IPAF-funded projects' focus on production and on the promotion of traditional agricultural systems and techniques helped people improve their food security and nutrition. Projects

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<sup>23</sup> Main sources of information: progress and completion reports and self-assessments by RIPOs and grassroots organizations; supervision mission reports.

addressed food security with a holistic perspective also endeavoring to protect biodiversity, natural resources, traditional cultures and indigenous rights. They addressed the loss of traditional livelihood systems by recovering indigenous plants, seeds and species, and by developing alternative means to mitigate climate change. Further, they enabled people, and particularly women, to raise awareness of their role and capacities.

This is the case of the project *Mujeres de la Amazonía cultivan pez nativo para su seguridad alimentaria y comercialización* implemented by Fundación Centro Lianas in Ecuador, which aimed to address threats to the food security of Kitchwa communities generated by oil



Milpa gardens in Oaxaca, Mexico. ©FIMI

extraction, indiscriminate fishing, and the introduction of exotic species such as the tilapia. The project promoted the farming of *cachama*, a native fish with a good capacity to adapt and low production costs. Kitchwa communities were supported to build over 30 ponds for the production of *cachama* and were strengthened through the organization of training, demonstrations and exchange visits and the distribution of didactic material (e.g. on the construction of ponds, production techniques, NRM). By the end of project implementation, over 66,200 *cachama* fingerlings were sowed in ten communities.



Kitchwa women and *cachama* fishes in Ecuador. ©FIMI

This project not only enabled a native Amazonian fish to be recovered through the application of environmentally friendly methodologies that contributed to the conservation of ecosystems, it improved food security of the communities by ensuring a sufficient intake of protein for families. Also, it enabled women to gain surpluses, and 30 per cent of their production was sold in the local market, thus increasing their access to capital and boosting their power of decision-making in their communities.

Similarly, in Mexico, the IPAF-funded project implemented by Ciarena aimed to address malnutrition affecting Mixe, Chinantec and Zapotec women and their families caused by low productivity and the massive consumption of food products with low nutritional content distributed by large companies (e.g. carbonated drinks, snacks, canned foods with excess of preservatives). The project focused on recovering and strengthening the sowing of native seeds and raising native domestic poultry based on ancestral agricultural technologies. Training and workshops were organized on handling creole chickens, family nutrition, the use of biofertilizers, the construction of rainwater harvesting systems, and the integrated management of native corns. As a result, 30 poultry farms, 60 milpa gardens and 20 rainwater collection systems were set up, with a positive impact on food security for the supported communities.

In Rwanda, the IPAF project implemented by the OSEPCCA addressed the improvement of the food security and nutrition of the Batwa of the District of Rutsiro through the rearing of goats and the establishment of vegetable gardens. With the support of the project, 450 goats were distributed to 64 households in two areas (Boneza and Kigeyo), and 150 stables and 150 vegetable gardens were built. Harvested vegetables contributed substantially to the improved nutrition of indigenous peoples. Also, the multiplication of goats provided assurance of a sustainable source of income. Activities related to livestock maintenance and the sale of newborn calves and vegetables also contributed to the creation of employment, particularly for women. Further, three cooperatives were set up with the participation of 89 women members. These cooperatives are fully registered and seeking opportunities to enter into partnership with other stakeholders for scaling up.



Mrs Manjuna Mrong with her harvest during the agricultural fair promoting traditional crops. ©Super Rema

Sales also facilitated supported people to purchase necessary material for the household (e.g. mattresses, kitchen utensils, soap), enabling families to have access to appropriate hygiene.

In Bangladesh, the project implemented by CDS focused on the preservation and promotion of traditional crop varieties of Garo, Hajong and Koch living in remote areas of Northeast of Bangladesh and affected by food insecurity and marginalization. In particular, the initiative enabled more than 100 traditional crops to be identified. Of these, 58 varieties were produced and reproduced in 12 plots totaling 6.75 ha in six villages. The traditional knowledge and practices associated with traditional crops were revived, and the older generation ensured intergenerational transfer of knowledge to youth.

Although the project was not conceptualized as an income-generating activity and traditional crops were produced for household consumption only, surplus was generated, thus enabling families to sell their products to the market and increase their income.

In Ethiopia, the IPAF project *Improving the livelihood of the women of southwest Ethiopia who depend on enset crop* supported DERE to organize a seed fair in collaboration with the local government (Chencha Woreda Agricultural and Natural Resources Office) and community elders. The fair enabled existing enset varieties, rare species that were disappearing, to be identified, along with current enset cultivation practices. Over 2,900 seedlings and equipment for processing enset plants were distributed among 20 women-led households, and about 29 varieties of enset were cultivated in a demonstration plot.

### ***Land, territories and resources***

Land is more than a resource for indigenous peoples. It is the basis of their existential, social and cultural identity.

This explains why a large number of IPAF-supported initiatives addressed challenges related to the recognition of indigenous peoples' rights of access to ancestral lands and to improvements in land and NRM.

Several projects focused on addressing the lack of land demarcation and/or issuance of land titles and/or the unequal distribution of land (e.g. in the Philippines and Tanzania), conflicts with other indigenous groups or poor farmers (e.g. in Cameroon, the Philippines and Tanzania), conflicts with the private sector or the State, granting large businesses concessions

on indigenous territory for the exploitation of natural resources (e.g. in Indonesia), and the lack of autonomy of communities relegated to national parks or reserves (e.g. in Thailand, Uganda).

These issues were tackled through different interventions depending on the context, such as awareness-raising on indigenous peoples' rights and political action to protect areas of traditional and customary use (almost all projects), mapping (e.g. in Indonesia, the Philippines, Thailand), and/or engaging in land registration/titling processes (e.g. in the Philippines, Tanzania).

For example, in the Philippines, the domain of Tagbanuas of Taytay was affected by illegal logging, destruction of forests, and land-grabbing. The IPAF-funded advocacy project implemented by NATRIPAL supported 17 Taytay communities to secure the legal recognition of their ancestral domain by applying to obtain the Certificate of Ancestral Domain Title (CADT)<sup>24</sup> and formulating the Ancestral Domain Sustainable Development and Protection Plan, which contains regulations on the access to and use of natural resources in the domain as well as the practices, beliefs and customary living traditions of the Tagbanua.

The project enabled the communities to map 240,000 ha of ancestral lands and waters and to install 23 boundary monuments. Following the submission of the petition to obtain the CADT, communities secured an application certificate issued by the National Commission on Indigenous Peoples (NCIP). Although the application process will be long, the certificate of application can already be used by communities to interact with individuals or companies with an interest in the resources available in the domain.

Also, a 50 per cent decrease was recorded in illegal activities (illegal logging, fishing and clearing of forests for farming) as a result of awareness raising and monitoring activities conducted by the Tagbanua.

Focused on capacity-building, the IPAF project implemented by CIPO in Cambodia aimed to enable Bunong and Kui communities to use and practice their rights over land through advocacy actions and awareness-raising. The 10 supported communities in the provinces of Preah Vihear, Mondulkiri and Kratie succeeded in creating a Technical Working Group (TWG) on indigenous peoples' rights to land and territories, including 15 members (of whom 11 were women) from various ethnic groups. TWG members played a key role in raising awareness about indigenous peoples' rights to land, reaching over 800 indigenous people through dialogue, meetings and home-to-home visits. Awareness-raising activities targeted other relevant actors, such as the commune council, law students, provincial authorities, non-governmental organizations (NGOs) and parliamentary members.

TWG members, with technical support from CIPO, also developed a social platform for sharing information related to rights to land and territories of indigenous peoples in Cambodia.

As a result, supported communities became more active in exercising their rights through various forms such as protest, petitions, dialogue and advocacy. For example, Loa Ka village in Mondulkiri conducted advocacy actions for the recognition of their right over the sacred mountain (Ansras Anblam). Similarly, the Preah Kaork village submitted formal complaints to provincial courts, government agencies and the Chinese Chamber of Commerce in Cambodia against private companies that appropriated large portions of indigenous land for sugar cane plantation.

In Cameroon, Bedzang people were suffering from forced settlement, discrimination and a process of assimilation by the Tikar ethnic group, causing conflict as well as the gradual loss of their identity. The project implementing organization CAFER provided training to leaders and promoters (e.g. on promotional techniques, planning, awareness raising and KM), organized

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<sup>24</sup> The CADT is the title formally recognizing the rights of possession and ownership of indigenous peoples over their ancestral domains.

workshops on conflict management involving both Tikar and Bedzang, and facilitated dialogue and negotiations. As a result, Bedzang obtained 248 ha of land for the practice of agroecology and agroforestry.

In Tanzania, URCT supported Hadzabe (hunter-gatherers) and Datoga (pastoralists) peoples to secure land in the Lake Eyasi area. Activities implemented, such as land use planning, boundary signposting and the facilitation of 12 communal Certificates of Customary Right of Occupancy, enabled supported communities to secure over 20,000 ha of land, giving indigenous communities the legal right to protect their livelihoods for future generations. District and village boundary conflicts were also resolved through the issuance of certificates of registration.

The IPAF-financed projects also touched on the theme of governance of indigenous territories through awareness-raising and sensitization activities, advocacy actions and the development of NRM plans.

This is the case of the project implemented in El Salvador, where several workshops, forums and trainings were organized with the participation of Nahua and Lenca peoples to sensitize them on their rights and on the instruments for the protection and management of land, generate discussion around land access and share proposals to address them. Also, research was conducted on land tenure and management, to be used as a tool for advocacy actions.

It is worth noting that this project was linked to the policy dialogue IFAD conducted in El Salvador in 2017 leading to the development of an action plan on indigenous peoples which was launched by the President of the country in November 2018.

In Indonesia, AMAN successfully supported indigenous Dayak Jawatn in three villages in the Sekadu District to preserve and protect their forests. In particular, based on the 2012 Forestry Minister's Decree, the Jawatn territory was classified as "Other Utilization Area", resulting in a large release of permits to palm oil companies that took over 24 per cent of the Jawatn territory without their free, prior and informed consent (FPIC). Jawatn women organized themselves into groups and developed the Jawatn Women's Struggle Agenda, which was formally adopted by the governments of the three villages through the signing of Commitment Agreements.

Together with customary leaders, authorities and members of the village government units, Jawatn women further formulated the Jawatn Model of Land and Forest Management System, including key actions to be conducted to achieve the Women's Agenda. This included a drone mapping of the Jawatn territory that was conducted in 2017.

In addition, seven women became members of the village government and the village innovation team, and were able to propose innovative actions to uphold the implementation of their land and forest management system.



The Mekong River and Bunong fishermen in Puntachea village, Kratie Province, Cambodia. The village has been awarded their Collective Land Title, but illegal fishing of outsiders is still happening in their community river. ©Marie Noel Ngoddo/ Tebtebba



Dismas Partala, Project Officer at UCRT, showing the different land uses and land connectivity achieved through the CCRO strategy and initiative to secure communal lands. ©Jacqueline Macharia/KIVULINI

A documentary film on the experience of Jawatn women was edited and aired by Ruai TV, a TV station covering the whole Asia-Pacific region.

In Guatemala, Maya C'horti' people were mobilized by COMUNDICH to develop statutes for the exercise of territorial governance in communities where the government had returned



At the agricultural fair in Pueblo Nuevo, Benita Santofirmio explains the products grown in the community of Guasimal. The Pijao people sell their products in Natagaima outside the main market. ©IFAD/Michael Benanav

ancestral territories. A process of registration of the statutes in the Registry of Indigenous Affairs of the Municipal Governments was initiated and six statutes of indigenous communities were successfully registered and approved.

In Thailand, the project implemented by IMPECT sought to promote the customary sustainable use of land, territories and resources in six indigenous communities in northern Thailand and advocate for changes in policies and laws affecting indigenous people at local and national levels.

In particular, Akha, Hmong, Karen, Lahu, Lawa and Lisu communities living within or along the border of a national park/forest reserve or upstream of a watershed area suffered from restrictions on their livelihood system, and the non-recognition of their rights to manage their own resources.

IMPECT supported them to conduct participatory land use mapping to be used as an advocacy tool, and to formulate community plans identifying the activities to be conducted for the efficient management of natural resources. Based on the plans, communities created firebreak lines and installed forest fire surveillance, conducted forest ordination, designated areas for aquatic animal conservation, and built check dams and a small reservoir for use during the dry season.

### ***Climate change adaptation and mitigation***

The consequences of climate change have a severe effect on indigenous peoples, who depend on the environment for their livelihood and to sustain their identity.

IPAF-financed projects dealt with critical climate change issues, based on indigenous peoples' traditional knowledge and practices. Ecological approaches were applied and strengthened in many projects to increase resilience to climatic stresses and preserve biodiversity, for example through promoting the use of biofertilizers (e.g. in Mexico), reviving native species (e.g. in Bangladesh, Colombia, Ecuador, Ethiopia, Guatemala, Mexico, Paraguay), planting trees (e.g. in Colombia, India), engaging in organic farming (e.g. in India, Malaysia), managing resources using traditional methods (e.g. in India).

The project *Renacer para las comunidades indígenas en Natagaima Tolima – adaptación al cambio climático y seguridad alimentaria* implemented in Colombia by ASFUMUJER had a strong focus on climate change. In fact, Pijao peoples in Natagaima were facing severe effects of climate change: the Tatacoa desert advancing; decreasing yields; lack of water and of opportunities to engage in agricultural and livestock activities; and food insecurity. ASFUMUJER worked with the supported communities to identify alternatives to provide water and food for families. In collaboration with the International Center for Tropical Agriculture (CIAT), adaptation measures were identified, including the planting of drought-tolerant forages for animal feeding, the recovery and use of traditional *caupi* beans, the establishment of 49 community gardens on 20.5 ha of land, and the use of water storage and utilization systems with renewable energies.

Through the project's activities, 709 kg of vegetables, 99 kg of fruit, 473 kg of corn and 337 kg of cassava were produced. About 100 fruit trees were planted. Also, the use of native seeds was reintegrated and multiplied in the community, and 157 kg of *caupi* beans were produced. As a result of the project, people have new forages to feed cows and goats, and some of the communities already silage their forages to mitigate waste with high summer temperature.

### ***Income-generating activities and access to markets***

Activities supported through the small IPAF-financed projects enabled indigenous peoples and their communities to foster their self-driven economic development, with an impact on their income. Creating and strengthening income sources and market access were in fact recurrent and important objectives in the projects, enabling communities to be effective in overcoming poverty by building upon their identity and culture.

Activities varied and included: setting up shops (e.g. in Guatemala); producing and marketing livestock and agricultural products such as honey (e.g. in the Democratic Republic of the Congo, Morocco and Paraguay), maize (e.g. in Cameroon) vegetables (e.g. in India, Malaysia), fruits (e.g. in Colombia, India), cocoa (e.g. in Nicaragua) or medicinal plants (e.g. in Pakistan); and setting up cooperatives or partnerships to improve access to markets (e.g. in India and Malaysia) or tourist-related activities building on indigenous culture and traditions (e.g. in Uganda). Supported activities were often intertwined with agroecological practices.

For example, in Guatemala, Maya Ch'orti people engaged in several economic-productive initiatives, including the establishment of three small shops managed by widows, 87 family gardens, laying-hen and broiler-chicken farms, and women-led bakeries. Supported people had the opportunity to plant new crops, diversify agricultural productivity, revalue native seeds and return to traditional farming practices. This opened a window of opportunity to improve their nutrition and diet. Also, the earnings generated by increased production and sale of bread enabled women to contribute to the basic basket of their households. This further contributed to their independence and economic empowerment. Principles of solidarity between families and communities were also strengthened through the organization of meetings and the creation of spaces for the exchange of products such as intercommunal markets between indigenous communities.

In Paraguay, the IPAF-funded project implemented by the Fundación Yvy Pora focused on developing a model of production and sustainable marketing of honey in the indigenous community of Fischat, based on traditional indigenous knowledge. A committee of honey producers composed of 33 women members was formed and trained in honey production and marketing. A production plan was further developed and agreed upon. As of January 2017, 21 hives were installed and 231 liters of honey produced following the first harvest. The project not only enabled women to earn 7,345,000 guaraníes (over US\$1,200) from the marketing of honey, it strengthened their position to exercise their economic autonomy.

In Nicaragua, the Gobierno Territorial Indígena Li Lamni Tasbaika Kum supported indigenous communities in the Li Lamni territory to engage in the production and marketing of organic cacao. In particular, IPAF enabled the purchase of small equipment (machetes, pruning shears, nails) as well as inputs (e.g. cacao seeds, lime) for the production of cacao, as well as the establishment of over 85 ha of cacao plantations in the 27 communities in the territory. In addition, a windmill and three centres for the storage, fermentation and drying of cacao were built. Capacity-building and technical training were also provided to the 100 cacao producers, resulting in improved productivity.





Maya Ch'orti women at work, Guatemala. ©Comundich

The IPAF project in the Democratic Republic of the Congo implemented by CPAKI contributed to the improvement of socio-economic standards of Batwa households in the territory of Kalehe (south Kivu), especially those who had been expelled from their ancestral lands in 1970-1975. Thanks to the project, over 200 traditional beehives were installed. Each of the supported families was able to produce approximately 2 liters of honey per month. The product was partly sold at the local market and partly shared among beneficiaries, resulting in an increase in their income from US\$0.5 a day to US\$1.33. In addition, supported people gained knowledge about the economic and cultural importance

of the production of honey, and the relevance of savings and collective work.

In Cameroon, Bedzang women were supported in conducting the March 2016 crop year. The IPAF supported key activities such as soil preparation, the provision of technical support, training in agricultural techniques, and the distribution of maize seeds. Activities resulted in the production of 36,325 tons of maize (compared to 12,500 in 2014), part of which was sold for a total of XAF 1.2 million (approximately US\$2,090). Incomes generated helped people to pay for health care and schooling for children, and to improve food security.

In Morocco, IMSLI supported Amazigh women in the commercialization of various indigenous products such as honey, argan, medicinal and aromatic plants, dates, rose, saffron, couscous and Amazigh carpets. The project supported the training of Amazigh women and equipped them with skills for producing, marketing and working in the new cooperative framework set up by the Government.

In Uganda, ITFC supported marginalized Batwa to engage in sustainable income-generating enterprises using a cultural values approach and to improve the conservation of the Bwindi Impenetrable National Park (BINP) through the "Batwa Forest Experience". In particular, facilities were built on a 5.5 km nature trail to be used to exhibit the culture of the Batwa (e.g. tree houses, elders' huts). In 2016, a local Batwa community-based organization was formed and in November 2017 it signed a Memorandum of Agreement with the Uganda Wildlife Authority (UWA) to manage the Forest Experience. Six groups were formed to participate in the initiative, focusing, respectively, on basket weaving, woodcarving, making jewelry, apiculture and honey processing, and cultural performance through music, dance and drama. At least 13 Batwa guides and 20 dancers were trained, learning visits were conducted and a brochure of the site was developed.

This initiative not only provided the Batwa with frequent access to the forest but it also enabled them to contribute to its preservation through their traditional knowledge while generating sustainable income for their families.

In India, the IPAF-supported project implemented by CSRA aimed to enhance incomes and food security of Santhal tribal communities by establishing a wadi<sup>25</sup> and facilitating the processing and marketing of locally grown fruits and vegetables.

Over 300 women from the seven participating villages created or revived 39 SHGs for the management of wadis. Through labour-intensive work with the help of ploughing and tractors,

<sup>25</sup> *Wadi* is a Gujarati word that means "small orchard" and consists of a combination of vegetables and fruit tree-based farming.

the use of traditional organic manure and compost, and the development of water systems (trenches, drip irrigation and tube wells), the project regenerated a total of 10.6 hectares of wasteland.

Nearly 3,000 fruit trees (mango, guava, jackfruit, lemon and jujube) were planted and over 571 kg of vegetables produced (on average 116.7kg/hectare) for a total estimated value of INR 104,400 (approximately US\$1,400). Vegetables were partly used for consumption (60 per cent) and partly sold. Incomes generated were saved by women in the bank account of the SHGs.

In addition, over 15 SHGs were able to link with the National Rural Livelihood Mission, a government programme for credit provision, to improve their livelihood and microenterprise development.

In Malaysia, the IPAF project implemented by YKPM aimed to introduced eco-friendly agriculture as a source of alternative income for the Orang Asli people and build social enterprises to enable them to access fair markets. In particular, the Orang Asli organized themselves to set up an organic vegetable farm and collectively farmed 0.8 hectares of land, resulting in the production of 1,000-1,250 kg of vegetables per hectare per month. Orang Asli further created a social community enterprise with its own brand and entered into partnership with a marketing cooperative platform (the People Economy Cooperative Selangor) that guarantees them access to fair markets. The cooperative connects the Orang Asli enterprise to markets, coordinates orders, collects the produce, and delivers it to the markets.

The monthly income raised for each of the participating Orang Asli peoples was RM 600-800 (approximately US\$144-190), which represented a significant increase compared with the average monthly income of RM 300-500 (US\$72-120) before the project.

In Pakistan, the IPAF project implemented by Sukhi Development Foundation aimed to empower the Bakarwal community in the mountainous regions of Azad Jammu Kashmir through the production and marketing of medicinal plants. The 100 Bakarwal families involved in the project were provided with seeds, received trainings on the propagation and harvest of medicinal seedlings and plants, and formed self-help marketing groups to link with the markets. Also, a booklet on medicinal plants was developed, containing a pictorial presentation of 24 medicinal plants along with a brief description of each. The booklet was printed and distributed among the beneficiary families.

As a result of the project, the 100 Bakarwal families saw their average monthly income increase from PKR 4,000-6,000 (approximately US\$32-48) before the project to PKR 6,000-9,000 (approximately US\$48-73) per family, reflecting an average 50 per cent increase. The income generated from the production and marketing of medicinal plants represented a significant portion (20 per cent) of the annual cash income of the Bakarwal families.

Furthermore, the awareness-raising, mobilization, sensitization and capacity-building activities substantially contributed towards behavioural changes within the communities, and eliminated the practice of over-harvesting of medicinal plants in their areas.



The nursery of the eco-vegetable farm of the Orang Asli in Ulu Gumum. ©Marie Noel Ngoddo/Tebtebba

### *Collective empowerment*

Capacity-building and institutional strengthening were basic means for promoting the collective empowerment of indigenous communities. Projects contributed to strengthen the capacity of indigenous communities to manage their relations with the government and state institutions, influence policies that are relevant to them, be aware of their rights, conduct effective advocacy actions for the recognition of their rights, strengthen their traditional government structures, enter into partnerships, and/or negotiate with relevant stakeholders.

Advocacy actions were conducted in many countries, in some cases leading to relevant achievements.

This is the case of the IPAF project in Colombia, implemented by Gobierno Mayor. As part of the project's activities, visits were organized to collect and document information on the human rights situation of indigenous women as well as on individual cases of human rights violations. The data gathered were registered in a database. Selected cases received legal and psycho-social support, and trainings were organized to improve women's capacities to defend their rights. An advocacy strategy was elaborated by indigenous women and sensitization material developed.

Overall, the project contributed to strengthen the cultural identity of indigenous women, and supported them to recognize and protect their rights, identify tools and strategies for ensuring them, and conduct advocacy actions. These activities enabled women to raise awareness in the community and in public spaces on the issues they confront and the violations of human rights they suffer. Authorities of indigenous councils recognized the need for their representation in public and decision-making spheres. Indigenous women also participated as official delegates in the sessions of the Permanent Indigenous Peoples' Roundtable, a platform for indigenous peoples to engage in dialogue with the Government. Women succeeded in obtaining the establishment of a thematic commission on the affairs of indigenous women in the Roundtable.

Indigenous women were also at the forefront in advocating for their rights in India, where for the very first time the Santhal women gained access to the *gram panchayat* (village assembly) and were able to successfully achieve the ban of the *cholo* drink as a means to reduce domestic violence. Similarly, Amazigh women in Morocco conducted several advocacy actions for the formulation of a law for the officialization of the Amazigh language.

In October 2016, selected Bedzang from Cameroon attended the 54<sup>th</sup> General Assembly of the Network for Research and Cooperative Action on Pygmies, a multi-stakeholder platform that serves as a broad coalition to defend indigenous peoples' rights and liaise with the Government on indigenous forest peoples' issues. Bedzang people had the opportunity to share their experience with the implementation of the IPAF project and bring the issues of their people, which were poorly known, to the attention of other ethnic groups.

In Guatemala, significant results were achieved for the recognition of Ch'orti rights. Community representatives appeared before the Constitutional Court and Supreme Court of Justice and in collaboration with Comundich presented writ of *amparo*<sup>26</sup> actions for the violations of their rights in relation to land access. As a result, a provisional injunction was granted in favour of the petitioners, the indigenous communities of Morola, Tachoche and Tizamarté of the Municipality of Camotán, Chiquimula.

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<sup>26</sup> The writ of *amparo* (also called *recurso de amparo* or *juicio de amparo*) is a remedy for the protection of constitutional rights in the jurisdictions of Guatemala. As a remedy, the *amparo* is an added procedural guarantee for the citizen. When a citizen believes that his/her fundamental rights have been violated, he/she may file a writ of *amparo* before the competent judicial body.

It is also worth mentioning that in 2017, Comundich, the IPAF implementing organization in Guatemala, received the Alice Zachmann Human Rights Defender's Award, granted by the Guatemala Human Rights Commission/USA. The award recognizes an individual, organization or community that demonstrates a commitment to the defense of human rights through non-violent methods, and for which the individual, organization or community has been exposed to threats, violence and/or attacks. This award recognizes the important work and struggle that Comundich carries out and the engagement of indigenous women to recover land and promote grassroots development projects.

Comundich also succeeded in being an active player in the formulation of the National Plan for Rural Integral Development.

In Pakistan, IPAF enabled the establishment of the Community Organization of Bakarwal. It was the very first time that the Bakarwal, who are semi-nomadic, organized into a group and were able to engage in advocacy actions through a representative body. The organization was particularly active in advocating at the National Database and Registration Authority for the issuance of computerized national identity cards for Bakarwals, and for the provision of health care services to the Bakarwal community. This organization will have a key role to play in the future for the promotion and protection of Bakarwals' rights.

Finally, in three countries – El Salvador, Cambodia and Tanzania – the participation of indigenous peoples' organizations in policymaking proved to be particularly successful.

As previously mentioned, an impressive result was achieved in El Salvador, where the IPAF implementing organization ARCAS participated in the formulation of the National Plan of Action for Indigenous Peoples.<sup>27</sup> The Plan was the result of a joint effort and participatory process led by indigenous peoples' organizations, governments and the UN Country Team.

Developed within the framework of the UNDRIP, the Plan aims at institutionalizing a process of dialogue between indigenous peoples and the Government, with the objective of generating public policies to protect the rights of indigenous peoples in the country and implement article 3 of the Constitutional Reform (2014) that recognizes indigenous peoples and commits to develop public policies for protecting and developing their cultural identity, cosmology and spiritual values. In particular, the Plan establishes to guarantee legal protection over lands, territories and resources for indigenous peoples with key actions, such as the creation of a thematic area within the Land Transfer Programme to guarantee land titles and adapt programmes for the incorporation of ancestral agricultural practices.

Participation in policymaking was also observed in Cambodia where CIPO, together with members of the Cambodia Indigenous Peoples Alliance (CIPA) and 16 national ministries, agreed to create a "Working Group to Lead the Implementation of the National Policy on Indigenous Peoples Development". The terms of reference of the Working Group were developed and priority areas for action jointly identified. The presence of indigenous peoples in the working group will enable them to influence the process and provide inputs to the policy directions.

Further, CIPO and CIPA conducted advocacy actions with the Ministry of Rural Development and the Ministry of Planning for the inclusion of indigenous peoples'-related data in the national census that will be conducted in 2019.

It is worth noting that CIPO is a young organization, only two years when the IPAF project was launched. The results achieved by the organization in participating in country-level policy-making on indigenous peoples are outstanding.

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<sup>27</sup> IFAD financially supported the process through a global grant contributing to the implementation of the 2014 Outcome Document of the World Conference on Indigenous Peoples.

In Tanzania, by-laws were formulated for five villages of Endamaghan, Mikocheni, Mbuganyekundu, Qang'ded and Jobaj and successfully presented for review to the district council. These by-laws are a legal tool to protect and ensure the implementation of good practices within the villages in relation to environmental protection, education, illegal migration and agriculture.

### ***Mobilization of resources***

In some cases, improved institutional capacities of grassroots organizations and positive results achieved in implementing IPAF-funded projects resulted in the mobilization of resources to support and scale up project activities or to fund other initiatives or projects for the benefit of indigenous communities.

In Latin America and the Caribbean, this happened in Colombia, Ecuador, El Salvador, Guatemala and Paraguay, where IPAF grantees were able to mobilize additional funding to support, strengthen and scale up IPAF-supported initiatives or to finance other initiatives for the benefit of indigenous communities. For example, in Colombia, Asfumujer mobilized over US\$46,000 from the CGIAR Research Programme on Climate Change, Agriculture and Food Security to implement initiatives related to climate change. In Ecuador, Fundación Centro Lianas was able to mobilize approximately US\$70,000 from the Global Environment Facility's Small Grants Programme (GEF SGP) implemented by the United Nations Development Programme (UNDP). The same happened in Asia, with YKPM (Malaysia) and Impect (Thailand) mobilizing resources from the GEF SGP. In particular, YKPM was able to secure funds to extend the 0.8 ha eco-vegetable farm developed through the IPAF to 2 hectares. This will enable them to achieve economies of scale and finance the farm's operational costs.

In Cambodia, CIPO was able to effectively mobilize funding from the European Union (EU) to implement the Indigenous Navigator Project (2017-2019)<sup>28</sup> and from the Non-Timber Forest Products Exchange Programme<sup>29</sup> to finance an eco-tourism site.

Fruitful partnerships were also established as a result of improved organizations' capacities, and some organizations received non-monetary support in the form of training or technical assistance to provide opportunities to ensure the sustainability of supported initiatives and projects. For example, in Ecuador, the IPAF enabled the kichwa communities to engage in partnership with the Ministry of Agriculture and the State University of Amazonia for the organization of exchange visits within the context of the IPAF-supported project. In India, CSRA collaborated with government health centres and the Integrated Child Development Services to provide health camps for Santhal women and raise awareness on a number of health issues. In Indonesia, for the very first time AMAN Kalbar had the opportunity to closely work with village-level agencies, generating a more open atmosphere for NGOs. In El Salvador, ARCAS managed to involve the Food and Agriculture Organization of the United Nations and ONU Mujeres to provide training and capacity-building within the project.

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28 The Indigenous Navigator is a framework and set of tools for and by indigenous peoples to systematically monitor the level of recognition and implementation of their rights. It is a collaborative initiative realized with the support of the EU by a consortium of seven partners: the Asia Indigenous Peoples Pact (AIPP); the Forest Peoples Programme; the International Labour Organization; the International Work Group on Indigenous Affairs (IWGIA); Tebtebba Foundation; The Danish Institute for Human Rights; and the Indigenous Peoples Major Group for Sustainable Development.

29 It is a collaborative network of over 60 NGOs and community-based organizations working with forest-based communities to strengthen their capacity in the sustainable management of natural resources in Cambodia, India, Indonesia, Malaysia, Philippines and Viet Nam. Funding organizations include Cordaid, the Swiss Agency for Development and Cooperation, the National Committee of the Netherlands of the International Union for Conservation of Nature, the EU and ICCO Cooperation.

According to Kivulini Trust, mobilization of resources did not take place in Africa. However, partnership development and fund-raising strategies will continue beyond the project implementation period and are expected to provide opportunities for projects to mobilize additional resources.

## 2.2 Component 2. Strengthening indigenous peoples' networks and linking them with the global indigenous peoples' movement

Component 2 aimed to support the institutional, organizational and management capacities of the RIPOs, thereby increasing their capacity to better serve the interests of indigenous peoples, support their development initiatives and orient capacity-building.

### The selection of the three RIPOs

In 2010, the IPAF was decentralized at the regional level with the aim of reducing IFAD's transaction costs in grant-making and of building and strengthening the capacity of RIPOs. In 2011, in consultation with the IPAF Board, IFAD selected three organizations to implement the IPAF<sup>30</sup>: FIMI (for Latin America and the Caribbean), the Mainyoto Pastoralists Integrated Development Organization – MPIDO (for Africa), and Tebtebba (for Asia and the Pacific). This resulted in a reduction in the number of grants to be approved and monitored by IFAD, with a positive impact in terms of efficiency in the management of the Facility. It also contributed to empowering and building the capacity of the regional grantees.

In early 2014, a questionnaire to measure the success of the decentralization was sent to the grassroots organizations that had implemented the small IPAF projects. The performance of FIMI and Tebtebba resulted in overall satisfaction, and both organizations were renewed as RIPOs. In Africa, MPIDO did not perform at the expected standard and was replaced by Kivulini Trust through a call for interest launched in early 2014.

In order to implement the IPAF cycle, the three RIPOs entered into a grant agreement with IFAD, effective from 14 October 2014. The grant's completion and closing dates were 31 December 2017 and 30 June 2018, respectively.<sup>31</sup>

The total grant amount was US\$487,200 for FIMI and Kivulini Trust each, and US\$525,600 for Tebtebba.<sup>32</sup> A total amount of US\$350,000 was earmarked in each region for sub-granting to IPAF-awarded organizations. The remaining amount covered management fees and project implementation-related activities, including those related to monitoring, supervision and KM in each region (see more on the use of funds in section 4).

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30 The main criteria for the selection of RIPOs related to the following conditions: legal registration in an IFAD Member State; mandate and mission; financial capacity and accountability; availability of skilled staff for the management of the Facility; experience in working with indigenous peoples' organizations and communities regionally and globally; experience with KM; and capacity to strengthen indigenous peoples' platforms at the regional level and link them with the international arena.

31 Extensions to the grant agreements were granted by IFAD (see more in section 4).

32 The difference in terms of budget is explained by the fact that the grant for Tebtebba was also expected to cover the costs for the organization of two regional workshops in preparation for the Indigenous Peoples' Forum in 2014 (see more below).

## **Box 2. IPAF implementing partners**

**FIMI.** Legally constituted in 2011 but operating at the international level since 2000, FIMI is a global network that articulates indigenous women, indigenous peoples' rights leaders and activists, and their organizations in Asia, Africa, North America, Latin America and the Caribbean, the Pacific and the Arctic.

FIMI facilitates the creation of spaces for dialogue, capacity-building and leadership development through its four strategic programmes: (i) Policy engagement and advocacy; (ii) Training and capacity-building; (iii) Research and impact; and (iv) the Indigenous Women's Fund.

The main strength of FIMI is its ability to articulate the different instances of the indigenous movement and link organizations operating at different levels. Through its Global Leadership School, FIMI particularly facilitates linkages among participating organizations and advocacy and political actions.

FIMI has created trust links with donors as well as dialogue spaces promoting intercultural philanthropy. In addition to its collaboration with IFAD, alliances were established with donor partners such as the Christensen Fund, the Swift Foundation, Tamal Pais, and with organizations including the Association for Women's Rights in Development, the International Funders for Indigenous Peoples and Prospera. In 2016, an alliance was established with the Dutch government, through the "Leading from the South" programme, which supports the strengthening of indigenous women.

**Tebtebba Foundation.** Established in 1996, Tebtebba Foundation (Indigenous Peoples' International Centre for Policy Research and Education) is an indigenous peoples' organization born out of the need for heightened advocacy to have the rights of indigenous peoples respected, protected and fulfilled worldwide. It advocates and works on the elaboration and operationalization of indigenous peoples' sustainable, self-determined development. The main office of Tebtebba is located in Baguio City (Philippines) but its project partners are found in Asia, Africa and Latin America.

Tebtebba actively engaged in the processes leading to the adoption of international human rights laws and other international instruments, policies and agreements such as the UNDRIP and the UNPFII. Tebtebba also plays a leading role in the UN Framework Convention on Climate Change and actively engages in indigenous caucuses such as the Intergovernmental Platform on Biodiversity and Ecosystem Services, the UNPFII, the Commission on the Status of Women, and the 2030 Development Agenda processes. In 2009 Tebtebba further established the Indigenous Peoples' Global Partnership on Climate Change, Forests and Sustainable Development. Also, the RIPO is the secretariat of the Asia Indigenous Women's Network.

Tebtebba has also gained relevant experience in project management and forged important partnerships, such as with the Christensen Fund, the EU, the Ford Foundation, the International Labour Organization, Tamalpais Trust, UNICEF, the World Bank, and the Forest Carbon Partnership Facility.

**Kivulini Trust.** Kivulini Trust was registered in February 2009 under the Trustees Act, Laws of Kenya as a non-profit, non-political institution that exists to support pastoralists, fisherfolk, hunter-gatherers and other minority communities in the northern rangelands of Kenya to sustain their cultural and natural heritage, and to realize their socio-economic aspirations.

Kivulini Trust does this by promoting and supporting the perpetuation of cultural knowledge and practices and positive change, and by building on the existing cultural strengths, indigenous knowledge and NRM know-how for the realization of holistic and sustainable development.

## **Selection and awarding of projects**

As mentioned in section 2.1, FIMI, Kivulini Trust and Tebtebba provided high-quality review and advice on the best proposals to be approved by the IPAF Board.

Following the review by the IPAF Board and the selection of the 25 projects to be financed, the three RIPOs conducted the due diligence process, reviewed the legal and financial documents submitted by grassroots organizations, finalized projects, logframes and baselines with the awarded organizations (see more on project design below) and entered into grant agreement with them as follows:

- FIMI prepared eight MoUs that were signed between October and November 2015, with the exception of the MoU with the organization from El Salvador, signed in October 2016;
- Kivulini Trust prepared eight grant agreements between October and November 2015. However, it is not clear when the documents were signed since the copy of the original signed documents is not available among shared documents;
- The nine partnership agreements between Tebtebba and awarded organizations in Asia were signed between October and November 2015, with the exception of the agreement with the organization from Indonesia, signed in January 2016.

The agreements outlined the responsibilities of each party in terms of project implementation, fund release, monitoring and reporting.

## **Overall coordination**

The coordination and management of the Facility were ensured in different ways by the three RIPOs.

In Asia, the IPAF was managed by Tebtebba with two full-time staff (a programme coordinator and a bookkeeper) with the support of the communication department. The IPAF coordinator changed in early 2015 and was able to familiarize herself with the IPAF implementation arrangements thanks to the support by the previous coordinator and backup by the IPAF Secretariat, reaching a very good level of knowledge and performance in implementing the Facility.

FIMI ensured the coordination of the IPAF in Latin America and the Caribbean through one dedicated programme coordinator working under the supervision of the Executive Director and with the support of the administrative/financial and communication departments. Towards the end of 2015, the IPAF coordinator was replaced. The transition was smooth and the implementation of the Facility was not affected, demonstrating a solid institutional development and a good capacity of FIMI to adapt to changes and ensure the deployment of skilled staff to ensure a smooth handover.

In Kivulini Trust, the Facility was also managed by an IPAF coordinator. In addition, a French-speaking consultant was hired on a retained basis to support the implementation of projects in francophone countries. This was a cost-effective arrangement to ensure smooth communication with francophone sub-grantees and constituted an important achievement compared with the previous cycles.<sup>33</sup>

The IPAF coordinators of the three RIPOs were skilled, highly motivated and committed. Although much was achieved (see more in paragraphs below), it seems quite challenging for

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<sup>33</sup> One of the challenges faced in the previous IPAF cycle was the monitoring and supervision of small projects financed in West and Central Africa, due to language barriers and the low capacity of the IPAF regional implementer in Africa to work in this region.



one person only to ensure the coordination of the Facility,<sup>34</sup> which entails the management of eight or nine grants (e.g. in terms of establishing grant agreements, ensuring exchanges and coordination with grantees, supporting them in the revision of the design of their projects, coordinating supervision missions, ensuring M&E including the revision of the reports, providing implementation support, ensuring KM, facilitating linkages with IFAD-funded projects, and supervising financial management and disbursement issues).

This issue was further exacerbated in Latin America and the Caribbean by the fact that the IPAF coordinator was also engaged in managing other funds administered by FIMI (i.e. the “Proyectos Semillas”, providing small grants to indigenous organizations) and in coordinating with other FIMI initiatives and programmes in different thematic areas (e.g. participation and political advocacy, education and training, the indigenous women’s watch against violence). Although an effort was made to support the IPAF coordinator (e.g. through the hiring of a KM and communication staff member with FIMI’s own resources), it is unrealistic for one person only to manage this huge amount of work.

In Africa, the main challenge was that the IPAF coordinator operated in isolation from the rest of the organization due to the limited integration of the IPAF within the overall strategy of the Kivulini Trust. In particular, the IPAF coordinator worked with limited support and engagement from financial management staff, due to their limited capacities and continuous turnover. This resulted in delays in the disbursement of funds to sub-grantees and affected the efficiency of the Facility in Africa (see more in section 4).

### **Support for the design of IPAF-funded projects**

RIPOs supported grassroots organizations to finalize the design of their projects, with emphasis on developing the baseline and improving the logframe.

This happened mainly by providing guidance and comments on the design via email, Skype and telephone exchanges. In Asia only, the support for the finalization of the design was also provided through training delivered on the occasion of an IPAF inception workshop organized by Tebtebba in the Philippines in 2015 (see more in section 2.3).

**Development of baselines.** For the development of the baseline, FIMI provided grassroots organizations with a template, including specific indicators to measure the well-being of indigenous peoples such as traditional knowledge, the situation of indigenous women, participation and promotion of democracy, food security and sovereignty, and self-determination. The contents of the document and the selection of the indicators were the result of an in-depth participatory process of consultation and discussion within FIMI. Indicators are highly relevant and descriptive of the situation of indigenous peoples based on their own vision and perception of development. This aspect constitutes a very innovative feature and an added value in terms of the support provided by FIMI in implementing the IPAF (see annexes 8 and 9 for further information on the indicators developed by FIMI and for an example of a completed baseline).

As was the practice in the previous cycle of the IPAF, FIMI then requested grassroots organizations to update the baseline once the projects were completed. This self-assessment by awarded organizations allows them and FIMI to analyse changes and achievements brought about by the project and evaluate results from their perspective.

Notwithstanding positive aspects, the baseline lacks qualitative and quantitative data and

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<sup>34</sup> It is worth noting that the previous IPAF cycle in Latin America and the Caribbean was managed by a programme coordinator, with the support of a technical coordinator and an M&E specialist.

indicators related to the specificities of the individual projects, impeding a full appreciation of progress and changes resulting from implementation. This is particularly relevant for the M&E of projects focusing on income-generating activities, production or marketing. This deficiency in some cases is not compensated by the inclusion of quantitative indicators in the logframes (e.g. on average production, productivity, income).

This issue was greatly addressed in Asia, where sub-grantees were requested by Tebtebba to complete two baselines at the start of the project: a project-specific baseline and the Indigenous Peoples' Sustainable and Self-Determined Development (IPSSDD) baseline.

The project-specific baseline was related to the indicators in the projects' logframe. For example, projects focusing on income-generating activities were asked to provide a baseline of the income of the target beneficiaries before project intervention.

The IPSSDD is a framework encompassing different approaches and takes into consideration indigenous peoples' perspectives of well-being. The IPSSDD baseline shows the conditions of the target communities before project intervention following the nine domains of the IPSSDD framework. These indicators were revisited at the end of the project when the sub-grantees accomplished their self-assessment (see annexes 6 and 7 for a list of main indicators used by Tebtebba under the IPSSDD framework and for an example of a completed baseline).

### **Box 3. The Indigenous Peoples' Sustainable and Self-Determined Development**

The IPSSDD is an integrated and holistic framework and approach encompassing: the human rights-based approach; the ecosystems-based approach; gender, intergenerational and intercultural approach; and indigenous peoples' perspectives of well-being.

The IPSSDD comprises nine interdependent domains that correspond to the different approaches: land and territories; natural resources and biodiversity; economics; governance (traditional and formal); traditional knowledge and culture; health; gender and intergenerational dynamics; indigenous peoples' rights; and development of community institutions/organizations.

The framework was developed based on the lesson learned that indigenous peoples have specificities for which a differentiated approach is needed. The framework puts at centre stage the domains and indicators that are relevant to them and that reflect their holistic approach and vision of sustainable development.

This approach, which is very similar to the one adopted by FIMI, puts at centre the domains and indicators that are relevant to indigenous peoples. Nonetheless, unlike FIMI, it is complemented by the collection of quantitative data and indicators based on the project design.

A similar approach was embraced by Kivulini Trust, with the inclusion in a single baseline of indicators on the well-being of indigenous peoples (adopted from FIMI and adapted to the African context) and project-related indicators. This represented another area of improvement by the Kivulini Trust compared with the previous cycle.

Nonetheless, it was very challenging for sub-grantees to understand the logframe and baseline templates, and guidance provided over Skype or phone by the IPAF coordinator was not sufficient, particularly for small organizations with limited experience in designing and implementing development projects. As a result, only a limited number of organizations (i.e. from Rwanda and Uganda) were able to prepare a baseline with relevant quantified indicators.

**Project logframes.** An analysis of projects' logframes indicates that while they are generally clear, the distinction between results and outputs is not always clear and in some cases the number of

indicators is excessive. This is particularly relevant for projects in Africa, which in some cases also lack basic data on beneficiaries disaggregated by gender and age.

Further, there is a disconnect between the IPAF overall grant logframe and the logframes of the projects. In fact, none of the analysed projects' logframes include data/indicators needed to feed the indicators of the overall IPAF logframe (e.g. number of organizations implementing an IPAF-funded project at the grassroots level which have mobilized resources from their governments/other donors for their projects; amount of resources mobilized and partnerships developed; linkages developed with IFAD-funded projects). This leaves some question as to how RIPOs regularly monitored projects and supported organizations in reaching results under these dimensions.

Overall, the results of the survey responses by awarded organizations in terms of the support provided by RIPOs during the finalization of their project design are not homogeneous. The support provided by Tebtebba was considered effective and extremely professional and was appreciated by all surveyed organizations. In Africa and Latin America and the Caribbean, results are mixed.<sup>35</sup> Overall, organizations from Africa and Latin America and the Caribbean highlighted that communication was not always smooth/continuous with RIPOs and that further guidance and training on project design tools and formats were expected. African organizations further highlighted the need to organize an inception workshop.

### **M&E and supervision**

During the previous IPAF cycles, RIPOs developed different M&E systems and tools (see box 4 below) that were used to monitor IPAF-related activities and projects. These are an indicator of their improved institutional performance although with varying degrees of quality.

The main activities implemented by RIPOs during this IPAF cycle and characteristics of their M&E systems and strategies are summarized in the paragraphs that follow.

**The use of instruments built from the perspective of indigenous peoples.** M&E is conceived and carried out by RIPOs as a process of accompaniment, dialogue, capacity-building and mutual learning. It is based on principles and criteria from the perspective of indigenous peoples, such as good living, ancestral knowledge and self-determination. All RIPOs defined from an indigenous perspective the instruments, criteria, indicators and methodology for M&E and the templates used for M&E reflect this approach.

**A detailed calendar.** FIMI organized its M&E activities based on a clear calendar shared with grassroots organizations, including a timeline for M&E field visits and for project implementation and follow-up. This was a very effective management and planning tool for a smooth management of the Facility.

**Reporting sub-grantees-RIPOs.** FIMI and the Kivulini Trust requested sub-grantees to submit progress reports every six months and at project completion. In Asia, Tebtebba originally requested sub-grantees to submit three progress reports (corresponding to fund release) and a completion report. However, the progress reporting became quarterly following a change in the fiduciary policy of Tebtebba effective from January 2016. While this approach helped Tebtebba

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<sup>35</sup> More specifically: 4 organizations satisfied, 1 organization neutral and 1 organization very unsatisfied in terms of the support received by Kivulini Trust; 3 organizations neutral, 2 satisfied, and 1 organization very satisfied in terms of the support received by FIMI.

to be in regular communication with partner organizations, it proved very demanding. At the same time, the quarterly reporting was not strictly followed and Tebtebba was flexible, taking into consideration important factors (e.g. capacity of sub-grantees, translation costs and time).

#### **Box 4. M&E by RIPOs funded**

M&E by **FIMI** is based on principles and criteria from the perspective of indigenous peoples, such as good living, ancestral knowledge and self-determination. The most important characteristics of the methodology of FIMI in terms of M&E include the following: (i) the involvement of indigenous organizations at all stages of M&E; (ii) the definitions from an indigenous perspective of the instruments, criteria, indicators and methodology; (iii) the organization of mid-term review missions, carried out by indigenous women from the country or region where the projects are developed; and (iv) the organization of regional meetings gathering all implementing organizations to carry out a final evaluation, exchange experiences and build networks. This approach and methodology are also being used by FIMI for the M&E of other projects and initiatives.

**Tebtebba** adopted the IPSSDD framework, a holistic approach encompassing human rights, ecosystems, gender, intergenerational and intercultural approaches, and indigenous peoples' perspectives of well-being. This approach is used by the organization to set the logframes of IPAF-financed projects, ensuring the presence of sociocultural objectives and indicators. An IPSSDD self-assessment in the same domain is carried out to measure results once the projects are concluded. Regular monitoring missions are conducted by Tebtebba staff.

**Kivulini Trust** is piloting an M&E system that is based on the theory of change (TOC). The system enables the organization to keep data and capture information on the projects' background, the indicators set in the logical framework and additional indicators, including those developed by FIMI, on the well-being of indigenous peoples. The Kivulini Trust has tested and introduced TOC concepts during IPAF supervision missions, showing that the system has potential to help IPAF partners think critically about the relation between actions/activities and outcomes. At the same time, more guidance and training should be provided to sub-grantees to ensure the M&E system is adopted. In addition, Kivulini Trust conducts direct monitoring of the projects.

FIMI and Tebtebba developed a standard format for reporting including relevant sections (e.g. on activities implemented, challenges faced, results obtained as per the project logframe, an updated chronogram). According to the IPAF coordinator, templates for reporting were also prepared by Kivulini Trust. Nonetheless, they were not used by sub-grantees. In fact, all reports from African organizations follow different formats; in some cases, reports from the same organization differ. This certainly made consolidation and monitoring by Kivulini Trust more challenging and less effective.

Overall, reports by sub-grantees were regularly shared with Tebtebba and FIMI and are well classified. This is not the case for Kivulini Trust, since reports from sub-grantees seemed to be irregularly produced and shared.

The capacity of grassroots organizations to deliver quality documents and to provide results-oriented reports was uneven. Certainly, this was also a function of their level of institutional development and their experience in managing projects that were financed by international financing institutions. Some reports are very rich and complete, and include several KM documents in annexes (the latter particularly applies to reports from the Latin America and the Caribbean region). Others are poor (e.g. only consisting of a list of bullets with no narrative and no logframe) or are very activity-oriented, lacking an assessment of results achieved and

lessons learned. As previously mentioned, reports from countries in the Latin America and the Caribbean and African regions often lack quantitative data and there are inconsistencies in the definition of the number of beneficiaries.

**Reporting RIPOs-IFAD.** The annual and completion reports from RIPOs to IFAD follow different formats and vary in terms of quality. Annual progress reports from FIMI and Tebtebba are very light, containing schematic information on activities conducted and statements of expenditures (SOEs), while those from the Kivulini Trust are quite complete and informative, with detailed information on implementation progress for each project. In contrast, while the completion reports from FIMI and Tebtebba are very rich, the completion report by the Kivulini Trust is very general and lacks key data and information (e.g. number of beneficiaries; information on the termination of the IPAF project in Botswana). It is worth noting that the completion report by FIMI is impressive in terms of information and details provided, and contains several informative annexes showing the progress and results obtained by each project.

It is surprising that none of the RIPOs attached to their reports to IFAD an updated project logframe tracking progress against IPAF indicators. This, coupled with the lack of monitoring against these indicators at the national level, indicates a disconnect between the IPAF logframe and the monitoring conducted at the regional and national levels.

Furthermore, the lack of a standard format for reporting and the uniform collection of data and information by the three RIPOs makes it challenging to have a complete and homogeneous overview on implementation progress and on key elements (e.g. number of indirect beneficiaries, number of youth beneficiaries, expenditures by sub-grantees).

**Systematization of project-related documents.** FIMI and Tebtebba put in place a rigorous system for the classification of documents originating from the implementation of projects. This is particularly true for FIMI: a huge number of legal, technical and financial documents are available and thoroughly classified in its database.

**Organization of mid-term review missions.** Mid-term review missions were organized by RIPOs in all countries with the exception of Pakistan.<sup>36</sup> Missions provided a great opportunity to mitigate risks associated with implementation, support capacity-building of partners, critically review the implementation of projects, conduct a reality check against submitted reports, contribute to the identification of main implementation constraints, embed lessons learned into the overall programming, and make recommendations for corrective measures and/or adjustments to ensure successful implementation of projects.

The monitoring missions by Tebtebba were generally conducted by the IPAF coordinator and usually consisted of discussions with the sub-grantees, beneficiaries and external stakeholders. In some instances, they also included the participation of the bookkeeper to provide mentoring on financial management. This approach proved to be effective, enabling the IPAF coordinator to reinforce the partnership with sub-grantees and to effectively address issues or provide implementation support. This is reflected in the high quality of mission reports and the results of the survey, with all organizations being satisfied or very satisfied in terms of the support received.

A milestone in the M&E system of FIMI was the selection of consultants to undertake the field missions. Supervisions were conducted by indigenous women rigorously selected and

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<sup>36</sup> The mission could not be conducted due to security reasons.

trained by FIMI<sup>37</sup> from the country or subregion where the projects were being implemented. This strongly contributed to strengthen women's leadership and build relations of trust; it also enabled the use of local language and reduced costs.

Nonetheless, in engaging external consultants, FIMI missed the opportunity to strengthen its own staff capacity and direct links with grassroots organizations. This issue was also reflected in the survey: although grassroots organizations were overall satisfied with the quality of the support provided during supervision, more communication and opportunities for lesson-learning and/or meetings to strengthen alliances and strategies were recommended.

In Africa, all projects were directly supervised by Kivulini Trust. Conducting missions in all countries represented an improvement compared to the previous cycle in Africa, when only 70 per cent of small projects were supervised, with complaints by francophone organizations not being adequately monitored and supervised. In addition, supervisions were an opportunity to facilitate contact and interaction with local government officials and institutions.<sup>38</sup>

Notwithstanding the positive aspects, some issues were also observed. In particular, not all missions were conducted in a timely manner at project mid-term. This is especially true in the Latin America and the Caribbean region, where some of the supervisions occurred/only a few months before completion (e.g. in Ecuador, Mexico). In El Salvador, the mission took place after project completion. This did not enable sub-grantees to have enough time to adjust implementation according to recommendations.

Furthermore, not all sub-grantees received the mission reports and little follow-up was provided by RPOs in terms of supporting them to implement agreed recommendations. This is an aspect that needs to be improved in the future.

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37 The selection process takes place in different steps: (i) identification of the consultant within the FIMI network based on knowledge and experience; (ii) submission of project-related information to the consultant, including assessment tools and methodology as developed by FIMI; (iii) coordination of a Skype meeting to inform the consultant about the project situation and analyse in detail the evaluation tools and methodology; (iv) triangulation with the IFAD CPM in the concerned country; (v) design of the agenda in coordination with IFAD, definition of the terms of reference and signature of the consultancy contract.

38 Reports from Kivulini Trust could not be assessed since no report was made available/shared. An exception is the Morocco supervision report, although the document only contains an analysis of strengths and weaknesses of the supported women's cooperatives.

**Table 6. Calendar of supervision missions**

Country	Dates	Supervision team	Project implementation	Project duration (months)
<b>Africa</b>				
Botswana #1611	16-25 Feb 2017	IPAF coordinator	Feb 2016 – Sep 2017 (prematurely terminated in Feb 2017)	20 planned, 12 effective
Cameroon #1515	15-23 Jun 2017	IPAF coordinator and French-speaking coordinator	Nov 2015 – Sep 2017	24
Democratic Republic of the Congo #1336	18-24 Nov 2016	IPAF coordinator and French-speaking coordinator	Oct 2015 – Nov 2017	24
Ethiopia #1398	24-30 Jun 2017	IPAF coordinator and French-speaking coordinator	Nov 2015 – Apr 2018, extended to Dec 2018	18 planned, 26 effective
Morocco #1672	16-20 Jan 2017	IPAF coordinator and French-speaking coordinator	Oct 2015 – Sep 2017, extended to Dec 2017	24 planned, 27 effective
Rwanda #1511	8-16 Nov 2016	IPAF coordinator and French-speaking coordinator	Nov 2015 – Oct 2017	24
Tanzania #1610	9-17 Jul 2016	IPAF coordinator, URCT and Tanzania Land	Nov 2015 – Feb 2017, extended to Nov 2017	15 planned, 25 effective
Uganda #1757	30 Oct–7 Nov 2016	IPAF Coordinator, UWA	Oct 2015 – Nov 2017	24
<b>Asia and the Pacific</b>				
Bangladesh #1417	28 Feb – 3 Mar 2017	Trinomul Unnayan Songstha <sup>39</sup>	Jan 2016 – Dec 2017	24
Cambodia #1400	26 Jun – 1 Jul 2017	IPAF coordinator	Dec 2015 – Dec 2017	24
India #1205	20-25 Mar 2017	IPAF coordinator, Jharkhand Tribal Development Society (JTDS), <sup>40</sup> IFAD staff from the Jharkhand Tribal Empowerment and Livelihood Project	Dec 2015 – Dec 2017	24
Indonesia #1783	16-22 May 2017	IPAF coordinator and bookkeeper	Jan 2016 – Dec 2017	24
Malaysia #1785	5-10 Oct 2016	IPAF coordinator and financial staff	Nov 2015 – Jun 2017, extended to Sep 2017	18 planned, 20 effective
Pakistan #1655	-	-	Dec 2015 – Dec 2017	24
Philippines #1194	13-18 Jun 2016; 28 Sep – 1 Oct 2016 (financial monitoring mission)	IPAF coordinator and bookkeeper	Dec 2015 – Jun 2017	18

39 Trinomul Unnayan Songstha is a long-standing partner of Tebtebba.

40 JTDS is an autonomous body under the Welfare Department of the Government of Jharkhand.

Country	Dates	Supervision team	Project implementation	Project duration (months)
Philippines #1402	20-22 Mar 2016; 13-16 Oct 2016; 10-12 Jun 2017	IPAF coordinator, bookkeeper, head of finance	Dec 2015 – May 2017 (prematurely terminated in Feb 2017)	18 planned, 15 effective
Thailand #1635	1-7 Jul 2017	IPAF coordinator	Nov 2015 – Nov 2017	24
<b>Latin America and the Caribbean</b>				
Colombia #1300	22-24 Jul 2016 and 8-9 Aug 2016	External consultant	Jan 2016 – Jan 2017, extended to Feb 2017	13 planned, 14 effective
Colombia #1606	7-10 Feb 2017	External consultant	Feb 2016 – Jan 2018	24
Ecuador #1553	7-11 Feb 2017	External consultant	Nov 2015 – May 2017	18
El Salvador #1473	14-18 Jan 2018 <sup>41</sup>	FIMI team	Oct 2016 – Oct 2017, extended to Dec 2017	14 planned, 16 effective
Guatemala #1382	27-30 Jun 2016	External consultant	Dec 2015 – Dec 2016	12
Mexico #1645	2-6 Sept 2017	External consultant + FIMI team	Nov 2015 – Nov 2017	24
Nicaragua #1631	12-15 Feb 2017	FIMI team	Nov. 2015 – Nov 2017	24
Paraguay #1608	4-8 Jan 2017	External consultant	Dec 2015 – Jun 2017, extended to Nov 2017	24 planned, 29 effective

### Linkages with regional and international platforms and forums

The IPAF proved to be an effective instrument to bridge grassroots organizations with the indigenous peoples' regional and international movements. RIPOs play a key role in building and strengthening networking among indigenous peoples' communities and organizations and linking them to regional and international platforms and forums, filling the gap between the global and local level in several instances.

In particular, the IPAF was linked to the Indigenous Peoples' Forum (IPF) at IFAD, with grassroots organizations participating in the 2014<sup>42</sup> and 2016 regional consultations in preparation for the global meeting of the IPF and the 2015 and 2017 global meetings (see more in box 5). Overall, the knowledge generated from the implementation of the small projects financed through the IPAF was shared and directly fed the dialogue between indigenous peoples' organizations and IFAD within the Forum, informing its decisions and recommendations. Also, the IPAF provided a concrete response to indigenous peoples' requests expressed in the global meetings of the Forum, calling upon IFAD to support their organizations' capacity-building efforts at all levels and to provide direct and inclusive support to them, in particular through their organizations.

This is reflected in the strong appreciation expressed by grassroots organizations participating in the preparatory workshops and global meetings of the IPF.

41 Planned for 18-22 December 2017. Cancelled due to personal issues of the consultant.

42 IPAF-funded organizations joining the regional preparatory workshops in 2014 were those financed by the previous 2011 IPAF cycle.



### **Box 5. The participation of indigenous peoples' organizations in the IPF processes**

In 2014, FIMI, Kivulini Trust and Tebtebba organized and financed – with IPAF funds – the regional consultation workshops in preparation for the second global meeting of the IPF as follows:

- Asia: 24-25 November 2014, Jakarta, Indonesia; organized by Tebtebba and AMAN.
- Pacific: 26-27 November 2014, Nadi, Fiji; organized by IFAD, Tebtebba and the Pacific Island Farmers Organisation Network (PIFON).
- Africa: 15-16 December 2014, Dar es Salaam, Tanzania; organized by Kivulini Trust;
- Latin America and the Caribbean: 18-19 December 2014, Asuncion, Paraguay; organized by FIMI.

The workshops brought together over 55 participants, including: representatives of indigenous peoples' organizations (including some of the organizations financed within the 2011 IPAF cycle); national and regional organizations involved in IFAD-funded projects; IFAD staff; members of the UNPFII; and government representatives.

The purpose of the consultation workshops was to exchange knowledge, experiences and good practices on indigenous peoples' food systems and sustainable livelihoods, traditional production systems and biodiversity conservation, and identify key challenges and opportunities for IFAD to strengthen them. The workshops also reviewed the progress of implementation of the recommendations and regional action plans adopted at the first global meeting of the IPF. Participants further provided suggestions regarding indicators of well-being for indigenous peoples. In addition, four representatives from the IPAF-funded projects in Bolivia, Botswana, Indonesia and the Philippines were selected to join the 2015 global meeting of the IPF in Rome.

In late 2016, regional consultation workshops in preparation for the 2017 IPF were held as follows:

- Pacific: 21-22 November 2016, Pacific Harbour, Fiji; organized by PIFON and IWGIA.
- Asia: 22-26 November 2016, Siem Reap, Cambodia; organized by AIPP, CIPO, IWGIA and the Organization to Promote Kui Culture.
- Latin America and the Caribbean: 22-27 November 2016, San Salvador, El Salvador; organized by Centro para la Autonomía y Desarrollo de los Pueblos Indígenas, Consejo Coordinador Nacional Indígena Salvadoreño (CCNIS),<sup>43</sup> Consejo Indígena de Centro América, Fondo para el Desarrollo de los Pueblos Indígenas de América Latina y el Caribe and IWGIA.
- Africa: 5-7 December 2016, Brazzaville, Congo; organized by the Organisation pour le Développement et les Droits Humains au Congo and IWGIA.

Participants included 11 representatives from IPAF-funded projects from Africa (Cameroon, Democratic Republic of the Congo, Ethiopia, Morocco, Tanzania, Uganda), Asia (Cambodia, India, Indonesia), and Latin America and the Caribbean (El Salvador, Mexico).

The workshops focused on indigenous peoples' economic empowerment, which was the theme of the 2017 global meeting. Representatives from IPAF-funded projects from Cambodia, Indonesia and Mexico were selected to join the 2017 global meeting.

During the global meeting in Rome, Ms Teresa Zapeta, former FIMI Coordinator, took part in a panel at the IFAD Governing Council to share IPAF experiences and to bring to the attention of the audience the issues indigenous peoples face in their region.

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43 Salvadoran National Indigenous Coordinating Council.

RIPOs also made an effort to feed the dialogue at the regional and international levels by sharing experiences, initiatives and processes supported by the IPAF within the context of the UNPFII (whose annual meetings are held in New York), the Climate Change negotiations and the 2030 Development Agenda. FIMI joined three main events in which the experience of the IPAF was shared, including the 13<sup>th</sup> International Forum of the Association for Women's Rights in Development (Costa do Sauipe, Bahia, Brasil, 8-11 September 2016), the Latin America Indigenous Funders Conference organized by the International Funders for Indigenous Peoples (Lima, Peru, 25-27 October 2016), and the 61<sup>st</sup> session of the Commission on the Status of Women, which took place at UN headquarters in New York (17 March 2017). Tebtebba contributed to the preparation of the thematic papers of the Indigenous Peoples Major Group presented in the High-Level Political Forum in 2016 and 2017 by sharing IPAF experiences in India and Indonesia. During the preparatory workshop of the global meeting of the IPF in 2014, Kivulini Trust supported the organization of a side event on the existence and rights of indigenous peoples in Tanzania, co-organized by the Commission for Human Rights and Good Governance (CHRAGG) and IFAD's country office in Tanzania (see more in section 5.3).

These events were also good opportunities to enable RIPOs to connect with a range of indigenous peoples' networks, communities and organizations around the world, NGOs, partners, UN agencies and government representatives, and advocate for indigenous peoples' rights.

However, with the exception of Tebtebba, the capacity of RIPOs to facilitate and support the participation of grassroots organizations in other meetings and events regionally or internationally besides the IPF was limited.

In fact, while Tebtebba managed to organize two regional IPAF workshops (see more in section 3) and supported the two IPAF-funded organizations in the Philippines to join the International Day of the World's Indigenous Peoples Forum coordinated by Tebtebba, this did not happen in Africa or Latin America and the Caribbean. While many exchanges and meetings took place among indigenous peoples within implemented projects, none of IPAF-supported organizations received an invitation or was supported by FIMI or Kivulini Trust to participate in other events, workshops or forums.

Compared with previous cycles, this is certainly a step back for FIMI. Nonetheless, according to the organization, this challenge was due to the limited amount of funds earmarked for grant management by FIMI coupled with the fact that a relevant portion of funds was used to finance the 2014 regional workshop in preparation for the IPF.<sup>44</sup> Since 2016, FIMI has also been focusing on the management of its new "Leading from the South" programme (see box 2 and section 5 for further information), which might have contributed to create a strain on human resources and to increase the workload, with an impact in the management of the Facility.

## 2.3 Component 3. Knowledge management

The IPAF serves as a listening and learning instrument, useful in determining indigenous peoples' needs, proposed solutions and innovations. RIPOs played a key role in this regard, being responsible for documenting and disseminating knowledge generated by the Facility. In particular, the following was achieved by FIMI, Kivulini Trust and Tebtebba during this IPAF cycle:

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<sup>44</sup> According to the 2017 IFAD supervision mission report, US\$51,189 was spent by FIMI to organize the 2014 IPF regional preparatory workshop in Paraguay. This represents 37 per cent of total resources allocated by FIMI to coordinate the Facility in the region.

- **Review of proposals.** RIPOs conducted thorough analyses on the proposals received from the IPAF call in the three regions covered by the Facility. Analyses contain first-hand information on the situation, perspectives, traditional practices and proposed solutions to rural poverty and the well-being of indigenous peoples' communities and their organizations. Such information provides an original and alternative vision to the emerging issues around rural poverty. Reports were shared with CPMs and used in several quality enhancement processes in the design of IFAD-funded projects. Nonetheless, it is not clear if and how reports were shared and/or used as knowledge products among indigenous organizations and/or other stakeholders.
- **Knowledge from projects.** The grassroots organizations themselves consider KM as a priority and supported the organization of exchange visits and meetings in project areas among different communities. These experiences were particularly useful to facilitate peer-learning processes.

In some cases, grassroots organizations also produced knowledge and communication material emerging from the implementation of projects, such as advocacy manuals, booklets, video documentaries, market studies, reports from training and events, and photos. This was notable in Latin America and the Caribbean, where FIMI required awarded organizations to share knowledge and experiences generated from country-level activities, especially programme-related outputs. This certainly constituted a huge effort by FIMI and participating organizations. Moreover, the abundance of valuable material is available and well classified in the FIMI database. Unfortunately, notwithstanding FIMI's planning, the development of KM and communication products (e.g. case studies, brochures) did not happen, and the rich documentation and source of knowledge available in the FIMI database is not fully capitalized upon.

In Asia, the main knowledge product developed during this cycle is the booklet "Ten years after the UNDRIP, Stories from the Indigenous Peoples Assistance Facility in Asia". The booklet, which was authored by the IPAF coordinator, gathers stories, good practices and experiences by indigenous peoples' organizations in implementing sustainable and self-determined development following the domains of the IPSSDD framework. It also demonstrates the great potential of the IPAF in the implementation of the UNDRIP. Tebtebba is planning to distribute the booklet during national and international indigenous peoples' events and to share it with its partners.

Finally, the three RIPOs developed three leaflets on overall results achieved within the Facility.

No communication or KM material was found in relation to projects implemented in Africa. According to Kivulini Trust, the limited resources available for KM were used to hire the French-speaking coordinator and to have him join the supervision missions.

- **KM workshops.** Tebtebba successfully organized two workshops in Manila (Philippines) with the participation of all IPAF-funded organizations. In particular, an Inception and Orientation Workshop was organized from 26-30 October 2015 to provide guidance on the IPSSDD framework, project implementation and monitoring arrangements; and an End of Project Assessment Workshop took place on 25-26 January 2018 to facilitate the reflection and sharing among the sub-grantees on lessons learned, achievements, successful practices and challenges in the implementation of the Facility.

The survey indicated that these events were considered extremely relevant and helpful by grassroots organizations in order to have a common understanding of project implementation arrangements, M&E tools and practices, to facilitate learning by peers, and to generate and strengthen linkages and alliances among organizations.

FIMI was originally willing to organize a regional workshop in Guatemala in 2017 to enable grassroots organizations to meet and exchange knowledge and experience from the implementation of IPAF-funded projects. Nonetheless, the workshop could not take place due to the lack of resources.

- **Use of web and social media.** FIMI and Tebtebba have rich, functioning and updated websites. Nonetheless, no updated articles or information on the IPAF are published. Sometimes, contents on IPAF-related activities are shared by both organizations through social media such as Facebook and Twitter. Nonetheless, this is not done regularly, systematically or based on a communication strategy.

Tebtebba has also been using Listserve (a mailing list system) as a discussion platform to facilitate dialogue and the sharing of experiences among sub-grantees and to collectively address some implementation issues. However, only a limited number of organizations have participated in or provided inputs to the discussion.

Kivulini Trust has a website but it is not used as a tool to disseminate information on the IPAF, and no data are provided on IPAF-funded projects.



### 3. IFAD's programme coordination and supervision

At the global level, the IPAF was coordinated and supervised by IFAD through the IPAF Secretariat, located in the Policy and Technical Advisory Division,<sup>45</sup> Desk on Indigenous and Tribal Issues.

The IFAD Senior Technical Specialist supported by a Programme Assistant and a Consultant functioned as the IPAF Secretariat. The costs of the activities of the IPAF Secretariat were financed through IFAD's administrative budget.

IFAD was responsible for entering into grant agreements with RIPOs, channelling funds to them in accordance with the grant agreements, facilitating the development of linkages with IFAD operations, and supervising implementation.

The main activities conducted by IFAD during this cycle are summarized below:

- **Launch of the call.** IFAD managed and coordinated the launch of the call in 2014 and developed a large range of tools, guidelines and templates to support and facilitate the application process and the technical review of proposals, thus enabling all sorts of users to participate in the call.
- **Grant agreements with RIPOs.** IFAD entered into three grant agreements with the three RIPOs in October 2014.
- **Day-to-day coordination.** IFAD ensured the day-to-day coordination of the programme, including in terms of financial management (as detailed in section 4) and backstopping to RIPOs.
- **Supervision missions.** IFAD ensured the supervision of the Facility through the coordination and organization of two supervision missions, one in Africa and the other in Latin America and the Caribbean. Supervision missions aimed to critically review the implementation of the Facility by RIPOs and make recommendations to improve performance. Supervisions were also used as opportunities to develop linkages with IFAD country programmes.

Supervisions were considered very useful and relevant by RIPOs, particularly to improve communication with IFAD and effectively address implementation issues and constraints. The participation of IFAD financial staff in the supervision mission at Kivulini Trust was especially appreciated as they provided capacity-building and helped clarify financial management issues.

However, no visits were organized by IFAD to grassroots organizations.

Regular assessment meetings were also held with RIPOs during the annual sessions of the UNPFII and on the occasion of the regional and global meetings of the IPF at IFAD.

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<sup>45</sup> Following the reorganization of IFAD's structure in 2018, the IPAF Secretariat moved to the Environment, Climate, Gender and Social Inclusion Division.

**Table 7.** IFAD's supervision missions

RIPO	Mission dates	Place	Team composition
FIMI	24 Nov – 1 Dec 2017	Ciudad de Guatemala, Guatemala	Independent consultant
Kivulini Trust	21-22 Jan 2016	Nairobi, Kenya	IFAD Senior Technical Specialist; IFAD Finance Officer

- **Implementation support.** A short project management training for RIPOs was convened by IFAD during the second IPF in Rome in 2015.
- **M&E.** IFAD ensured the monitoring of the IPAF through the use of the Indigenous Peoples Assistance Facility tracking system (IPAFT). The IPAFT is a web application created by IFAD in 2007 to store all proposals received by the IPAF and keep track of all approved projects. The IPAFT contains a database of more than 2,000 organizations (RIPOs, community-based organizations, national and regional organizations formed by or supporting indigenous peoples). It also contains main documents (e.g. mid-term project reports, supervision reports, studies) related to IPAF projects that can be searched and filtered based on different criteria. It is a source of information and knowledge provided directly by the people and their organizations that can feed IFAD's larger operations on the ground.

Nonetheless, it was not used much for implementation tracking, and RIPOs preferred to store documents in Dropbox or Google Drive. An upgrade of the information and technology system is currently ongoing.

Based on supervision missions and reports submitted by RIPOs, IFAD also prepared annual Grant Status Reports (GSRs), which provide an overview of progress in the implementation of the Facility in the different regions. Although informative, GSRs are by their nature very short and schematic and do not enable the outputs, progresses and results to be consolidated. In addition, as regional logframes were not being prepared by RIPOs, the M&E by IFAD lacked the regular production of an updated logframe to track progresses in the implementation of the Facility.

- **Visibility and communication.** Key information on the IPAF is available on dedicated pages of IFAD's website. In addition, IPAF Board meetings and regional workshops in preparation for the IPF were used to share results in the implementation of the Facility. Also, IPAF experiences and innovations were shared and highlighted during UNPFII meetings and events.
- **Linkages with other IFAD initiatives.** Efforts were made to connect the small projects and organizations financed through the IPAF with IFAD country offices and large IFAD investment projects, in some cases leading to good results. (see section 5.3).





## 4. Financial management

IFAD entered into a grant agreement with the three RIPOs in October 2014 for a total amount of US\$1.5 million.<sup>46</sup> The budget for Kivulini Trust and FIMI amounted to US\$487,200 each, while the budget for Tebtebba amounted to US\$525,600.

The majority of funds were earmarked for sub-granting (70 per cent of total budget), totaling US\$1.05 million. A total of US\$378,500 (25 per cent of total budget) covered project implementation-related activities at the level of RIPOs. Overheads/management fees corresponded to 5 per cent of total resources.

**Table 8.** Grant amounts by recipient (US\$)

Item	FIMI	Kivulini Trust	Tebtebba	Total
Sub-granting	350,000	350,000	350,000	1,050,000
Project implementation-related activities	114,000	114,000	150,500	378,000
Management fees/overheads	23,200	23,200	25,100	71,500
Total	487,200	487,200	525,600	1,500,000

The grant completion and closing dates were 31 December 2017 and 30 June 2018, respectively. Three extensions to the closing dates were granted to the three RIPOs to process final payments by IFAD, as detailed in the table below.

**Table 9.** Extensions to the grant agreements with RIPOs

RIPO	Original closing	Effective closing	Rationale
FIMI	30 Jun 2018	14 Sep 2018	The final SOE provided by FIMI on 29 June 2018 requested further clarifications (some payments issued by FIMI were not duly processed by the bank to awarded organizations and resources were returned to FIMI's accounts more than one month after the transfer of funds).
Kivulini Trust	30 Jun 2018	31 Aug 2018	The original audit opinion letter on the final SOE was received by IFAD on 21 August 2018 only (after the grant closing date). <sup>47</sup>
Tebtebba	30 Jun 2018	28 Aug 2018	The original audit opinion letter on the final SOE was received by IFAD on 21 August 2018 only (after the grant closing date). <sup>48</sup>

<sup>46</sup> The IPAF was financed by three IFAD divisions: Policy and Technical Advisory Division (US\$1 million); Asia and the Pacific Division (US\$0.25 million); and East and Southern Africa Division (US\$0.25 million).

<sup>47</sup> The grant agreement states that the recipient shall deliver to the Fund a copy of its audited financial statements within six months after the end of each recipient's fiscal year, including an audit opinion letter on the SOE, to be sent in its original form to the Fund. As a procedure, IFAD cannot disburse funds to recipients after the grant closing date.

<sup>48</sup> As above.

**Disbursements by IFAD to RIPOs.** The grant agreements between IFAD and the three RIPOs established a disbursement schedule in three tranches, as detailed in table 10.

**Table 10.** IPAF disbursement schedule

Instalment	Conditions for disbursement	Amount (Kivulini Trust and FIMI)	Amount (Tebtebba)
1st instalment	At the signature of the agreement	US\$330,000 or 68 per cent of grant amount	US\$365,000, or 69 per cent of grant amount
2nd instalment	After receipt by IFAD of: (i) progress report; (ii) SOE justifying at least 75 per cent of the previous advance; (iii) withdrawal application (WA)	US\$135,000, or 28 per cent of grant amount	US\$137,000, or 26 per cent of grant amount
3rd instalment	After receipt by IFAD of the final report	US\$22,200, or 5 per cent of grant amount	US\$23,600, or 4 per cent of total amount

As shown in table 11, the disbursements from IFAD to RIPOs were made in a timely way, with an average for the first two payments of 12 days between the date the WAs from RIPOs were recorded in IFAD's record system<sup>49</sup> and the value date of the disbursements. In contrast, it took up to five months to disburse the third payment. This delay was not attributable to IFAD, but was due to the delayed submission by RIPOs of the requested original audit opinion letter on the SOE (for Tebtebba and Kivulini Trust) and to the need to revise and clarify information provided in the SOE (for FIMI).

**Table 11.** Effective disbursements by IFAD to RIPOs

RIPO	1st Disbursement			2nd Disbursement			3rd Disbursement		
	WA registration	Disb. value date	Amount disbursed \$US	WA registration	Disb. value date	Amount disbursed \$US	WA registration	Disb. value date	Amount disbursed \$US
FIMI	18/11/2014	26/11/2014	330,000	19/12/2017	10/01/2018	135,000	05/07/2018	21/09/2018	22,200
Kivulini Trust	05/11/2014	12/11/2014	330,000	09/09/2016	30/09/2016	135,000	27/07/2018	12/10/2018	11,868
Tebtebba	04/11/2014	12/11/2014	365,000	30/11/2016	05/12/2016	137,000	19/07/2018	21/08/2018	2,279

Source: IFAD's Electronic Records Management System, FMD

**Disbursements by RIPOs to sub-grantees.** The three RIPOs ensured the financial management of the Facility in their region. For this purpose, they signed 25 contracts with IPAF-awarded organizations that define the terms and conditions for disbursement and financial reporting.

Disbursements by RIPOs were expected to be made in three instalments (50 per cent, 45 per cent and 5 per cent of grant amount) based on the submission of financial and progress

49 Electronic Records Management System.

reports by grassroots organizations.<sup>50</sup> According to IFAD's GSRs, the disbursement rates of FIMI and Tebtebba were overall acceptable and in line with the Annual Work Plans and Budgets.

Several issues were experienced, mainly due to the limited financial capacity or experience of some of the sub-grantees, particularly in relation to financial reporting (e.g. in El Salvador, Indonesia, Philippines) or to the rejection of payment by the banks (e.g. in Colombia). Nonetheless, RIPOs were very effective in supporting sub-grantees, addressing and resolving issues that arose. For example, Tebtebba supported Masaka and Natripal in the Philippines and AMAN in Indonesia by conducting several on-site mentoring and backstopping sessions on financial management.

RIPOs were flexible in granting awarded organizations extensions to agreements, taking into consideration delays in disbursements as well as unexpected issues that organizations were confronted with (e.g. floods, droughts) that prevented them from implementing activities as originally planned.

In Africa, at the beginning of IPAF implementation, disbursement of resources was improved compared with the previous cycle; however, in the last year of implementation, Kivulini Trust was not on track. In some cases, this was due to bank-related issues (e.g. in Rwanda) or to delays in the preparation of technical and financial documents by sub-grantees. Nonetheless, the delay was also due to the lengthy process by Kivulini Trust (between three and six months, according to the Kivulini Trust project coordinator) to review financial documents and process withdrawal requests. As previously mentioned (see section 2.2), this was mainly due to the limited involvement, capacities and frequent turnover of financial staff.

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<sup>50</sup> As mentioned, the reporting in Asia became quarterly following a change in the fiduciary policy of Tebtebba, effective January 1, 2016.

**Table 12.** Disbursements by RIPOs to sub-grantees<sup>51</sup>

Organization	1st Disbursement	2nd Disbursement	3rd Disbursement	Implementation period
<b>Africa</b>				
Botswana #1611	Apr 2016	—	—	Feb 2016 — Oct 2017 (prematurely terminated)
Cameroon #1515	Nov 2015	May 2017	Jan 2018	Nov 2015 — Sept 2017
Democratic Republic of the Congo #1336	Nov 2015	Jul 2017	Jan 2018	Oct 2015 — Nov 2017
Ethiopia #1398	Nov 2015	May 2017	Jan 2018	Nov 2015 — Apr 2018, extended to Dec 2018
Morocco #1672	Nov 2015	Nov 2017	Jan 2018	Oct 2015 — Sep 2017, extended to Dec. 2017
Rwanda #1511	Nov 2015	Aug 2017	Jan 2018	Nov 2015 — Oct 2017
Tanzania #1610	Nov 2015	Nov 2018	Jan 2018	Nov 2015 — Feb 2017, extended to Nov 2017
Uganda #1757	Nov 2015	May 2017	Jan 2018	Oct 2015 — Nov 2017
<b>Asia</b>				
Bangladesh #1417 <sup>52</sup>	27 Jan 2016	10 Jul 2017	-	Jan 2016 – Dec 2017
Cambodia #1400	10 Dec 2015	11 Apr 2017	10 Apr 2018	Dec 2015 – Dec 2017
India #1205	7 Dec 2015	24 Oct 2016	7 Dec 2017	Dec 2015 – Dec. 2017
Indonesia #1783	5 Feb 2016	30 May 2017	4 Jun 2018	Jan 2016 – Dec 2017
Malaysia #1785	27 Nov 2015	6 Jan 2017	15 May 2018	Nov 2015 – Jun 2017, extended to Sep 2017
Pakistan #1655	7 Dec 2015	30 Mar 2017	10 Apr 2018	Dec 2015 – Dec 2017
Philippines #1194	4 Dec 2015	24 Oct 2016	4 Jun 2018	Dec 2015 – Jun 2017

51 Source: FIMI completion report; complementary information provided by Tebtebba and Kivulini Trust in November 2018.

52 Funds were released to the organization in two tranches.

Organization	1st Disbursement	2nd Disbursement	3rd Disbursement	Implementation period
Philippines #1402	14 Dec 2015	14 Sep 2016	-	Dec 2015 – prematurely terminated (ended 15 July 2017)
Thailand #1635	1 Dec 2015	28 Sep 2017	26 Apr 2018	Nov 2015 – Nov 2017
<b>Latin America and the Caribbean</b>				
Colombia #1300	22 Dec 2015	7 Oct 2016	28 Jun 2017	Jan 2016 – Jan. 2017, extended to Feb 2017
Colombia #1606	2 Feb 2016	9 Feb 2018	9 Feb 2018	Feb 2016 – Jan 2018, extended to Apr 2018
Ecuador #1553	18 Dec 2015	15 Oct 2016	9 Aug 2017	Nov 2015 – May 2017
El Salvador #1473	27 Dec 2016	11 Oct 2017	13 Feb 2018	Oct 2016 – Oct 2017, extended to Dec 2017
Guatemala #1382	9 Dec 2015	9 Jul 2016	21 Dec 2016	Dec 2015 – Dec 2016
Mexico #1645	18 Dec 2015	7 Apr 2017	14 Dec 2017	Nov 2015 – Nov 2017
Nicaragua #1631	16 Feb 2016	4 May 2017	14 Dec 2017	Nov 2015 – Nov 2017
Paraguay #1608	29 Feb 2015	10 Dec 2016	14 Dec 2017	Dec 2015 – Jun 2017, extended to Nov 2017

**Audit.** The grant agreement with IFAD stated that RIPOs were under the obligation to deliver to IFAD a copy of their audited financial statements within six months after the end of the fiscal year. While FIMI and Tebtebba regularly submitted to IFAD annual audit reports, Kivulini Trust faced a lack of proper internal audit, resulting in delays of over six months in submitting annual audits to IFAD. The fact that Kivulini Trust did not allocate funds for conducting annual audits certainly contributed to delays.

**Table 13.** Submission of annual audits by RIPOs to IFAD

RIPO	2015 Audit	2016 Audit	2017 Audit
FIMI	Oct 2016	Jun 2017	Jun 2018
Tebtebba	Jul 2016	Jul 2017	Aug 2018
Kivulini Trust	Jan 2016	Dec 2017	Aug 2018

**Accounting.** Annual audits submitted by RIPOs show that the three organizations overall maintained proper books of accounts and the financial statements were in agreement with them. The 2017 annual audit of FIMI further indicates that the organization maintained control and capacity to process operational, financial and accounting information in a timely and reliable manner, having established adequate communication and information exchange procedures for efficient registration, verification, control and monitoring processes of all sources and use of funds related to the project.

As a practice, the three RIPOs requested sub-grantees to submit all receipts and proof of expenditures, which were checked and recorded at the regional level.<sup>53</sup> Although this certainly enabled RIPOs to exercise very detailed financial control, it was time-consuming for both the RIPOs and the sub-grantees. Further, in the case of Tebtebba, receipts from sub-grantees from Bangladesh, India and Thailand were written in local languages and had to be sent back for translation.

**Cofinancing.** Each sub-grantee was expected to provide at least 20 per cent counterpart to the project costs. According to Tebtebba and FIMI, all sub-grantees managed to effectively provide cofinancing (see tables 14 and 15). According to Kivulini Trust, sub-grantees were not able to cost their cofinancing in-kind; thus it is not clear if and how they managed to contribute to project costs.

**Expenditures.** Total project expenditures amounted to US\$1,468,345, or 98 per cent of total budget. An analysis of project expenditures by organization and by category of expenditure in each region (see tables 16-21) indicate the following:

- Africa: Kivulini Trust did not spend funds as per the grant agreement. In particular, expenditures under component VII (management fees/overheads) exceeded the allocated amount by 52 per cent, while US\$22,050 under category I (sub-grants) went unspent due to the premature termination of the sub-grant to CCB in Botswana (see footnote 22). According to IFAD procedures, overheads can be a maximum of 8 per cent of project direct costs (US\$35,323 in this case). IFAD therefore recognized overheads only up to that amount. Based on the above, the last disbursement from IFAD amounted to US\$11,868 only, instead of US\$22,200 as originally planned (see table 11).
- Asia: a total amount of US\$21,322 went unspent by Tebtebba mainly under categories I (sub-grants) and II (personnel). In particular, US\$8,200 were unspent due to the premature termination of the grant to MASAKA in the Philippines (see footnote 23). Based on the above, the third disbursement by IFAD amounted to US\$2,279 only, instead of US\$23,600 as originally planned (see table 11).
- Latin America and the Caribbean: FIMI spent the entire project budget as planned.

53 Accounting by Kivulini Trust was done in Excel.

**Table 14.** Cofinancing from sub-grantees in Asia (in US\$)<sup>54</sup>

Country	Sub-grant amount	Cofinancing	Main sources of cofinancing
Bangladesh #1417	40,000	8,000	Community, Agriculture Department, Trinamul
Cambodia #1400	45,248	185,065	Other funding projects, Diakonia, German Agency for International Cooperation
India #1205	40,000	16,000	MGNREGS, <sup>55</sup> National Rural Livelihood Mission, Department of Agriculture of West Bengal
Indonesia #1783	40,067	10,015	Community
Malaysia #1785	40,000	53,391	Corporate social responsibility funds and individual donations
Pakistan #1655	41,400	9,600	Individual donations; community
Philippines #1194	20,000	4,000	Community contribution/in-kind
Philippines #1402	39,935	11,225	Community contribution, NCIP
Thailand #1635	43,350	16,950	Community contribution
Total	350,000	314,246	NA

**Table 15.** Cofinancing from sub-grantees in Latin America and the Caribbean (in US\$)<sup>56</sup>

Country	Sub-grant amount	Cofinancing	Source of cofinancing
Colombia #1300	50,000	14,300	Sub-grantee's own resources
Colombia #1606	40,000	8,000	Sub-grantee's own resources
Ecuador #1553	40,000	10,200	Sub-grantee's own resources
El Salvador #1473	44,700	9,750	Sub-grantee's own resources
Guatemala #1382	50,000	40,2013	Sub-grantee's own resources and Mecanismo de Apoyo a los Pueblos Indígenas Oxlajuj Tz'ikin
Mexico #1645	49,926	12,482	Sub-grantee's own resources
Nicaragua #1631	50,000	10,000	Sub-grantee's own resources
Paraguay #1608	25,374	41,726	Sub-grantee's own resources, NGOs
Total	350,000	146,660	NA

54 Source: Tebtebba November 2018.

55 Mahatma Gandhi National Rural Employment Guarantee Scheme.

56 Source: FIMI completion report.

**Table 16.** Africa, expenditures by organization (in US\$)<sup>57</sup>

Country	Budget	Expenditures	Expenditures vs budget
Kivulini Trust	137,200	159,250 (123,926 only recognized by IFAD)	116%
Botswana #1611	48,200	26,150	54%
Cameroon #1515	48,000	48,000	100%
Democratic Republic of the Congo #1336	37,000	37,000	100%
Ethiopia #1398	35,000	35,000	100%
Morocco #1672	48,200	48,200	100%
Rwanda #1511	46,400	46,400	100%
Tanzania #1610	48,200	48,200	100%
Uganda #1757	39,000	39,000	100%
<b>Total</b>	<b>487,200</b>	<b>487,200</b> (476,868 only recognized by IFAD)	<b>100%</b> (98 per cent only recognized by IFAD)

**Table 17.** Kivulini Trust, expenditures by category (in US\$)<sup>58</sup>

Categories of expenditure	Budget	Expenditures	Balance	Over-expenditures (balance vs budget)
I. Sub-grants	350,000	327,950	22,050	-6%
II. Personnel	30,000	22,422	7,578	-25%
III. Travel allowances	78,000	85,173	-7,173	+9%
IV. Materials and equipment	3,500	3,500	0	0%
V. Workshops	2,500	2,500	0	0%
VI. Management fees/Overheads	23,200	45,655 (35,323 only recognized by IFAD)]	-22,455	+97%
<b>Total</b>	<b>487,200</b>	<b>487,200</b> (476,868 only recognized by IFAD)	<b>0</b>	<b>0</b>

57 Source: Kivulini Trust (November 2018).

58 Source: final SOE (as recorded by IFAD).



**Table 18.** Asia, expenditures by organization (in US\$)<sup>59</sup>

Country	Budget	Expenditures	Expenditures vs budget
Tebtebba	175,600	163,843	93%
Bangladesh #1417	40,000	40,000	100%
Cambodia #1400	45,248	43,884	97%
India #1205	40,000	40,000	100%
Indonesia #1783	40,067	40,067	100%
Malaysia #1785	40,000	40,000	100%
Pakistan #1655	41,400	41,400	100%
Philippines #1194	39,935	39,935	100%
Philippines #1402	20,000	11,800	59%
Thailand #1635	43,350	43,350	100%
<b>Subtotal</b>	<b>525,600</b>	<b>504,278</b>	<b>96%</b>

**Table 19.** Tebtebba, expenditures by category (in US\$)<sup>60</sup>

Categories of expenditure <sup>61</sup>	Budget	Expenditures	Balance	Over-expenditures (balance vs budget)
I. Sub-grants	350,000	340,436	9,564	-3%
II. Personnel	32,000	24,931	7,069	-22%
III. Travel allowances	109,500	107,693	1,807	-2%
IV. Materials and equipment	6,500	3,801	2,699	-42%
V. Workshops	2,500	2,496	4	0%
VI. Management Fees/Overheads	25,100	24,922	178	-1%
<b>Total</b>	<b>525,600</b>	<b>504,279</b>	<b>21,321</b>	<b>-4%</b>

59 Source: Tebtebba (November 2018).

60 Source: final SOE (as recorded by IFAD).

61 Due to a mistake, amounts under categories IV and V were reversed. An amendment to the grant agreement was consequently made in September 2016 to adjust the budget.

**Table 20.** Latin America and the Caribbean, expenditures by organization (in US\$)<sup>62</sup>

Country	Budget	Expenditures	Expenditures vs budget
FIMI	137,200	137,199	100%
Colombia #1300	50,000	50,000	100%
Colombia #1606	40,000	40,000	100%
Ecuador #1553	40,000	40,000	100%
El Salvador #1473	44,700	44,700	100%
Guatemala #1382	50,000	50,000	100%
Mexico #1645	49,926	49,926	100%
Nicaragua #1631	50,000	50,000	100%
Paraguay #1608	25,374	25,374	100%
<b>Total</b>	<b>487,200</b>	<b>487,199</b>	<b>100%</b>

**Table 21.** FIMI, expenditures by category (in US\$)<sup>63</sup>

Categories of expenditure	Budget	Expenditures	Balance	Over-expenditures (balance vs budget)
I. Sub-grants	350,000	351,775	-1,775	1%
II. Personnel	30,000	31,136	-1,136	4%
III. Travel allowances	78,000	77,074	926	-1%
IV. Materials and equipment	3,500	2,507	993	-28%
V. Workshops	2,500	2,500	0	0%
VI. Management fees/Overheads	23,200	22,208	992	-4%
<b>Total</b>	<b>487,200</b>	<b>487,200</b>	<b>0</b>	<b>0</b>

Overall, financial management can be considered satisfactory for Tebtebba and FIMI. The organizations spent funds in accordance with the grant agreement, and ensured a regular submission of audits and clear and timely financial documents to IFAD.

Kivulini Trust managed the IPAF as a stand-alone programme within the organization and faced challenges in complying with the grant requirements and ensuring timely disbursement of funds to partners. This was particularly due to the high turnover and limited capacity of financial staff.

62 FIMI completion report.

63 Source: final SOE (as recorded by IFAD).

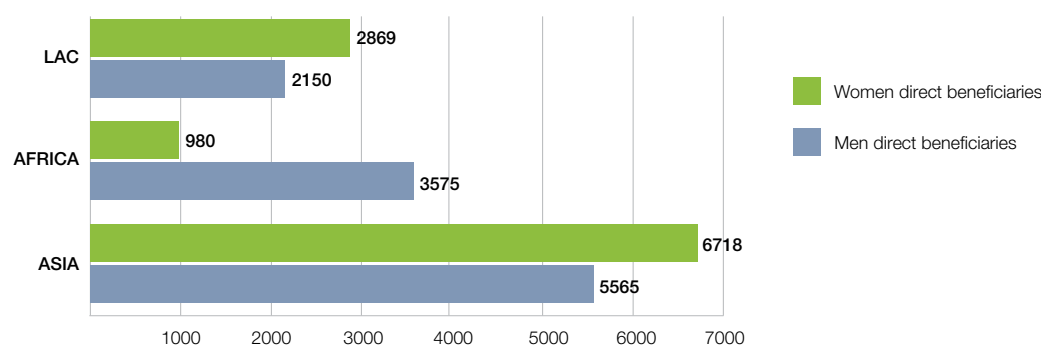


## 5. Cross-cutting issues

### 5.1 Gender and youth

The IPAF proposals particularly sought to promote gender equality, and women appear among the beneficiaries in most projects. As mentioned in section 2, at least 48 per cent of direct beneficiaries were women. Also, gender issues were prominent in most of the projects supported by IPAF, with a view to promoting indigenous women's livelihoods, furthering their knowledge, strengthening their organizations, and building their advocacy and participation in society.

**Graphic 8.** Men and women direct beneficiaries by region



Compared to the other regions, Asia had the largest number and percentage of women targets, with over 6,700 women participating in the projects as direct beneficiaries, or 55 per cent of total beneficiaries.

Also, the majority of the projects in the region focused on income-generating activities based on traditional knowledge, whereby women played a central role. This is reflected in the number of women-headed community groups created or strengthened for microenterprises, marketing, SHGs and collective resources (67 per cent of a total of 81 groups created or strengthened in the region). This was the case in India, where over 300 women created or revived 39 SHGs for the management of the wadi and further organized into a producers' cooperative (see section 2.1 for further details).

Further, significant results were achieved in terms of women's participation in decision-making, such as in Indonesia, where participants in the IPAF-funded project managed for the first time to secure women's participation in the *musrenbangdes* (village assembly meeting for village development planning). Participation in such spaces enabled them to have their Jawatn Women's Struggle Agenda adopted by the village government through a Commitment of Agreement, paving the way for the development of a women's empowerment programme.

In Latin America and the Caribbean, women represented 47 per cent of direct beneficiaries. Women were particularly engaged in projects focusing on improving production and food security, with the ultimate aim to contribute to their visibility, empowerment and participation in decision-making in their communities and beyond. Through project implementation, indigenous women were particularly empowered by: (i) strengthening their capacities to

coordinate and lead community projects, and sharing lessons learned among different women's groups; (ii) enriching their knowledge to produce their own food, bolster food security and generate income; and (iii) strengthening their political incidence and participation in policy dialogue on issues related to territorial rights and women's rights, in collaboration with local governments.

It is worth noting that these activities and approach are fully in line and coherent with the mandate of FIMI to increase the role of indigenous women in decision-making processes, promote collaboration between indigenous women's movements, and build leadership and advocacy skills of women through the Global Indigenous Women's Leadership School founded by FIMI in 2012.

The lowest participation of women was registered in Africa, with women representing only 27 per cent of total direct beneficiaries.<sup>64</sup> Nonetheless, among the eight proposals approved, three directly focused on women's empowerment (Cameroon, Ethiopia and Morocco), and two were implemented by women's organizations (Cameroon and Morocco). It is also worth noting that IMSLI, the grassroots organization implementing the IPAF in Morocco, is one of the first organizations in the country working to defend the rights of Amazigh women and to build the capacity of women organized in cooperatives to market traditional products from local territories.

While some participating organizations systematically gathered gender-disaggregated data in relation to activities implemented, this was not the case for all of them. The absence of standard and common formats and indicators for reporting to RIPOs certainly constituted an obstacle for the use of gender-sensitive indicators.

IPAF projects also included an intergenerational focus, together with a perspective that directly involved the communities' youth. Efforts were made to stimulate communication between young people and the elderly to transfer traditional knowledge, create value around their identity and increase solidarity within and between generations (e.g. in Ecuador, Ethiopia).

Although this IPAF cycle did not have a specific focus on youth, at least 5,900 indigenous youth (or 27 per cent of total direct beneficiaries) were reached.<sup>65</sup> It is worth mentioning that based on the recommendations from the third global meeting of the IPF, the next IPAF cycle will have a focus on youth.

## 5.2 Innovation

**IPAF as an innovative instrument.** The IPAF is an innovative financial instrument to enable direct partnerships to be built among indigenous peoples' communities, grassroots organizations and NGOs working with indigenous peoples in Africa, Asia and the Pacific, and Latin America and the Caribbean. The main innovative feature embedded in the Facility consists in its ownership by indigenous peoples. Open to any indigenous community or organization in IFAD's Member States, the Facility is demand-driven, as it solicits applications from organizations that design and implement development projects based on their own perspectives, values and priorities. Moreover, the Facility's decision-making systems, tools and bodies are governed by indigenous peoples themselves and are based on the FPIC of indigenous communities and organizations.

The IPAF has been used by other development partners as a model to set up other facilities

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<sup>64</sup> It is important to reiterate that data on women beneficiaries in Africa is not complete.

<sup>65</sup> The collection of disaggregated data by age was not regularly ensured by grassroots organizations and RIPOs. In particular, FIMI and Kivulini Trust did not collect data on youth beneficiaries. Additional data were collected through the survey, although they were not complete and did not cover all countries.

(e.g. the World Bank's facility on climate change, FIMI's "Leading from the South" programme financed by the Dutch government), and its unique feature of putting indigenous peoples in the driving seat is guiding other organizations to follow the same path (e.g. the Green Climate Fund, UNDP).

The methodology for designing and implementing the IPAF-funded projects is also being mainstreamed into IFAD loans to adopt a self-driven development approach. For instance, in Brazil the strategy for indigenous communities within the Maranhão Rural Poverty Alleviation Project was successfully designed by communities themselves, with technical support from IFAD. The design of this project set the highest standard in IFAD's methodology in designing loan projects in support of indigenous peoples, based on the self-driven development principle of IFAD's policy on engagement with indigenous peoples, and on the methodology of the IPAF, whereby indigenous peoples' communities and their organizations design and implement their projects.

Also, the IPAF is rooted in a "learning by working" approach, with a view to improve and refine the Facility at each cycle. During the previous cycles, improvements were introduced based on the suggestions from the grassroots organizations implementing small projects funded by the Facility. For example, the process for the technical review of proposals was strengthened with the scouting for indigenous experts at the regional level, the ceiling of grant financing was increased to respond to expressed needs of grassroots organizations, and the management of the Facility was decentralized.

Another innovation is the catalytic role that the IPAF can play through RIPOs in strengthening indigenous peoples' intercultural dialogue on national, regional and global policies that directly and indirectly affect them.

**Innovation within projects.** The innovations proposed by the 25 IPAF-financed projects lie in their holistic approach, where economic, social and environmental sustainability are integrated, and coupled with gender equality and women's empowerment. Also, through the implementation of their projects and initiatives, indigenous peoples' communities had the opportunity to jointly learn, build and test adaptive and local innovative approaches, ensuring long-term appropriation and sustainability.

For example, in Guatemala, Comundich's project contributed to poverty reduction through increased production and natural resources protection. The project aimed at the holistic welfare of communities that had recovered their territories and resources, by establishing mechanisms that are socially, environmentally and economically sustainable, and in which indigenous peoples addressed malnutrition through traditional practices.

In Tanzania, the IPAF project implemented by URCT proposed innovative approaches and methodologies to respond to high poverty and nutrition deficit, particularly among hunter-and-gatherer communities, while maintaining a holistic approach which encompasses economic, social and culture dimensions. In particular, the project worked on land tenure security in support of the Hazabe people and applied an integrated approach in working with pastoralists, farmers and hunter and gatherers to create a reciprocity use and management of land and resources.

Among the most innovative projects is also the one approved in Morocco, with Amazigh women improving their income through branding and marketing their local products in a territorial development approach, valuing traditional knowledge.

Innovative solutions were also proposed in Colombia, where adaptation strategies were identified by indigenous women together with resource centres such as CIAT; and in Ecuador, where indigenous communities implemented and improved pisci-cultural systems to rescue,

value and make sustainable use of native species while contributing to ecosystem and sensitive conservation areas. By cultivating a native fish such as *cachama*, the IPAF project promoted a product with territorial identity, strengthened traditional gastronomies, improved nutrition and promoted the empowerment of community members who produce their own food in accordance with their indigenous worldview.

The promotion of traditional foods and/or native assets was also at the core of the IPAF project in Ethiopia, which sought to improve the livelihood of indigenous women through the protection, production, preservation and processing of a traditional crop known as enset. While regenerating lost varieties, the project further enabled the development of an innovative chemical solution to address the bacterial wilt that affected the enset crop, through the traditional knowledge of one of the elderly members of the community. Discussions are currently under way with the support of the World Intellectual Property Organization on the best way to protect this knowledge and innovation.

The IPAF enabled the development of innovative partnerships, such as in India, where CSRA conducted health awareness activities with government officials; and Uganda, where Batwa people collaborated with the government UWA and the Institute of Tropical Forest for the management of the Batwa Forest Experience initiative. Batwa people engaged in a win-win arrangement in which UWA ensured access to the BINP, ITFC provided research and technical support, and the Batwa community provided indigenous knowledge for the conservation and protection of the forest and insight on the importance of different animals and plants.

### 5.3 Linkages with IFAD's investment portfolio

Efforts were made to connect the projects and organizations financed through the IPAF with IFAD country offices and IFAD investment projects.

This took place during the selection of proposals and at design, with the engagement of IFAD CPMs who provided comments on initiatives to be financed, particularly in relation to possible synergies and/or complementarities with IFAD country programmes. For example, the IPAF-financed project in El Salvador was considered highly relevant and very much in line with IFAD's efforts in the country. The possibility for IFAD to engage with the project was also highlighted, particularly in terms of institutional support and the development of linkages with value chains in the context of the IFAD-funded project Rural Adelante. Similarly, opportunities were identified in relation to the Nicadapta project implemented in Nicaragua.

Following approval and finalization of project documents, CPMs were informed of the grants approved in their respective countries in order to foster close cooperation in supervision, learning, and opportunities for scaling up.

Extensive efforts were also made to systematically engage CPMs and project staff in the implementation of the IPAF-funded projects. A good example is offered by the IPAF's experience in Guatemala where, in 2016, the supervision of the IPAF-funded project was carried out with the participation of staff from IFAD-supported loan projects in the country. Building on this experience, the IPAF coordinator was engaged to be part of the design team as a technical adviser for a new IFAD loan project in Guatemala, *Territorios Productivos*.

The facilitation of linkages and the assessment of synergies to be developed with IFAD country projects was among the main objectives of the supervision missions organized by FIMI, as defined in their terms of reference.

A joint IFAD-IPAF monitoring was also conducted in March 2017 in India, with the participation of both the IFAD-supported Jharkhand Tribal Empowerment and Livelihood

Project and the IPAF project Revamping Livelihood of Santhal Tribe through WADI Approach. The joint monitoring was coordinated by IFAD's country office in India with the participation of the IPAF Coordinator of Tebtebba, and staff from the implementing organizations of both projects (JTDS and CSRA). The joint monitoring offered a good exchange and learning opportunity although no more interaction took place afterward.

Another very positive case of collaboration at the country level is represented by the Democratic Republic of the Congo, where a link between the IPAF grantees and Slow Food was created as part of IFAD's partnership with Slow Food. The person in charge of the IPAF project in the Democratic Republic of the Congo was very active on the ground in coordinating food communities and he was proposed as a member of the Slow Food Congress to represent indigenous peoples in Africa in Slow Food.

Dialogue and partnership were also clearly facilitated through the IPF, as mentioned in section 2.2.

In addition, a good strategy to improve collaboration during this IPAF cycle consisted in the organization by RIPOs of the regional IPF preparatory workshops in 2014. In Tanzania, as mentioned, an event on the rights of indigenous peoples was organized by Kivulini Trust in cooperation with the CHRAGG and the UN Country Team. It provided an opportunity to discuss key issues related to indigenous peoples in the country, particularly highlighting the situation of hunter and gatherers. As a result, for the first time the design of the new IFAD's country strategic opportunities programme (COSOP) for Tanzania saw the participation of an indigenous expert in the design team, resulting in an improved focus on indigenous and pastoralist people.

The selected consultant was further nominated to be a member of the UNPFII and led the national policy dialogue in November 2016, including IPAF-funded organizations at the country level. He further participated in the third global meeting of the IPF at IFAD in 2017.

In Asia, the 2016 IPF preparatory workshop was organized by CIPO, the IPAF sub-grantee in Cambodia. In February 2017, the Executive Director of the organization was nominated to be a member of the IPF Steering Committee. Improved mutual knowledge and collaboration resulted in: (i) the organization of a joint IFAD-CIPO mission to define a strategy to work with indigenous peoples in the IFAD-funded project Agriculture Services Programme for Innovation, Resilience and Extension; (ii) the participation of indigenous peoples' representatives from CIPO in IFAD's Cambodia Country Portfolio Review (Sihanoukville, 24-26 January 2017); and (iii) the participation of indigenous peoples' representatives in IFAD's Country Strategy and Program Evaluation Workshop (Phnom Penh, January 2018).

Finally, a continuous effort was also made by the Indigenous Peoples Desk at IFAD to use the knowledge generated by the IPAF on indigenous peoples' needs, solutions and innovations to feed IFAD-funded projects. In particular, this occurred by providing technical advisory services in IFAD-funded projects' design processes to improve the quality of project design by integrating indigenous peoples' priorities as they emerged from the proposals submitted by indigenous peoples' organizations.

The IPAF Secretariat in IFAD made use of a database on IFAD investment projects to monitor opportunities for the creation of links with IPAF-financed projects at the country level. The database, which currently includes data on over 80 IFAD-funded projects in about 38 countries, is a useful source of information to be further developed.

Notwithstanding positive examples and progress, the development of synergies between IPAF-supported activities and organizations and IFAD-supported projects at the country level remains a challenge. This was expressed unanimously by the three RIPOs. According to FIMI



and Kivulini Trust, despite efforts made (e.g. through regular follow-up, sharing of documents and information on progresses and activities), results are not satisfactory. FIMI stated that the results were well below expectations and not commensurate with the efforts made, and that with very few exceptions, the responsiveness by IFAD country programmes and project staff was weak.



## 6. Sustainability

Although it is too soon to provide an assessment of the sustainability of the initiatives supported through the IPAF, the following aspects and features embedded in the Facility can be considered as contributing to sustainability:

- **Ownership.** The ownership of the IPAF is in the hands of the indigenous peoples at the IPAF Board level, at the regional management level, and at the grassroots level, with the implementing organizations and communities designing and implementing their self-driven development projects. Proposals submitted and activities proposed were based on priority requirements that recipient organizations and the communities they serve had identified. Organizations and communities bear entire responsibility for implementing their small projects. Self-evaluation tools developed by RIPOs further contributed to appropriation and ownership of results. The IPAF didn't contribute to create parallel structures, mechanisms or activities specific to their implementation. Rather, programme activities and systems were embedded in existing structures, thus contributing to enhanced ownership and stronger impact.
- **Organizational development.** Overall, the IPAF contributed to fostering sustainability by supporting organizations to evolve into well-functioning institutions that are able to influence policy environments and gain recognition from stakeholders. IPAF resources also financed activities contributing directly to the institutional strengthening of RIPOs and indirectly, through them, to grassroots organizations by setting up major building blocks required to support their institutional development: strategies, procedures, accounting, KM and M&E systems. This certainly strengthened them as professional organizations, increased their effectiveness and sustainability, improved their visibility, and facilitated further mobilization of resources and partnership development.
- **Empowerment of indigenous peoples and their organizations.** Initiatives supported through the IPAF-financed projects included activities aiming to support the economic empowerment of indigenous peoples, particularly women, in building and strengthening their enterprises and entering profitably into value chains. This is expected to have an effect in terms of financial sustainability in the medium and long terms. Similarly, improved visibility and capacity of organizations to voice their needs and raise awareness about issues they are confronted with enabled them to be well-positioned to defend their rights and be recognized as development actors.
- **Knowledge.** Successful project implementation enabled recipient organizations to learn relevant lessons and collect positive experiences, as well as to set up institutional mechanisms to further replicate such experiences in other communities, and scale them up to reach a higher number of beneficiaries.
- **Mobilization of resources and partnership.** Results emerging from the implementation of the financed projects were instrumental in entering into partnership and leveraging additional resources. This happened at the level of RIPOs, in some cases at the national level (see sections 2.1 and 4), and also at the project level.

For example, based on the experience and strengthened capacity in grant-making through the IPAF, and the systems set forth, FIMI was able to mobilize resources in support of indigenous peoples' organizations.

In addition to the collaboration with IFAD, alliances were established by FIMI with donor partners such as the Christensen Fund, the OAK Foundation, the Swift Foundation and Tamal Pais, and with organizations including the Association for Women's Rights in Development, and the International Funders for Indigenous Peoples, Prospera. In 2016, a partnership was established with the Dutch government, through the "Leading from the South" programme, which supports the strengthening and incidence of indigenous women for an amount of about US\$10 million.

Table 22 below further shows the evolution in terms of funding available to support the programme during the last cycles.

**Table 22.** Evolution of IPAF financing

Indicators	2007	2008	2011 <sup>66</sup>	2015
Small projects financed	30	43	31	25
Resources for the financing of small projects (in US\$)	603,700	889,821	1,138,000	1,050,000
Funds for each small project on average (in US\$)	20,123	20,694	36,710	42,000
Donors involved in addition to IFAD	World Bank	Canada, Finland, Italy, Norway	-	-

For the 2018 cycle, IFAD and IPAF partners were able to mobilize cofinancing from several donors, including Tamal Pais, the Christensen Fund and Fondo Indigena. The total budget for the Facility will be US\$2.8 million, including approximately US\$1.4 million for the financing of small projects. This represents an increase of 40 per cent compared to 2015.

Further, relevant partnerships were sealed as a result of the improved capacity of organizations, some of which received non-monetary support in the form of training or technical assistance from other partners or government institutions, providing opportunities to ensure the sustainability of supported initiatives and projects (see more in section 2.1).

<sup>66</sup> In 2011, the ceiling of an IPAF grant was increased to US\$50,000, while in 2007-2008, the sub-grant ceiling was US\$30,000. The grant implementation period was increased to two years, instead of one year.



# 7. Lessons learned and recommendations

## **The IPAF and the self-driven development of indigenous peoples.**

The IPAF proved to be a relevant instrument to support indigenous peoples' self-driven development in the three regions.

IPAF projects were conceived on the basis of a demand expressed by indigenous peoples, and the degree of ownership is high.

They strengthened and improved the living conditions of beneficiary communities on multiple aspects. Overall, the 25 projects contributed to improve the lives of over 45,800 indigenous peoples, with a direct impact on 21,800.

Through a cooperation strategy, supported communities developed capacity-building and training strategies on their collective and individual rights. Further, they consolidated their advocacy actions, promoting women's participation in self-government structures and in local decision-making spheres. This approach certainly contributed to communities' management of their own development.

The involvement and active participation of women in project activities further contributed to the reduction in gender inequality in the communities and reflects the recognition of the traditional mechanisms of action that women implement for the life and well-being of their communities.

Initiatives aimed at improving production and access to markets through indigenous practices also helped improve living conditions in communities, especially in terms of food and nutrition security. The IPAF particularly supported the recovery of ancestral techniques and native assets in a community-based economy, enhancing the livelihoods of indigenous peoples, and it is applying a holistic, integrated and multisectoral approach which is valued by many organizations, and is inherent in the Sustainable Development Goals.

The projects' focus on land, territories and resources effectively addressed challenges related to the recognition of indigenous peoples' rights of access to ancestral lands and improved land and NRM.

The IPAF was also a flexible instrument in its capacity to adapt to the needs of different institutions at varying stages of development and within different contexts. This flexibility means that the programme can respond to needs that are usually not addressed by other partners or programmes.

The IPAF has a comparative advantage in its capacity to reach out to communities that are often geographically isolated and not generally benefiting from development initiatives, and linking them up to regional and international networks.

Overall, effectiveness can be considered satisfactory given the significant results obtained with a relatively limited budget and implementation period. At the same time, some aspects to be improved in the implementation of the Facility were identified. In particular, the following are recommended:

- **Funding.** Acknowledging that there is an untapped potential for sustainable development, efforts should be made by IFAD and IPAF partners to mobilize additional resources in order to reduce the gap between the proposals received within the call and the number

of proposals funded. If supported, the vision and talents of indigenous peoples can contribute to strengthen IFAD's own capacity to understand, assess and mainstream emerging issues in rural poverty and sustainable development. The successful efforts to mobilize funds for the 2018 cycle already represent positive progress in this direction.

- **Women and youth.** More needs to be done to support and empower women and youth, who particularly face exclusion, unequal access to education and training, and lack of access to land, credit and market facilities. The lack of economic opportunities and access to resources pushes youth to migrate from their communities, inhibiting intergenerational knowledge transfer and leading to the loss of traditional ecological knowledge and practices that have long enriched biocultural diversity. Also, more attention should be given to developing gender/age-sensitive M&E systems and ensuring the regular collection of disaggregated data.
- **The role of RIPOs.** A reflection should be conducted among IPAF partners and within IFAD on the rationale for and relevance of the competitive selection of regional grantees. Although it ensures transparency and openness, it results in the loss of the capital achieved and generated in terms of capacity-building and institutional development of RIPOs supported through the Facility.
- **Capacity-building.** More effort should be made to support capacity-building and institutional strengthening of grassroots organizations through RIPOs. This is particularly relevant for young organizations with limited experience in the management of development projects (see more below).
- **Project duration.** A good number of project extensions were granted to grassroots organizations, indicating that the implementation period of two years is too limited, especially given the need to implement preparatory activities (e.g. finalization of design) and closing activities (e.g. reporting). The possibility of extending the duration of IPAF-supported projects to three years should be considered.

### **The performance of RIPOs in managing the Facility.**

There were positive results registered as a consequence of IPAF decentralization to the regional level. Overall, this was evident in greater oversight and technical assistance by RIPOs to IPAF grantees, which contributed to stronger operational capacities of grassroots organizations. RIPOs are playing a key role in strengthening indigenous peoples' intercultural dialogue on national, regional and global policies that directly and indirectly affect them. Also, monitoring of projects increased, not simply to exercise quality control over project execution, but also to collect resource material. The IPAF provided RIPOs with a unique experience in programme management (planning, implementation, M&E, administrative and financial management, and reporting), contributing to their growth as institutions, as demonstrated by their capacity to leverage funds.

At the same time, successful institution-building may also create strain on human resources and present a risk in terms of the human and financial capacity to cope with increased demands and workload. Some challenges were faced in the implementation of the Facility and areas of improvement identified, as detailed in the paragraphs below.

It is important to underline that capacity-building and institutional development are long-term endeavors and more than three years are needed to achieve sustainable progress and results. Similarly, resources needed for the coordination of the grant by RIPOs and for the achievement of ambitious expected results (e.g. in terms of the support to be provided to grassroots organizations, networking, linking with regional and international platforms, developing and disseminating knowledge) were underestimated and not sufficient to cover for staff and other administrative costs involved in the implementation of contracts.

Taking into account the limited time and resources available, results achieved by RIPOs were impressive and their institutional growth remarkable. This is particularly true for FIMI and Tebtebba.

**Overall coordination by RIPOs.** RIPOs ensured the overall coordination of the Facility in their respective regions, with different degrees of effectiveness.

Tebtebba was highly effective as demonstrated by its: good financial management capacity; quality support, backstopping and advice provided to grassroots organizations in implementing their projects; capacity to facilitate knowledge-sharing among organizations through the organization of learning workshops; preparation and timely submission of quality progress and completion reports; and capacity to link organizations with the indigenous peoples' movement at the international levels. Its professionalism and efficiency in coordinating the Facility was largely recognized by sub-grantees through the survey.

FIMI exercised its function as a regional grant-maker in a satisfactory manner, confirming its overall high performance of the previous cycle. Nonetheless, its capacity to ensure continuous communication with IPAF-awarded organizations, provide technical assistance, and link them up with regional and international forums and platforms needs to be improved.

This might be attributable to the increase in FIMI's workload as an institution, as well as to insufficient financial resources available within the IPAF for grant coordination. In fact, although the coordination of the IPAF was ensured by a skilled and committed coordinator, it seems quite challenging for one person only to technically and financially manage the eight sub-grants throughout the project cycle. The fact that over 36 per cent of the budget available for grant coordination was used for the organization of the regional workshop in preparation of the IPF in 2014 further reduced the capacity of FIMI to effectively provide tailored support to sub-grantees and facilitate their involvement and participation in policymaking or dialogue platforms and arenas.

In Africa, the coordination of the IPAF certainly improved compared to the previous cycle, with the hiring of a French-speaking coordinator, the organization of supervision missions to all projects, and improved monitoring. Nonetheless, Kivulini Trust managed the IPAF as a stand-alone project within the organization, and the programme coordinator, although skilled and motivated, managed the Facility in isolation and with limited support and engagement from financial management staff. This resulted in delays in the disbursement of funds to sub-grantees and affected the efficiency of the Facility in Africa.

Based on the above, the following are recommended:

- **Strategic planning.** Internal reflection and discussion should be conducted by RIPOs on how to improve planning, efficiently organize work and manage human and financial resources to ensure the achievement of the expected results of the IPAF and an effective grant management in the future.
- **Resources.** Sufficient resources should be made available through IPAF financing for improving strategic planning. RIPOs should also contribute to this effort by deploying their own resources and/or mobilizing additional resources for the IPAF for increased ownership and sustainability. This cofinancing (in terms of financial and/or human resources) should be clearly earmarked and established at the outset and carefully monitored throughout the IPAF cycle.

**Design of IPAF projects.** RIPOs successfully supported grassroots organizations in the design of their initiatives, using tools and instruments built from the perspective of indigenous peoples and putting at the centre the domains and indicators relevant to them. Nonetheless, some weaknesses were also identified and the following are recommended:



- **Improving design.** More time and guidance should be provided at the kick-start of the IPAF cycle, particularly through capacity-building and training, to improve the design of projects. Skype and phone exchanges may not be sufficient to support grassroots organizations in designing their projects. Particular attention should be placed on sustainability and in supporting organizations to build exit strategies. The organization of an inception meeting with the participation of all organizations would highly benefit design as well as implementation and monitoring. Sufficient resources should be earmarked for this purpose. The successful experience of Tebtebba in this regard could be looked at as a positive example.
- **Improving project baselines.** Project baselines should also include/integrate indicators adapted/tailored to the objectives and expected results and include quantitative data. The same applies to project logframes.
- **Streamlining logframes and indicators.** Project logframes should be streamlined to the overall programme logframe and include/integrate common indicators enabling RIPOs to monitor and feed their respective IPAF regional logframe, and IFAD to monitor and feed the programme logframe. A selected number of common indicators for all projects (in addition to project-specific ones) should be agreed upon among IPAF partners, included in project logframes and disaggregated by gender and age (e.g. number of trainings organized, number of people trained, number of exchange meetings organized, number of advocacy actions conducted).<sup>67</sup>

**Monitoring and evaluation.** RIPOs developed different systems and tools to monitor the IPAF-supported projects in their respective regions. Some aspects were identified for improvement and the following recommendations are made:

- **Reporting.** Standard templates for project planning and reporting should be used. However, if they are not supported by guidance, templates risk not being properly and fully used and exploited. Additional guidance and advice by RIPOs might be helpful. As mentioned above, the organization of an inception workshop might serve this purpose, along with a common understanding of other programme-related tools, formats, instruments and procedures, thus reducing constraints during implementation and easing the work of the programme coordinators.
- **Regional logframes.** Based on the programme logframe, regional logframes should be developed and monitored by RIPOs. Updated logframes should be attached to their annual and completion reports to IFAD.
- **Closer communication with grassroots organizations.** Closer communication and exchanges with grassroots organizations would help RIPOs to remain updated on progress and advances in the implementation of projects, strengthen relations, and provide more tailored support and capacity-building. This is particularly relevant for FIMI and Kivulini Trust.

**Supervision.** RIPOs were effective in providing implementation support to grassroots organizations, particularly through the organization of mid-term review and supervision missions. To this extent, the following recommendations are made:

- **Supervision by FIMI.** Direct supervision and monitoring could greatly benefit from the participation of FIMI staff in missions and would bring continuity between decisions

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<sup>67</sup> A list of some of the indicators collected during the present assessment is provided in annex 4.

made during supervision and subsequent implementation. It would also enable FIMI to improve its capacities in advisory support in organizational, financial and technical areas and strengthen its partnership with grassroots organizations. This would also respond to the needs expressed by sub-grantees to have more continuous assistance, support and communication with FIMI as well as regular follow-up once supervisions are concluded. The ideal solution for FIMI might be to plan supervision missions with the participation of both FIMI staff and the indigenous expert. If this option is retained, sufficient resources should be earmarked for this purpose under IPAF, with cofinancing by FIMI.

- **Timeliness of supervisions.** Supervision missions should be planned to take place at mid-term in order to enable supported organizations to implement recommendations during implementation period.
- **Sharing supervision reports and follow-up.** RIPOs should ensure that the mission recommendations are agreed upon with the IPAF sub-grantees at the end of the supervision missions, and that all supervision reports are promptly shared (within a maximum of one month) with them. Recommendations should be regularly followed up. For this to be possible, closer communication with grassroots organizations should be established.

**Links to the regional and global levels.** The strengthened capacities of RIPOs resulted in a significant change in terms of their representation at policymaking forums and regional and continental events, where RIPOs shared IPAF experiences and brought in the voice and perspective of indigenous peoples. However, with the exception of Tebtebba, they didn't perform well in terms of linking grassroots organizations to regional and international platforms and forums. According to FIMI, this was particularly due to the lack of funds. Based on the above, the following is recommended:

- **Planning and resources.** Detailed planning and budgeting should be undertaken at the beginning of implementation and annually to ensure the facilitation of processes to link grassroots organizations with the regional and global levels, this being a key feature of the IPAF. Clear strategies should be in place and sufficient resources earmarked for this purpose.

**Mobilization of resources.** Scaling-up took place at the level of FIMI thanks to its strengthened capacities in implementing the IPAF. In some cases, grassroots organizations also succeeded in mobilizing funds to strengthen and scale up IPAF-supported initiatives. Nevertheless, some of them were still unable to effectively raise funding or develop a medium- to long-term resource mobilization strategy. Based on the above, the following is recommended:

- **Resource mobilization.** More support from RIPOs should be provided to organizations to support their mobilization efforts (e.g. by informing or supporting them to participate in calls, facilitating the creation of partnerships, scouting additional resources, supporting them to increase visibility through knowledge-sharing). The scaling-up dimension should be strengthened in the next cycle and opportunities sought within and outside IFAD, particularly during monitoring and supervision missions of the sub-grants. Synergies with other projects or initiatives managed by RIPOs could also be generated.

**Financial management.** As previously mentioned, while Kivulini Trust faced challenges in complying with the grant requirements and ensuring timely disbursement of funds to sub-grantees, financial management was satisfactory for FIMI and Tebtebba.

At the same time, some of the practices established by RIPOs for financial management might be too cumbersome and result in delays in the disbursement of funds. The following are recommended:

- **Accounting and audits.** RIPOs should consider requesting audits from organizations that have a sufficient level of institutional development. In fact, although the request by RIPOs to sub-grantees to submit all project-related receipts and proof of expenditures enabled RIPOs to exercise detailed financial control, it was time-consuming for all parties.
- **Disbursement schedule.** RIPOs might consider establishing a disbursement schedule in two instalments rather than three, at least for projects lasting only 12 months. The disbursement schedule and reporting plans established by RIPOs were too demanding for sub-grantees, who used an inordinate amount of time for reporting rather than in supporting implementation of their project on the field.
- **Capacity-building.** More guidance and capacity-building should be provided by RIPOs to sub-grantees in terms of financial management, especially for young organizations with little experience in managing development projects. Again, the organization of an inception workshop would be fundamental for this purpose.

**Knowledge management.** RIPOs played an important role in documenting and disseminating knowledge generated within the Facility. Some knowledge products were developed by RIPOs, such as the analysis of proposals received by the IPAF call. However, it is not clear if and how these documents were disseminated. In some cases, RIPOs (FIMI and to a lesser extent Tebtebba) also collected outputs deriving from the implementation of projects by grassroots organizations (e.g. reports from meetings and trainings, advocacy material, market studies, photos). With the exception of the booklet<sup>68</sup> developed by Tebtebba, the development and dissemination of KM and communication products (e.g. case studies, brochures, analyses) was infrequent and the rich documentation and knowledge were not fully capitalized upon. The limited duration of the programme certainly constituted an obstacle for the development of KM products. Based on the above, the following is recommended:

- **Knowledge generation and sharing.** An effort should be made to fully exploit and disseminate material that risks remaining confined to only RIPOs and the involved organizations. A communication and KM strategy should be elaborated for this purpose as part of RIPOs' overall strategies.
- **KM workshops.** The approach adopted by Tebtebba to use the closing IPAF workshop was a great opportunity for organizations to share knowledge generated from country-level activities, and for Tebtebba to increase its legitimacy and visibility with partners, strengthen communication with them and contribute to their institutional strengthening. This approach should be maintained and expanded. All RIPOs should organize a KM workshop at the end of the project cycle. The participation of IPAF partners from other regions might help generate further opportunities for peer cross-learning among regions. To this end, sufficient resources should be earmarked, with cofinancing by RIPOs.
- **Exchanges and peer learning.** In general, and as highlighted by grassroots organizations, more opportunities for peer knowledge-sharing and exchanges should be promoted, not only within the national or regional level. Such opportunities are considered key for grassroots organizations' institutional development and should become a central

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68 Ten years after the UNDRIP, Stories from the Indigenous Peoples Assistance Facility in Asia.

mechanism to accelerate the learning process by peers. In general, KM should become a key strategic axis within the IPAF, and with RIPOs playing a primary role. In addition, the possibility of organizing a continental meeting at mid-term or closing with the participation of the three RIPOs and sub-grantees could provide a unique opportunity for continental knowledge-sharing and should be explored. More opportunities for regular interaction and exchange among RIPOs should be ensured.

- **Use of media.** RIPOs should consider more regularly using online tools such as social media and their website to share information, news and success stories related to the IPAF. This should be included in their communication and KM strategies.

**Linkages with IFAD-funded projects.** The implementation modalities of the IPAF-supported initiatives and of IFAD investment projects differ substantially, as IFAD-financed projects are implemented through governmental agencies, while IPAF-funded projects are designed and implemented by indigenous peoples' communities and their organizations. In most cases, projects financed through the IPAF are complementary to IFAD's operations in the country, and can reach out where IFAD-funded projects cannot.

Efforts were made by RIPOs to connect the projects and organizations financed through the IPAF with IFAD country offices and IFAD investment projects. Nonetheless, with few exceptions, concrete synergies with IFAD country projects cannot be identified, although it is recognized that sufficient time and budget are needed to achieve results. In the future, more importance should be placed on the synergies and articulations that IPAF develops with IFAD country programmes through a more structured dialogue. The following recommendations are made:

- **Linkages through the IPF.** IPAF-supported organizations and IFAD staff participating in the IPF in Rome should use the global meetings as opportunities to get to know each other and to share issues and proposals for collaboration. It would be particularly important to identify countries where there is an unmet potential for synergies.
- **Informing CPMs.** CPMs should be informed by the IPAF Secretariat about the Facility through ad hoc meetings (explaining what the IPAF is, identifying synergies and providing them with the contacts and main features of participating organizations)
- **Grassroots organizations meeting CPMs.** Meetings between CPMs and grassroots organizations should be held to further discuss possible synergies, and improve mutual knowledge. A system for the review of progress should be agreed upon.
- **Guidance on IFAD project cycles.** Guidance should be provided to grassroots organizations on IFAD's project cycle, including steps and time frame.
- **Partnership.** All parties should be oriented in terms of the type of partnerships that can be developed and the advantages they could bring.
- **Monitoring progress.** Progress and achievements should be regularly monitored. More realistic and precise indicators/targets in terms of the linkages with IFAD-funded projects should be included in the IPAF-related logframes (at the programme, regional and national levels), including a baseline to discern changes.
- **Shared responsibility.** The responsibility for developing partnerships should be shared among partners. IFAD, grassroots organizations and RIPOs should have equal responsibility for developing joint partnerships and should actively seek to establish relationships and identify areas for collaboration where indigenous peoples' organizations could have a comparative advantage. This is particularly important at the design stage, whether for COSOPs or for projects. For IFAD, this should be considered as a responsibility to ensure that projects do contribute in reaching their target and the application of the principles set in IFAD's policies.

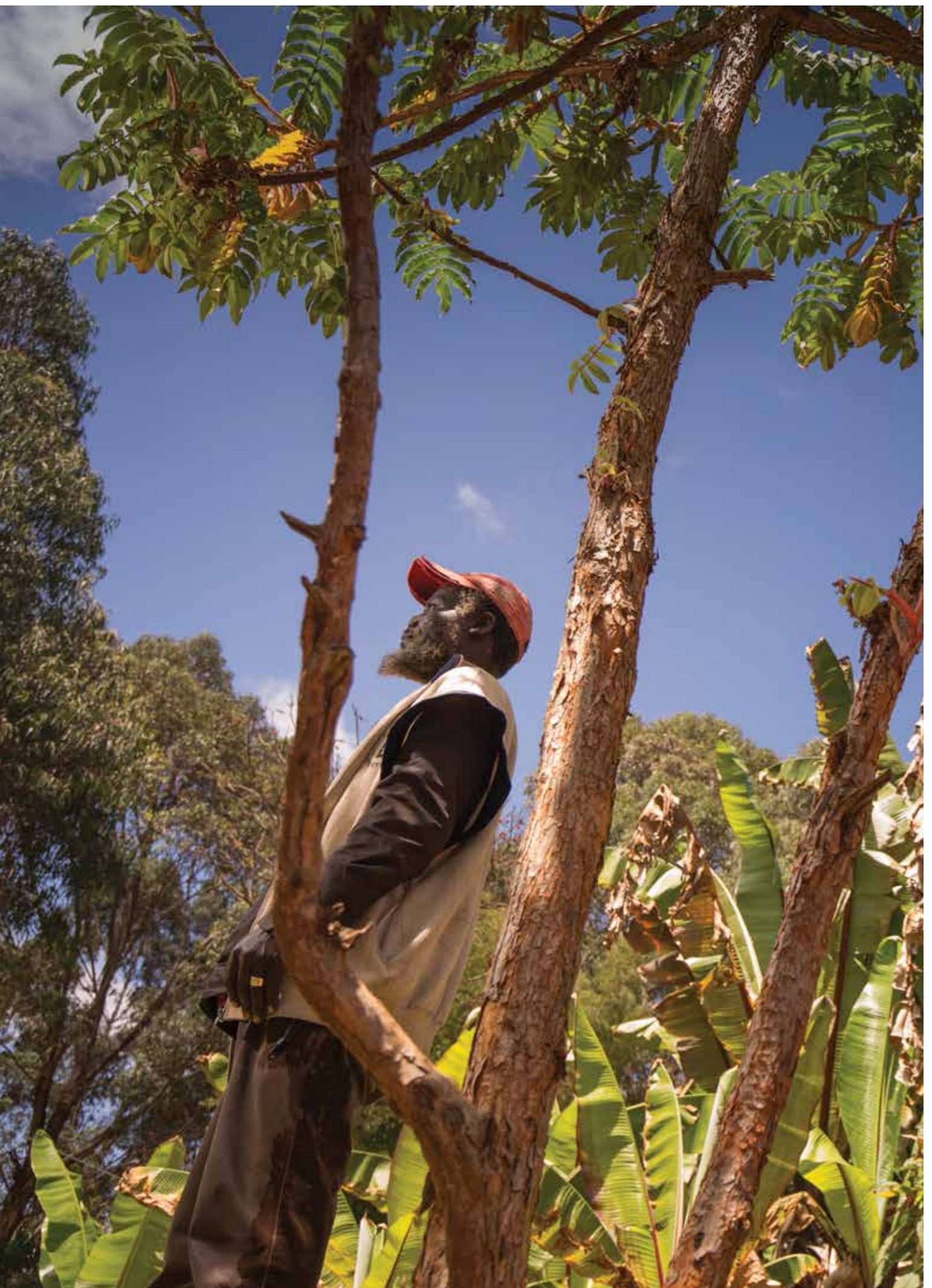
**Management of the IPAF by IFAD.** IFAD was effective in managing the Facility at the global level by ensuring smooth financial management and support to implementing organizations. At the same time, areas for improvement were identified. In particular, the following are recommended:

- **Design of the Facility.** The design of the Facility should be improved. In collaboration with RIPOs, IFAD should revise the IPAF logframe as follows: (i) the structure of the logframe should be better organized, with a clear results chain; (ii) indicators should be reduced and revised in order to be SMART.<sup>69</sup> Indicators elaborated by indigenous peoples' organizations related to indigenous peoples' food systems and sustainable livelihoods (identified during the 2014 regional workshops in preparation for the second global meeting of the IPF) might also be used as a reference; (iii) a number of indicators specifically related to projects implemented at the grassroots level should be included to prevent any data collected globally from relating only to the number of projects implemented and the amount of funds disbursed, i.e. with no information on the contents of the projects and results achieved. The identification and selection of these indicators should be jointly made by IPAF partners based on their experience in implementing the Facility; and (iv) RIPO and project logframes should be coherent with the programme logframe, integrate a group of common indicators, and collect data to feed them.
- **Financial monitoring.** IFAD should improve the financial monitoring of the Facility by requesting RIPOs to share detailed annual and completion financial reports together with the technical reports, in order to monitor the use of funds and anticipate any issues that could arise.
- **Annual reporting.** IFAD should consider preparing simple annual reports on the Facility to show consolidated results and progress, based on reports developed by RIPOs. Reports should be shared for comments and integration with the three RIPOs and used as tools for knowledge- and information-sharing. IFAD should ensure that the templates for annual reporting and planning developed and used by RIPOs are coherent, and include the needed data and information to facilitate consolidation.
- **Implementation support and capacity-building.** IFAD should strengthen implementation support provided to RIPOs. For this purpose, it might consider organizing annual or mid-term reviews in the regions, including at least one visit to all RIPOs, and possibly one visit to grassroots organizations. More opportunities for capacity-building and training should be sought. IFAD might consider joining the inception and closing workshops that could be organized by RIPOs. Sufficient financial resources should be made available for these initiatives.
- **Final assessment.** The final assessment of the IPAF should be conducted after programme completion and should include a field mission to visit IFAD regional partners and one or two projects. Similarly, the survey should be conducted with grassroots organizations after project completion. The contents of the survey should be revised to include a self-assessment on the results achieved on the field.

A summary table of all recommendations is provided in annex 10.

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<sup>69</sup> Specific, Measurable, Attainable, Realistic, Timed.



## 8. Conclusions

The IPAF is a unique instrument to support indigenous peoples' self-driven development by building on their governance systems, culture, identity, knowledge and natural resources. Submitted proposals and outlined activities are designed by indigenous peoples' communities and their organizations, and based on their self-identified priorities. Organizations bear the entire responsibility for implementing their small projects. The ownership of the initiatives is thus in their hands, with a positive impact in terms of sustainability.

In response to IFAD's four calls for proposals, indigenous communities and organizations submitted around 3,500 proposals from about 90 countries around the world. Since 2007, 127 small projects have been financed in 45 countries for a total amount of about US\$3.6 million, and have directly benefited over 97,000 people.

Supported projects have improved the livelihoods of indigenous communities by increasing food and nutrition security and income generation, enhancing access to and management of natural resources, preserving traditional knowledge, and empowering communities by raising awareness on indigenous peoples' rights and needs.

The Facility implementation arrangements also put indigenous peoples and their organizations at the centre, with RIPOs being responsible for the coordination and management of the Facility in their region, building the capacity of grassroots organizations, and playing a catalytic role to strengthen indigenous peoples' intercultural dialogue on national, regional and global policies that directly and indirectly affect them.

The Facility's decision-making systems, tools and bodies are governed by indigenous peoples themselves and are based on the FPIC.

The IPAF is also rooted in a "learning by working" approach, with a view to improve and refine the Facility at each cycle. During the previous cycles, improvements were introduced based on the suggestions from the grassroots organizations implementing IPAF-funded projects. The process for the technical review of proposals was strengthened with the scouting for indigenous experts at the regional level, the ceiling of grant financing was increased to respond to expressed needs of grassroots organizations, and the management of the Facility was successfully decentralized.

The IPAF was also a flexible instrument in its capacity to adapt to the needs of different institutions at varying stages of development and within different contexts. This flexibility means that the programme can respond to needs that are not being addressed by other partners or programmes.

The present assessment shows that there are areas for improvement. In particular, the M&E function of the Facility should be enhanced and logframes should be streamlined to the overall programme logframe and include/integrate a minimum number of common indicators.

More effort should be made to support capacity-building and institutional strengthening of grassroots organizations through RIPOs, particularly in terms of project design, M&E, resource mobilization and financial management. IFAD should reinforce implementation support provided to RIPOs, e.g. through the organization mid-term or annual reviews.

More opportunities for peer knowledge-sharing and exchanges should be promoted, not only at the national or regional level. Such opportunities are considered key for grassroots organizations' institutional development and should become a central mechanism to accelerate

the learning process by peers. KM should become a strategic axis within the IPAF, with RIPOs playing a primary role.

Sufficient resources should be available to RIPOs for the implementation of the Facility at the regional level to ensure the achievement of the expected results of the IPAF as well as effective grant management. RIPOs should financially contribute to this effort in order to increase ownership and sustainability.

More importance should be placed on the synergies and articulations that the IPAF develops with IFAD country programmes through a more structured dialogue and the establishment and monitoring of realistic and precise indicators. The responsibility for developing partnerships and strengthening dialogue should be shared among all partners.

More support needs to be given to empower women and youth, who particularly face exclusion, unequal access to education and training, and the lack of access to land, credit and market facilities.

The IPAF, as highlighted by the IOE Evaluation Synthesis “has been a flagship programme and unique instrument that has helped IFAD develop partnerships and trust with indigenous peoples’ organizations”.<sup>70</sup> Certainly, its continuity should be granted.

Acknowledging that there is an untapped potential for sustainable development, IFAD and IPAF partners should make further efforts to mobilize additional resources in order to reduce the gap between the proposals received within the call and the number of proposals funded, and to reach a larger number of communities and beneficiaries.

If supported, the vision and talents of indigenous peoples can contribute to strengthen IFAD’s own capacity to understand, assess and mainstream emerging issues in rural poverty and sustainable development.

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70 IFAD Independent Office of Evaluation, IFAD’s Engagement with Indigenous Peoples, Evaluation Synthesis, 2015.



# Annex 1 IPAF logframe

## Narrative summary

### Goal:

To foster indigenous peoples' self-driven development within the framework of the UN Declaration on the Rights of Indigenous Peoples

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### Objectives:

1. Enhance the capacity of indigenous peoples' communities and their grassroots organizations to design and implement development projects based on their identity culture knowledge and natural resources;
2. Assist indigenous peoples' communities and their organizations to mobilize funds from programmes financed by governments and/or other donors for their grassroots projects;
3. Strengthen indigenous peoples' networks at the regional level and link them up with the global indigenous peoples' movement; and
4. Generate and share knowledge on indigenous peoples' self-driven development.

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### Outputs

- 1.1 Demand-driven initiatives of indigenous peoples' communities and their organizations are financed and implemented in Africa, Asia and the Pacific, and Latin America and the Caribbean;
  - 1.2 Between 20 and 30 grassroots organizations in Africa, Asia and the Pacific, and Latin America and the Caribbean build and strengthen their capacity on implementation and on indigenous peoples' issues;
  - 1.3 Between 15 and 25 organizations implementing an IPAF-funded project at the grassroots level have mobilized resources from their governments/other donors for their projects;
  - 2.1 Indigenous peoples' organizations at the regional level have access to financial resources to support grassroots organizations;
  - 2.2 Indigenous peoples' organizations at the regional level have built their capacity to manage financial instruments to support grassroots initiatives;
  - 2.3 Networks of IPAF sub-grantees are created and strengthened at the regional level and are linked to regional/international indigenous peoples' platforms;
  - 2.4 Four workshops organized in Africa, Asia and the Pacific, and Latin America and the Caribbean on IFAD-funded projects with indigenous peoples;
  - 2.5 Strategy on self-selection process for participation in the second global meeting of the Indigenous Peoples' Forum at IFAD, scheduled to take place in Feb. 2015 in conjunction with the IFAD Governing Council;
  - 2.6 Proposed themes for discussion at the second global meeting of the Indigenous Peoples' Forum at IFAD;
  - 3.1 Three studies on IPAF application proposals are prepared for Africa, Asia and the Pacific, and Latin America and the Caribbean;
  - 3.2 Result-based studies and analysis on projects financed by the IPAF are prepared in each region, highlighting innovations and opportunities for scaling-up as well as policy challenges and opportunities;
  - 3.3 Reports from 4 regional workshops are prepared and inform the second global meeting of the Indigenous Peoples' Forum at IFAD;
  - 3.4 Knowledge fairs and community of practices on indigenous peoples' issues are developed with IPAF-sub-grantees;
  - 3.5 Regional and international forums/platforms are informed and influenced by IPAF knowledge and experiences.
-

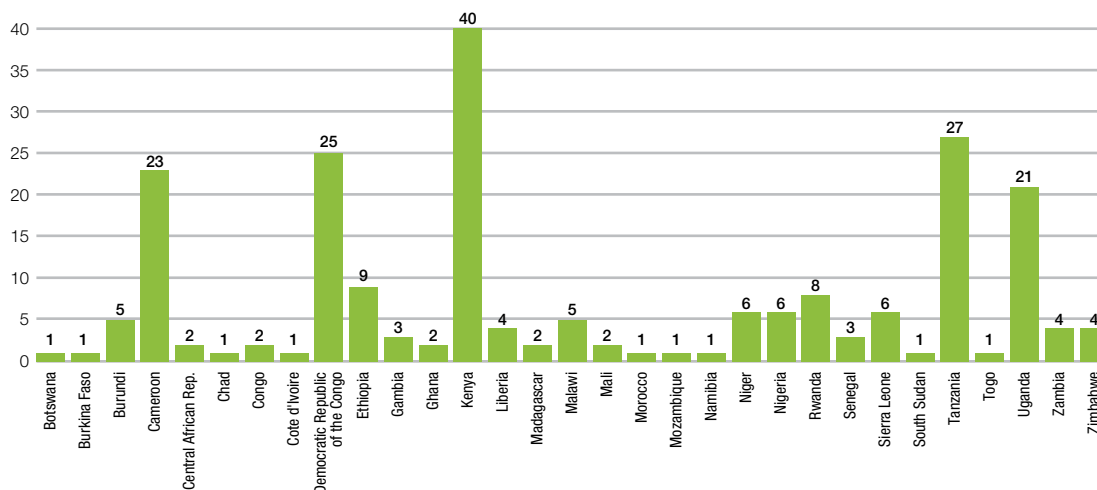
Verifiable indicators	Means of verification	Assumptions
<p>Between 20 and 30 indigenous peoples' communities and their organizations enabled to manage and implement development initiatives, with at least 50% receiving a rating of 3 or above in implementing the programmes to the benefit of their communities (20,000 - 35,000 direct beneficiaries).</p>	<p>List of projects approved by the IPAF Board; Grant progress reports, independent verification through supervision missions.</p>	<p>RIPOs have the full support of the indigenous peoples' communities</p>
<ol style="list-style-type: none"> <li>1. # of indigenous peoples' communities and organizations which successfully design and implement their development initiatives by the end of the programme.</li> <li>2. # of organizations implementing an IPAF-funded project at the grassroots level which have mobilized resources from their governments/other donors for their projects.</li> <li>3. Three IPOs at the regional level are enabled to effectively manage, supervise and administer grant funds to finance sub-projects proposed by the indigenous peoples' communities and their organizations, by the end of the programme.</li> <li>4. # of platforms organized and channels linked to others to share knowledge and experience on IPAF sub-projects at the local, regional and international level by the end of the programme.</li> </ol>	<ol style="list-style-type: none"> <li>1. Monitoring and supervision reports of IPAF-funded projects; result-based assessments of n/grassroots development projects</li> <li>2. IPOs annual progress reports, closing reports; audit reports.</li> <li>3. Research analysis, studies and publications produced and shared through local and global forums, bulletins and web pages.</li> </ol>	<p>No interference or influences in the affairs of indigenous peoples' at the country level.</p>
<ol style="list-style-type: none"> <li>1a. # of projects approved, financed and successfully implemented in # countries in Asia, Africa, and Latin America and the Caribbean by the end of the programme.</li> <li>1b.# of national/grassroots IPAF-funded projects linked to IFAD operations in the country by the end of the programme.</li> <li>1c. # of national/grassroots organizations linked to the regional and global indigenous peoples' platforms by the end of the programme.</li> <li>1d. Amount of resources mobilized and partnerships developed.</li> <li>2a. Three IPOs in Asia, Africa, and Latin America and the Caribbean receive resources to finance grassroots development initiatives in the first and second year of the programme.</li> <li>2b.They disburse resources to # n/grassroots orgs as approved by the IPAF Board in their respective regions according to project's PWO.</li> <li>2c. They monitor and supervise n/grassroots projects.</li> <li>2d. The three IPOs play a catalytic role at the regional and international level in creating and strengthening IPs platforms and sharing knowledge on IPs' issues.</li> <li>2e. Four regional workshops reports; strategy, themes for discussion, and list of selected participants for participation in the IPs Forum.</li> <li>3a. # of studies and papers produced and shared on knowledge and experience deriving from IPAF and its funded projects.</li> <li>3b. # of workshops/knowledge fairs organized with IPAF grantees at the regional and international level;</li> <li>3c. # of the regional and international forums where knowledge and experience from IPAF is shared.</li> </ol>	<ol style="list-style-type: none"> <li>1.a Proposals received by IPAF and stored in the IPAF tracking system; Minutes of IPAF Board decision-making meeting; Sub-grant agreements between regional IPOs and n/grassroots orgs; monitoring and supervision reports of IPAF-funded projects, proceedings of training events.</li> <li>1.b Regional workshops/fora proceedings; community of practices' list of members;</li> <li>1.c Information deriving from supervision missions/surveys of IFAD-funded projects; communications with CPMs; IPAF knowledge and experience informing IFAD-project designs; IFAD's in-house seminars and presentations.</li> <li>2. Grant agreements between IPAF and regional IPOs; proceedings of training events; correspondence between IPAF secretariat and regional IPOs; evidence of disbursement of resources to regional IPOs; grant agreements between regional IPOs and IPAF-awarded organizations; bank transactions for transferring resources from IPOs to grassroots orgs; proceedings of regional and international fora.</li> <li>3. Document/publication/reports; workshop proceedings; regional and international fora proceedings.</li> </ol>	<p>No interference or influences in the affairs of indigenous peoples at the country level.</p> <p>Regional IPOs determined to incorporate service orientation and a result-based M&amp;E system combining traditional and specific indicators on the well-being of indigenous peoples.</p> <p>Regional IPOs determined to broaden their role at the regional level and play a catalytic role to link up local and global platforms.</p>

## Annex 2. List of main consulted documents for the present assessment

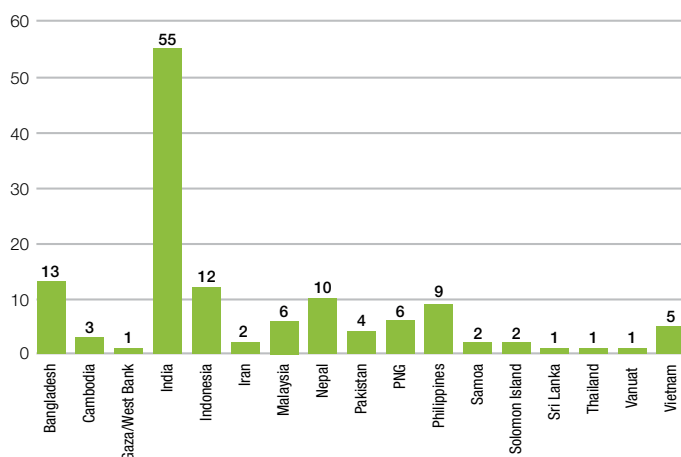
Authors/ Sources	Documents	
Grassroots organizations	Completion reports Financial documents Knowledge and communication products Progress reports	Project design documents and logframes Project baselines Self-assessments Sub-grant agreements
IFAD	IFAD, Annual GSRs IFAD, Aspire, Indigenous Peoples Entry Strategy Mission, Cambodia March-April 2017, Mission Report IFAD, Country Office Tanzania, Report from the Round Table Dialogue on Consultation for Indigenous Peoples and local communities in Tanzania IFAD Independent Office of Evaluation, IFAD's Engagement with Indigenous Peoples, Evaluation synthesis, 2015 IFAD, IPAF flyers (2007, 2012, 2016) IFAD, IPAF small projects, Desk review, Analysis of the performance of the small projects financed in 2007 and 2008 through the Indigenous Peoples Assistance Facility IFAD, Learning by working together, Microprojects financed through the Indigenous Peoples Assistance Facility IFAD, Performance of IPAF small projects, Desk review, Analysis of the performance of the small projects financed in 2011 through the Indigenous Peoples Assistance Facility	IFAD, Proceedings of the Second Global Meeting of the Indigenous Peoples' Forum at IFAD, February 2015 IFAD, Proceedings of the Third Global Meeting of the Indigenous Peoples' Forum at IFAD, February 2017 IFAD, Report from the supervision mission to FIMI, December 2017 IFAD, Report from the supervision mission to Kivulini Trust, January 2016 IPAF 2015, Application form IPAF 2015, Call for applications for the IPAF co-managing institution for Africa IPAF 2015, Call for proposal IPAF 2015, Call for proposal Frequently Asked Questions (FAQs) IPAF 2015, Guidelines for screening and technical review IPAF 2015, Quick steps IPAF 2015, Reports from board meetings IPAF Reference tool for Coordinators and Reviewers IPAF Grant Design, 2014
RIPOs	Annual audit reports Annual progress reports Annual Work Plans and Budgets Completion reports FIMI, Informe Regional – Propuestas IPAF 2015 (Ciclo IV – América Latina y el Caribe) FIMI, Monitoring and Evaluation Strategy 2012-2014 Grant completion reports Kivulini Trust, African Regional Report Screening and Technical Review of Proposals Submitted to the Indigenous Peoples Assistance Facility, Fourth Circle, 2015 Reports from the Regional Workshops in preparation for the third global meeting of the Indigenous Peoples' Forum at IFAD (Africa, Asia, Latin America and the Caribbean, Pacific)	Reports from the Regional Workshops in preparation for the second global meeting of the Indigenous Peoples' Forum at IFAD (Africa, Asia and the Pacific, Latin America and the Caribbean) Supervision mission reports Tebtebba, 10 years after the UNDRIP, Stories from the Indigenous Peoples Assistance Facility in Asia, 2018 Tebtebba, Baseline, Indigenous Peoples' Sustainable, Self-Determined Development IPAF Asia, 2015 Cycle Tebtebba, Regional Overview Report on the 2015 Proposals to IPAF (4th Cycle, Asia and the Pacific) Tebtebba, list serve discussions Tebtebba, report from Indigenous Peoples' Sustainable and Self-Determined Development: IPAF Asia Orientation and Inception Workshop, Philippines, October 26-30, 2015 Withdrawal applications and GSRs

## Annex 3. Proposals received within the 2015 IPAF cycle

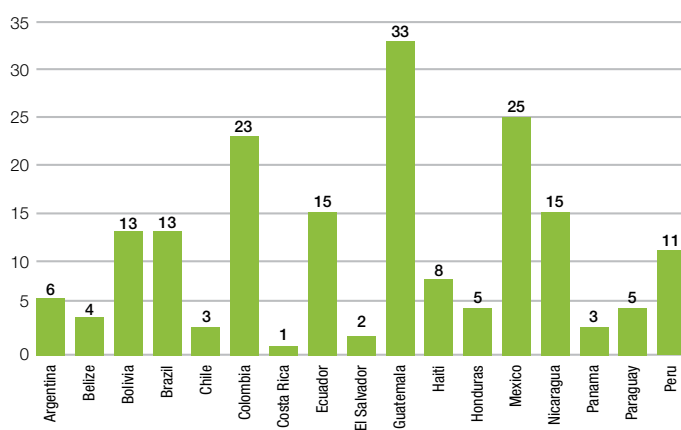
**Graphic 1.** Africa: number of proposals received by country



**Graphic 2.** Asia and the Pacific: number of proposals received by country



**Graphic 3.** Latin America and the Caribbean: number of proposals received by country



## Annex 4. Output indicators collected during the present assessment with the collaboration of RIPOs

- Male beneficiaries trained on NRM and traditional agricultural technologies
- Female beneficiaries trained on NRM and traditional agricultural technologies
- Male beneficiaries trained on indigenous peoples' rights and land tenure
- Female beneficiaries trained on indigenous peoples' rights and land tenure
- Male beneficiaries trained on traditional medicines and other traditional ways of protecting, restoring and applying traditional knowledge and systems
- Female beneficiaries trained on traditional medicines and other traditional ways of protecting, restoring and applying traditional knowledge and systems
- Male beneficiaries trained on climate change adaptation and mitigation measures
- Female beneficiaries trained on climate change adaptation and mitigation measures
- Male beneficiaries trained in business development, marketing and enterprise
- Female beneficiaries trained in business development, marketing and enterprise
- Male beneficiaries trained in traditional income-generating activities
- Female beneficiaries trained in traditional income-generating activities
- Community groups created for microenterprises, marketing, self-help groups and collective resources
- Community groups strengthened for microenterprises, marketing, self-help groups and collective resources
- Number of women-headed community groups strengthened/created for microenterprises, marketing, self-help groups and collective resources
- Membership of women in various project-led groups/committees
- Number of advocacy campaigns carried out
- Number of hectares of land put under improved management practices
- Number of physical assets and facilities established
- Number of hectares of lands and traditional sites actually managed by the community

## Annex 5. 2017 IPAF monkey survey

### GENERAL INFORMATION

1. Your name:
2. Name of your organization:
3. Your designation in the organisation:
4. Your email address:
5. Your phone number:
6. Country of project implementation:
7. Name of the indigenous people(s) of your target group:
8. Number of female youth targeted (age 15 to 24 years):
9. Number of male youth targeted (age 15 to 24 years):
10. Number of women targeted (age 25 years and above):
11. Title of the project financed through the IPAF:

### SEC I - ORGANIZATION NETWORKING AND LINKING UP TO REGIONAL AND GLOBAL NETWORKS

12. Has your organization been engaged/invited by XXX (*name of the RIPO*) to participate in workshops/meetings gathering the indigenous peoples' organizations and/or institutions? (Y/N)
13. (If Yes) Kindly provide number of gatherings attended according to the following levels. In the comment box please explain how the events helped your project/organisation further:

Levels	Workshops	Trainings	Meetings	How the event helped your project/organisation?
National Level				
Regional Level				
Global Level				

14. Has the IPAF-funded project linked your organization to any national, regional and/or global network platform or community of practice on indigenous peoples' issues? Y/N
15. (If Yes) Kindly provide number of platforms, community of practices and/or other foras according to the following levels. In the remarks box please include details on these networks e.g. name/theme.

Levels	Platforms	Community of Practices	Other foras (please specify in the remarks box)
National Level			
Regional Level			
Global Level			

### SEC II - DESIGN

16. What kind of assistance from XXX (*name of the RIPO*) has your organization received in finalizing the design/base line of the project financed through the IPAF? In the comment box please provide details (number and contents of meetings / training attended).

Levels	Yes	No	Details
On-site training			
Group training with other IPAF projects			
Webinars			
Email correspondence			
Skype and other communication mechanisms			
Any other type:			

17. In which of the following activities has your organization been supported and how?

Levels	How
Preparation of logical framework	
Preparation of project baseline	
Refining/finalizing design report	
Finalizing the project budget	
Others, please specify	

18. How satisfied are you with the support received in finalizing the design of your project?

Very satisfied      Satisfied      Neutral      Dissatisfied      Very dissatisfied

19. What are your suggestions to XXX (*name of the RIPO*) for improving their technical assistance in finalising the design of your project? Please give a maximum of 5 suggestions.

### SEC III - IMPLEMENTATION

20. Has your organization received any support from XXX (*name of the RIPO*) in the implementation of this project?

- Yes
- No

21. In which of the following areas has your organization received assistance?

- Conducting project status surveys
- Preparing project progress reports and status of expenditures (narrative reports and financial reports)
- Organizing and sharing knowledge and information deriving from the IPAF-funded projects
- Supporting the quality of reporting and documentation mechanisms
- In conducting internal evaluations and monitoring
- Implementation support/technical assistance
- Training and institutional support to staff

22. Was your project supervised?

- Yes
- No

23. Who supervised your project?

- XXX (*name of the RIPO*)
- XXX (*name of the RIPO*) and others (please specify)

24. How did they supervise the project?

- Direct on site supervision
- Desk review of reports and documents
- Others (please specify):

25. Did your organization receive the supervision report conducted by XXX (*name of the RIPO*)? Was there any follow up from XXX (*name of the RIPO*)?

	Report received	Report not received
Follow up		

26. How satisfied are you with the quality of the supervision mission of your project?

Very satisfied      Satisfied      Neutral      Dissatisfied      Very dissatisfied

27. What are your suggestions to XXX (*name of the RIPO*) for improving their supervision of your project? Please give a maximum of 5 suggestions.

28. How satisfied are you with the assistance received in the implementation of the IPAF-funded project?

Very satisfied      Satisfied      Neutral      Dissatisfied      Very dissatisfied

#### SEC IV - DISBURSEMENT

29. Was the procedure of grant resource disbursement as stated in the grant agreement?
- Yes
  - No
30. Were there any problems in ensuring the smooth disbursement of grant resources? Please provide details of the same.
- No
  - Yes (please provide details)
31. How satisfied are you with the phasing and timing of grant disbursement to your project? (Please provide comments, if any)
- Very satisfied      Satisfied                  Neutral                  Dissatisfied                  Very dissatisfied
32. What are your suggestions to XXX (*name of the RIPO*) for improving the phasing and timing of grant disbursement to your project? Please give a maximum of 5 suggestions.

#### SEC V - REGIONAL ORGANISATION SUPPORT PERFORMANCE

33. In terms of assistance received from the staff of XXX (*name of the RIPO*), please rate your satisfaction levels with the following:

Levels	Very satisfied	Satisfied	Neutral	Dissatisfied	Very dissatisfied
Fast and efficient support					
Willingness to listen and respond to your need					
Professionalism and technical expertise					
Able to continually improve the project implementation					
Smooth disbursement of grant resources					

34. How satisfied are you with the overall partnership with XXX (*name of the RIPO*) in facilitating and supporting the implementation of your IPAF-funded project?
- Very satisfied      Satisfied                  Neutral                  Dissatisfied                  Very dissatisfied
35. What are your suggestions to XXX (*name of the RIPO*) facilitating and supporting the implementation of your IPAF-funded project? Please give a maximum of 5 suggestions.
36. Beyond the results achieved by the activities directly implemented through the IPAF-financed project, has the IPAF enabled your organisation to achieve broader results in policy engagement at local and country level?
- Yes
  - No
37. (If Yes) Please provide details of the results achieved in policy engagement like what kind of engagement, with whom etc.
38. Has the IPAF supported your organization to leverage resources from other donors or new partners?
- Yes
  - No
39. (If yes) What kind of resources did you receive from other donors/partners?

Resources	Specify donors / partners
Financial resources to continue activities	
Financial resources for new activities	
Technical assistance	
Trainings	
Legal assistance	
Others, please specify	



## MISCELLANEOUS

Kindly answer the following last set of questions to the extent possible. Your opinion and input is considered of high value in our continuous effort to improve our work and to enable more organisations strengthen their work and capacity in addressing indigenous people's issues.

40. What have been the 3 most significant contributions you have received from *XXX (name of the RIPO)*?
41. What have been the 3 major challenges you have encountered in the partnership with *XXX (name of the RIPO)*?
42. Please feel free to provide 5 suggestions for the improvement of the IPAF that you haven't given earlier.
43. Kindly provide any comment or additional info that you would like us to know

# Annex 6. List of main indicators in Tebtebba's IPSSDD Framework

## 1. Land and territories

Recognition of ownership over traditional/indigenous lands and territories  
Area, historical landmarks, monuments delineating territory  
Land use, land use change

## 2. Natural resources and biodiversity

Community management of natural resources  
Access to and use of natural resources  
Benefits (non-carbon) from resources  
Biodiversity conservation and innovations  
Persistence of customary sustainable use  
Status and/or threats to traditional seeds, plant foods and medicines, and food animals, as well as cultural practices associated with their protection and survival

## 3. Economics

Persistence of traditional livelihood systems  
Access to natural resources  
Innovation  
Status of livelihoods (access to capital, access to support services, access to market)

## 4. Governance (traditional and formal)

Recognition of IPs and IP rights  
Recognition and promotion of traditional governance  
Persistence of traditional governance systems/structures/policies/norms  
Full and effective participation (format, method/process, elders, youth and women)  
FPIC  
Complementation of traditional governance with formal systems

## 5. Traditional knowledge and culture

Persistence of traditional occupations  
Recognition, transfer, revival of TK  
Revitalization, nondiscrimination, respect, promotion of culture  
Living language/use of language (at home and school)  
Practice/persistence of rituals  
Integrity of culture

## 6. Health

Number of health care providers/type  
Health conditions and health-seeking behavior  
1. Number of people accessing different types of health care  
2. Innovative health care methods (recovering and mainstreaming traditional with formal)  
Proportion of safe drinking water relative to supply, wastewater and sanitation systems, and level of waterborne diseases in indigenous communities

#### **7. Gender & intergenerational dynamics**

Women and youth's participation in decision-making and community resources  
(Participation in meetings, self-government bodies, community representation,  
distribution of goods and services, levels of education, occupation and remuneration)

Number of youth, women and elders participating in transfer of knowledge

#### **8. Indigenous peoples' rights**

Cases of violation of rights and/or discrimination

#### **9. Community institutional/Organizational development**

Existence and influence of customary institutions

## Annex 7. Example of an IPSSDD baseline

Name of the organization: Cambodian Indigenous People Organization (CIPO)

Application number: 1400

Project title: Build and Strengthen the Capacity and Raise Awareness on Indigenous Peoples' Rights to Land and Territories

Project start date (date of countersignature of the agreement): 7th December 2015

Date of completion of questionnaire: 31 December 2017

Rating scale: 1 – nil/very weak; 2 – weak; 3 – modest; 4 – moderate; 5 – strong; 6 – very strong

### INDIGENOUS PEOPLES' SUSTAINABLE AND SELF-DETERMINED DEVELOPMENT

#### Core Domains and Recommended Indicators

DOMAINS	INDICATORS	RATE*	COMMENTS ON RATE
<b>Land and territories</b> Recognition of indigenous peoples' rights to control their territories, lands and natural resources  Security of land ownership  Condition of local topography, and whether there are land mappings done and the degree of detail	➔ recognition of ownership over traditional/ indigenous lands & territories	2	Some of the internal people already know about their rights, but many others are still not informed. The local authorities and the government staff know about their rights concerning the recognition of the ownership over traditional or indigenous land and territories. Approximately only around 5% of the authorities and the government staffs know about it.
	➔ area, historical landmarks, monuments delineating territory	3	About half of the 12 communities have a delineated territory with an established area, historical landmarks, monuments, but the other half doesn't have it yet.
	➔ land use, land use change	2	Only in 4 of the 12 communities land use changed only a little but in 8 villages they changed their land use a lot because the government approved economic land to private companies (to plant for example sugar cane, rubber tree, palm oil or implement a dam project etc.) without free, prior and informed consent. In addition, because of the trend, the land selling and buying is very strong.
<b>Natural resources, biodiversity Ecosystem/ environment</b>  Extent to which IPs manage and benefit from their resources with notions of maintaining sustainability and diversity  Access to natural resources. Access is considered to be: >the possibility of benefiting from natural resources by managing them in the most efficient and sustainable way; >security of tenure, which is required in order to make full use of natural resources.	➔ community management of natural resources	3	About 8 communities out of the 12 manage their own natural resources by themselves. The remaining 4 villages manage the resources in a traditional way, but they haven't planned yet.
	➔ access to and use of natural resources	5	Around 90% of the communities have access to the natural resources and are also able to use those resources properly.
	➔ benefits (noncarbon) from resources ➔ biodiversity	5	The living within the communities is based on the natural resources, which are used for the people and animals (collections of the non-timber forest products are used for food, economy, living and treatment etc.).
	➔ conservation and innovation;	2	Most of the local authorities are still not aware of the importance of biodiversity conservation and innovation for the communities. Around 30% know about it, but 70% of the communities don't care about the sustainability of the biodiversity and innovation because they want to earn money now. That is why they refuse to do new planting: it would take too long until they could receive the benefits from these new plantings.

DOMAINS	INDICATORS	RATE*	COMMENTS ON RATE
<p>Presence and observance of soil/water conservation practices</p> <p>Planning, at least in the medium term, for natural resource and infrastructure management and the eventual inclusion of plans in local or higher-level policies</p>	<p>➔ persistence of customary sustainable use</p>	2	<p>Customary law did not succeed to protect the natural resources because the government staffs make their decisions based on the national law. Sometimes they don't even respect the customary or national law. If the communities receive the certificate for the community forest from the government, they can apply their rights to claim the ownership.</p>
<p><b>Economics</b></p> <p>Status of the community's food sovereignty and autonomy. Food sovereignty and autonomy constitutes adequate food, based on socio-cultural traditions and the special relationship with ancestral territories and resources. It depends primarily on access to natural resources on ancestral lands and their control.</p>	<p>➔ persistence of traditional livelihood systems</p>	5	<p>About 80-90% still have a traditional livelihood system and they can also protect this in the long future because most of the community members understand their rights to access the natural resource and land rights.</p>
	<p>➔ access to natural resources</p>	5	<p>Nearly 100% of the community members are farmers, so they plant products like cassava, corn, rice, soybean, peanuts etc. They also collect the non-timber forest products and go fishing to sell all these products at the local markets to earn money. With this money they can also buy material or equipment from the markets.</p>
	<p>➔ innovation</p>	1	<p>Less than 5% of the communities are aware of the need for innovation because they don't know about the real reason to have a forest today. They don't really care about innovation because they think that the forest grows by itself without any innovation and so there is no need to innovate more products.</p>
<p>Status of income production i.e activities addressing soil and water conservation, agricultural and livestock production techniques improvement, creation and support of off-farm activities, access to markets, presence of rural finance services and participatory processes in policymaking and decision-making</p>	<p>➔ status of livelihoods: &gt;access to capital &gt;access to support services &gt;access to market</p>	2	<p>The government does not have policies to provide capital to the community members, but 2 of the 12 communities get help from NGOs to access capital. Only 5% within the 2 villages actually use the capital to run small businesses in their community.</p> <p>All the villages have access to support services provided by the government and NGOs, but the quality and quantity of the support services is very low (e.g. not enough primary schools are provided for all the children in the communities; they don't have access to high schools at all).</p> <p>The people have access to local markets. If they want to buy other goods, they have to travel a long way to access the markets at the district and provincial centre.</p>
	<p>➔ status and/ or threats to traditional seeds, plant foods and medicines, and food animals, as well as cultural practices associated with their protection and survival</p>	3	<p>The situation regarding the traditional seeds, plant foods etc. became worse because of the economic land concession to the companies, which has effects on the community land. So they lost some areas that have been used for planting and as protected land for the animals before.</p>

DOMAINS	INDICATORS	RATE*	COMMENTS ON RATE
<p><b>Indigenous Peoples' Rights/Governance (traditional and formal)</b></p> <p>Capacity of IP communities to manage their relations with the legal and institutional systems of the state in which they live without altering their traditional structures of government.</p> <p>Factors against which capacity is measured are:</p> <p>&gt;the degree of awareness about IP rights at national and international levels</p> <p>&gt;the presence of advocacy services and</p> <p>&gt;the soundness of traditional governance structures and decision-making</p>	➔ recognition of IPs and IP rights	2	About 10-20% of the communities are clear about their rights, but the majority is still not well-informed. That is why most of the IPs still do not recognize their rights. Only about 10-15% of the outsiders of the communities (national, subnational, private companies and citizens in the public) recognize the IP rights.
	➔ recognition & promotion of traditional governance	4	Based on the current situation, the leading positions are changed from the elder to the youth and the women, but still in a traditional way (community committee is elected by the community members).
	➔ persistence of traditional governance systems/ structures/ policies/norms	3	Only one village lost the traditional governance system, structure, policy and norms because they stopped using their language and the traditional culture in the past. So now the younger people don't understand the traditional practices anymore. The remaining 11 villages still stick to their traditional ways.
	➔ full and effective participation (format, method/ process, elders, youth and women)	2	The full and effective participation of elders, youth and women is still limited because they don't have enough knowledge about their rights concerning the development of the village and they don't talk about their rights to the public.
	➔ FPIC	1	The majority of the IPs and non-IPs don't know about FPIC at all (e.g. the government provides the land economic concession to the private companies without free, prior and informed consent, so this is why many problems with the community land arise).
	➔ complementation of traditional governance with formal systems	4	Because of the complementation of traditional governance with the formal system, they need to work together more closely to make sure that the support services are accessible to everyone and to drive forward the development of the communities.
<p><b>Traditional knowledge and culture</b></p> <p>IP identity and culture systems rely on holistic interpretations of relations among the various elements of ecosystems, human beings, supernatural and divine beings.</p> <p>Indigenous traditional knowledge is not only important to sustain the daily life of these communities, but is also a key element to maintain their identities and foster self-determination.</p>	➔ persistence of traditional occupations	3	Differentiation between the communities: One lost 90%, 4 lost 30% and 7 lost 10% of the traditional occupations.
	➔ recognition, transfer, revival of TK	4	Some villages have been registered by the ministry of interior as indigenous communities to become the indigenous entity. If the communities received the certificate, they are able to revive the traditional knowledge. Some of the other villages are still not registered yet.
	➔ revitalization, nondiscrimination, respect, promotion of culture	2	Some of the communities have the goals or objectives directed to revitalization, non-discrimination, respect and promotion of culture, but 1-2 villages still do not care about that.
	➔ living language/ use of language (at home & school)	3	In one village they don't use their indigenous language anymore. In another 5 (lost 30%) villages the language is only used at home, but in school the language is not used anymore. In community meetings they use Khmer because outsiders cannot understand the language (Khmer cannot speak the indigenous language, but the IP can speak Khmer). In 6 villages they lost 10% (they usually speak in their indigenous language, but sometimes they also use Khmer).

DOMAINS	INDICATORS	RATE*	COMMENTS ON RATE
<b>Traditional knowledge and culture</b>	➔ practice/persistence of rituals	4	Only one of the 12 villages does not practice the rituals anymore, but the majority of the other communities still practice their rituals.
	➔ integrity of culture	4-5	About 80-90% of the indigenous communities want to keep the integrity of the culture, but 10-20% want to make a change because they are afraid of discrimination.
<b>Health</b> Basic health conditions: >presence of community-based health care services; >number of people accessing health care services; >number of people trained on basic health care methods >number of specialized personnel >strategies to recover and mainstream traditional health care methods suitable for better meeting the community's needs	➔ number of health care providers/type	1	Most of the communities have no health care provider in the community itself, they need to travel far to access the health post, health centre, hospital or private services.
	➔ health conditions and health-seeking behavior >number of people accessing different types of health care >innovative health care methods (recovering and mainstreaming traditional with formal)	1	In the community they can only provide tests related to malaria, dengue and a little medicine to treat malaria, dengue or fever and also birth attendance.  Around 5% of the communities actually use the health post, health centre. Another 10% have access to the provincial hospital and about 20% can access the private services. The remaining 65% of the community members use the traditional way or medicines to treat the patients.
	➔ proportion of safe drinking water relative to supply, wastewater and sanitation systems, and level of waterborne diseases in indigenous communities	2	During the dry season the water is better than during the rainy season. As the communities usually use the water directly from the river, well pump and wells, most of them have problems during the rainy season (June-October) because the quality of the water changes. That is why they have to be careful about the water during this time. In the dry season this does not affect the health of the community members.
<b>Gender and intergenerational dynamics</b> Situation of indigenous women, youth elders	➔ women and youth participation in decision-making and community resources (participation in meetings, self-government bodies, community representation, distribution of goods and services, levels of education, occupation and remuneration)	2	Only 20-30% of the women and youth participate in the decision-making and full attention.

DOMAINS	INDICATORS	RATE*	COMMENTS ON RATE
<p><b>Gender and intergenerational dynamics</b></p>	<p>➔ number of youth, women and elders participating in transfer of knowledge</p>	<p>2</p>	<p>Only 10% of the youth, women and elders participate in the transfer of knowledge.</p>
<p><b>Indigenous peoples' rights</b></p> <p>The extent of knowledge and practice by IPs/project holders or beneficiaries on the rights of indigenous peoples;</p> <p>Consistency with the Human Rights Based Approach to development - extent of respect and fulfillment by state and development actors of respecting indigenous peoples' rights in development processes</p>	<p>➔ cases of violation of rights and/or discrimination</p>	<p>2</p>	<p>The communities are facing many violations of rights concerning land, forest, culture, education, and economy.</p> <p>Indigenous peoples also have to deal with discrimination according to gender and culture.</p>
<p><b>Community institutional/ Organizational development</b></p> <p>Situation of community institutions/ organizational knowledge, skills, structures and processes based on the principles of IPSSDD</p>	<p>➔ existence and influence of customary institutions</p>	<p>3</p>	<p>In some communities the customary institution and the local authorities collaborate with each other and so the customary institutions still have the opportunity to influence the situation.</p>



## Annex 8. List of main indicators used by FIMI for project baselines and M&E

Indicators	Situation prior to the start of the project
<b>1. Well-being</b>	<p>1.1 Is the community implementing community development strategies consistent with its worldviews?</p> <p>1.2. If yes, indicate how.</p> <p>1.3 How many families are living in the community and how many are landowners?</p> <p>1.4 What are relations like between the indigenous community and other communities and ethnic groups?</p> <p>1.5 How are decisions about community development made?</p> <p>1.6 How many people in the community participate in decision-making? Men/Women</p> <p>1.7 Who is excluded from community decision-making?</p>
<b>2. Traditional knowledge</b>	<p>2.1 Does the community apply traditional indigenous knowledge?</p> <p>2.2. If yes, describe how.</p> <p>2.3 How is this knowledge transmitted?</p> <p>2.4 Has the community revived or intensified ancestral practices that for one reason or another have been lost or are disappearing?</p> <p>2.5 If yes, indicate how:</p>
<b>3. Situation of indigenous women</b>	<p>3.1 How many women participate in decision-making about community development? (including participation in meetings, entities for self-government, bodies for community representation, the distribution of goods and services, educational levels, work and compensation)?</p> <p>3.2 Describe the system for inheriting land and other property. Does it differ for men and women?</p> <p>3.3 Describe women's access to justice in the community.</p> <p>3.4 Are there cases of violence against women? What types of cases are most common? How are they handled?</p>
<b>4. Participation and promotion of democracy</b>	<p>4.1 How many representatives of the community or ethnic group participate in local, regional, and national government decision-making bodies? Men/Women Youth/the elderly</p>
<b>5. Food sovereignty and self-sufficiency</b>	<p>5.1 Does the community have free access to the natural resources of its ancestral land?</p> <p>5.2 If no, describe the problems encountered.</p> <p>5.3 Is the food intake of community members guaranteed through activities such as cultivating the land, food gathering, fishing, hunting or small-animal husbandry?</p> <p>5.4 If no, describe the problems encountered.</p>
<b>6. Self-determination</b>	<p>6.1 Describe the community's political system.</p> <p>6.2 How independent is the community from the government political system?</p> <p>6.3 Can the community draw up its own social, cultural and economic development plans?</p> <p>6.4 If no, describe the problems encountered.</p> <p>6.5 Does the community feel it has full control over its decisions and actions?</p> <p>6.6 What are relations like with multinational corporations and other enterprises?</p> <p>6.7 Does the community have any experience with "free and informed consent"?</p> <p>6.8 If yes, please describe.</p>

## Annex 9. Example of baseline with FIMI format

1. General information			
Organization:	Coordinadora de Asociaciones y Comunidades para el Desarrollo Integral de la Región Ch'orti' (COMUNDICH)		
Application no.:	#1382		
Project title:	<i>Improving the food security and nutritional status of eight Maya Ch'orti' indigenous communities in the municipality of La Unión, Zacapa</i>		
Date of entry into force (Agreement signature date):	30 October 2015.		
Completion date:	31 December 2016.		
Questionnaire completion date:	08 and 09 February 2016.		
Questionnaire delivery date:	11 February 2016.		
1. Beneficiaries			
Indigenous people(s):	The Maya Ch'orti'		
Number of direct beneficiaries expected to participate in project activities:	Men: 273	Women: 174	Total: 447
Number of indirect beneficiaries expected to participate in project activities:	Men: 411	Women: 368	Total: 779

When answering the questions below, please refer to the specific indicators for your project:

Indicators	Situation prior to the project
1. Well-being	<b>1.1 Is the community implementing community development strategies consistent with its worldviews?</b> YES
	<p><b>1.2. If yes, indicate how:</b> Indigenous communities are strengthening their community governments through the recovery of their territories, natural resources and livelihoods. A key factor has been a renewed appreciation of their own modes of organization, which has led to the establishment of land, environmental, and indigenous affairs boards, the reinstatement of indigenous authorities and the creation of indigenous community mayoralties.</p> <p>The efforts under way include strategies to promote development and food security. Production initiatives include: the collection of native seeds from medicinal and food plants, the production of basic grains (beans and maize) and of chicken meat and eggs – all this through an approach based on the perspective of indigenous communities and communal work.</p> <p>Recovering their land and obtaining recognition of their ethnic identity as an inalienable right is a constant battle for the Maya Ch'orti'.</p>
	<b>1.3 How many families are living in the community and how many are landowners?</b> The Maya Ch'orti' in Guatemala consist of 9,547 Ch'orti'-speakers. The project will be implemented in a community with 1,473 families, 1,359 of which own their land.

Indicators	Situation prior to the project
1. Well-being	<p><b>1.4 What are relations like between the indigenous community and other communities and ethnic groups?</b> The Ch'orti' are coming alive and taking charge after a long history of repression, assimilation, dispossession and impoverishment. Significant steps have been taken: their recognition by the State as indigenous communities, the recovery of their land and the restoration of their community organizations are facilitating rapprochement with kindred indigenous peoples such as the Xinka, Ixile, Achí and Pocomchí.</p> <p>These communities engage in dialogue and social interaction, sharing experiences to solve community problems.</p>
	<p><b>1.5 How are decisions about community development made?</b> Indigenous communities have their respective land management boards and indigenous authorities, which are responsible for promoting community development activities; the community implements the work plans through assemblies.</p>
	<p><b>1.6 How many people in the community participate in decision-making?</b></p> <p>Men/Women The decision-making bodies include: The land and natural resources boards, the indigenous mayoralties and the women's committees.</p> <p>Participation among these bodies is very balanced, and decisions made in the community interest are respected.</p>
	<p><b>1.7 Who is excluded from community decision-making?</b> As a rule, no one is excluded. However, given the influence they exercise, some authorities of government/state entities, such as municipal mayors or the chairs of community development boards, do not participate.</p>
2. Traditional knowledge	<p><b>2.1 Does the community apply traditional indigenous knowledge?</b> YES</p>
	<p><b>2.2 If yes, describe how:</b> Traditional knowledge is still alive in indigenous communities, which have resisted assimilation, and is the basis of their identity. Traditional knowledge includes the wisdom of midwives, spirituality, the use of medicinal plants, agriculture and arts involving the use of rope, agave, rushes and sedge.</p>
	<p><b>2.3 How is this knowledge transmitted?</b> Ch'orti' knowledge persists despite the assimilation policy imposed during the liberal period, the consolidation of municipal governments, the creation of farms and the imposition of Catholicism.</p> <p>Family life has been the main repository of ancestral knowledge, which is handed down from parents to children. Nonetheless, efforts should be made to safeguard certain knowledge that is disappearing. Grandparents are the main source of knowledge that is vital to the life of the Ch'orti'.</p>
	<p><b>2.4 Has the community revived or intensified ancestral practices that for one reason or another have been lost or are disappearing?</b> YES</p> <p><b>2.5 If yes, indicate how:</b> After achieving some success in the recognition and restoration of their rights, Ch'orti' indigenous communities are resuming ancestral practices such as Mayan ceremonies; the restoration of sacred sites/altars; the celebration of dates special to the communities, such as the new year; the blessing of seed; offerings to Mother Earth; the use of natural medicines and the knowledge of midwives, who provide vital support to families.</p>
3. Situation of indigenous women	<p><b>3.1 How many women participate in decision-making about community development?</b> (including participation in meetings, entities for self-government, bodies for community representation, the distribution of goods and services, educational levels, work and compensation)</p> <p>In each indigenous community served by COMUNDICH, women's resistance committees, consisting of 15 women per community, have been created to participate and propose community development activities. A nine-member women's board has been created as a COMUNDICH policy management body. Four women also sit on the organization's board of directors.</p>

Indicators	Situation prior to the project
3. Situation of indigenous women (continued)	<p><b>3.2 Describe the system for inheriting land and other property. Does it differ for men and women?</b> Yes. There are still gender differences within the family. Women inherit less than men do.</p> <p>Among the Ch'orti', women do not have the right to own land – since in this culture, women will have a husband, and he must have the land.</p> <p>Nevertheless, women's struggles in communities that have recovered their land have led to recognition of their right to own land. Today, daughters inherit from their parents; husbands must recognize that their daughters have the right to land owned by both parents.</p> <hr/> <p><b>3.3 Describe women's access to justice in the community.</b> Through notifications and protective groups. Indigenous communities have historically been characterized by an entrenched culture of machismo, making it very hard for women to gain access to justice.</p> <p>Justice for women has proven an uphill battle. However, indigenous authorities have taken action to ensure that laws and regulations acknowledge women's rights and access to justice in community government.</p> <hr/> <p><b>3.4 Are there cases of violence against women? What types of cases are most common? How are they handled?</b></p> <p>Through the intervention of community authorities (deputy mayor, indigenous community mayor).</p> <p>Cases of violence against women have been found. Although hardly spoken of, it is a problem in communities. Cases are referred to the indigenous authorities without involving the courts, but further efforts must be made to cement the role of indigenous mayors so that they can play an effective role in handling cases of violence against women.</p>
4. Participation and the promotion of democracy	<p><b>4.1 How many representatives of the community or ethnic group participate in local, regional and national government decision-making bodies?</b> Four representatives of indigenous communities, two men and two women, sit on CODEDES departmental development boards, which advocate with the State to implement development policies in indigenous and farming communities.</p> <p>Two representatives for the Comprehensive Rural Development Policy (PNDR).</p> <p>Two representatives to the Constitutional Court to file complaints about violations of indigenous community rights by government institutions.</p>
5. Food sovereignty and self-sufficiency	<p><b>5.1 Does the community have free access to the natural resources of its ancestral lands?</b> YES</p> <hr/> <p><b>5.2 If no, describe the problems encountered.</b> Indigenous communities have recovered much of their natural resources, but nevertheless face pressure from government entities seeking to privatize them, establishing protected areas.</p> <p>Other challenges are the intervention of multinational corporations, the revitalization of the interoceanic dry corridor, the militarization of the region through the Plan of the Alliance for Prosperity in the Northern Triangle, hydroelectric projects.</p> <hr/> <p><b>5.3 Is the food intake of community members guaranteed through activities such as cultivating the land, food gathering, fishing, hunting or small-animal husbandry?</b> YES</p> <hr/> <p><b>5.4 If no, describe the problems encountered.</b> The food supply can be guaranteed by cultivating the land. However, there are problems such as droughts and few or no government policies to improve indigenous community development.</p> <p>Added to this is the most serious crisis in the history of the entire health and education system.</p>
6. Self-determination	<p><b>6.1 Describe the community's political system.</b> There is now gender equality; in addition, sovereignty gives communities the right to know how to elect people and be elected.</p> <p>Some communities have created communal governments, which are currently under development, mainly in terms of establishing their own internal policies. It should be noted that while significant steps have been taken with respect to the restoration and recomposition of rights, communities need to improve their own strategies and policies – action that involves gender equality.</p>

Indicators	Situation prior to the project
6. Self-determination (continued)	<p><b>6.2 How independent is the community from the government political system?</b> The community is fully independent from the government political system.</p> <p>Efforts are being made to bolster the self-determination of indigenous communities through territorial governance and communal governments.</p> <p>The Government has recognized the historic rights of indigenous communities in terms of their identity, territories, organization and authorities. However, the goal is for these elements to converge in an independent system of governance.</p>
	<p><b>6.3 Can the community draw up its own social, cultural and economic development plans?</b> YES</p>
	<p><b>6.4 If no, describe the problems encountered.</b></p>
	<p><b>6.5 Does the community feel it has full control over its decisions and actions?</b> Yes, both organized groups assume their responsibilities as part of society</p>
	<p><b>6.6 What are relations like with multinational corporations and other enterprises?</b> Indigenous communities are fighting to defend their territorial rights and natural resources. Relations with transnational and multinational corporations are not in harmony with community life and livelihoods.</p>
	<p><b>6.7 Does the community have any experience with “free and informed consent”?</b> NO</p>
	<p><b>6.8 If yes, describe.</b></p>

## Annex 10. Summary of main recommendations

Area	Theme	Recommendation
<b>IPAF and the self-driven development of indigenous peoples</b>	Funding	Acknowledging that there is an untapped potential for sustainable development, efforts should be made by IFAD and IPAF partners to mobilize additional resources in order to reduce the gap between the proposals received within the call and the number of proposals funded. If supported, the vision and talents of indigenous peoples can contribute to strengthen IFAD's own capacity to understand, assess and mainstream emerging issues in rural poverty and sustainable development. The successful efforts to mobilize funds for the 2018 cycle already represent positive progress in this direction.
	Women and youth	More needs to be done to support and empower women and youth, who particularly face exclusion, unequal access to education and training, and lack of access to land, credit and market facilities. The lack of economic opportunities and access to resources pushes youth to migrate from their communities, inhibiting intergenerational knowledge transfer and leading to the loss of traditional ecological knowledge and practices that have long enriched biocultural diversity. Also, more attention should be given to developing gender-/age-sensitive M&E systems and ensuring the regular collection of disaggregated data.
	The role of RIPOs	A reflection should be conducted among IPAF partners and within IFAD on the rationale for and relevance of the competitive selection of regional grantees. Although it ensures transparency and openness, it results in the loss of the capital achieved and generated in terms of capacity-building and institutional development of RIPOs supported through the Facility.
	Capacity-building	More effort should be made to support capacity-building and institutional strengthening of grassroots organizations through RIPOs. This is particularly relevant for young organizations with limited experience in the management of development projects.
	Project duration	A good number of project extensions were granted to grassroots organizations, indicating that the implementation period of two years is too limited, especially given the need to implement preparatory activities (e.g. finalization of design) and closing activities (e.g. reporting). The possibility of extending the duration of IPAF-supported projects to three years should be considered.
<b>The performance of RIPOs in managing the Facility</b>	Overall coordination	<ul style="list-style-type: none"> <li>Internal reflection and discussion should be conducted by RIPOs on how to improve planning, efficiently organize work and manage human and financial resources to ensure the achievement of the expected results of the IPAF and an effective grant management in the future.</li> <li>Sufficient resources should be made available through IPAF financing for improving strategic planning. RIPOs should also contribute to this effort by deploying their own resources and/or mobilizing additional resources for the IPAF for increased ownership and sustainability. This cofinancing (in terms of financial and/or human resources) should be clearly earmarked and established at the outset and carefully monitored throughout the IPAF cycle.</li> </ul>
	Design of IPAF projects	<ul style="list-style-type: none"> <li>More time and guidance should be provided at the kick-start of the IPAF cycle, particularly through capacity-building and training, to improve the design of projects. Skype and phone conversations may not be sufficient to support grassroots organizations in designing their projects. Particular attention should be placed on sustainability and in supporting organizations to build exit strategies. The organization of an inception meeting with the participation of all organizations would highly benefit design as well as implementation and monitoring. Sufficient resources should be earmarked for this purpose. The successful experience of Tebtebba in this regard could be looked at as a positive example.</li> </ul>

Area	Theme	Recommendation
<b>The performance of RIPOs in managing the Facility</b>	Design of IPAF projects (continued)	<ul style="list-style-type: none"> <li>• Project baselines should also include/integrate indicators adapted/tailored to the objectives and expected results and include quantitative data. The same applies to project logframes.</li> <li>• Project logframes should be streamlined to the overall programme logframe and include/integrate common indicators enabling RIPOs to monitor and feed their respective IPAF regional logframe, and IFAD to monitor and feed the programme logframe. A selected number of common indicators for all projects (in addition to project-specific ones) should be agreed upon among IPAF partners, included in project logframes and disaggregated by gender and age (e.g. number of trainings organized, number of people trained, number of exchange meetings organized, number of advocacy actions conducted).</li> </ul>
	M&E	<ul style="list-style-type: none"> <li>• Standard templates for project planning and reporting should be used. However, if they are not supported by guidance, templates risk not being properly and fully used and exploited. Additional guidance and advice by RIPOs might be helpful. As mentioned above, the organization of an inception workshop might serve this purpose, along with a common understanding of other programme-related tools, formats, instruments and procedures, thus reducing constraints during implementation and easing the work of the programme coordinators.</li> <li>• Based on the programme logframe, regional logframes should be developed and monitored by RIPOs. Updated logframes should be attached to their annual and completion reports to IFAD.</li> <li>• Closer communication and exchanges with grassroots organizations would help RIPOs to remain updated on progress and advances in the implementation of projects, strengthen relations, and provide more tailored support and capacity-building. This is particularly relevant for FIMI and Kivulini Trust.</li> </ul>
	Supervision	<ul style="list-style-type: none"> <li>• Direct supervision and monitoring could greatly benefit from the participation of FIMI staff in missions and would bring continuity between decisions made during supervision and subsequent implementation. It would also enable FIMI to improve its capacities in advisory support in organizational, financial and technical areas and strengthen its partnership with grassroots organizations. This would also respond to the needs expressed by sub-grantees to have more continuous assistance, support and communication with FIMI as well as regular follow-up once supervisions are concluded. The ideal solution for FIMI might be to plan supervision missions with the participation of both FIMI staff and the indigenous expert. If this option is retained, sufficient resources should be earmarked for this purpose under IPAF, with cofinancing by FIMI.</li> <li>• Supervision missions should be planned to take place at mid-term in order to enable supported organizations to implement recommendations during implementation period.</li> <li>• RIPOs should ensure that the mission recommendations are agreed upon with the IPAF sub-grantees at the end of the supervision missions, and that all supervision reports are promptly shared (within a maximum of one month) with them. Recommendations should be regularly followed up. For this to be possible, closer communication with grassroots organizations should be established.</li> </ul>
	Links to the regional and global levels	<p>Detailed planning and budgeting should be undertaken at the beginning of implementation and annually to ensure the facilitation of processes to link grassroots organizations with the regional and global levels, this being a key feature of the IPAF. Clear strategies should be in place and sufficient resources earmarked for this purpose.</p>
	Mobilization of resources	<p>More support from RIPOs should be provided to organizations to support their mobilization efforts (e.g. by informing or supporting them to participate in calls, facilitating the creation of partnerships, scouting additional resources, supporting them to increase visibility through knowledge-sharing). The scaling-up dimension should be strengthened in the next cycle and opportunities sought within and outside IFAD, particularly during monitoring and supervision missions of the sub-grants. Synergies with other projects or initiatives managed by RIPOs could also be generated.</p>

Area	Theme	Recommendation
The performance of RIPOs in managing the Facility	Financial management	<ul style="list-style-type: none"> <li>• RIPOs should consider requesting audits from organizations that have a sufficient level of institutional development. In fact, although the request by RIPOs to sub-grantees to submit all project-related receipts and proof of expenditures enabled RIPOs to exercise detailed financial control, it was time-consuming for all parties.</li> <li>• RIPOs might consider establishing a disbursement schedule in two instalments rather than three, at least for projects lasting only 12 months. The disbursement schedule and reporting plans established by RIPOs were too demanding for sub-grantees, who used an inordinate amount of time for reporting rather than in supporting implementation of their project on the field.</li> <li>• More guidance and capacity-building should be provided by RIPOs to sub-grantees in terms of financial management, especially for young organizations with little experience in managing development projects. Again, the organization of an inception workshop would be fundamental for this purpose.</li> </ul>
	Knowledge management	<ul style="list-style-type: none"> <li>• An effort should be made to fully exploit and disseminate material that risks remaining confined to only RIPOs and the involved organizations. A communication and KM strategy should be elaborated for this purpose as part of RIPOs' overall strategies.</li> <li>• The approach adopted by Tebtebba to use the closing IPAF workshop was a great opportunity for organizations to share knowledge generated from country-level activities, and for Tebtebba to increase its legitimacy and visibility with partners, strengthen communication with them and contribute to their institutional strengthening. This approach should be maintained and expanded. All RIPOs should organize a KM workshop at the end of the project cycle. The participation of IPAF partners from other regions might help generate further opportunities for peer cross-learning among regions. To this end, sufficient resources should be earmarked, with cofinancing by RIPOs.</li> <li>• In general, and as highlighted by grassroots organizations, more opportunities for peer knowledge-sharing and exchanges should be promoted, not only within the national or regional level. Such opportunities are considered key for grassroots organizations' institutional development and should become a central mechanism to accelerate the learning process by peers. In general, KM should become a key strategic axis within the IPAF, and with RIPOs playing a primary role. In addition, the possibility of organizing a continental meeting at mid-term or closing with the participation of the three RIPOs and sub-grantees could provide a unique opportunity for continental knowledge-sharing and should be explored. More opportunities for regular interaction and exchange among RIPOs should be ensured.</li> <li>• RIPOs should consider more regularly using online tools such as social media and their website to share information, news and success stories related to the IPAF. This should be included in their communication and KM strategies.</li> </ul>
Linkages with IFAD-funded projects	The IPF	IPAF-supported organizations and IFAD staff participating in the IPF in Rome should use the global meetings as opportunities to get to know each other and to share issues and proposals for collaboration. It would be particularly important to identify countries where there is an unmet potential for synergies.
	Informing CPMs	CPMs should be informed by the IPAF Secretariat about the Facility through ad hoc meetings (explaining what the IPAF is, identifying synergies and providing them with the contacts and main features of participating organizations).
	Grassroots organizations meeting CPMs	Meetings between CPMs and grassroots organizations should be held to further discuss possible synergies, and improve mutual knowledge. A system for the review of progress should be agreed upon.
	Guidance on IFAD project cycle	Guidance should be provided to grassroots organizations on IFAD's project cycle, including steps and time frame.

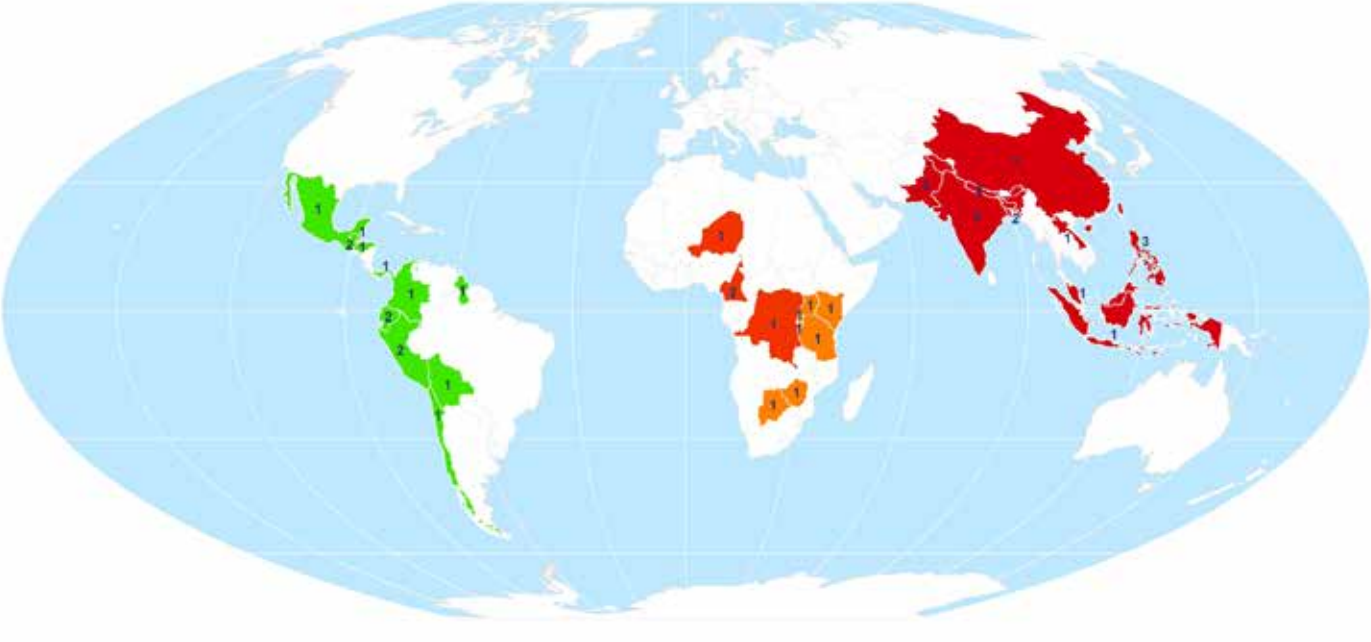


Area	Theme	Recommendation
Linkages with IFAD-funded projects	Partnership	All parties should be oriented in terms of the type of partnerships that can be developed and the advantages they could bring.
	Monitoring of progresses	Progress and achievements should be regularly monitored. More realistic and precise indicators/targets in terms of the linkages with IFAD-funded projects should be included in the IPAF-related logframes (at the programme, regional and national levels), including a baseline to discern changes.
	Shared responsibility	The responsibility for developing partnerships should be shared among partners. IFAD, grassroots organizations and RIPOs should have equal responsibility for developing joint partnerships and should actively seek to establish relationships and identify areas for collaboration where indigenous peoples' organizations could have a comparative advantage. This is particularly important at the design stage, whether for COSOPs or for projects. For IFAD, this should be considered as a responsibility to ensure that projects do contribute in reaching their target and the application of the principles set in IFAD's policies.
The management of the IPAF by IFAD	Design of the Facility	The design of the Facility should be improved. In collaboration with RIPOs, IFAD should revise the IPAF logframe as follows: (i) the structure of the logframe should be better organized, with a clear results chain; (ii) indicators should be reduced and revised in order to be SMART. Indicators elaborated by indigenous peoples' organizations related to indigenous peoples' food systems and sustainable livelihoods (identified during the 2014 regional workshops in preparation for the second global meeting of the IPF) might also be used as a reference; (iii) a number of indicators specifically related to projects implemented at the grassroots level should be included to prevent any data collected globally from relating only to the number of projects implemented and the amount of funds disbursed, i.e. with no information on the contents of the projects and results achieved. The identification and selection of these indicators should be jointly made by IPAF partners based on their experience in implementing the Facility; and (iv) RIPO and project logframes should be coherent with the programme logframe, integrate a group of common indicators, and collect data to feed them.
	Financial monitoring	IFAD should improve the financial monitoring of the Facility by requesting RIPOs to share detailed annual and completion financial reports together with the technical reports, in order to monitor the use of funds and anticipate any issues that could arise.
	Annual reporting	IFAD should consider preparing simple annual reports on the Facility to show consolidated results and progress, based on reports developed by RIPOs. Reports should be shared for comments and integration with the three RIPOs and used as tools for knowledge- and information-sharing. IFAD should ensure that the templates for annual reporting and planning developed and used by RIPOs are coherent, and include the needed data and information to facilitate consolidation.
	Implementation support and capacity-building	IFAD should strengthen implementation support provided to RIPOs. For this purpose, it might consider organizing annual or mid-term reviews in the regions, including at least one visit to all RIPOs, and possibly one visit to grassroots organizations. More opportunities for capacity-building and training should be sought. IFAD might consider joining the inception and closing workshops that could be organized by RIPOs. Sufficient financial resources should be made available for these initiatives.
	Final assessment	The final assessment of the IPAF should be conducted after programme completion and should include a field mission to visit IFAD regional partners and one or two projects. Similarly, the survey should be conducted with grassroots organizations after project completion. The contents of the survey should be revised to include a self-assessment on the results achieved on the field.

# Annex 11. Maps

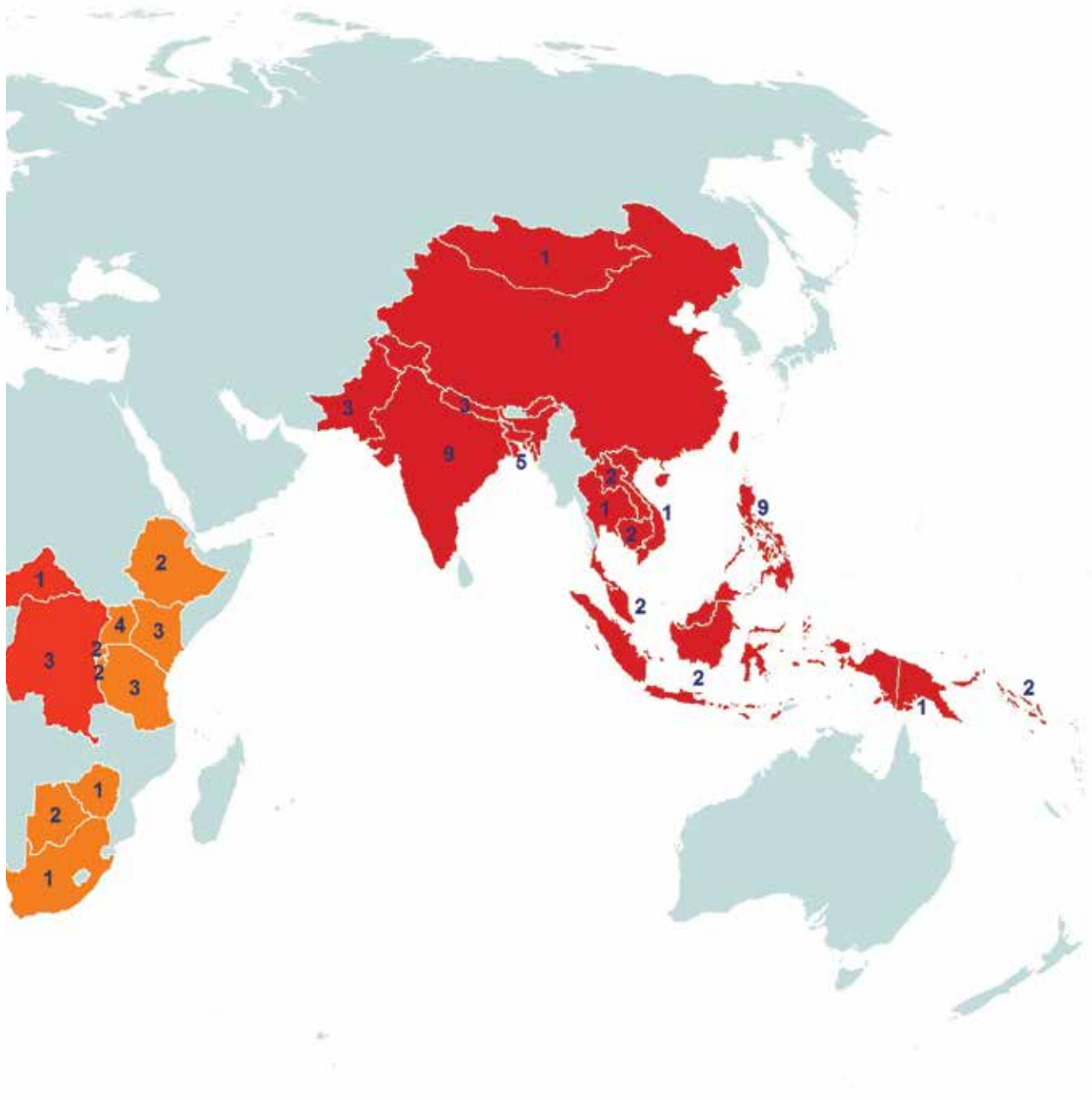


Number of IPAF projects in 2007  
APR ESA LAC NEN WCA



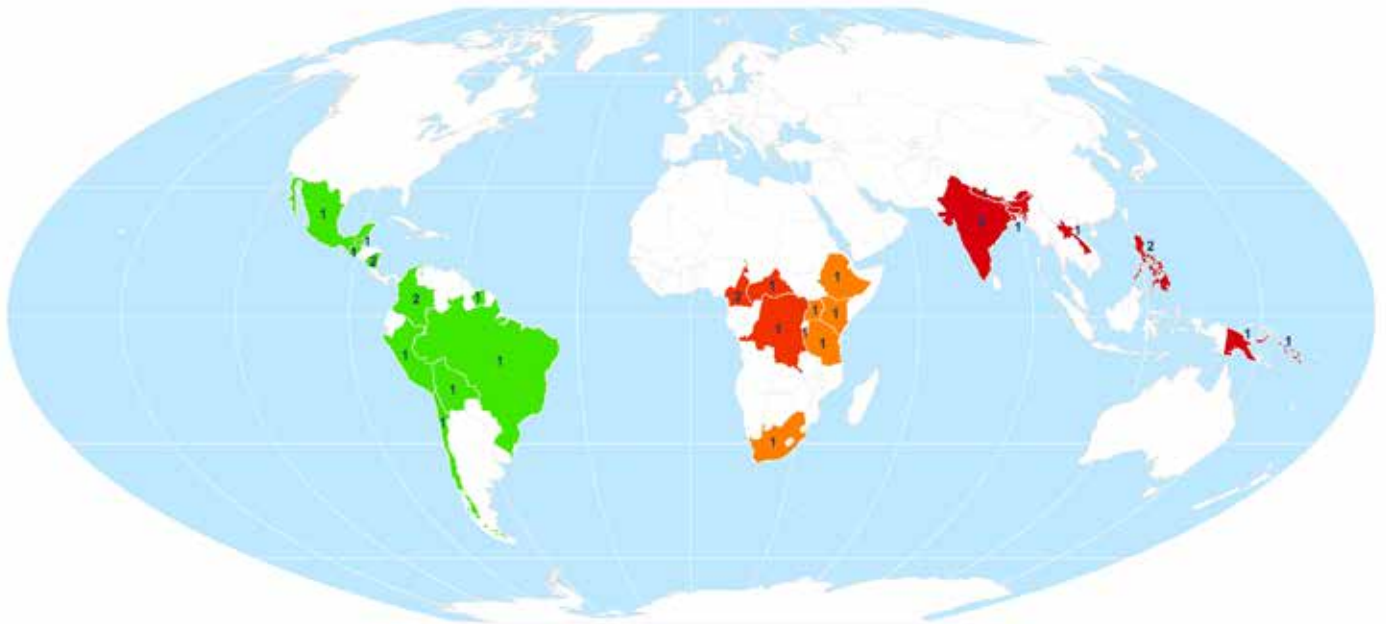
Number of IPAF projects in 2008  
APR ESA LAC NEN WCA





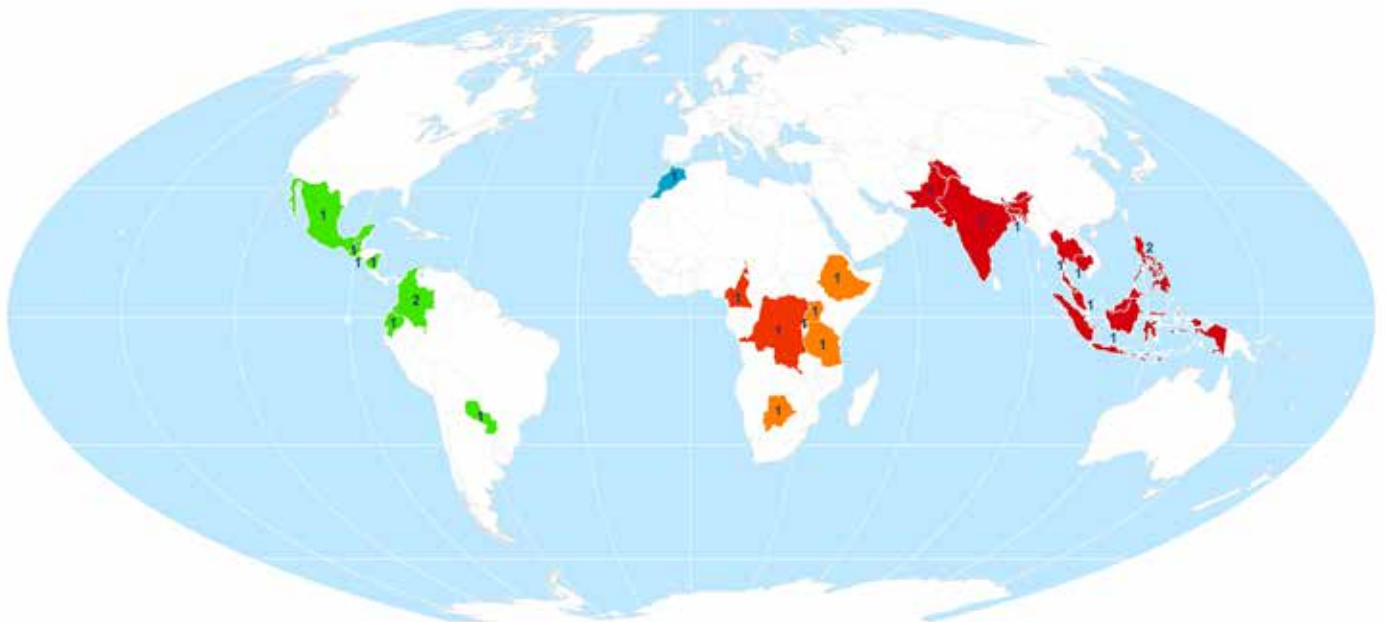
Number of IPAF projects in 2007, 2008, 2011 and/or 2015





Number of IPAF projects in 2011

APR ESA LAC NEN WCA






Number of IPAF projects in 2015

APR ESA LAC NEN WCA



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