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THE WORLD BANK

Washington, D.C.

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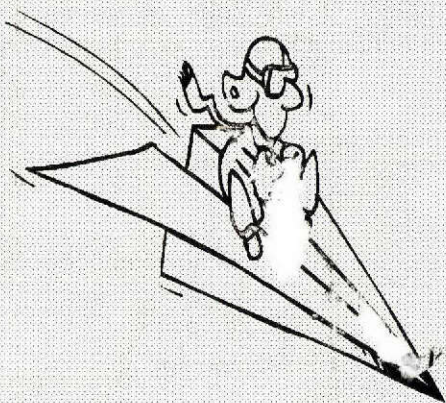


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Shelton H. Davis - Travel - Back to Office Reports [BTORs], Terms of Reference [TOR], Statements of Expense [SOE] R2004-149 Other #: 9 Box # 212116B

TRAVEL & BTORs

1995-96



S. Davis

THE WORLD BANK GROUP
Headquarters: Washington, D.C. 20433 U.S.A.
Tel. No. (202) 477-1234 • Fax (202) 477-6391 • Telex No. RCA 248423

FACSIMILE COVER SHEET AND MESSAGE

DATE: April 15, 1997 **NO. OF PAGES:** 2 **MESSAGE NO.:**
(including cover sheet)

TO: Mr. Jeff Thornton **FAX NO.:** (414) 574-1225
Title:
Organization: Lakeline
City/Country: Waukesha, WI, USA

FROM: Cristy Tumale **FAX NO.:** (202) 522-3247
Title: Staff Assistant Telephone: (202) 473-3675
Dept/Div: Social Policy and Resettlement Division Dept./Div. No.: 65520
Room No.: S5-033x

SUBJECT: Shelton H. Davis, The World Bank

MESSAGE:

Dear Mr. Thornton:

I attach a copy of Mr. Davis' Bio-Sketch and photo. I am also sending a clean copy of the bio-sketch and a clear photo via courier.

Best,


Cristy

Transmission authorized by:

If you experience any problem in receiving this transmission, inform the sender at the telephone or fax no. listed above.



The World Bank

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT
INTERNATIONAL DEVELOPMENT ASSOCIATION

1818 H Street N.W.
Washington, D.C. 20433
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(202) 477-1234
Cable Address: INTBAFRAD
Cable Address: INDEVAS

Shelton H. Davis, Ph.D.
Environment Department
The World Bank

Shelton H. Davis is Principal Sociologist in the Social Policy and Resettlement Division, Environment Department at the World Bank in Washington, D.C. where he is responsible for the Bank's work on tribal and indigenous peoples. Prior to transferring to the Environment Department in 1991, he spent four years in the World Bank's Latin America and Caribbean Region's Environment Division, where he worked on projects affecting indigenous peoples in Brazil, Paraguay, Colombia, Ecuador, Mexico, Guatemala and Panama.

Between 1984 and 1986, he was a visiting scholar at the OAS Inter-American Commission on Human Rights where he conducted a study of international mechanisms for protecting the human rights of forest-dwelling Indian populations in lowland South America. He was also the founder and director of the Anthropology Resource Center in Boston, Massachusetts (1975 through 1984), and a hemispheric Indian documentation center called Indigena, Inc. in Berkeley, California (1973 through 1975).

He has written extensively on indigenous peoples, environment and development issues in Latin America, and his book *Victims of the Miracle: Development and the Indians of Brazil* (Cambridge University Press, 1977) is considered a classic in the field. He is also the author of *Land Rights and Indigenous Peoples: The Role of the Inter-American Commission on Human Rights* (Cultural Survival, 1988); and, the editor of *Indigenous Views of Land and Environment* (The World Bank, 1993), and, *Traditional Knowledge and Sustainable Development* (The World Bank, 1995).

Dr. Davis has taught at the Federal University of Rio de Janeiro in Brazil, Harvard University, University of California at Davis, Massachusetts Institute of Technology, Boston University, Clark University, the University of Massachusetts, and most recently at Georgetown University.

He received his undergraduate degree in Sociology and Anthropology at Antioch College (1965) and his Ph.D. in Social Anthropology from Harvard University (1970). He also did special studies in Social Anthropology at the London School of Economics and Political Science (1963 and 1964), and doctoral research among Mayan Indians in Guatemala (1967 through 1969).

His current research interests are in "public involvement in environmental decision-making," for which he is presently conducting a two-year action research program in the Environment Department at the World Bank.

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08/29/95

A L L - I N - 1 N O T E

DATE: 10-Apr-1997 12:04pm

TO: sdavis2

FROM: IEMS,

EXT.:

SUBJECT: Re: Request for Photo and Bio-Sketch

Dear Shelton, The address is as follows: LakeLine, 321 Barney Street, Waukesha, WI 53186-2402; tel/fax 414 574-1225. Please address it to me, J Thornton. Again, I greatly appreciate your assistance in this endeavour, knowing your schedule and the demands on your time. Many thanks. Jeff T.

*Crusty - Please make
copy of attached
bio-sketch &
fax (and mail)
with photo to
Mr. J. Thornton
at LakeLine.*

(sdavis2@worldbank.org@INT

(IEMS@aol.com@INTERNET)

*Thanks,
Sandy*



Record Removal Notice

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Document Date [undated]	Document Type Facsimile			
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Exception(s) Personal Information				
Additional Comments		<p>The item(s) identified above has/have been removed in accordance with The World Bank Policy on Access to Information or other disclosure policies of the World Bank Group.</p> <table border="1"><tr><td>Withdrawn by Shiri Alon</td><td>Date September 19, 2023</td></tr></table>	Withdrawn by Shiri Alon	Date September 19, 2023
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BTORs

OFFICE MEMORANDUM

DATE: August 12, 1997

TO: Mr. Shelton H. Davis, Principal Sociologist

FROM: Gloria Davis, Director, Social Development

EXTENSION: 82750

SUBJECT: **Los Angeles: Maya Region Planning Meeting
(Getty Conservation Institute) -- Terms of Reference**

1. Between August 26-28, 1997, you will join Ms. Duer and Mr. Partridge (LCSES) in conversations with the Getty Conservation Institute (Los Angeles) concerning the "Mundo Maya" Program. You will prepare a brief presentation on Bank work in the cultural heritage area, and work with the LCSES team in defining follow-up work among the Getty Institute, the Bank, and other meeting participants.

2. On return to headquarters, you will write a brief back-to-office report highlighting the relevance of the Getty Institute meeting and initiative for the broader cultural heritage work of the Bank.

cc: Messrs./Mmes. M. Koch-Weser, W. Partridge, K. Duer (LCSES);
I. Serageldin, M. Cohen (ESDVP); SDV Family Board

THE WORLD BANK/IFC/M.I.G.A.

OFFICE MEMORANDUM

DATE: August 11, 1997

TO: Mr. Sri-ram Aiyer, Acting Vice President, LCRVP

FROM: *WP*
William Partridge, Acting Director, LCSES

EXTENSION: 3-8622

SUBJECT: **Los Angeles - Maya Region Planning Meeting
- Statement of Mission Objectives**



1. Between August 26-28, 1997 I will travel to Los Angeles, California for conversations with officers of the Getty Foundation concerning the Mundo Maya collaborative effort we have in mind, with the focus on immediate steps to define a preparatory workshop among the partners in January 1998.
2. Upon my return to the office I will prepare a back-to-office memo outlining progress made in these discussions.

cc: Messrs./Mmes. Koch-Weser (o/r), Mahar, Weins, Moser (o/r), Colliou, Duer, Martinez, Uquillas (LCSES), Cohen (ENVDR); **Davis** (ENVSP)

OFFICE MEMORANDUM

DATE: August 4, 1997

TO: Ms. Gloria Davis, Head, Social Development

FROM:  Shelton H. Davis,  Jorge Uquillas,  Daniel R. Gibson

EXTENSION: 33413

SUBJECT: **Geneva, Switzerland: BTOR for Participation in Inter-Agency Technical Consultation on Indigenous and Tribal Peoples and UN Working Group Meeting on Indigenous Populations, July 24-30, 1997**

A. Introduction

1. Under Terms-of-Reference dated July 21, 1997, we attended the above two meetings concerning indigenous peoples held at the United Nations in Geneva on July 25, 1997 and between July 28 and 30, 1997.
2. The Bank has been represented at the Annual Inter-Agency Technical Consultation since its inception by the International Labor Organization (ILO) and UN Human Rights Center (UNHRC) in 1991, and for the past two years has attended the opening days of the UN Working Group. This was the first year that the newly formed Cultural Diversity Thematic Team of the Social Development Family attended the meetings, with technical specialists from the Anchor and the Asia and the Latin America and Caribbean regions.
3. We took advantage of the time spent in Geneva, not only to represent the Bank at the various meetings, but also to hold a special information session on Bank policies and programs relating to indigenous peoples; to attend a special session organized to discuss indigenous peoples participation in the implementation of the International Convention on Biodiversity; to meet informally with representatives of several other UN and bilateral agencies, NGOs and indigenous peoples organizations; and, to discuss and draft briefing notes on a Dissemination, Training and Outreach Strategy for the Cultural Diversity Team, and a proposed strategy for preparing the Issues Paper on the revision of OD 4.20. The latter notes will be sent separately to the SD Family Board and CD Team Core Group.

B. Inter-Agency Technical Consultation

4. The Inter-Agency Technical Consultation was held at the ILO headquarters and attended by representatives of the ILO, UNHRC, WHO, UNEP, UNESCO, the Norwegian and Canadian governments, the Secretariat for the Biodiversity Convention, the Green Party of the European Parliament, and the Bank. Noteworthy for their absence at this year's consultation were representatives of the other Multilateral Development Banks (in the past, the Inter-American

Development Bank had regularly sent a representative to the consultation) and from some of the other bilateral agencies active in indigenous peoples affairs (e.g., the Austrian, Belgium and Danish governments). The Asian Development Bank and the Japanese government, which had sent representatives to the previous year's consultation, were also absent.

5. During the morning session, the representatives of each of the agencies briefed the attendees on the activities of their agencies during the previous year. The Bank delegation prepared a short written reports outlining its current activities in relation to indigenous peoples, including brief descriptions of regional projects, sectoral work and other activities (see Attachment). At the session, it also mentioned the establishment of the new Social Development Family and steps being taken to revise OD 4.20.

6. In the afternoon, Mr. Lee Swepston, the ILO focal point for indigenous peoples and human rights concerns, chaired a roundtable discussion on the subject of "Consultation and Participation of Indigenous Peoples in UN Agency Activities." Mr. Swepston opened the session by presenting a note on various sections of ILO Convention No. 169 which deal with consultation and participation. He then asked Ms. Henrietta Rasmussen, a Chief Technical Advisor at the ILO and former Minister of Labor and Social Policy in Greenland, to present a note on Principles for Effective Participation of Indigenous Peoples. The note caused a lively discussion and is available on request from the Bank delegation.

7. In the afternoon, Jorge Uquillas presented an overview of the Bank's experience in incorporating indigenous participation in the preparation of the Ecuador--Indigenous Peoples Development Project. This project, to be appraised later this month, included widespread indigenous participation from its inception and the formation of a joint government/indigenous organization Advisory Council and Technical Team. It was requested that some of the lessons learned from this experience be written up for dissemination among attendees at the consultation.

8. In general, the Bank delegation felt that the consultation was too short and would benefit from greater participation of some of the regional development banks who share our policy and operational concerns. We therefore discussed among ourselves and with Lee Swepston of ILO the possibility of a future inter-agency meeting, perhaps hosted by the Bank in Washington, which would bring together specialists from the various multilateral development banks, and perhaps some bilateral development agencies, dealing with indigenous matters. We plan to discuss such a future meeting, perhaps in the second half of FY 98 or early FY 99, with the CD Core Group and SD Family Board.

C. UN Working Group on Indigenous Populations

9. The fifteenth session of the UN Working Group on Indigenous Populations opened on Monday, July 28, 1997 with a special procession of the indigenous delegations through the gate of the Palace of Nations and a ceremony marking the twentieth anniversary of the first UN-sponsored NGO conference on indigenous peoples. As in the past, there was widespread representation of indigenous delegations from all of the world's regions, including many of them dressed in traditional costumes. There were also numerous human rights and development NGOs attending

the working group, as well as government and UN agency observers. As in previous years, a special seat is set aside in the UN agency section for a World Bank observer.

10. On the afternoon of the first day of the working group, a protest was raised by the People's Republic of China delegation concerning the seating and credentials of an aboriginal delegation from Taiwan, and it appeared as if this issue might setback the schedule for the entire program of the working group. However, the conflict was resolved outside of the meeting, and beginning on Tuesday morning, the working group turned to the discussion of two themes:

- (a) the concept or definition of "indigenous peoples" to be used in the discussion of the Draft Declaration on Indigenous Peoples currently being discussed in the UN Human Rights Commission;
- (b) the subject of indigenous peoples, land and environment.

11. We were only able to attend the discussion of the first of these topics, but requested that the UNHRC send us copies of the reports which result from the discussions on the second topic. In terms of the first topic, it is noteworthy that the issue of agreeing upon a general definition of "indigenous peoples" has become quite controversial because of the interventions of the government observers from Bangladesh, India and Nigeria who have raised the issue in the meetings of the UN Human Rights Commission. In fact, the entire issue of defining which groups, populations or peoples the Draft Declaration applies to has been a political stumbling block in the overall discussion.

12. For the above reasons, Professor Erica-Irene Daes, the Chairperson of the UN Working Group, was requested by the Human Rights Commission to prepare a working paper on The Concept of "Indigenous Peoples." Professor Daes' position, which seems to be shared by most of the European and Latin American governments and all of the indigenous organizations, is that there is no need for a *universally-applicable* definition of indigenous peoples. Rather, the current Working Definition offered by the Special Rapporteur of the UN Sub-Commission in 1986, and the definitions contained in ILO Convention No. 169 of 1989, appear to be sufficient to move ahead with the discussion of the Draft Declaration. Furthermore, she argues that the concept of "indigenous" is an evolving one and best pursued in terms of its regional diversity and specificity.¹

13. Because of the critical nature of this issue, both within the UN system and the Bank, we have asked Mr. Lee Swepston if he would informally brief Bank social and legal staff on the

¹ The working definition of "indigenous peoples" offered by the Special Rapporteur of the UN Sub-Commission, Mr. J. Martinez Cobo, as part of the Study of the Problem of Discrimination Against Indigenous Populations (E/CN.4/Sub.2/1986/7 Add. 4, para. 379) reads:

Indigenous communities, peoples and nations are those which, having an historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing in those territories, or parts of them. They form at present non-dominant sectors of society and are determined to preserve, develop and transmit to future generations their ancestral territories, and their ethnic identity, as the basis of their continued existence as peoples, in accordance with their own cultural patterns, social institutions and legal systems.

"definitional debate" within the UN and ILO policy and experience on this subject. He plans to be in Washington on other business during September and October, and has agreed to contact us about a possible Bank briefing. We have also asked the UNHRC to send us all forthcoming reports on the subject which result from the UN Working Group and Human Rights Commission deliberations.

D. Special Sessions at Working Group

14. Several special or parallel sessions were held as part of the working group, usually sponsored by UN special agencies on particular topics. This year, the special sessions included a two-day workshop on substance abuse and prevention among indigenous peoples sponsored by WHO and the Canadian government; the role of indigenous participation in the implementation of the International Convention on Biodiversity (see paras. 17 and 18 below); and discussions of the indigenous policies and programs of the ILO and the Bank. There were also several regional caucuses held among indigenous organizations from Africa, Asia and Latin America,

15. The World Bank session, which was held in the early afternoon of the first day of the working group, had about 30 people in attendance, and provided an excellent opportunity to inform interested people about the history and nature of the Bank's policies relating to indigenous peoples, as well as specific activities taking place in the Asia and LAC regions. In general, there was a positive attitude toward the Bank's efforts, and many people wanted to learn more about the nature of the Bank's activities and how they could be kept informed. We passed out copies of OD 4.20 in English, Spanish and Russian, as well as other documents on Bank activities, the LAC indigenous peoples training initiative, and the Small Grants Program.

16. It was also suggested in contacts which we made outside of the session with an indigenous delegation from Ecuador that it would be useful to hold future information sessions of this type with the regional caucuses or with particular country delegations. Obviously, there is great diversity among regions and countries and tailoring our information and consultation efforts to these contexts seems more productive than general discussions of policies and projects. There are also language and cultural differences which need to be taken into account in consultations with indigenous organizations of the different countries and regions.

E. International Convention on Biodiversity

17. During the second day of the Working Group, we attended a special session on indigenous peoples participation in the implementation of the International Convention on Biodiversity. The session was sponsored by the Indigenous Knowledge Network and included presentations by Ms. Henrietta Marrie (an Australian Aboriginal woman and new Program Officer for Indigenous Knowledge of the UNEP Secretariat for the Convention), Mr. Alejandro Argumedo (the head of the Indigenous Biodiversity Network), and Ms. Joji Carino, representing an alliance of indigenous and tribal peoples of the tropical forests. The session was well-attended by both UN agency representatives and indigenous organizations, and provided an excellent overview of several issues involved in the implementation of the Convention, especially Article 8 (j) which deals with indigenous knowledge and the participation of traditional peoples.

18. A major topic of discussion at the session was the planning of a forthcoming workshop in Madrid to develop an indigenous peoples platform and perspective for the Fourth Conference of Parties to be held in 1998. The workshop is to be sponsored by the Spanish government, but there was some issue about its timing (tentatively planned for November 1997) and whether or not it might be valuable to hold regional planning workshops beforehand in order to obtain the views of local communities and organizations.

19. Following the session, we made informal contacts with Ms. Marrie and Mr. Argumedo to discuss possible ways in which the Bank might cooperate with these efforts to include indigenous peoples in the discussions surrounding the Biodiversity Convention. The Environment Department recently signed a Memorandum of Understanding with the Secretariat for the Biodiversity Convention, which includes some reference to cooperation in relation to indigenous knowledge and peoples. Followup on this, including possible Social Development Family participation in the Madrid workshop, should be possible in the coming months.

F. Other Informal Contacts

20. Several other informal contacts were made by the Bank delegation at the working group meeting. These included:

- (a) discussions with persons working with the European Union on development of an EU policy on indigenous peoples. We offered to cooperate with this initiative by supplying background papers on the Bank's work, and also requested that we be sent copies of current policies and program statements of European governments (Belgium, Holland, Germany, Australia, Denmark, Spain, etc.) on indigenous peoples;
- (b) discussions with the current ILO coordinator for programs relating to indigenous peoples in Asia. The ILO and UNDP are organizing a workshop on Highland Peoples in Chiang Mai Thailand in November to which indigenous specialists and representatives from Thailand, Laos, Cambodia and Vietnam are to be invited. The ILO offered to keep us informed of this workshop and seek areas of collaboration with forthcoming programs relating to ethnic minorities it will be developing in Vietnam and Laos.

G. ILO Labor Studies Institute and Social Exclusion

21. Lastly, the delegation took advantage of its time in Geneva to meet with Mr. Jose Figueiredo, the Coordinator of the International Institute of Labor Studies (IILS)/UNDP Project on Social Exclusion. Background on this project is contained in a Back-of-Office Report of Mr. Shelton Davis on the IILS/UNDP "Policy Forum on Social Exclusion" (UN Headquarters, New York, May 22-24 1996), and several project publications which have been shared with Social Development Family members.

22. Mr. Figueiredo informed us about recent initiatives by the IILS to assess the potential applicability of the concept of "social exclusion" (mainly developed in Western Europe through EU

initiatives) to anti-poverty programs and strategies in developing countries. He also provided us with several unpublished reports on the extension of the concept and analytical framework to Latin American, African (both North and Sub-Saharan), and Asian countries, as well as the conclusions of a conference held at the ILO last May to discuss the policy implications and applicability of the concept.

23. A major result of our meeting was a discussion of the possibilities of organizing a one-day training seminar at the Bank on the work being done on "social exclusion," especially in terms of anti-poverty strategies and programs and the inclusion of marginalized ethnic groups. Mr. Figueiredo said that there would be no problem for him and possibly someone from the ILO's Poverty and Development Group, as well as maybe someone from the UNDP New York office affiliated with the project, to participate in such a seminar. He suggested that late November would be a good time for him, and we offered to followup on this with our colleagues in the Social Development Family and Learning and Leadership Center.

H. Conclusion

24. In general, we were very pleased by the outcome of the Geneva meetings. While the meetings themselves are sometimes unfocussed and without concrete outcomes, they do provide an excellent opportunity to make contacts with representatives of other UN agencies and indigenous peoples organizations concerned with issues similar to those of the Bank. In the current case, the recent meetings provided an excellent opportunity for a series of followup contacts especially with the ILO, the Secretariat on the Convention on Biodiversity, the European Union, and the International Institute on Labor Studies. We shall be discussing each of these followup activities with members of the Cultural Diversity Thematic Team Core Group and the Social Development Family Board.

Attachment

cc: Messrs./Mmes: A. Sfeir-Younis, L. Pachter-Tripp (EXT); J. Martin-Brown (ESDVP);
A. Steer, R. Watson, K. Newcombe, C. Rees (ENVDR); I. Johnson,
M. Ramos (GEF Secretariat); C. Cook, J. Brown, A. Kudat,
W. Partridge, E. Schaengold, L. Bennett (SDV Family Board);
CD Core Group



THE WORLD BANK

1997: ACTIVITIES IN RELATION TO INDIGENOUS PEOPLES

Background

The World Bank's policy towards indigenous peoples dates back to 1982 and was designed initially to address issues pertaining to relatively isolated and unacculturated tribal groups. It focused mainly on the protection of land rights and the provision of health services, particularly in relation to forest-dwelling indigenous groups who were being affected by Bank-financed projects in lowland South America.

In 1991, the Bank issued a revised policy (OD 4.20), which extends the definition of indigenous peoples to include a much wider array of groups who maintain social and cultural identities distinct from those of the national societies where they live, who have close attachments to their ancestral lands, and who are susceptible to being disadvantaged in the development process.

The revised policy, while maintaining the protective measures of the earlier directive, focuses particular attention on the rights of indigenous peoples to choose the manner and level of participation in development projects. Special procedures are outlined in the directive for incorporating indigenous peoples' concerns into Bank-financed investment projects through the design of Indigenous Peoples Development Plans.

Regional Initiatives

The Bank is striving, in this Decade of Indigenous Peoples, to address the problems specific to Indigenous Peoples' development agendas in a systematic manner. These efforts vary by regions. A summary of some of these new directions in development are presented below.

Latin America and Caribbean Region: A number of recently prepared natural resource management projects contain special Indigenous land components which take into account the legal and other provisions in OD 4.20. These include Rondonia and Mato Grosso Natural Resource Management Projects in Brazil and Natural Resource Management Projects in Paraguay, and Colombia.

The Pilot Program to Conserve the Brazilian Rain Forest, financed by the Group of Seven (G-7), with financial support from the Commission of the European Communities and the Netherlands includes a component on Indigenous Lands - the only of its kind - with the support of the German Government and coordinated by the World Bank. This component on Indigenous Lands became effective in December 1995 and includes the

identification of an estimated 42 indigenous areas and the demarcation and regularization of an estimated 81 areas. The entire five and a half year project seeks to formalize the legal status of indigenous lands of those people whose access to traditional areas is not yet fully protected. This project's importance lies in the fact that indigenous peoples in Brazil have primary and inherent rights to about 89 million hectares (17.5%) of the Legal Amazonia region.

The Latin America and Caribbean Region, in collaboration with the Hemispheric Indigenous Peoples Fund and using Institutional Development Fund (IDF) grants, began, in 1993-94 a series of training workshops for Latin American indigenous organizations to assist them in designing and managing their own development strategies. These have been implemented in Bolivia, Chile, Mexico, Ecuador, Nicaragua and Guatemala. IDF grants have been awarded to Honduras, Costa Rica, Panama and Nicaragua to assist in the development and capacity building of local indigenous peoples' organizations. Training workshops and seminars have been conducted on preparing development strategies, administrative procedures, and monitoring and evaluation procedures. The goal is to link training and capacity building as a prelude and base for investment projects where there is strong participation of indigenous peoples at the initial design as well as during the implementation phase of projects.

Increasingly in the Latin America Region there are projects where the primary beneficiaries are indigenous populations and where in some cases, indigenous peoples themselves are included in the technical administration of projects. This is the case in Ecuador, Mexico, and Peru¹. In Bolivia, Argentina and Nicaragua, some active projects include community development components where ethnicity, gender, and indigenous culture are intrinsic parts of project design. Local community consultation and participation have incorporated the communities' views and cultural preferences and will train women in the process of planning, implementing and managing sanitation, hygiene, and water services. Similarly, in the case of social investment funds (Panama: FES; Peru FONCODES) there are improved methods of targeting and delivery of social services to indigenous populations.

Asia and Pacific Regions: At this time the Asia region's portfolio includes 70 projects which either have indigenous groups or ethnic minorities as the primary beneficiaries, or have specific strategies for delivering appropriate benefits to ethnic minority groups. The majority of these projects deal with natural resources development and management, but many others involve indigenous groups in infrastructure and other sectors.

The Bank's success in implementing its Indigenous Peoples policy in Asia should not be measured by the number of projects alone but more importantly, by the fact that there has been an increasing willingness in Asian countries to acknowledge and recognize

¹ Peru: Sierra Natural Resource Management and Poverty Alleviation project. Eighty percent of the beneficiaries are indigenous populations living above 2,500m. Mexico: Community Forestry majority beneficiaries are indigenous peoples; Mexico: Rural Development in Marginal Areas covers four primarily indigenous southern states.

that cultural diversity, indigenous peoples, and ethnic minorities are both facts and assets. This has permitted a more open environment for the implementation of OD 4.20. Increasingly there is earlier scoping and identification of indigenous groups or special needs of unique ethnic minorities. Participatory mechanisms where ethnic minority groups define the project activities are increasingly being streamlined into the projects rather than being considered exceptions. In the course of project preparation, particularly in Southeast Asia, there has been very important ethnographic research conducted, including the discovery of four previously unknown languages and ethnic groups. Important national policy changes have occurred in some of these countries which permit the devolution of natural resources into the hands of local communities through the recognition of ancestral domains and customary land use.

The program of the Social Family's Cultural Diversity group will focus on the way in which the policy can better address the specific needs of the South and East Asia regions. With the Bank's reorganization there will be closer ties with the Social Development Units in the resident missions which will increasingly facilitate the dialogue and monitoring of activities in those projects dealing with indigenous peoples.

Africa Region: Focus in this region has been on generating greater awareness of the role which indigenous knowledge systems and institutions can play in the development process, especially in relation to natural resources management and biodiversity conservation. A set of workshops on this topic was sponsored by the Bank, the Africa 2000 Network, and IUCN's Regional Office for Southern Africa in 1995 and 1996. The proceedings of these workshops are about to be published by the Bank. The Africa Region's Environment Unit is also developing guidelines for strengthening the role of grassroots and local NGO participation in the environmental assessment process, including greater use of local indigenous knowledge in environmental assessments.

Middle East and North Africa Region: The first Bank-financed project directed at an indigenous population in this region, the Matruh Natural Resource Management Project in Egypt, is now under implementation. The project draws heavily upon the land-use knowledge and participation of the Bedouin people (including Bedouin women) and promises to provide important lessons for natural resource management and rural development planning in other arid areas of the Middle East and North Africa.

Europe and Central Asia Region: ^{Forestry} The past year has seen the completion of Bank-financed sector work (Russian Federation Policy Review) and the preparation of the first Bank-funded investment projects in the Russian Far East and Siberia (a Road Rehabilitation Project now under preparation in Southern Siberia). To respond to these new challenges, the Bank is making greater use of Russian ethnologists and cultural specialists, consulting with regional and national indigenous organizations, and reviewing Russian legislation in relation to land claims and traditional resource use.

Research and Sector Work

A growing amount of research and sector work is also taking place in the Bank which applies to indigenous peoples. A major focus of this work is in the areas of education and poverty alleviation. Following the empirical analysis of Mr. George Pscharopolous and Harry Patrinos on *Indigenous Peoples and Poverty in Latin America*², at this time in the Latin America region there are several ongoing studies, one funded by IDB to the Fondo Indigena to bolster their research capacity and document best practices and successful project experiences in dealing with indigenous peoples development projects.

Another study is examining the implementation of the Latin American Region Portfolio to assess the record of implementation of the Bank's policy. A related objective of this study is to provide some strategies for indigenous peoples development to be addressed in the Country Assistance Strategy papers, and eventually to promote projects and investments where indigenous peoples are the primary beneficiaries. Still another effort is preparing indigenous peoples profiles for several Central American countries; and, a preliminary study has been completed on indigenous peoples and biodiversity conservation in Latin America.

Within Asia Technical Human Resources Division the sector work investigating Highland Communities who are generally comprised of indigenous minorities is nearly complete. The comparative studies including Nepal and China will be finalized in coming months and the work in China's Yunnan Province has been published in both Chinese and English³. This work has focused on local perceptions, definitions, and treatment of diseases in order to focus on culturally appropriate and targeted delivery of services in both health and education. The World Bank's Children's Initiative produced a series of country profiles focusing on children and emphasizing the special needs of minority children.

The Legal Department's work examining Asian countries' legal frameworks in relation to indigenous peoples and ethnic minorities is nearly complete. This work will assist in improving the Bank's performance in regards to indigenous peoples and complement the Operational Guidelines for implementation of the Bank's policy to be formulated jointly with the policy revision.

A one day training workshop on Indigenous Peoples and Economic Development in Asia sponsored by ASTHR, ENVSP, and the Legal Department, was held in May 1996 focusing on the legal and operational issues of implementation of OD 4.20 in Asia.

² This book provides an empirical analysis of population, poverty, and educational achievement of indigenous peoples in Bolivia, Guatemala, Mexico and Peru.

³ "Study on Human resource Development in Yunnan Mountain Settings." Yunnan Science and Technology Press, 1997.

The Asia Technical Environment Division (ASTEN) has taken the leadership to move the Bank's research and operational agenda in the areas of indigenous knowledge, intellectual property rights protection, and biodiversity conservation. It is closely monitoring projects which include these dimensions. There are plans to fund a research proposal jointly with IUCN on the subject of indigenous knowledge and protection of intellectual property rights. The thrust of these efforts is to eventually define Bank policy in these areas.

Lastly, on July 1, 1997, a new Social Development Family was established in the Bank which will include a major focus on cross-regional issues relating to social and cultural diversity. Among other things, during the coming fiscal year, the Social Development Family intends to revise the current Bank policies on indigenous Peoples and Cultural Property; provide greater focus to ways of increasing the social soundness of Bank-financed investment projects through improved and more widespread use of Social Assessment techniques, and look more systematically at how the interests of indigenous and other local communities can be more effectively incorporated into private-sector investment projects.

Small Grants Program (SGP)

The Small Grants Program (SGP) was established in 1983 to provide a way for the Bank to promote dialogue and dissemination of information about international development in fora and activities taking place outside the Bank. Initially, much of the SGP support went to institutions in developed or donor countries, mainly to inform citizens and policy makers and promote the Bank's role in the aid community, especially that of the International Development Association (IDA). Over the years, however, the SGP began to shift dramatically its support to developing country institutions, many of them NGOs who could provide an alternative vision or model of the development process.

In 1992, as part of its participation in the International Year of the World's Indigenous People, the SGP committed itself to supporting small initiatives on development-related issues proposed by and of interest to indigenous organizations, especially in developing countries. It has since sponsored several activities of this type, many of them proposed and executed by indigenous organizations. The Bank intends to continue to give priority to these types of activities during the International Decade of the World's Indigenous People and will be actively soliciting proposals. Recent projects sponsored by the Small Grants Program and relating to indigenous peoples have included assistance for the production of a film about indigenous self-government in Colombia, support of an international conference on customary and national law in Russia, and support of a series of workshops on women and traditional medicine in the Pacific.

Information and applications for the Small Grants Program are available by writing to Mr. Peter Hensch, Small Grants Program, The World Bank, 1818 H Street, NW, Washington, D.C. 20043 USA. Tel (202) 473-3501; Fax: (202) 676-0574.

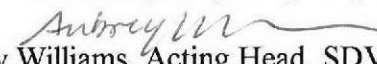
Further Information

Information concerning specific Bank-financed projects is available through The World Bank, Public Information Center, 1818 H Street, NW, Room G C1-310, Washington, DC 20433 USA. Tel (202) 473-3413; Fax: (202) 522-3247.

OFFICE MEMORANDUM

DATE: July 21, 1997

TO: Shelton H. Davis (SDV); Jorge Uquillas (LATEN); Coca del Castillo (ASTHR)

FROM: 
Aubrey Williams, Acting Head, SDV

EXTENSION: 82750

SUBJECT: **Geneva, Switzerland: TOR on Participation in Inter-Agency Technical Meeting and UN Working Group Meeting on Indigenous Populations, July 24-30, 1997**

1. On or about July 24, 1997, you will travel to Geneva to represent the Bank at the above mentioned UN-sponsored meetings. On July 25, 1997, you will attend the Inter-Agency Technical Meeting on Indigenous Peoples, organized by the International Labor Organization (ILO) and UN Centre for Human Rights. At this meeting, you should be prepared to discuss recent initiatives taken by the Bank in relation to indigenous peoples, including sectoral and project-related work in the Latin America and Caribbean and Asian regions and new, cross-Bank initiatives being developed by the Social Development Family.

2. On July 28th, the UN Human Rights Centre has arranged for the Bank to have an informal luncheon meeting with indigenous participants at the UN Working Group meeting, which begins on this day. You should brief the attendees at this meeting about current Bank policy related to indigenous peoples (OD 4.20), and efforts to implement this policy in various Bank operations at the regional and country levels. You should also inform the attendees about the new initiatives taking place in the Social Development Family, and be prepared (if necessary) to field any questions concerning the policy revision process for OD 4.20. In relation to the latter, you should not raise expectations about the timing or nature of the revision process or consultations, which remain to be determined internally in the Bank.

3. While in Geneva, you should also meet informally with other UN agencies, NGOs, and government representatives attending the UN Working Group meeting. You may also wish to take advantage of your time in Geneva to meet with representatives of the ILO's International Institute of Labour Studies whose recent work on "Social Exclusion and Anti-Poverty Policy" is of particular interest to the Social Development Family, especially as it relates to indigenous peoples and other vulnerable groups.

4. On return to headquarters, you will prepare a joint Back-to-Office report for dissemination within your respective regions and among the Social Development Family.

cc: Messrs./Mmes: A. Sfeir-Younis, L. Pachter (EXT); J. Martin-Brown (ESDVP);
C. Cook, J. Brown, A. Kudat, W. Partridge, E. Schaengold,
L. Bennett (SDV Family Board Members)

OFFICE MEMORANDUM

DATE: July 3, 1997

TO: Mr. Cesar Queiroz, Sr. Highway Engineer, EC3IV

FROM: Shelton H. Davis, Principal Sociologist, SDVDR
Igor I. Krupnik, Anthropological Consultant

SHD
I.K.

EXTENSION: 33413

SUBJECT: **Russian Federation: Siberian and Far East Highway Project
Pre-Appraisal Mission, June 12-27, 1997/Back-to-Office Report**

Objectives of Mission:

1. Based upon Terms-of-Reference dated May 22, 1997, we participated as Socio-Cultural Specialists on the Pre-Appraisal Mission for the above project. The main objectives of our mission were:
 - (a) to review and provide recommendations for improving the socio-economic and cultural aspects of the Interim Environmental Assessment Report prepared by Irkutsk Giprodornii and Kampsax as part of the Feasibility Study for the project;
 - (b) to provide an overview of Bank policies in the socio-cultural area -- especially in relation to Indigenous Peoples (OD 4.20), Involuntary Resettlement (OD 4.30), and the Management of Cultural Property (OPN 11.03) -- to the participants in the seminar organized by DORINVEST in Irkutsk for regional highway authorities and private contractors on June 17, and 18;
 - (c) to identify potential social, economic and cultural impacts of the proposed highway rehabilitation project (or its specific road segments) on indigenous and other local communities, and to recommend Russian cultural specialists who could conduct social assessments of such impacts; and,
 - (d) to inform various stakeholders -- including Russian cultural specialists, indigenous peoples associations, environmental NGOs, and interested governmental agencies -- about the nature of the proposed Highway Rehabilitation project and to seek their collaboration.
2. A full narrative account of the results of the mission, including our detailed observations and recommendations for improving the Irkutsk Giprodornii/Kampsax Environmental Assessment report, is contained in our contribution to the mission Aide-Memoir and a joint Back-to-Office Report which we are submitting with Mr. Scott Hanna, the mission Environmental Specialist.

3. The following memo supplements the larger Back-to-Office Report by providing a brief overview of the results of the socio-cultural aspects of the mission as well as a set of recommendations for followup actions which could assure the overall socio-cultural soundness of the proposed project.

General Results

4. In general, there was great openness on the part of both DORINVEST and Irkutsk Giprodornii in incorporating socio-cultural concerns, including those of vulnerable indigenous populations, into the proposed project. Most of the roads included in the preliminary list of the Siberian and Far East Highway Rehabilitation project will have no or minimal impact on indigenous people and their cultural property. However, we were able to identify two potential road segments -- the rehabilitation of the Tyumen-Tobolsk-Khanty-Mansiysk Road (especially its northernmost segment from Uzhny-Balik to Khanty-Mansiysk) and the proposed improvement of the Chita-Khabarovsk Federal Road ("Amur" River regional segment) -- which may have potential impacts of both a positive and negative character on indigenous peoples. The proposed SA should indicate whether such impacts would actually occur.

5. Bearing in mind these potential impacts, we prepared draft Terms-of-Reference (See Attachment) for conducting Social Assessment surveys for the above mentioned road segments. We also provided DORINVEST and Irkutsk Giprodornii with a list of locally-based Russian cultural specialists who could conduct such assessments for both federal and regional road segments in the Tyumen-Khanty-Mansiysk and Khabarovsk Region.

6. Since returning from mission, we have heard from Irkutsk Giprodornii that their environmental staff, accompanied by the environmental specialist of Kampsax, will be conducting field investigations in the Tyumen-Tobolsk-Khanty-Mansiysk area during this month. We have also been informed of their willingness to contact and potentially contract the local Russian cultural specialists referred by the mission team. These actions indicate a strong willingness on the part of both DORINVEST and Giprodornii to incorporate socio-cultural concerns into the proposed project, and augur well for its overall socio-cultural soundness.

Recommendations for Followup Action

7. Based upon the above initial steps, which are extremely positive, we recommend that several followup actions be taken to assure this overall socio-cultural soundness of the proposed project in compliance with the Russian Federation and Bank social and environmental policies:

8. (a) *Consultations with Indigenous Organizations* -- First, we would recommend that more systematic consideration be given to informing the various indigenous people NGOs, both regional and nationally-based, about the highway rehabilitation project, as well as other Bank-financed projects under execution or preparation in Siberia and the Far East.

The mission had a very productive discussion at the Public Information Center of the Resident Mission in Moscow with Ms. Olga Murashko (the head of the Russian Branch of

the International Work Group for Indigenous Affairs), as well as two indigenous leaders of the local associations of the Koryak Area and Primorsky Krai, Messrs. Zaporotsky and Suliandziga. The indigenous leaders expressed a special interest in receiving advanced information on any Bank-financed activities in the areas of residence of Russian indigenous peoples. They were also interested in knowing what types of assistance might be available to their organizations and communities.

9. (b) ***Inter-Agency Cooperation*** -- To carry out the Social Assessments, as well as any followup actions which might result from such studies, it will be necessary for DORINVEST to obtain the cooperation of other Russian governmental agencies, especially those dealing with social policy concerns relating to indigenous peoples in Siberia and the Far East. In this sense, the mission was quite pleased by the collaboration offered to DORINVEST by the Russian Ministry of Nationalities in Moscow represented by the First Deputy, Mr. Vladislav Tumanov and other senior staff officers.

Mr. Tumanov, in his meeting with the DORINVEST representative and the mission specialists on June 23, offered the full support of his Ministry in providing logistical and administrative assistance for the Social Assessments, and any followup actions which might be necessary to ensure that indigenous peoples are not harmed by and actually benefit from the road rehabilitation project in Siberia and the Far East.

10. Depending upon the results of the Social Assessment, we would recommend that the Bank consider asking DORINVEST to establish a Memorandum of Understanding (MOU) with the Russian Ministry of Nationalities and another governmental agency, the State Committee on the North (*Goskomsever*), to formalize cooperation in relation to indigenous peoples who may be affected by federal highway programs in Siberia and the Far East. A detailed MOU, including the defining of respective agency responsibilities in terms of preparation, implementation and financing of the recommended mitigation actions for the specific road segments, could be a condition of effectiveness of the project in general.

11. (c) ***Public Dissemination of the EA*** -- The mission recommended to the Irkutsk Giprodornii project team that it designs a public information strategy for informing local and regional NGOs about the results of its Environmental Assessment and supplies copies of the draft EA report for their review and comments. The mission is pleased to report that Irkutsk Giprodornii staff has already taken certain steps in making public its work on the EA.

12. (d) ***Indigenous Peoples Development Plan*** -- If the Social Assessments conducted this summer indicate that there could be significant impacts of the proposed project (or specific roads segments contained within it) upon indigenous peoples, then under OD 4.20, the Borrower will need to prepare an Indigenous Peoples Development Plan (IPDP). Under Bank policy, such plans should be prepared, in consultation with local affected populations, *prior to appraisal* and submitted to the Bank for review at the same time as the Environmental Assessment.

13. In the case of the current project -- given its ongoing and long-term nature -- it may be possible to submit the general framework of such plans in the Environmental (and accompanying

Social) Assessments and leave their actual preparation, including systematic consultations with indigenous populations, to the preparation of road-specific feasibility studies and environmental assessments. However, if this is the case, then there will have to be certain conditionality within the Project Loan Agreement noting that IPDPs for **specific road segments** would be prepared and reviewed by the Bank prior to approval of loan disbursements for these road segments. It is probably wise to discuss such an arrangement with the Project Lawyer prior to appraisal, so that, if necessary, the issues can be discussed with DORINVEST at appraisal and form part of the negotiations.

14. Given the above, we would also recommend that some consideration be given to having an indigenous legal specialist (or perhaps someone from LEGEN with knowledge of these issues) accompany the Bank appraisal mission. Such specialist assistance, especially in terms of indigenous land claims, has been used in numerous other Bank projects which affect indigenous peoples (including in the highway sector) and is often available through Trust Fund support. In the Far East and Siberian area, Canadian Trust Fund support may be available for contracting a Canadian legal and land claims specialist familiar with the land and resource concerns of northern native peoples.

Conclusion

15. In conclusion, we wish to again stress the positive response of DORINVEST and Irkutsk Gripodornii to the mission's suggestion that socio-cultural concerns, including those of vulnerable indigenous groups, be given adequate attention in the environmental assessment and overall project design. There seems to be a genuine attitude on the part of these agencies to learn from Bank experience in the socio-cultural area, and to do what it can to design the project in such a way that it will be both environmentally and socially beneficial to local indigenous populations.

16. On the other hand, the Bank has to followup on these positive steps in its dialogue on these issues during project appraisal and throughout the course of project negotiation and implementation. One way to promote such dialogue would be for the Bank to consider sponsoring together with the DORINVEST, a small seminar in Moscow and perhaps in one or two regional centers during the appraisal mission. The main purpose of such a seminar will be to inform both the indigenous associations and other NGOs and Russian governmental agencies about the project and how it will incorporate the environmental and social policies of the Russian Federation and the Bank. Ms. Marina Vasil'eva, the External Affairs Officer at the Moscow Resident Mission, has offered to assist with such public information and outreach activities.

17. We are prepared to discuss these issues further and are eager to provide DORINVEST and the Bank with needed anthropological information and support in fully incorporating these socio-cultural concerns into the proposed Siberian and Far East Highway Project.

Attachment:

cc: Mr. Scott Hanna
Acres International limited
Canada
Fax No: (604) 683-9148

Ms. Marina Vasileva
Moscow Resident Mission
Russian Federation
Fax No: (7-095) 254-8368

Ms. Gloria Davis
Acting Director
SDVDR

Russian Federation
Siberia and Far East Highway Project

Draft Terms-of-Reference
for
Social Assessment

Indigenous Peoples

A. Background

1. The World Bank is assisting the Russian Federal Highway Administration (RFHA) in the preservation of the federal road network in Siberia and the Far East region through a program of road and bridge rehabilitation. The principal objectives of the proposed project are to: (a) improve the condition of selected high priority roads and bridges on the federal road system in Siberia and the Far East and the regional road systems of Tyumen, Krasnoyarsk, Irkutsk and Khabarovsk regions; (b) assist in the reform of the institutional structure of road administration and the contracting industry and expand the use of competitive bidding (c) strengthen the capabilities of the RFHA and the participating regions to manage the roads and bridges under their jurisdiction; and, (d) improve the efficiency in the use of resources employed in road works.

2. As part of the feasibility study, DORINVEST, the Project Implementation Unit at the federal level, has contracted the firm of IRKUTSKGIPRODORNII to conduct an Environmental Assessment (EA) of the proposed road and bridge rehabilitation project. The study, which is being assisted by the Danish firm KAMPSAX, was begun in March 1997 and is programmed to be completed by October of this year. The final report which results from the study is expected to fulfill the statutory requirements for EA in projects of this type of both the Russian Federation (Environmental Policy of the Russian Federation, March 3, 1992) and the World Bank (Operational Directive No. 4.01, 1989, revised 1991).

B. Contracting of Anthropological Expertise

3. During the World Bank Preparation Mission of February 24-March 17, 1997, it was agreed with DORINVEST that an Anthropological Expert (individual or firm) would be contracted by IRKUTSKGIPRODORNI and KAMPSAX to prepare a chapter of the EA which would assess the potential social and cultural impacts of the proposed project on indigenous peoples. General Terms-of-Reference for this assignment were transmitted by the Bank mission to IRKUTSKGIPODORNII in the form of the Bank's Operational Directive on Indigenous Peoples (OD 4.20, 1991). The following

paragraphs provide more specific Terms-of-Reference for the work to be conducted by the Anthropological Expert who will produce the chapter of the EA report on impacts of the proposed road rehabilitation program on indigenous peoples.

4. The Terms-of-Reference are also designed to be used by a second Anthropological Expert who will prepare a more site-specific Social Assessment of the impacts on indigenous peoples of proposed repair and reconstruction activities along the Tyumen-Khanti-Mansiysk Road. The latter, because of its association with hydrocarbon exploration and development activities and their relatively great impact on traditional hunting, fishing and reindeer herding peoples in the area of influence of the road, may necessitate the preparation of an Indigenous Peoples Development Plan (IPDP) under World Bank guidelines. The Social Assessment is conceived as the first and necessary step in the preparation of such a Plan.

C. Identification of Indigenous Peoples

5. For purposes of the Social Assessment, the term "indigenous peoples" shall refer to the groups of people covered by Russian Federation Presidential Decree No. 397 of 22 April 1992 ("*On Urgent Measures to Protect the Territories of Residence and Economic Activity of the Small Ethnic Entities of the North*"), as well as the Siberian Old Settler population who share many characteristics in terms of their cultural and subsistence traditions with the small indigenous minorities of the North. A list of areas where these small indigenous minorities of the North reside was released by the Russian Federation on 11 January 1993 (*Sobranie aktov*, 3, 1993, no. 176; and, also, supplements in *Vedomosti*, 13, 1993, no. 465).

6. In cases of confusion in identification, reference should also be made to the World Bank's Operational Directive on Indigenous Peoples which states that:

Indigenous peoples can be identified in particular geographical areas by the presence in varying degrees of the following characteristics:

- (a) a close attachment to ancestral territories and to the natural resources in these areas;*
- (b) self-identification and identification by others as members of a distinct cultural group;*
- (c) an indigenous language, often different from the national language;*
- (d) presence of customary social and political institutions; and,*
- (e) primarily subsistence-oriented production.*

D. Methodology

7. In carrying out the Social Assessment, the Anthropological Experts should use the following methodology:

- (a) review of the recent ethnographic literature by Russian and foreign scientists on the history, socio-economic and cultural situation of the indigenous peoples in the areas of influence of the roads to be covered by the proposed project;
- (b) rapid sociological reconnaissance of the indigenous communities and settlements in the area of influence of the roads, in order to consult with local residents and leaders about their perceptions of the impacts of the roads on their territories, subsistence resources, health, cultures and ways of life;
- (c) consultations with other specialists familiar with the peoples, the general socio-economic situation (including administrative and inter-ethnic relations), and the cultural resources in the areas of influence of the roads;
- (d) consultations with regional and local affiliates of the Association of Indigenous Small Peoples of the North, as well as other non-governmental organizations (NGOs) familiar with the conditions of indigenous peoples; and,
- (e) consultations with regional representatives of the State Committee for the Social and Economic Development of the North and other administrative bodies responsible for indigenous affairs.

E. Demographic, Socio-Economic and Cultural Description and Diagnosis

8. The first step in the Social Assessment should be a general description and diagnosis of the demographic, socio-economic and cultural situation of the indigenous and local peoples in the areas of influence of the current road corridors. This should include among other elements:

- (a) maps showing location of indigenous settlements contiguous to road, within 1 to 5 kilometers, and beyond 5 kilometers on each side of road;
- (b) demographic statistics of the number and actual or estimated size (number of families) of current indigenous settlements in the area of influence of the road;
- (c) age, sex, ethnic and occupational structure of typical indigenous settlements;

- (d) modes of livelihood (agriculture, herding, hunting, fishing, industrial employment, etc.) and current levels of employment of families occupying indigenous settlements;
- (e) seasonal movements, economic activities, and kind and volume of goods transported to and from the indigenous communities;
- (f) family and community structures, and patterns of local leadership and decision-making;
- (g) existence of local cooperatives and other organizations or associations for promoting economic production, commerce and trade;
- (h) legal status of traditional lands and natural resources (i.e., official recognition of family or clan territories, fishing and hunting areas, agricultural settlements, etc.);
- (i) threats to traditional lands and natural resources from petroleum and natural gas developments, forestry and mining enterprises, hydroelectric, nuclear and other energy facilities, agricultural settlements, etc.;
- (j) role of uncontrolled trade, poaching, and influx of outsiders on social and economic health of indigenous communities;
- (k) general health and social conditions (common diseases, child nutrition, alcoholism, suicides, crimes, etc);
- (l) access to housing, educational, medical and other social services; and,
- (m) degree of preservation of traditional religious and cultural practices which might be important in understanding impacts of roads.

F. Social and Cultural Impact Assessment of Roads

9. The second step in the assessment should be an evaluation of the potential social and cultural impacts of the proposed road rehabilitation or reconstruction program. Such an assessment should include both positive and negative aspects of road improvements on the indigenous society, economy and culture. On the positive side, this could include:

- (a) potential employment during road rehabilitation activities, or increased access to employment once the roads are improved;
- (b) increased access to regional markets for self-produced goods or for consumer goods;

- (c) increased access to schooling, housing, medical, and other social services at the community and regional levels; and,
 - (d) greater contact with regional society and economy, if preferred by indigenous groups.
10. Potential negative impacts might include:
- (a) increased threats to traditional lands and natural resources from improved access to indigenous territories by outsiders;
 - (b) indiscriminate contacts with highway workers, hunters, extractive industries, agricultural settlers, traders and other road users;
 - (c) health and social problems related to road-construction and improved access (alcoholism, drugs, prostitution, sexually-transmitted diseases, etc.);
 - (d) disruption of family and community ties and changes in established leadership patterns;
 - (e) threats to cultural properties and resources, such as archaeological sites and historical monuments, sacred and ceremonial sites, graveyards, medicinal plants, etc. in areas of influence of the roads; and,
 - (f) further breakdown of traditional society and values, even though resisted by indigenous groups.

11. This section of the assessment should also contain a ranking of these positive and negative impacts in relation to different sectors of the indigenous population (e.g., men vs. women, the elderly vs. youth, literate vs. illiterate people, traditional vs. modern-oriented persons), as well as on the overall indigenous society or community. The perception of local residents, as well as specialists, should be taken into account in making this overall ranking of the potential social costs and benefits of the proposed road improvements.

G. Proposed Mitigation Measures

12. Finally, the assessment should provide a set of recommended measures or actions for avoiding or mitigating adverse impacts and for increasing the positive benefits of road improvements for indigenous peoples. Such measures might include:

- (a) recommendations for changing road alignments to accommodate needs and preferences of indigenous peoples;

- (b) identification of areas of particular cultural, spiritual or ecological sensitivity which should be specially considered in road alignments and repair activities (e.g., in siting of quarries and batch plants, construction sites and camps, etc.);
- (c) specifications for road contracts to ensure control of highway work crews, especially in terms of indiscriminate contacts with indigenous peoples and the depletion of the natural resources (fish and wildlife) in their territories through poaching and increased pressures;
- (d) recommendations for legally recognizing and regularizing family, clan and community territories and access to natural resources;
- (e) controls on hydrocarbon, forestry, mining and other extractive enterprises;
- (f) regulation of unlicensed trade, particularly in alcohol and other products detrimental to health of indigenous communities;
- (g) providing of culturally-appropriate educational, housing and health care services;
- (h) training and institutional strengthening programs for various types of local indigenous associations (e.g., hunter and herder unions) and communities; and,
- (i) establishment of special funds for promoting culturally appropriate, economic development and for compensating indigenous peoples for losses due to highway construction or improvement.

H. Structure of Final Report

13. The final report should be written to reflect all of the elements of the assessment process cited above; i.e., social description and diagnosis, evaluation of potential impacts (both positive and negative), and proposed mitigation measures. The size of the report should be approximately 30 to 50 pages. It should contain a Table of Contents and Executive Summary (3 to 5 pages); appendices with maps, tables, graphs and other visual materials (photographs); and, a list of specialists, indigenous associations, community leaders and administrative agency representatives who were contacted in carrying out the assessment.

14. Specific organizations or administrative bodies should be identified in the report who might be contracted to design, execute and monitor the mitigation measures and, if warranted, prepare the Indigenous Peoples Development Plan required under a Bank loan which affects indigenous peoples.

15. Finally, the report should outline a social communication strategy for: (a) providing indigenous

organizations and communities with continuous information on the proposed road rehabilitation project; (b) for consulting with them on perceived problems and impacts; and, (c) for ensuring their informed participation in any mitigatory or development activities on their behalf which might be carried out under or in association with the proposed project.

I. Date of Delivery

16. The Anthropological Experts contracted to conduct the Social Assessment should deliver their final report to the contracting agency no later than 10 September 1997. This is to ensure adequate time for translation and peer review and for incorporating the Social Assessment findings and recommendations into the final EA report.

Russia



sdavis2 @ worldbank.org

05/03/97 09:12 AM

To: CTUMALE @ notes.worldbank.org
cc: (bcc: Cristina Q. Tumale/Person/World Bank)
Subject: Please Print Out Attached

Message-headers:

Date: Fri, 2 May 1997 20:04:17 GMT
From: Marie Laygo <"MARIE LAYGO%A1%WBWASH"@mrgw.worldbank.org>
Subject: Clearance for Mission Travel to Russia
To: SHELTON DAVIS <"SHELTON DAVIS%A1%WBHQB"@mrgw.worldbank.org>, CRISTY TUMALE <CTUMALE@WorldBank.org>
Cc: Cesar Queiroz <"CESAR QUEIROZ%A1%WBWASH"@mrgw.worldbank.org> Message-id: <"D1678ZWVBMZSCW*/R=WBWASH/R=A1/U=MARIE LAYGO/"@MHS>
Delivery-date: Fri, 2 May 1997 20:05:00 GMT
Posting-date: Fri, 2 May 1997 20:05:00 GMT
Importance: normal
Al-type: MAIL

Message-headers:

Date: Fri, 2 May 1997 19:46:28 GMT
From: "Corazon L. Centeno" <Ccenteno@worldbank.org>
Subject: Request for Clearance for Mission to Moscow
To: American Express - Clearances <Aclearances@worldbank.org>
Cc: Marie Antoinette Laygo <Mlaygo@worldbank.org>, Sriprapa Davis <Sdavis1@worldbank.org>, "Olga A. Gubareva" <Ogubareva@worldbank.org>
Message-id: <8525648B.006C7588.00@WBLN0014.worldbank.org>
Delivery-date: Fri, 2 May 1997 19:49:00 GMT
Posting-date: Fri, 2 May 1997 20:46:53 GMT
Importance: normal
Al-type: MAIL

Mr. Shelton has clearance to travel to Russia. Pls. issue his tickets.

Many thanks.

----- Forwarded by Corazon L. Centeno/Person/World Bank on
05/02/97 03:47 PM -----

(Embedded
image moved mlaygo@worldbank.org
to file: 05/02/97 03:06 PM
PIC22327.PCX)

To: Corazon L. Centeno/Person/World Bank

cc: Cesar Augusto Queiroz/Person/World Bank, Shelton H. Davis/Person/World Bank, Cristina Q. Tumale/Person/World Bank,
American Express - Clearances/Service/World Bank
Subject: Request for Clearance for Mission to Moscow

Cora,

This is to request for clearance for Mr. Shelton Davis, Principal Sociologist, ENVSP, for travel to Moscow from June 1 to 30, 1997. S. Davis will be assisting Mr. Cesar Queiroz, Task Manager, in the pre-appraisal of the Siberia and Far East Highway Project.

Thanks,
Marie Laygo

Message-headers:

Date: Fri, 2 May 1997 19:49:25 GMT
Importance: normal
A1-type: DOCUMENT



- att1.pcx

Message-headers:

Date: Fri, 2 May 1997 19:49:25 GMT
Importance: normal
A1-type: DOCUMENT

RFC-822-headers:

Received: from WBLN0014.worldbank.org by worldbank.org (PMDF V5.0-8 #16195) id <01IIEE4KSJEK9ORVZB@worldbank.org>; Fri, 02 May 1997 15:46:52 -0500 (EST)
Received: by WBLN0014.worldbank.org (Lotus SMTP MTA v1.05 (322.6 2-12-1997)) id 8525648B.006D63A3 ; Fri, 02 May 1997 15:54:49 -0400
Date: Fri, 02 May 1997 15:46:28 -0400
From: "Corazon L. Centeno" <Ccenteno@worldbank.org>
Subject: Request for Clearance for Mission to Moscow
To: American Express - Clearances <Aclearances@worldbank.org>
Cc: Marie Antoinette Laygo <Mlaygo@worldbank.org>, Sriprapa Davis <Sdavis1@worldbank.org>, "Olga A. Gubareva" <Ogubareva@worldbank.org>
Message-id: <8525648B.006C7588.00@WBLN0014.worldbank.org> X-Lotus-FromDomain: WORLDBANK



mlaygo@worldbank.org
05/28/97 10:43 AM

To: Cristina Q. Tumale/Person/World Bank
cc: Shelton H. Davis/Person/World Bank, Cesar Augusto Queiroz/Person/World Bank
Subject: Russian visa

*Christy -
Did you
follow up
with Banji?
I have copy
of my laissez-
passer
with me.
Sandy*

Christy,

Mr. Davis' letter of invitation for a Russian visa, along with his 3 pictures, were hand-carried this morning to American Express c/o Banji. Please follow up with Banji tomorrow afternoon.

Regards,
Marie

37634

A L L - I N - 1 N O T E

DATE: 28-May-1997 10:51am

TO: CRISTY TUMALE

(CTUMALE@WorldBank.org@INTERN

FROM: Marie Laygo, EC3IV

(MARIE LAYGO@A1@WBWASH)

EXT.: 31261

SUBJECT: Russian visa

Christy,

Mr. Davis' letter of invitation for a Russian visa, along with his 3 pictures, were hand-carried this morning to American Express c/o Banji. Please follow up with Banji tomorrow afternoon.

Regards,
Marie

CC: SHELTON DAVIS

(SHELTON DAVIS@A1@WBHQB)

CC: Cesar Queiroz

(CESAR QUEIROZ@A1@WBWASH)

World Bank/IFC/MIGA
OFFICE MEMORANDUM

DATE: May 14, 1997 03:57pm

TO: See Distribution Below

FROM: Karine Bussone, EC3IV

(KARINE BUSSONE@A1@WBWASH)

EXT.: 87267

SUBJECT: June mission - Travel arrangements

Dear friends,

The mission is planned from about June 9 to 27, 1997. I suggest that you go ahead and make your travel arrangements (for those who have not done them yet) and send a copy of them to Marie.

Except for Scott, Sandy and Igor, I suggest that you be prepared to start working in Moscow around June 9 and leave Moscow on June 27. As it is more convenient that everybody stay at the same hotel, I suggest that you book a room at the National Hotel.

We plan that the whole mission go to Irkutsk from June 15 to June 19, staying at Intourist Hotel. We plan to take the Transaero flight (business class) leaving Moscow at 10:00 pm on Saturday, June 14, arriving in Irkutsk at 8:40 am on Sunday, June 15. We will leave Irkutsk on Thursday, June 19, by the Transaero flight (business class) leaving Irkutsk at 10:20 am and arriving in Moscow at 11:25 am.

Note for Scott, Shelton and Igor: Please plan to arrive in Moscow around June 11 or 12. Cesar suggests that you may consider staying longer in Irkutsk with also the possibility of visiting another oblast. Following the visit to Siberia, we suggest that you plan to spend some 2 or 3 work days in Moscow, as required, before returning to North America. Scott may want to stay longer in Moscow to work on details of the required material to be included in the PAD.

Regards,

Karine.

DISTRIBUTION:

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(CHARLES MORSE@A1@WBHQB)

TO: hmckittr@ix.netcom.com@internet

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(shanna@acres.com@INTERNET)

TO: SHELTON DAVIS

(SHELTON DAVIS@A1@WBHQB)

TO: mnhan137@sivm.si.edu@internet

TO: leoroth@UWaterloo.CA@INTERNET

TO: Gurcharan Singh

(GURCHARAN SINGH@A1@WBWASH)

CC: Cesar Queiroz

(CESAR QUEIROZ@A1@WBWASH)

CC: Ashot Harutounian

(ASHOT HARUTOUNIAN@A1@MOSCOW)

CC: Marie Laygo

(MARIE LAYGO@A1@WBWASH)

*Crusty - Please
send Marie
Laygo my
Russia
Itinerary.
SD*

BTD
2/13

COLOMBIA
NATURAL RESOURCES MANAGEMENT PROGRAM
(LOAN 3692-CO)

Supervision and Mid-Term
Review Mission
(January 20-31, 1997)

Land Titling and Regional Committees Components

I. Land Titling Components

A. Background

1. The Natural Resources Management Program (PMRN) is noteworthy for the emphasis which it gives to providing land tenure security to the Amerindian and Black communities of the Pacific Coast, as well as for their participation in various forestry and natural resources management activities financed under the program.
2. Specifically, under the rubric of Policies and Strategic Development, funds are provided in the loan for activities related to the Titling of the Collective Territories of the Black Communities (US\$ 1.98 million) and the Constitution and Delimitation of Indian Reserves (US\$ 0.54 million). There is also a component for the establishment of Regional Committees (US\$ 1.33 million), which are to serve as the main participatory fora for ensuring that the views of indigenous and Black organizations and communities are included in the program.
3. During the first eighteen months of the program (June 1994 through December 1995), most program activities relating to these components focused upon the establishment of the legal and institutional conditions for implementing the Black and indigenous land titling processes. Soon after Loan Effectiveness, a High-Level Commission and affiliated Departmental Commissions were established to carry out consultations for the regularization of Law 70 concerning Black communities. The work of this Commission, much of it financed under the Regional Committees component, resulted in Decree 1745 of 12 October 1995 which outlines the process of forming Community Councils and recognizing and titling Black community lands. During this same period, Law 160 on Agrarian Reform and various associated regulatory decrees were passed which revised the process for establishing and delimiting Indian reserves.
4. In place, in February 1996, the Project Coordinating Unit (PCU) established an Inter-Institutional Technical Committee to coordinate activities relating to the Black and indigenous land titling components. Members of the Committee include representatives of the Ministry of

Environment (MMA), the National Institute for Colonization and Agrarian Reform (INCORA), the Divisions of Indian and Black Community Affairs in the Ministry of the Interior, the Red de Solidaridad, and Biopacifico. More recently, the Committee (also referred to as the Operations Committee) has included the participation of representatives of the President's Advisor on Social Policy and the MMA's newly created Unit on Citizen and Community Participation. There are also plans to include representatives of indigenous and Black organizations of the Pacific Coast on this Committee.

B. Mission Findings

5. The mission spent most of its time reviewing activities carried out by the various implementing agencies responsible for the land titling components during calendar year 1996. This included the review of project documents and minutes of meetings of Regional Committees, interviews with implementing agencies such as Red de Solidaridad and INCORA, and debriefings by members of the Expert Panel responsible for the review of indigenous and Black community land titling issues. A meeting was also held with members of the Inter-Institutional Technical Committee to discuss 1997 Operating Plans, and with leaders of the Asociacion Campesina del Medio Atrato (ACIA) and the Organizacion Regional Embera Waunan del Choco (OREWA) who were in Bogota for a meeting of the National Commission on Indigenous Territories.

6. The major findings of the mission are:

(a) There has been significant progress, far beyond original expectations, in the startup and implementation of the Black Community Land Titling component. Noteworthy achievements during calendar year 1996 have included:

- the initiation of a diagnostic study of Black Community lands financed by INCORA and the credit;
- the presentation to INCORA of 13 land claims for Black communities in the Bajo Atrato (Municipio of Riosucio), 6 of which are expected to be approved for titling in early 1997;
- the signing of a contract with ACIA to carry out training and other related activities concerning the formation of Community Councils and the processing of land claims for 800,000 hectares in the Medio Atrato region, Department of Choco;
- design of training and land titling proposals similar to those being carried out by ACIA by Black organizations in the Departments of Narino (ACAPA, MIRA Y FRONTERA), and Valle (ACONUR); and,
- preparation of a Special Program for the Titling of Black Community Lands which would include the joint participation of the Ministries of Environment, Agriculture, and Interior, INCORA, Biopacifico and Plan Pacifico.

(b) Contrary to expectations, the indigenous land titling process has lagged behind that of the Black communities and is significantly behind schedule as projected in the Staff Appraisal Report for the credit (40 indigenous reserves to be constituted and 123 reserves to be delimited between 1995 and 1998).

During 1996, INCORA was only able to constitute 9 new reserves and delimit 2 other reserves in the Departments of Choco and Narino. It also completed, with funds provided by the program, a general socio-economic diagnosis of the state of indigenous land titling and conflicts in the six Pacific Coast departments.

As a result of the slow pace of INCORA's work, there is general frustration on the part of indigenous organizations and communities on the Pacific Coast, as reflected in the presentation of protest documents to the institute following Regional Committee meetings in Perico Negro (Cauca) and Bogota in September and December 1996.

(c) Despite the progress made in the Black Community land titling process, there is a general lack of institutional capacity of INCORA at both the central and regional levels. This is reflected in:

- the lack of joint activities and programming by the Divisions of Indigenous Reserves and Black Community Lands at INCORA's headquarters in Bogota;
- the lack of experience and training of some of INCORA's lawyers working at the regional level;
- the concerns of the Office of the Attorney General for Agrarian and Environmental Affairs for the quality of documentation of the initial land claims being presented for titling in the Department of Choco; and,
- attribution of statements by some of INCORA's regional officials about the interpretation of Laws 70 and 160 which are said to be creating uncertainties among both indigenous and Black communities about the nature of the land titling process.

(d) A major result of the above has been the potentiality for the land titling process to create increasing inter-ethnic conflict between indigenous and Black communities and with surrounding mestizo, colonist populations. This issue has been highlighted by the Panel of Experts and would be a particularly troublesome outcome, given the escalating violence and public disorder along the Pacific Coast. Hence, there are strong reasons for the Inter-Institutional Technical Committee to re-evaluate the current strategy being used for the land titling components, and to seek methods of collaborative action and institutional strengthening for responding to the issues identified in the first year of implementation of the land titling components.

C. Recommendations

7. In response to the above findings and as a result of discussions with the program implementing agencies and the Panel of Experts, the mission recommends:

- (a) that the Ministry of Environment communicate with the Ministry of Agriculture about the issues relating to the land titling process, especially the need to strengthen INCORA's institutional capacity to deal with indigenous and Black land titling issues [Note: Members of the Panel of Experts who are specialists on this subject have agreed to provide the Vice Minister of Environment with a background memo on these issues for transmittal to the Ministry of Agriculture] [by February 15, 1997];
- (b) that the Inter-Institutional Technical Committee develop a strategy for coordinating activities among the various participating agencies and with their regional counterparts for identifying, avoiding and mitigating potential conflicts between the various ethnic groups along the Pacific Coast [by March 1, 1997];
- (c) that as part of the above strategy, a training program be developed by the Inter-Institutional Committee for sensitizing public agencies and private institutions about the purposes of Law 70 and its compatibility with the historical recognition and titling of indigenous territories [by March 15, 1997];
- (d) that INCORA design a program for institutionally strengthening and promoting collaborative action between its Divisions of Indigenous Reserves and Black Community Lands. This program should include a major training component for INCORA's regional staff dealing with Laws 70 and 160 and ways of identifying, avoiding and resolving conflicts relating to the indigenous and Black land titling processes [the program to be presented to the Inter-Institutional Technical Committee and the Bank for review by March 1, 1997].
- (e) that INCORA's Division of Indian Reserves, in collaboration with Red de Solidaridad and the Division of Indigenous Affairs (Minister of Interior), meet with the major indigenous organizations of the Pacific Coast and design a *joint strategy* for incorporating these organizations into the design and implementation of the indigenous land titling component. This strategy should include agreed-upon goals in terms of reserve constitution, delimitation and amplification over the next two years; training programs for indigenous organizations and communities; and the sources for financing (including reprogramming of the credit agreement budget for this component) for financing such activities [the strategy to be submitted to the Inter-Institutional Technical Committee and Bank for review by March 15, 1997].

II. Regional Committees Component

8. Much of the success of the Black land titling component to date can be attributed to the hard work of the Red de Solidaridad in designing and implementing the Regional Committees component of the program. Specifically, with resources available from the 1995 budget allocation of the program, the Red de Solidaridad has organized 27 different events during 1996 relating to such varied topics as the formulation of projects for collective land titling among Black communities; support to the Ecological Ordering component; inter-ethnic meetings and discussions; indigenous legislation; and, planning, coordination, and monitoring of the various Regional Committee meetings.

9. In relation to the latter, the Red de Solidaridad has been particularly critical in ensuring that the views of the various indigenous and Black communities of the Pacific Coast are represented in the program, and that there is transparency and accountability in the relations between participating government agencies and civil society organizations. It has also produced a series of popular educational materials on Law 70 and other subjects which have improved local community and general public understanding of the wider goals of the program.

10. While the Red de Solidaridad seems to have its own dynamic, the mission believes that some of its activities could have greater impact through more incorporation into other components of the program, besides those dealing with indigenous and Black community land titling. For example, there are some broad areas for improving indigenous and Black participation--using the Regional Committees structure as fora--in the Ecological Ordering, National Parks, and Watershed components of the program.

11. Such participation could be promoted through more strategic cooperation and planning between Red de Solidaridad and the agencies within the Environmental Ministry responsible for these components. The recently established MMA Unit on Citizen and Community Participation, whose director formerly worked with Red de Solidaridad, may provide a bridge for such cooperation.

SHDavis
30 January 1997

Colombia
Programa de Manejo de Recursos Naturales
(Préstamo BIRF 3692-CO)

Misión de Supervisión y de Revisión de Término Medio
(Enero 20-31, 1997)

Componentes de Titulación de Tierras y Comités Regionales

I. Componente de Titulación de Tierras

A. Antecedentes

1. El Programa de Manejo de Recursos Naturales (PMRN) es relevante por el relativamente fuerte énfasis que se hace en proveer a las comunidades indígenas y negras de la costa del Pacífico la seguridad de tenencia de la tierra, así como su participación en varias actividades de manejo forestal y de recursos naturales financiadas por el programa.

2. Específicamente, bajo el rubro de Política y Desarrollo de Estrategias, se han previsto fondos en el préstamo para actividades relacionadas con la Titulación de Territorios Colectivos de Comunidades Negras (US\$ 1.98 millones) y la Constitución y Delimitación de Resguardos Indígenas (US\$ 0.54 millones). También hay un componente para el establecimiento de Comités Regionales (US\$ 1.33 millones), los cuales servirán como foro participativo principal para asegurar que el punto de vista de las organizaciones indígenas y negras sean incluidos en el programa.

3. Durante los primeros dieciocho meses del programa (Junio de 1994 a Diciembre de 1995), la mayor parte de las actividades del programa relacionadas con estos componentes se enfocaron en el establecimiento de las condiciones legales e institucionales para implementar los procesos de titulación de tierras a comunidades indígenas y negras. Poco después de hacerse efectivo el préstamo, una Comisión de Alto nivel y Comisiones departamentales filiales se establecieron para llevar a cabo consultas para la reglamentación de la Ley 70 de 1993, relativa a las comunidades negras. El trabajo de esta Comisión, en gran parte financiado bajo el componente de Comités Regionales, resultó en el Decreto 1745 del 12 de octubre de 1995, que esboza el proceso de conformación de Consejos Comunitarios y de reconocimiento y titulación de territorios comunitarios negros. Durante el mismo período, se aprobaron la Ley 160 sobre Reforma Agraria y varios decretos reglamentarios relacionados, que revisan el proceso para el establecimiento y delimitación de Resguardos Indígenas.

4. Con la promulgación de estas leyes, en Febrero de 1996, la Unidad Coordinadora del Proyecto (UC) estableció un Comité Técnico Interinstitucional, cuyo propósito es coordinar las actividades relacionadas con los componentes de titulación de tierras a comunidades indígenas y negras. Entre los miembros del Comité se incluyen representantes del Ministerio del Medio Ambiente (MMA), el Instituto Colombiano para la Reforma Agraria (INCORA), las Divisiones de Asuntos Indígenas

y de Comunidades Negras del Ministerio del Interior, la Red de Solidaridad, y Biopacífico. Desde hace poco, el Comité (también referido como el Comité Operativo), ha incluido la participación del Consejero Presidencial para la Política Social y la recientemente creada Subdirección de Participación Ciudadana y Relaciones con la Comunidad del Ministerio del Medio Ambiente. También hay planes para incluir en este comité a representantes de las organizaciones indígenas y negras de la Costa Pacífica.

B. Hallazgos de la Misión

5. La misión destinó la mayor parte del tiempo a revisar las actividades desarrolladas por las diferentes agencias ejecutoras responsables por los componentes de titulación de tierras durante el año calendario 1996. Esto incluyó la revisión de documentos de proyecto y actas de las reuniones de los Comités Regionales, entrevistas con las agencias ejecutoras como la Red de Solidaridad y el INCORA, y exposiciones de los miembros del Pánel de Expertos responsables por la revisión de asuntos de titulación de tierras a comunidades indígenas y negras. También se sostuvo una reunión con miembros del Comité Técnico Interinstitucional para discutir los planes operativos de 1997, y con líderes de la Asociación Campesina Integral del Medio Atrato (ACIA) y la Organización Regional Embera-Waunan del Chocó (OREWA), quienes se encontraban en Bogotá para asistir a una reunión de la Comisión Nacional de Territorio.

6. Los hallazgos más importantes de la Misión son:

(a) Ha habido un progreso significativo, más allá de las expectativas originales, en el inicio e implementación del componente de Titulación de Tierras a Comunidades Negras. Los logros a resaltar durante el año calendario 1996 incluyen:

- la iniciación de un estudio de diagnóstico de Territorios Comunitarios Negros financiado por el INCORA y el crédito;
- la presentación de trece (13) solicitudes de por parte de comunidades negras del Bajo Atrato (Municipio de Riosucio) al INCORA, de las cuales se espera se aprueben seis (6) titulaciones a comienzos de 1997;
- la firma de un contrato con la ACIA para desarrollar capacitación y otras actividades relacionadas con la conformación de Consejos Comunitarios y el procesamiento de solicitudes de titulación de 800,000 hectáreas en la región del Medio Atrato, Departamento del Chocó;
- diseño de propuestas de capacitación y de titulación de tierras similares a aquellas desarrolladas por la ACIA por organizaciones negras del Departamento de Nariño (ACAPA, MIRA Y FRONTERA), y Valle del Cauca (ACONUR); y,
- preparación de un Programa Especial para la Titulación de Territorios Colectivos Negros que incluiría la participación conjunta de los Ministerios del Medio Ambiente, Agricultura e Interior, INCORA,

Biopacífico y Plan Pacífico.

(b) Contrario a la expectativas, el proceso de titulación de tierras a comunidades indígenas se ha retrasado significativamente frente al de comunidades negras y está severamente rezagado en el cronograma proyectado en el Staff Appraisal Report (Documento de Proyecto) para el crédito (40 resguardos indígenas a ser constituidos y 123 a ser delimitados entre 1995 y 1998).

Durante 1996, el INCORA solo pudo constituir nueve (9) resguardos nuevos, y delimitar otros dos (2) en los Departamentos de Chocó y Nariño. También ha terminado, con fondos provistos por el programa, un diagnóstico socioeconómico general del estado de titulación de tierras y conflictos en los seis Departamentos de la Costa Pacífica.

Como resultado del lento ritmo del trabajo del INCORA, hay frustración general por parte de las organizaciones y comunidades indígenas de la Costa Pacífica, como se refleja en la presentación de documentos de protesta ante el Instituto luego de reuniones de Comités Regionales en Perico Negro (Cauca) y Bogotá, en Septiembre y Diciembre de 1996.

(c) No obstante el avance en el proceso de titulación de tierras a comunidades negras, hay una falta general de capacidad institucional del INCORA tanto a nivel central como regional. Esto se refleja en:

- la falta de actividades y programación conjunta por las Divisiones de Resguardos Indígenas y Territorios Comunitarios Negros en las oficinas centrales del INCORA en Bogotá;
- la falta de experiencia y capacitación de algunos de los abogados del INCORA que trabajan a nivel regional;
- la preocupación de la Procuraduría General de la Nación Delegada para Asuntos Agrarios y del Medio Ambiente en cuanto a la calidad de la documentación de las solicitudes iniciales presentadas para titulación en el Departamento del Chocó; y,
- la atribución de que declaraciones de algunos funcionarios regionales del INCORA, en cuanto a la interpretación de las leyes 70 y 160, dicen estar creando incertidumbre entre las comunidades indígenas y negras acerca de la naturaleza del proceso de titulación de tierras.

(d) Un resultado importante de lo arriba mencionado ha sido la potencial creación de crecientes conflictos inter-étnicos entre comunidades indígenas, negras y colonos mestizos, por parte del proceso de titulación de tierras. Este asunto ha sido resaltado por el Pánel de Expertos y será un particularmente problemático efecto, dada la escalada de violencia y alteración el orden público a lo largo de la Costa Pacífica. Así las cosas, hay fuertes razones para que el Comité Técnico Interinsitucional revalúe la estrategia que actualmente está siendo utilizada para los componentes de titulación de tierras, y busque métodos de acción cooperativa y fortalecimiento institucional para responder a los asuntos identificados en el primer año de ejecución de los componentes

de titulación de tierras.

C. Recomendaciones

7. En respuesta a los hallazgos mencionados y como resultado de las discusiones con las entidades ejecutoras del programa y el Panel de Expertos, la Misión recomienda:

- (a) que el Ministerio del Medio Ambiente entre en comunicación con el Ministerio de Agricultura acerca de los asuntos relacionados con el proceso de titulación de tierras, especialmente la necesidad de fortalecer la capacidad institucional del INCORA para tratar los asuntos de titulación de tierras a comunidades indígenas y negras [Nota: los miembros del Panel de Expertos que son especialistas en esta materia han acordado proveer al Ministerio del Medio Ambiente un memorando de antecedentes sobre estos aspectos para transmitir al Ministerio de Agricultura] [para el 15 de febrero de 1997];
- (b) que el Comité Técnico Interinstitucional desarrolle una estrategia para coordinar actividades entre las diferentes entidades ejecutoras participantes y con sus contrapartes regionales para identificar, evitar y mitigar conflictos potenciales entre los diversos grupos étnicos a lo largo de la Costa Pacífica [para el 1° de Marzo de 1997];
- (c) que como parte de la anterior estrategia, se desarrolle un programa de capacitación por parte del Comité Técnico Interinstitucional, para afinar el conocimiento de las entidades públicas y las instancias privadas acerca de los propósitos de la Ley 70 y su compatibilidad con el reconocimiento histórico y titulación de los territorios indígenas [para el 15 de Marzo de 1997];
- (d) que el INCORA diseñe un programa par fortalecer y promover institucionalmente la acción cooperativa entre sus Divisiones de Resguardos Indígenas y Territorios Colectivos Negros. Este programa debe incluir un importante componente de capacitación para el personal regional del INCORA que maneje las Leyes 70 y 160, y formas de identificar, evitar y resolver conflictos relacionados con los procesos de titulación de tierras indígenas y negras [el programa debe ser presentado para revisión al Comité Técnico Interinstitucional y al Banco el 1° de Marzo de 1997] ;
- (e) que la División de Resguardos Indígenas del INCORA, en colaboración con la Red de Solidaridad y con la División de Asuntos Indígenas del Ministerio del Interior, se reúnan con las principales organizaciones indígenas de la Costa Pacífica y diseñen una estrategia conjunta para incorporar a estas organizaciones en el diseño e implementación del componente de titulación de tierras a comunidades indígenas. Esta estrategia debe incluir objetivos concertados en términos de constitución, delimitación y ampliación de Resguardos durante los próximos dos años; programas de capacitación para organizaciones y comunidades

indígenas; y los recursos para la financiación (incluyendo reprogramación del presupuesto acordado por parte del crédito para este componente) de tales actividades [la estrategia debe ser remitida para supervisión del Comité Técnico Interinstitucional y el Banco para el 15 de Marzo de 1997].

II. Componente de Comités Regionales

8. Gran parte del éxito del componente de titulación de tierras a comunidades negras a la fecha se puede atribuir al arduo trabajo de la Red de Solidaridad en el diseño e implementación del componente de Comités Regionales. Específicamente, con los recursos disponibles de la asignación presupuestal de 1995, la Red de Solidaridad ha organizado 27 eventos diferentes durante 1996, relacionados con tópicos tan variados como la formulación de proyectos para la titulación colectiva de tierras entre comunidades negras; apoyo al componente de Zonificación Ecológica; reuniones y discusiones inter-étnicas; legislación indígena; y planificación, coordinación y monitoreo de varias reuniones de Comités Regionales.

9. Con relación a este último punto, la Red de Solidaridad ha sido particularmente crítica en asegurar que los puntos de vista de varias comunidades indígenas y negras de la Costa Pacífica sean representadas en el programa, y que haya transparencia y confianza en las relaciones entre las entidades gubernamentales y organizaciones de la sociedad civil que participan en el programa. También ha producido una serie de materiales de educación popular sobre la Ley 70 y otros temas, que han mejorado el entendimiento de las comunidades locales y del público en general acerca de los objetivos globales del programa.

10. Aunque la Red de Solidaridad parece tener su dinámica propia, la Misión cree que algunas de sus actividades podrían tener más impacto a través de su mayor incorporación con los demás componentes del programa, además de aquellos relacionados con la titulación de tierras a comunidades indígenas y negras. Por ejemplo, hay algunas amplias áreas para mejorar la participación de las comunidades indígenas y negras -utilizando como foro la estructura de los Comités Regionales- en los componentes de Zonificación Ecológica, Parques Nacionales y Manejo de Microcuencas del programa.

11. Tal participación podría ser promocionada mediante más cooperación y planificación estratégica entre la Red de Solidaridad y las entidades al interior del Ministerio del Medio Ambiente que son responsables por estos componentes. La recientemente creada Subdirección de Participación Ciudadana y Relaciones con la Comunidad, cuyo director trabajó anteriormente en la Red de Solidaridad, puede proveer un puente para tal cooperación.

SHDavis
30 January 1997

OFFICE MEMORANDUM

file

DATE: December 11, 1996

TO: Gloria Davis (Chief, ENVSP), and Richard Ackermann (ENVPE)

FROM: ^{SD} Shelton Davis and SM Sergio Margulis

EXTENSION: 33413 and 33238

SUBJECT: **OECD/DAC International Workshop on Capacity Development in Environment:
BTOR**

1. We represented the Bank in the above Workshop held in Rome, Italy on December 4-6, 1996. The Workshop brought together over 150 representatives from donor agencies from all OECD countries, as well as representatives from developing country environmental ministries and NGOs.

2. The purpose of the Workshop was to follow up and assess OECD/DAC initiatives in the area of capacity building for the environment which has taken place since the 1992 Rio Conference. Prior to the Workshop, a series of 46 case studies were presented to the participants for discussion. There were also a set of general theme papers on such topics as Identification and Design, Implementation, Monitoring and Evaluation, Participation and Donor Coordination of CDE Initiatives.

3. Although we were impressed by the quality and the experience of the participants and some of the papers presented, we felt that the overall outcome of the Workshop was disappointing. The main reason for this, we believe, is OECD's own definition of Capacity Development in Environment. In its 1995 Report "Donor Assistance to Capacity Development in Environment" it defines capacity as "the ability of individuals, groups, organizations and institutions in a given context to address environmental issues as part of a range of efforts to achieve sustainable development. The term **capacity development in environment (CDE)** describes the process by which capacity in environment and the appropriate institutional structures are enhanced".

4. This definition is so broad as to include everything from traditional technical assistance programs in areas such as industrial pollution management to local participation in community-based resource management. Despite the efforts to address some of these issues separately and by sector (green x brown issues), the discussions were too general and the Workshop lacked specificity. Furthermore, the differences in strategic approach, pedagogical methods, technical expertise and other elements needed to design effective capacity strengthening programs were never adequately probed by the Workshop.

5. The Workshop also suffered from a confusion between several generic issues relating to development assistance and capacity strengthening as such. For example, much of the discussion both in the small groups and in the plenary session, focused upon the need for an alternative paradigm of development assistance based upon participation, ownership, donor coordination, results on the ground, etc. Unfortunately, it was not always clear where this discussion ended and the concrete needs of developing countries in terms of capacity strengthening and training begin. At times it appeared that the main issues being addressed were the “existential concerns” of the donor community, rather than the actual needs of developing countries for capacity strengthening and training.

6. Structurally, there were also serious problems in the design of the Workshop. While the separation of participants into small discussion groups was a good idea, the separation of themes suggested for discussion was of limited utility. For instance, among the six working group themes were preparation, implementation, monitoring and evaluation, participation and NGO’s, while the overall idea was precisely how to integrate all these elements into one single process.

7. We were also struck by the naiveté of some of the discussion concerning the challenges of translating the common ideas and concerns expressed at the Workshop into concrete political recommendations that would be acceptable to senior-level policy makers and managers. In fact, we raised this issue in one of our papers as well as in one of the plenary sessions, but with relatively little success in terms of the final outcomes and recommendations of the Workshop.

8. Despite these observations, we found that the Bank’s own strategies in relation to the environment and participation were reinforced by the discussions at the Workshop. At least one of our papers (the one on public involvement in environmental decision making) was discussed and recognized as providing an important contribution to the Workshop themes. However, the other three papers specially prepared for the Workshop were not adequately discussed, although they contained important information which could have enriched the quality of the overall discussions. This is especially true of the case study on the Kyrgyz NEAP which perhaps was one of the most insightful case studies prepared.

9. In conclusion, a great amount of effort was expended by Bank staff for this Workshop. Some things were learned through interactions with other Workshop participants, and it is salutary to know that many of the other donor agencies share the Bank’s concerns for improving capacity development in the environment amongst our borrowers. However, these are costly enterprises in terms of staff time and the Bank should only expend such effort if it is an integral part of the preparation and implementation.

c.c: Messrs./Mmes: Cook (AFTEN), M. Koch-Weser (ASTEN); Schaengold, van Vijfeikjen (ASTHR); Wheeler (DEC); Georgieva, Kudat (EMTEN); Steer, Newcombe, Watson (ENVDR), Hanrahan (ENVPE); Rees, Redwood, Kjorven, Vetleseter (ENVLW); Aycrigg (ENVGC); Ahmed (LASLG); Partridge (LATEN); Clark, Williams (PSP); Ghani, McPhail, Munro, Narayan, Rukuba-Ngaiza, Salmen (ENVSP).

Programme Overview

Please see Daily Programme Schedule for more detailed breakdown.

Wednesday 4th December	Thursday 5th December	Friday 6th December
10.00 Plenary Session: Welcome word by Mr James Michel, DAC Chair	Continued working group sessions on six selected themes (facilitated).	Continued working group sessions on cross-cutting themes (facilitated):
10.10 Presentation of Issues Paper by Mr Richard Sandbrook, Executive Director, IIED Clarification	Same six working groups as first afternoon	Same six working groups as second afternoon.
10.30 Presentation of first case study Clarification	09.00 Presentation of third case study in working groups	09.00 Summary review on findings of first day and of objective of second session
10.50 Presentation of second case study Clarification	9.20 Working group discussions	09.10 Working group discussions
11.10 First Plenary discussion	9.50 Presentation of fourth case study in working groups	10.30 <i>Coffee Break</i>
11.55 <i>Coffee break</i>	10.10 Working group discussions	10.45 Preparation of report back to plenary session: conclusion from discussions and recommendations
12.15 Address by Italian official	10.30 Preparation for report back to Plenary session	11.30 End of third morning session
Address by Mr Poul Nielson, Minister for Development Cooperation, Denmark	11.00 <i>Coffee Break</i>	11.45 Plenary session: Report back from working groups
Address by Mr. Jorge Santos Oliveira, Dir. General, AGRHYMET, Niger	11.15 Second plenary session Report back from working groups	13.15 <i>Lunch</i>
12.45 Wrap up of first morning discussions by DAC Chair, Mr James Michel and orientation for afternoon sessions.	12.15 Plenary discussion on findings	14.30 Concluding plenary session
13.15 <i>Lunch</i>	13.00 Wrap up by DAC Chair, Mr James Michel and orientation to new working group discussions	14.30 Final discussion on conclusions and recommendations from the workshop
14.30 Beginning of 1st working group sessions on six selected themes (facilitated).	13.15 <i>Lunch</i>	15.30 Report from the main rapporteur, Mr Adrian Phillips
14.30 Presentation of first case study in working groups	14.30 Working group session on cross-cutting themes (facilitated)	15.50 Wrap up by the DAC Chair, Mr James Michel
14.50 Working group discussion	14.30 Presentation of theme paper in each working group	16.00 Conclusion of Workshop
15.30 Presentation of second case study in working groups	15.00 Working group discussions	
16.00 <i>Coffee break</i>	16.00 <i>Coffee Break</i>	
16.15 Continuation of working group discussions	16.15 Continuation of working group discussions	
17.30 Wrap up on preliminary findings in working groups	17.30 Wrap up in working groups on preliminary findings and preparation of agenda for following morning	
18.00 End of first day sessions	18.00 End of second day sessions	
	19.30 Special Dinner	

Daily Programme Schedule

Wednesday 4th December

Time	Activity	Presenter/Speaker	Room No
10.00 - 10.10	Opening Plenary "Welcome"	Mr James Michel, DAC Chair	1
10.10 - 10.30	Presentation of Issues Paper (10 minutes) Clarification (10 minutes)	Mr Richard Sandbrook, Executive Director, IIED	1
10.30 - 10.50	Presentation of first case study (10 minutes) Clarification (10 minutes)	Mr Ad Koekkoek, Director Environment and Development, DGIS	1
10.50 - 11.10	Presentation of second case study (10 minutes) Clarification (10 minutes)	Mr Manfred Peters Seever, Dir. Gen. International Relations and Cooperation, Ministry of Environment and Energy, Costa Rica.	
11.10 - 11.55	First plenary discussion		1
11.55 - 12.15	<i>Coffee</i>		
12.15 - 12.45	Address by Italian official	To be announced	1
	Address by OECD Speaker	Mr Poul Nielson, Minister for Development Cooperation, Denmark	1
	Address by Developing Country Speaker	Mr Jorges Santos Oliveira, Dir. General, AGRHYMET, Niger	1
12.45 - 13.15	Wrap up and orientation	Mr James Michel, DAC Chair	1
13.15 - 14.30	<i>Lunch</i>		
14.30 - 16.30	First working group sessions on selected themes (facilitated) <ul style="list-style-type: none"> . Working Group 1: National capacity in environment at the policy and planning level (NEAPs, NCS, etc). . Working Group 2: National capacity in environment at the implementation level (institutional dev., EIA, Monitoring etc) . Working Group 3: Brown Issues: Pollution control, tech. transfer, urban issues, energy, etc. . Working Group 4: Green Issues: Water and Natural Resources Management . Working Group 5: Information systems for capacity development in environment (training/research/networking). . Working Group 6: The aid management cycle for CDE (planning, implementation, M&E). 		3a 3b 3c 4 5 6
16.00 - 16.15	<i>Coffee</i>		
16.15 - 17.30	Continuation of working group discussions		Same
17.30 - 18.00	Wrap up on preliminary findings		Same
18.00	End of first day sessions		

Thursday 5th December

Time	Activity	Presenter/Speaker	Room No
09.00 - 11.00	Continued working group sessions on selected themes (facilitated)		Same rooms
09.00 - 09.20	Presentation of third case study		Same
09.20 - 09.50	Working group discussions		Same
09.50 - 10.10	Presentation of fourth case study		
10.10 - 10.30	Working group discussions		
10.30 - 11.00	Preparation for report back to Plenary session		Same
11.00 - 11.15	<i>Coffee</i>		
11.15 - 12.15	Second plenary session: report back from working groups		1
12.15 - 13.00	Plenary discussion on findings		
13.00 - 13.15	Wrap up and orientation	Mr James Michel, DAC Chair	1
13.15 - 14.30	<i>Lunch</i>		
14.30 - 15.00	Presentation of theme papers		3a, 3b, 3c, 4, 5, 6
15.00 - 16.00	Working group discussions on cross-cutting themes (facilitated) <ul style="list-style-type: none"> . Working Group 1: Tools and challenges for donors in the identification and design of CDE initiatives. . Working Group 2: Tools and challenges for donors in the implementation of CDE initiatives . Working Group 3: Tools and challenges for donors in the monitoring and evaluation of CDE initiatives . Working Group 4: Tools and challenges for donors in relation to the role of communities and NGOs in CDE. . Working Group 5: Tools and challenges for donors in participation for CDE . Working Group 6: Tools and challenges for donors in donor coordination for CDE 		3a 3b 3c 4 5 6
16.00 - 16.15	<i>Coffee</i>		
16.15 - 17.30	Working group discussions continued		Same
17.30 - 18.00	Wrap up on preliminary findings in working groups		Same
18.00	End of second day sessions		
19.30	<i>Special dinner</i>		T.b.a.

Friday 6th December

Time	Activity	Presenter/Speaker	Room No
09.00 - 10.30	Continued working group sessions on cross-cutting themes		Same rooms
09.00 - 09.10	Summary review of findings of working group discussions and of objective of second session		same
09.10 - 10.30	Working group discussions		same
10.30 - 10.45	<i>Coffee</i>		
10.45 - 11.30	Continuation of working group discussions		same
11.30 - 12.00	Preparation in working groups for report back to plenary session		same
12.15 - 13.15	Plenary session: Report back from working groups		same
13.15 - 14.30	<i>Lunch</i>		
14.30 - 15.30	Concluding plenary: Final discussion on conclusions and recommendations from the workshop		1
15.30 - 15.50	Report from main rapporteur	Mr Adrian Phillips	
15.50 - 16.00	Wrap up	Mr James Michel, DAC Chair	1
16.00	Conclusion of Workshop		

WORKING GROUP 5

Public Involvement in Environmental Decision-Making

The Experience of the World Bank

by
Shelton H. Davis
Principal Sociologist
Environment Department

Theme Paper

Tabled at

**The OECD/DAC Workshop
on Capacity Development
in Environment**

Rome, Italy

4-6 December 1996



Working Group No. 2

**NATIONAL CAPACITY AT THE
IMPLEMENTATION LEVEL**

Case Study No: 8

**Capacity Building for
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CAPACITY DEVELOPMENT IN
ENVIRONMENT**

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Rome, Italy

4-6 December 1996

OFFICE MEMORANDUM

*file: SD
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Black Book -
SD*

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FROM: *SDA* Shelton Davis and *SM* Sergio Margulis

EXTENSION: 33413 and 33238

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10.50 Presentation of second case study Clarification	9.20 Working group discussions	09.10 Working group discussions
11.10 First Plenary discussion	9.50 Presentation of fourth case study in working groups	10.30 <i>Coffee Break</i>
11.55 <i>Coffee break</i>	10.10 Working group discussions	10.45 Preparation of report back to plenary session: conclusion from discussions and recommendations
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Address by Mr Poul Nielson, Minister for Development Cooperation, Denmark	11.00 <i>Coffee Break</i>	11.45 Plenary session: Report back from working groups
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16.00 <i>Coffee break</i>	16.00 <i>Coffee Break</i>	
16.15 Continuation of working group discussions	16.15 Continuation of working group discussions	
17.30 Wrap up on preliminary findings in working groups	17.30 Wrap up in working groups on preliminary findings and preparation of agenda for following morning	
18.00 End of first day sessions	18.00 End of second day sessions	
	19.30 Special Dinner	

Daily Programme Schedule

Wednesday 4th December

Time	Activity	Presenter/Speaker	Room No
10.00 - 10.10	Opening Plenary "Welcome"	Mr James Michel, DAC Chair	1
10.10 - 10.30	Presentation of Issues Paper (10 minutes) Clarification (10 minutes)	Mr Richard Sandbrook, Executive Director, IIED	1
10.30 - 10.50	Presentation of first case study (10 minutes) Clarification (10 minutes)	Mr Ad Koekkoek, Director Environment and Development, DGIS	1
10.50 - 11.10	Presentation of second case study (10 minutes) Clarification (10 minutes)	Mr Manfred Peters Seever, Dir. Gen. International Relations and Cooperation, Ministry of Environment and Energy, Costa Rica.	
11.10 - 11.55	First plenary discussion		1
11.55 - 12.15	<i>Coffee</i>		
12.15 - 12.45	Address by Italian official	To be announced	1
	Address by OECD Speaker	Mr Poul Nielson, Minister for Development Cooperation, Denmark	1
	Address by Developing Country Speaker	Mr Jorges Santos Oliveira, Dir. General, AGRHYMET, Niger	1
12.45 - 13.15	Wrap up and orientation	Mr James Michel, DAC Chair	1
13.15 - 14.30	<i>Lunch</i>		
14.30 - 16.30	First working group sessions on selected themes (facilitated) <ul style="list-style-type: none"> . Working Group 1: National capacity in environment at the policy and planning level (NEAPs, NCS, etc). . Working Group 2: National capacity in environment at the implementation level (institutional dev., EIA, Monitoring etc) . Working Group 3: Brown Issues: Pollution control, tech. transfer, urban issues, energy, etc. . Working Group 4: Green Issues: Water and Natural Resources Management . Working Group 5: Information systems for capacity development in environment (training/research/networking). . Working Group 6: The aid management cycle for CDE (planning, implementation, M&E). 		3a 3b 3c 4 5 6
16.00 - 16.15	<i>Coffee</i>		
16.15 - 17.30	Continuation of working group discussions		Same
17.30 - 18.00	Wrap up on preliminary findings		Same
18.00	End of first day sessions		

Thursday 5th December

Time	Activity	Presenter/Speaker	Room No
09.00 - 11.00	Continued working group sessions on selected themes (facilitated)		Same rooms
09.00 - 09.20	Presentation of third case study		Same
09.20 - 09.50	Working group discussions		Same
09.50 - 10.10	Presentation of fourth case study		
10.10 - 10.30	Working group discussions		
10.30 - 11.00	Preparation for report back to Plenary session		Same
11.00 - 11.15	<i>Coffee</i>		
11.15 - 12.15	Second plenary session: report back from working groups		1
12.15 - 13.00	Plenary discussion on findings		
13.00 - 13.15	Wrap up and orientation	Mr James Michel, DAC Chair	1
13.15 - 14.30	<i>Lunch</i>		
14.30 - 15.00	Presentation of theme papers		3a, 3b, 3c, 4, 5, 6
15.00 - 16.00	Working group discussions on cross-cutting themes (facilitated) <ul style="list-style-type: none"> · Working Group 1: Tools and challenges for donors in the identification and design of CDE initiatives. · Working Group 2: Tools and challenges for donors in the implementation of CDE initiatives · Working Group 3: Tools and challenges for donors in the monitoring and evaluation of CDE initiatives · Working Group 4: Tools and challenges for donors in relation to the role of communities and NGOs in CDE. · Working Group 5: Tools and challenges for donors in participation for CDE · Working Group 6: Tools and challenges for donors in donor coordination for CDE 		3a 3b 3c 4 5 6
16.00 - 16.15	<i>Coffee</i>		
16.15 - 17.30	Working group discussions continued		Same
17.30 - 18.00	Wrap up on preliminary findings in working groups		Same
18.00	End of second day sessions		
19.30	<i>Special dinner</i>		T.b.a.

Friday 6th December

Time	Activity	Presenter/Speaker	Room No
09.00 - 10.30	Continued working group sessions on cross-cutting themes		Same rooms
09.00 - 09.10	Summary review of findings of working group discussions and of objective of second session		same
09.10 - 10.30	Working group discussions		same
10.30 - 10.45	<i>Coffee</i>		
10.45 - 11.30	Continuation of working group discussions		same
11.30 - 12.00	Preparation in working groups for report back to plenary session		same
12.15 - 13.15	Plenary session: Report back from working groups		same
13.15 - 14.30	<i>Lunch</i>		
14.30 - 15.30	Concluding plenary: Final discussion on conclusions and recommendations from the workshop		1
15.30 - 15.50	Report from main rapporteur	Mr Adrian Phillips	
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16.00	Conclusion of Workshop		

WORKING GROUP 5

Public Involvement in Environmental Decision-Making

The Experience of the World Bank

by
Shelton H. Davis
Principal Sociologist
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Theme Paper

Tabled at

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Working Group No. 2

**NATIONAL CAPACITY AT THE
IMPLEMENTATION LEVEL**

Case Study No: 8

**Capacity Building for
Environment: Does it Work?
Perspectives of the World Bank
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**Environment capacity
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Tabled at

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in Environment**

Rome, Italy

4-6 December 1996

OFFICE MEMORANDUM

DATE: February 19, 1996

TO: Mr. Philip Hazelton, LA3NR

FROM: Shelton H. Davis, Princ. Sociologist, ENVSP 

EXTENSION: 33413

SUBJECT: **Colombia: Natural Resources Management Project (Land Titling and Regional Committees Components) -- Back-to-Office Report**

Introduction

1. In relation to Terms-of-Reference dated 24 January 1996, you will find attached a copy of the detailed Briefing Note which I drafted for the Land Titling and Regional Committees components of the above project. The Briefing Note, which was written in the field, describes the findings and recommendations of the supervision mission relating to these components which was conducted from February 1 through 8, 1996.

2. I am also forwarding to you under separate cover copies of Decree No. 1745 of 12 October 1995 and Decree No. 2164 of 7 December 1995 which regulate Chapter III of Law 70 (1993) and Chapter XIV of Law 160 (1994) concerning the regularization and titling of Afro-Colombian and Indigenous lands. You may wish to share these decrees with the project lawyer and archive them in the project files, as they are the major regulatory decrees for the land titling aspects of the project.

Strategic Action Plan

3. You will note that the mission's major recommendation was that the Project Coordinating Unit (PCU), in cooperation with the Ministry of the Environment and other participating agencies (INCORA, Red Social, IGAC, etc.), prepare a Strategic Action Plan (SAP) for implementing the Land Titling and Regional Committees components of the project. The inter-agency committee set up for this purpose met during the final two days of the mission and apparently was far along in preparing the SAP when the mission departed from Bogota.

4. We were pleased to know that the committee organized for this purpose includes a representative of the Interior Ministry's Office of Black Communities Affairs, without whose presence and active participation there will likely be problems of inter-agency coordination and conflicts in the land titling process. We were also pleased to know that representatives of the Minister of Environment's Bio Pacifica Project have now been brought into the land titling discussion as they are slowly building up, after some initial

problems, increasing legitimacy among the regional black and indigenous organizations on the Pacific Coast.

5. In our discussion of the SAP, we recommend that the Panel of Independent Experts (Para. 3.23 of the Staff Appraisal Report) be formed immediately. We also recommend that, as one of its first official acts, the Panel should be asked by the PCU to review the SAP. In this regard, we were pleased that the Minister of the Environment had no objection to this recommendation and appeared disposed to request that the PCU proceed immediately with the organization of the Panel.

6. During the mission, we met with Drs. Roque Roldan Ortega (Director of the Centro de Cooperación Indígena) and William Villa (an Afro-Colombian anthropologist who works for Swiss Aid), two of the most well-known and respected experts on Amerindian and Afro-Colombian land issues and affairs. Both expressed an interest in the project and appeared ready to serve on the Panel of Independent Experts if formally asked. We recommend both individuals highly for this task.

Titling of Indigenous Lands

7. Our view, and we believe that shared by experts within INCORA, is that the demarcation and titling of indigenous lands can be carried out much more rapidly than that of the Black or Afro-Colombian community lands. The reasons for this are because INCORA has had many more years of experience in demarcating indigenous reserves than Afro-Colombian lands; the regional indigenous organizations are much more consolidated than those of the Blacks; and, there is a much clearer legal framework for titling indigenous lands.

8. Nevertheless, several steps might be taken by INCORA to ensure the rapid and smooth implementation of the indigenous land titling component. One step, as mentioned in the Briefing Note, is to devolve as much authority as possible for carrying out land demarcation to regional indigenous organizations such as UNIPA and OREWA who have the collective experience and competence to collaborate with INCORA in many aspects of the land titling process.

9. Second, IGAC should begin immediately to train INCORA regional staff and the regional indigenous organizations in the use of GIS and GPS technologies, both of which could facilitate the process of land delimitation and demarcation. These new technologies provide a level of cartographic and topographical precision which has never existed previously in Colombia or other Latin American countries, and hence could avoid many of the traditional social conflicts associated with physical mistakes in the land demarcation and mapping process.

10. Third, the Minister of Interior's Directorate of Indigenous Affairs (DAI) should also be brought into the indigenous land titling process. Unfortunately, due to issues relating to environmental licensing, there has been some friction in recent months between

the Minister of the Environment and the DAI. The director of the DAI, however, is prepared to cooperate with INCORA and the Minister of the Environment and she should be called upon, when needed, to resolve any conflicts which might arise with settlers, private companies, regional corporations, or other sectoral ministries in the identification and protection of indigenous lands.

11. Lastly, it may be necessary to allocate more funds in the project budget for indigenous land titling, especially if there is the goal of completing this component by the end of the project period. Currently, only US\$540,000 has been allocated in the project budget for this component, half of which is to come from the Bank loan and the other half from counterpart funds provided by INCORA. Placing the indigenous land component on a "fast track," however, may necessitate more funds and the project should be prepared to earmark such funds in the 1997 budget authorization if necessary.

Land Titling of Black Communities

12. The identification, demarcation and titling of the lands of Afro-Colombian or Black Communities is exceedingly more complex than that of the indigenous communities. One of the reasons for this is the genuine novelty of the state recognizing the "collective territories" of Afro-Colombian populations, as reflected in Transitory Article 55 of the Colombian Constitution. Another reason is because of the fluidity of Afro-Colombian local social organization which is more determined by the seasonal round of economic activities (itinerant horticulture, fishing, lumbering, gold panning, urban stevedore and domestic labor, etc.) than it is by fixed settlement, community or kinship patterns.

13. Law 70 calls for the creation of *Consejos Comunitarios* or Community Councils as a prerequisite to communal land titling. Yet, it remains to be seen whether these "juridical entities" (none have yet been formally recognized) will make any sociological sense in the fluid governance structures of dispersed Afro-Colombian households and riverain settlements. Some of the regional organizations are currently experimenting with the formation of these councils, and the outcomes of these experiments may well determine the operational success or failure of the social justice ideology which lies behind Law 70 and its regulatory decree.

14. For all of these reasons, INCORA is probably correct in beginning the Afro-Colombian land titling process at a small-scale with two pilot projects. During the mission, there was some discussion about one of these pilot projects being introduced in Narino and the other in the Choco, perhaps in the Atrato River area, where organizing has been taking place over the past decade in anticipation of the passage of Law 70 and its regulation. Nevertheless, no decision has yet been made about where the pilot projects will be located, nor is it known how the initial experiments in Afro-Colombian land titling will be structured.

15. No matter how they are structured, the Bank should insist upon a systematic and transparent process of monitoring and evaluation of these pilot projects in order to ensure

that their lessons are well-understood and transferable to other areas. In this sense, it is again vital to have the Panel of Independent Experts organized as soon as possible, not only to accompany the Afro-Colombian land titling process from its inception, but also to ensure that INCORA and the other implementing agencies devote sufficient attention to monitoring, evaluating and learning from the pilot projects.

16. Funds from the Bank loan, on the level of US\$1.98 million for this component, cannot be expected to have more than a limited impact in an area as vast as the Pacific Coast and with so many outstanding land tenure and natural resource conflicts. However, if the pilot projects do provide demonstrable lessons, they can serve as models for a more comprehensive communal land titling effort throughout the coastal region. Systematic monitoring and evaluation, in this sense, should be seen as key to the measurement of the success of this component of the project.

Regional Committees Component

17. Finally, brief mention should be made of the Regional Committees component, for which US\$1.33 million have been allocated in the project, all of it from loan funds. This component was originally included as a means for ensuring widespread social participation by representatives of Black, indigenous and other peasant organizations in all aspects of the project, including environmental monitoring. The idea, at the time the component was designed, was that a series of departmental consultative commissions established for purposes of social participation in regional development planning would be maintained to implement and monitor project activities.

18. A year following the passage of Law 70, however, another set of special commissions on both the national and departmental levels was created whose purposes were to regularize the law and accompany the process of Afro-Colombian land titling. Soon after, a new Office of Black Communities Affairs was created in the Interior Ministry, the director of which was designated as the Technical Secretary of the national and regional consultative commissions for Law 70.

19. Hence, at the current time, there seems to be two types of regional consultative committees functioning on the Pacific Coast both of which appear to be responding to central government initiatives. One of these types of committees was created prior to Law 70 and is comprised of representatives of a wide variety of regional organizations and sector ministries. The other is comprised just of Black organizations and was created specifically for purposes of preparing the implementing decree for Law 70. The former committees, apparently, are being revitalized in certain areas by PNR-Red Social; while, the latter are being supported by the Director of the Office of Black Communities Affairs. In some areas, the two types of committees appear to be working at cross purposes with each other, perhaps as a result of different central government tendencies.

20. The role of the Bank in this situation should be to ensure that project funds earmarked for the Regional Committees component are not used for patronage purposes.

Rather, these funds should be used as a means of strengthening the institutional capacity of regional civil society organizations, so they can assume an active and independent role in project implementation and monitoring. Channeling project funds for these regional organizations through a non-governmental, intermediary organization may be one way of ensuring that project funds earmarked for social participation are not captured by central government agencies.

Attachment:

cc: Messrs./Mmes.: Krafft, Parker (LA3NR); Partridge, Uquillas (LATEN);
di Leva (LEGEN); Binswanger (AGRDR); Steer, Cernea
(ENVDR); Davis, Bebbington (ENVSP); Cassells (ENVLW);
Saez, Arboleda (Res. Rep. Bogota); LAC Files

COLOMBIA
NATURAL RESOURCES MANAGEMENT PROJECT
(LOAN 3692-CO)

LAND TITLING AND REGIONAL COMMITTEES COMPONENTS

A. Introduction

1. Between February 1 and 8, 1996, the World Bank conducted a one-week mission to Colombia the purpose of which was to review progress which has been made in implementing the Indigenous and Black (Afro-Colombian) Communities Land Titling and Regional Committees components of the above project. The mission was comprised of Mr. Philip Hazelton, the Project Task Manager, and Mr. Shelton Davis, Principal Sociologist in the Bank's Environment Department. Logistical support for the mission was provided by the Project Coordinating Unit (PCU) and various participating government agencies, including the Ministry of Environment's General Directorate for Planning and Environmental Ordering and the National Rehabilitation Program's Social Solidarity Network (PNR-Red Social).

2. Activities carried out by the mission included briefings by the PCU staff and representatives of the Ministry of Environment, PNR-Red Social, the National Institute of Colonization and Agrarian Reform (INCORA), the "Agustin Codazzi" Geographical Institute (IGAC), and the National Parks Planning Team. The mission also spent two days visiting Tumaco in the Department of Narino, where it met with representatives of black and indigenous organizations, including on-site visits to communities affiliated with the Peasant Association of the Mira River and the Indigenous Union of the Awa People (UNIPA).

3. On return to Bogota, the mission participated in a strategy meeting with all the agencies responsible for the Land Titling and Regional Committees components, as well as with the Director of the Office of Black Communities Affairs in the Ministry of Interior. It also held a closing meeting with the Minister of Environment, in which the findings and recommendations in the following document were discussed.

B. Rationale for Land Titling and Regional Committees Components

4. While not significant in costs (about 5.9 percent or \$US 3.8 million of the project's \$US 65.3 million budget), the Indigenous and Black Communities Land Titling and Regional Committees components form a major part of the overall Natural Resources Management Project. From the initial preparation of the project, the Government and the Bank recognized that without a resolution of the pressing land tenure insecurity problems of the indigenous and black communities of the Pacific Coast, and without their active participation in the design, implementation and monitoring of environmental and social programs, it would be impossible to introduce a more rational and sustainable system of natural resources management in the region.

5. The idea of including community land titling components in the project, as well as a forum for regional organization participation, is recognized in recent Colombian legislation. This includes numerous articles in the 1991 National Constitution, as well as the Black Communities (Law 70),

National Environment (Law 99), and Agrarian Reform and Rural Development (Law 160) laws. Territorial recognition and social participation are also strong demands among the indigenous and black organizations of the Pacific Coast, and are consistent with World Bank and other international agency policies on poverty alleviation, sustainable development, and the rights of indigenous peoples.

C. Progress to Date

6. Unfortunately, the Land Titling and Regional Committees components have suffered from the same "start up" problems as the other components of the project. Namely, since loan effectiveness in November 1994, there have been major changes in the overall coordination of the project, including the transfer of the PCU to the new Environment Ministry and the replacement of its director and some of its more experienced, administrative and technical staff. Delays in the initiation of these components have also been affected by the consultative process which went into the preparation of the regulatory decrees for Laws 70 and 160, and by problems encountered in releasing budgetary resources for operational activities during the past calendar year.

7. Despite these institutional and budgetary constraints, the mission was pleased to find: (a) that there are now decrees regulating Laws 70 and 160 (Decrees 1745 of 12 October 1995 and 2194 of 7 December 1995); (b) that INCORA has formed a special Inter-Agency Technical Commission to oversee the design and implementation of the indigenous and black communities land titling provisions of these laws; and, (c) that the Red Social, with its own budgetary resources, has begun to implement a social communications and training strategy for consolidating the work of the departmental-level Consultative Committees. The latter committee are to serve as the main vehicles for the participation of the indigenous and black organizations in government policy making and programming on the Pacific Coast.

8. The Annual Operating Budgets of the participating agencies for these components have also now been approved, and the PCU does not envision further problems such as those which occurred with last year's budget.

D. The Need for Strategic Planning

9. While recognizing these achievements, the mission also found a lack of strategic planning on the part of the PCU and the participating agencies in relation to these components, as well as limited coordination with other governmental and non-governmental entities who could potentially assist in their implementation. This lack of strategic planning and coordination may have resulted from other more immediate concerns, such as the need to prepare the implementing decrees for Laws 70 and 160 and the PCU's initial start up problems. However, if the PCU and other collaborating agencies do not direct more attention to this issue, the mission believes that there will be slower than envisioned progress in the implementation of the Land Titling and Regional Committees components.

10. In this regard, the mission was pleased to see that the PCU and Ministry of Environment had initiated discussions with the Ministry of Agriculture to develop a more strategic focus to the land titling and other components of the project, perhaps through their linkage with a more global rural development strategy for the Pacific Coast. It also recognized the importance of the PCU's

initiative to bring other organizations such as the Division of Black Communities Affairs and the Biopacifica Project into the planning process for the land titling components. By coordinating with these institutions, the PCU and the project will have the best chance of mobilizing the necessary resources and political support to successfully implement the Land Titling and Regional Committees components.

E. Community Mobilization and Involvement

11. In developing this strategy, the mission believes that major attention should focus on mobilizing local communities to participate in the land titling process. Law 70 creates so-called *Consejos Comunitarios* or Community Councils, whose purposes are to represent local black communities before the government and to title territories in their names. These Community Councils, in turn, are to serve as the basic governing units for black communities, to assist in the resolution of conflicts with other interested parties (regional corporations, miners, forest concessionaires, agribusinesses, etc.), and to eventually play a role in the sustainable management of natural resources.

12. To date, the regional black organizations have made some effort to establish these Community Councils. However, these efforts have been sporadic and lack the logistical resources (transport, supplies) necessary for their rapid mobilization and organization. Therefore, the mission recommends that the PCU, in coordination with other agencies (e.g., Red Social, Division of Black Community Affairs) develop a strategy and allocate the necessary resources for purposes of community mobilization and involvement. This could be done through the establishment of a corps of local social extensionists or promoters, whose main purpose would be to assist black communities in compiling the necessary historical, demographic, and social information which INCORA will need to initiate the land titling process.

F. Strengthening Regional Organizations

13. The PCU should also direct some resources and attention toward strengthening the institutional capacity of regional organizations to participate in the community mobilization and land titling process. To date, the Red Social has expended most resources for purposes of conducting workshops and seminars and producing pedagogical materials on Law 70. However, as the implementation phase of Law 70 begins, much greater effort will need to be made by Red Social and the other participating institutions to channel resources *directly* to the regional organizations so that they can assume a protagonist role in the organizing of their communities for purposes of land titling.

G. The Land Titling Process

14. INCORA has already established an Inter-Agency Technical Commission for overseeing the land titling process, created a new unit to work on black community land problems (a unit has existed for many years to provide assistance to indigenous communities in land titling), and allocated counterpart funds for strengthening its regional capacity to work in this area. The general strategy being developed by INCORA is to carry out two pilot projects in regions occupied by black

communities which will provide experience and serve as models for the community land titling process throughout the Pacific Coast.

15. While the mission agrees with this piloting strategy, it also feels that several additional steps can be taken by INCORA to speed up this process. One step would be to review the current implementing decrees for Law 70 and Law 160 to see if any measures can be introduced to facilitate more local participation in the land titling process. There are numerous areas, such as the conducting of demographic and socio-economic censuses and the delimitation of territories based upon traditional knowledge, where local communities rather than outside consultants can be used to fulfill the paper requirements of the law. Training local people for these purposes may be the least costly and best investment which INCORA can make in speeding up and facilitating the land titling process.

16. Second, the mission believes that the remaining indigenous resguardos which need to be created, remeasured or cleared of squatters can be implemented with greater rapidity than the titling of the black community lands. INCORA is prepared to work at a much more rapid pace in carrying out the physical demarcation and titling of the remaining indigenous resguardos, with the goal of having all of the Pacific Coast indigenous lands regularized by the end of the project period. In so doing, INCORA should work closely with indigenous organizations such as UNIPA among the Awa and OREWA in the Choco to ensure the smooth implementation of this process and the carrying out of titling as a collective ethnic enterprise, rather than just one resguardo or communal land area at a time.

17. Thirdly, the mission recommends that the project provides adequate budgetary resources for the purchase of hardware and training, so INCORA can take advantage of the new Geographical Positioning System (GPS) technologies available for land demarcation. These technologies have been successfully experimented with in communal land and territorial demarcation programs in other Latin American countries and have great potential for speeding up and ensuring a more technically precise land demarcation process in Colombia. Again, teaching local people how to use these technologies, and combining them with local peoples's traditional landscape and geographical knowledge, may be the most cost effective strategy.

H. Linkage with Other Project Components

18. The PCU and the other implementing agencies should also give more thought to linking community mobilization and land titling with other components of the project. IGAC has already taken steps in this direction by organizing a highly successful training workshop on zonification and the use of Geographical Information Systems (GIS) with indigenous and black organizations in the Choco. Similarly, the Planning Team for the National Parks component has developed a participatory methodology and is working with communities in the buffer zones surrounding the nine (9) National Parks on the Pacific Coast. The implementation of both of these components would benefit from more systematic cooperation with INCORA and other agencies involved in the land titling process. Other areas of potential cooperation and synergy also exist between the Land Titling and Regional Committees components and the environmental education and monitoring aspects of the projects.

I. Monitoring and Evaluation

19. Despite the attention given to project Monitoring and Evaluation (M. & E.) and the allocation of funds for the formation of a Panel of Independent Experts (See paras. 3.22 and 3.23 of the Staff Appraisal Report), relatively limited attention has been given to these matters in the first or initial start-up phase of the project. Therefore, the mission recommends that the PCU remedy this situation through designing a more systematic M. & E. strategy for the project. This strategy should be designed in cooperation with the other participating agencies and be seen as part of the overall strategic planning process (see Section D above) for the project.

20. The formation of the Independent Panel of Experts, for which Terms-of-Reference already exist, could play an important role in strategic planning assisting the PCU and other agencies to obtain a more historically and scientifically grounded and multidisciplinary vision of the problems of the Pacific Coast region. At the current stage of the project, it is probably best to organize this Panel with national experts who could meet regularly with the PCU and the other implementing agencies.

J. Strategic Action Plan

21. Lastly, the mission recommends that the outcome of the above recommendations and processes should be the development of a Strategic Action Plan (SAP) for the Land Titling and Regional Committees components of the project.

22. The SAP should result from discussions among the PCU, the Ministry of Environment and other participating agencies, including the Ministry of Agriculture and the Ministry of Interior's Office of Black Communities. It should contain a specific set of goals, timetables, institutional responsibilities and budgetary needs for rapidly implementing the land titling process. If agreed upon, it should also be linked with broader rural development and natural resource management objectives and activities on the Pacific Coast.

23. The PCU should ask the newly formed Panel of Experts to review the SAP and provide it and the Bank with a technical analysis and evaluation of its content. Based upon this review and its own analysis, the mission would be prepared--if requested by the PCU-- to recommend to Bank management possible revisions in the Land Titling and Regional Committee budgets to facilitate implementation of the SAP.

OFFICE MEMORANDUM

DATE: February 19, 1996

TO: Mr. Philip Hazelton, LA3NR

FROM: Shelton H. Davis, Princ. Sociologist, ENVSP



EXTENSION: 33413

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LAND TITLING AND REGIONAL COMMITTEES COMPONENTS

A. Introduction

1. Between February 1 and 8, 1996, the World Bank conducted a one-week mission to Colombia the purpose of which was to review progress which has been made in implementing the Indigenous and Black (Afro-Colombian) Communities Land Titling and Regional Committees components of the above project. The mission was comprised of Mr. Philip Hazelton, the Project Task Manager, and Mr. Shelton Davis, Principal Sociologist in the Bank's Environment Department. Logistical support for the mission was provided by the Project Coordinating Unit (PCU) and various participating government agencies, including the Ministry of Environment's General Directorate for Planning and Environmental Ordering and the National Rehabilitation Program's Social Solidarity Network (PNR-Red Social).

2. Activities carried out by the mission included briefings by the PCU staff and representatives of the Ministry of Environment, PNR-Red Social, the National Institute of Colonization and Agrarian Reform (INCORA), the "Agustin Codazzi" Geographical Institute (IGAC), and the National Parks Planning Team. The mission also spent two days visiting Tumaco in the Department of Narino, where it met with representatives of black and indigenous organizations, including on-site visits to communities affiliated with the Peasant Association of the Mira River and the Indigenous Union of the Awa People (UNIPA).

3. On return to Bogota, the mission participated in a strategy meeting with all the agencies responsible for the Land Titling and Regional Committees components, as well as with the Director of the Office of Black Communities Affairs in the Ministry of Interior. It also held a closing meeting with the Minister of Environment, in which the findings and recommendations in the following document were discussed.

B. Rationale for Land Titling and Regional Committees Components

4. While not significant in costs (about 5.9 percent or \$US 3.8 million of the project's \$US 65.3 million budget), the Indigenous and Black Communities Land Titling and Regional Committees components form a major part of the overall Natural Resources Management Project. From the initial preparation of the project, the Government and the Bank recognized that without a resolution of the pressing land tenure insecurity problems of the indigenous and black communities of the Pacific Coast, and without their active participation in the design, implementation and monitoring of environmental and social programs, it would be impossible to introduce a more rational and sustainable system of natural resources management in the region.

5. The idea of including community land titling components in the project, as well as a forum for regional organization participation, is recognized in recent Colombian legislation. This includes numerous articles in the 1991 National Constitution, as well as the Black Communities (Law 70),

National Environment (Law 99), and Agrarian Reform and Rural Development (Law 160) laws. Territorial recognition and social participation are also strong demands among the indigenous and black organizations of the Pacific Coast, and are consistent with World Bank and other international agency policies on poverty alleviation, sustainable development, and the rights of indigenous peoples.

C. Progress to Date

6. Unfortunately, the Land Titling and Regional Committees components have suffered from the same "start up" problems as the other components of the project. Namely, since loan effectiveness in November 1994, there have been major changes in the overall coordination of the project, including the transfer of the PCU to the new Environment Ministry and the replacement of its director and some of its more experienced, administrative and technical staff. Delays in the initiation of these components have also been affected by the consultative process which went into the preparation of the regulatory decrees for Laws 70 and 160, and by problems encountered in releasing budgetary resources for operational activities during the past calendar year.

7. Despite these institutional and budgetary constraints, the mission was pleased to find: (a) that there are now decrees regulating Laws 70 and 160 (Decreets 1745 of 12 October 1995 and 2194 of 7 December 1995); (b) that INCORA has formed a special Inter-Agency Technical Commission to oversee the design and implementation of the indigenous and black communities land titling provisions of these laws; and, (c) that the Red Social, with its own budgetary resources, has begun to implement a social communications and training strategy for consolidating the work of the departmental-level Consultative Committees. The latter committee are to serve as the main vehicles for the participation of the indigenous and black organizations in government policy making and programming on the Pacific Coast.

8. The Annual Operating Budgets of the participating agencies for these components have also now been approved, and the PCU does not envision further problems such as those which occurred with last year's budget.

D. The Need for Strategic Planning

9. While recognizing these achievements, the mission also found a lack of strategic planning on the part of the PCU and the participating agencies in relation to these components, as well as limited coordination with other governmental and non-governmental entities who could potentially assist in their implementation. This lack of strategic planning and coordination may have resulted from other more immediate concerns, such as the need to prepare the implementing decrees for Laws 70 and 160 and the PCU's initial start up problems. However, if the PCU and other collaborating agencies do not direct more attention to this issue, the mission believes that there will be slower than envisioned progress in the implementation of the Land Titling and Regional Committees components.

10. In this regard, the mission was pleased to see that the PCU and Ministry of Environment had initiated discussions with the Ministry of Agriculture to develop a more strategic focus to the land titling and other components of the project, perhaps through their linkage with a more global rural development strategy for the Pacific Coast. It also recognized the importance of the PCU's

initiative to bring other organizations such as the Division of Black Communities Affairs and the Biopacifica Project into the planning process for the land titling components. By coordinating with these institutions, the PCU and the project will have the best chance of mobilizing the necessary resources and political support to successfully implement the Land Titling and Regional Committees components.

E. Community Mobilization and Involvement

11. In developing this strategy, the mission believes that major attention should focus on mobilizing local communities to participate in the land titling process. Law 70 creates so-called *Consejos Comunitarios* or Community Councils, whose purposes are to represent local black communities before the government and to title territories in their names. These Community Councils, in turn, are to serve as the basic governing units for black communities, to assist in the resolution of conflicts with other interested parties (regional corporations, miners, forest concessionaires, agribusinesses, etc.), and to eventually play a role in the sustainable management of natural resources.

12. To date, the regional black organizations have made some effort to establish these Community Councils. However, these efforts have been sporadic and lack the logistical resources (transport, supplies) necessary for their rapid mobilization and organization. Therefore, the mission recommends that the PCU, in coordination with other agencies (e.g., Red Social, Division of Black Community Affairs) develop a strategy and allocate the necessary resources for purposes of community mobilization and involvement. This could be done through the establishment of a corps of local social extensionists or promoters, whose main purpose would be to assist black communities in compiling the necessary historical, demographic, and social information which INCORA will need to initiate the land titling process.

F. Strengthening Regional Organizations

13. The PCU should also direct some resources and attention toward strengthening the institutional capacity of regional organizations to participate in the community mobilization and land titling process. To date, the Red Social has expended most resources for purposes of conducting workshops and seminars and producing pedagogical materials on Law 70. However, as the implementation phase of Law 70 begins, much greater effort will need to be made by Red Social and the other participating institutions to channel resources *directly* to the regional organizations so that they can assume a protagonist role in the organizing of their communities for purposes of land titling.

G. The Land Titling Process

14. INCORA has already established an Inter-Agency Technical Commission for overseeing the land titling process, created a new unit to work on black community land problems (a unit has existed for many years to provide assistance to indigenous communities in land titling), and allocated counterpart funds for strengthening its regional capacity to work in this area. The general strategy being developed by INCORA is to carry out two pilot projects in regions occupied by black

communities which will provide experience and serve as models for the community land titling process throughout the Pacific Coast.

15. While the mission agrees with this piloting strategy, it also feels that several additional steps can be taken by INCORA to speed up this process. One step would be to review the current implementing decrees for Law 70 and Law 160 to see if any measures can be introduced to facilitate more local participation in the land titling process. There are numerous areas, such as the conducting of demographic and socio-economic censuses and the delimitation of territories based upon traditional knowledge, where local communities rather than outside consultants can be used to fulfill the paper requirements of the law. Training local people for these purposes may be the least costly and best investment which INCORA can make in speeding up and facilitating the land titling process.

16. Second, the mission believes that the remaining indigenous resguardos which need to be created, remeasured or cleared of squatters can be implemented with greater rapidity than the titling of the black community lands. INCORA is prepared to work at a much more rapid pace in carrying out the physical demarcation and titling of the remaining indigenous resguardos, with the goal of having all of the Pacific Coast indigenous lands regularized by the end of the project period. In so doing, INCORA should work closely with indigenous organizations such as UNIPA among the Awa and OREWA in the Choco to ensure the smooth implementation of this process and the carrying out of titling as a collective ethnic enterprise, rather than just one resguardo or communal land area at a time.

17. Thirdly, the mission recommends that the project provides adequate budgetary resources for the purchase of hardware and training, so INCORA can take advantage of the new Geographical Positioning System (GPS) technologies available for land demarcation. These technologies have been successfully experimented with in communal land and territorial demarcation programs in other Latin American countries and have great potential for speeding up and ensuring a more technically precise land demarcation process in Colombia. Again, teaching local people how to use these technologies, and combining them with local peoples's traditional landscape and geographical knowledge, may be the most cost effective strategy.

H. Linkage with Other Project Components

18. The PCU and the other implementing agencies should also give more thought to linking community mobilization and land titling with other components of the project. IGAC has already taken steps in this direction by organizing a highly successful training workshop on zonification and the use of Geographical Information Systems (GIS) with indigenous and black organizations in the Choco. Similarly, the Planning Team for the National Parks component has developed a participatory methodology and is working with communities in the buffer zones surrounding the nine (9) National Parks on the Pacific Coast. The implementation of both of these components would benefit from more systematic cooperation with INCORA and other agencies involved in the land titling process. Other areas of potential cooperation and synergy also exist between the Land Titling and Regional Committees components and the environmental education and monitoring aspects of the projects.

I. Monitoring and Evaluation

19. Despite the attention given to project Monitoring and Evaluation (M. & E.) and the allocation of funds for the formation of a Panel of Independent Experts (See paras. 3.22 and 3.23 of the Staff Appraisal Report), relatively limited attention has been given to these matters in the first or initial start-up phase of the project. Therefore, the mission recommends that the PCU remedy this situation through designing a more systematic M. & E. strategy for the project. This strategy should be designed in cooperation with the other participating agencies and be seen as part of the overall strategic planning process (see Section D above) for the project.

20. The formation of the Independent Panel of Experts, for which Terms-of-Reference already exist, could play an important role in strategic planning assisting the PCU and other agencies to obtain a more historically and scientifically grounded and multidisciplinary vision of the problems of the Pacific Coast region. At the current stage of the project, it is probably best to organize this Panel with national experts who could meet regularly with the PCU and the other implementing agencies.

J. Strategic Action Plan

21. Lastly, the mission recommends that the outcome of the above recommendations and processes should be the development of a Strategic Action Plan (SAP) for the Land Titling and Regional Committees components of the project.

22. The SAP should result from discussions among the PCU, the Ministry of Environment and other participating agencies, including the Ministry of Agriculture and the Ministry of Interior's Office of Black Communities. It should contain a specific set of goals, timetables, institutional responsibilities and budgetary needs for rapidly implementing the land titling process. If agreed upon, it should also be linked with broader rural development and natural resource management objectives and activities on the Pacific Coast.

23. The PCU should ask the newly formed Panel of Experts to review the SAP and provide it and the Bank with a technical analysis and evaluation of its content. Based upon this review and its own analysis, the mission would be prepared--if requested by the PCU-- to recommend to Bank management possible revisions in the Land Titling and Regional Committee budgets to facilitate implementation of the SAP.

Guatemala

Principles for the Design of an Indigenous Peoples Development Strategy

by

Shelton H. Davis (ENVSP)

and

Jorge Uquillas (LATEN)

A. Introduction

1. The Technical Consultation with Mayan Elders, sponsored by the World Bank and the Guatemalan Peace Fund (FONAPAZ) and held in Huehuetenango between 18 and 21 September 1996, brought together a large number of Mayan elders and a variety of indigenous organizations to discuss issues of mutual concern with representatives of the World Bank and other multilateral agencies. Conducted at the same time as the signing of the final Peace Accord on the "Strengthening of Civil Power and the Function of the Army in a Democratic Society," the consultation reflected the great optimism which currently exists in Guatemala for national peace and reconciliation after more than thirty years of internal warfare and political violence.

2. From the point of view of the Bank, the consultation was the first step in a process the purpose of which is to design a country investment program which will be sensitive to the socio-economic and cultural needs of Guatemala's large indigenous population. The latter numbers over five million people and is mainly comprised of 22 Mayan ethnolinguistic groups; but, it also includes small enclave populations of Xinka and Garifuna-speaking peoples in the eastern part of the country. Materially, this population is one of the poorest, most deprived and least formally educated of any population in the Western Hemisphere. Culturally, it possesses a rich reservoir of social energy and capital which could become the engine of a new model of development for Guatemala.

3. The following report outlines five principles which the Guatemala Country Team may wish to take into account as it organizes future consultations and further defines the role of indigenous communities in its country investment strategy. These principles, which are listed and described below, are intended to serve as the basis for a dialogue among the Bank, the Guatemalan government, and various Mayan organizations as they develop jointly a strategy for the development of the country's indigenous communities. They are:

- (a) respect for the diversity of the Guatemalan indigenous movement;
- (b) support for the Peace Accords, especially those agreements dealing with indigenous identity and rights, socio-economic development and the agrarian situation;
- (c) promotion of an authentic decentralization of development decision-making;

- (d) identification and strengthening of local indigenous organizations; and,
- (e) use of indigenous knowledge and languages in regional and local development planning.

B. Respecting Diversity within the Indigenous Movement

4. One of the main characteristics of the current Guatemalan indigenous scene is the great diversity of perspectives and opinions which exist within the contemporary indigenous movement. Unlike countries such as Ecuador where the six national-level organizations have joined forces to form the Committee of the Decade of Indigenous Peoples (Comite del Decenio), there is no single indigenous organization which can be said to "represent" the indigenous peoples of Guatemala. Nor, is there currently a single indigenous or Mayan position in terms of such fundamental questions as land rights, local social and political organization, educational and other social sector reforms, indigenous development policy, or the like.

5. Given this diversity, the Bank should be extremely cautious of any attempt on the part of the government or other social actors to present a single indigenous organization or group as representing the views of the large number of Mayan peoples and communities. For example, the whole notion of a representative group of "Mayan elders" as presented by FONAPAZ at the Huehuetenango meeting is extremely problematic to the degree that there are various Mayan "spiritual" communities. These include "Mayan Catholics," "Mayan evangelicos," and "Mayan traditionalists," all of whom have elders who play a key role in local community or church decision-making. Therefore, there is not one but several councils of Mayan elders, many of them existing in remote, rural communities.

6. Similar issues exist in terms of the differences which exist among the purely secular Mayan organizations, many of whom are formally registered as NGOs. At the conference, for instance, there was marked tension between members of FODIGUA (the Indigenous Development Fund created by the previous government) and representatives of some of the non-governmental indigenous organizations. Behind these differences is an ongoing debate within the Guatemalan indigenous movement about (a) the degree of autonomy or collaboration that the indigenous organizations wish to have with the national government and the traditionally, ladino-dominated, political parties; and, (b) whether it is acceptable to have a special government agency for indigenous affairs, or better to incorporate the needs and concerns of indigenous peoples into the overall social programs and policies of the government.

7. This debate among indigenous organizations has intensified in recent weeks as the government has begun to indicate its intention to present a special Indigenous Law (regulating Article 70 of the Constitution) to the National Congress, perhaps even prior to the final signing of the Peace Accords. While all segments of the indigenous movement see the need for the eventual drafting of such a law, there is much debate over its timing and about whether there needs to be a more fundamental change in the Constitution prior to its passage, especially in

terms of recognizing the multiethnic, plural-cultural, and multilingual nature of Guatemalan society.

C. Supporting the Peace Accords

8. In general, the best way in which the Bank and other donor agencies can respect this diversity, without intervening in the evolution of the indigenous movement, is by providing strong support to the consultative processes outlined in the Peace Accords, especially the "Accord Concerning the Identity and Rights of the Indigenous Peoples."

9. Although this accord and the followup "Socio-Economic and Agrarian Accord" were negotiated between the government (in the former case, the Deleon Carpio government; and, in the latter case, the Arzu government) and the National Guatemalan Revolutionary Front (URNG), they reflect in broad outlines the socio-economic and cultural aspirations of large segments of the Guatemalan population, including the various indigenous groups. Furthermore, at least in the case of the Indigenous Peoples Accord, specific consultative mechanisms are proposed (the so-called *Comisiones Paritarias*) which would enable the indigenous movement and the government to work out a mutually acceptable approach to such vital questions as the officialization of indigenous languages, protection of sacred sites, educational reform, indigenous governance and participation, and the recognition, restitution and registration of indigenous lands.

10. Since its signing in March 1994, a multi-organization, indigenous coordinating body called *Saqb'ichil COPMAGUA* has been educating the indigenous community and the broader civil society about the significance of the Indigenous Peoples Accord. As the voice for indigenous peoples concerns within the Assembly of Civil Society, it has recently organized a series of 8 working groups which eventually it is hoped will become the basis for the establishment of the Bipartite Commissions between the government and indigenous peoples organizations which are mandated under the Accord. The latter explicitly states that technical assistance and cooperation can be provided to these commissions by international agencies in order for them to fulfill their responsibilities. Such assistance might reasonably be considered by the Bank.

D. Promoting the Decentralization of Development Decision-Making

11. At the same time, the Bank should support the government and civil society's promotion of the decentralization of development decision-making, especially to the regional and local levels. Again, there are precedents for such decentralization both within the 1985 Constitution and the Indigenous Peoples and Socio-Economic Accords. The Indigenous Peoples Accord, for example, contains a series of highly detailed sections concerning the recognition of local indigenous communities and authorities, regionalization of administration, indigenous participation at all levels of governance and decision-making, and the recognition and support of customary law and legal processes. Similarly, the Socio-Economic Accord in its opening sections emphasizes social participation, and the decentralization of development decision-making to the

community, municipal, departmental and regional levels-- the later through the re-establishment of urban and rural development councils.

12. In providing such support, however, the Bank should be aware of some of the social and political pitfalls in the way of an authentic decentralization and democratization process at the local level in Guatemala. Obviously, one of the major and most serious pitfalls is the legacy of military control, especially in the form of the continuing influence of the Civil Patrol (PAC) structure and the Army in certain regions and communities. Another pitfall, which cannot be under-estimated, is the role of political parties, who will try to influence the decentralization process through patronage and other traditional forms of control at the local and regional levels. In this regard, the Country Team should familiarize itself with the recently signed Accord on the "Strengthening of Civil Power and the Function of the Military in a Democratic Society," especially Sections V and VI dealing with "Social Participation" and the "Participation of Women in the Strengthening of Civil Power."

E. Identifying and Strengthening Local Indigenous Organizations

13. The identification and strengthening of local indigenous organizations will be necessary to promote and sustain such a decentralized process of development decision-making. At the local level, there is little doubt that there is a rich "social fabric" of indigenous organizations from traditional religious leaders, to church groups and committees, to local civic associations and special purpose groups such as credit cooperatives, women's associations, potable water and rural-road maintenance committees, and music and other cultural groups. There are also second-tier service organizations, such as CDRO in Totonicapan and Agua del Pueblo which has a presence throughout the highland region. And, in even the most remote indigenous village, there is usually a bilingual school teacher or a social promoter who forms the nexus around which local communities organize for purposes of social and economic betterment.

14. How does one identify and strengthen this already existing concentration of social capital within the thousands of rural and indigenous villages of Guatemala? We would suggest that the answer to this question lies in mobilizing local resources and building greater capacity among the growing number of Mayan professionals, many of them organized into indigenous NGOs, for purposes of rural reconstruction and development. At the Huehuetenango meeting, Rigoberta Menchu commented that there are over 5,000 Mayan students who have begun their university studies--some of them at the regional branch of San Carlos University in Quezaltenango-- but lack the funds to continue with their career development.

15. There are also numerous indigenous organizations who possess the skills to work with international agencies in the identification and design of rural development programs. The Bank and other development agencies should invest heavily in this source of indigenous manpower and knowledge, enabling them to serve as the frontline in rural reconstruction and development efforts. In addition to project preparation funds, Institutional Development Fund (IDF) grants could be used for indigenous peoples' training, following the examples of several successful projects already being implemented in the region.

F. Using Indigenous Knowledge and Languages in Development Planning

16. Lastly, and related to the above principle, the Bank should emphasize with the government its willingness to invest significantly in the use of indigenous languages in development planning at the regional and local levels. The translation and publication of the brochure describing the Bank into four of the major Mayan languages (K'iche, Cak'chiquel, Mam and K'eqchi) for the Huehuetenango meeting was an initial step in this direction. However, a major investment program directed at indigenous communities should include a well-thought out and financed strategy for communicating with the beneficiary or target population. This would entail the contracting of bilingual promoters for all social sector outreach programs, the publication of didactic and visual materials in the vernacular languages, and the broad use of radio, television, and video administered by Mayan professionals and para-professionals. Every Bank-financed project which is directed toward the indigenous population should contain an explicit inter-cultural, social communications strategy. The Academy of Mayan Languages and other Mayan professional groups can assist the government and the Country Team in such an effort.

G. Conclusion

17. By way of conclusion, we would like to reiterate that we see the five principles outlined here as merely providing the basis for continuing discussions among the Bank, the Guatemalan government and the indigenous organizations for purposes of eventually designing an investment strategy directed at the country's large indigenous population. We believe that if there is clarity on a set of principles such as those outlined here, it will be relatively easy to design such an indigenous development strategy. Without such clarity, however, the Bank runs the risk of being swept away by the current enthusiasm surrounding the peace process and perhaps losing an historic opportunity to contribute with more than money to a broad-based and democratic development in Guatemala.

18. We have stressed the need to adopt an Indigenous Peoples Development Strategy instead of a more formal Indigenous Peoples Development Plan, because we think that what is needed is an approach which is flexible enough to respond to the rapidly changing situation in Guatemala. A formal document, which outlines goals, objectives, activities may be necessary at some later point but may now inhibit a more iterative and participative process and create an excessively high level of expectation among the indigenous population.

3 October 1996


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OFFICE MEMORANDUM



DATE: January 22, 1996

TO: Ms. Gloria Davis, Chief, ENVSP

FROM: Shelton H. Davis, Princ. Sociologist, ENVSP 

EXTENSION: 3-3413

SUBJECT: **Denmark: Back-to-Office Report on Seminar on Indigenous Peoples Production and Trade in Copenhagen, Jan. 15-17, 1996**

The Seminar

1. I attended the above seminar which was organized by the Nordic Council of Ministers and the Greenland Home Rule Government as part of the International Decade of the World's Indigenous Peoples. The seminar brought together representatives of indigenous organizations, the Nordic governments and international organizations to discuss the theme of indigenous peoples production and trade. A central purpose of the seminar was to seek ways of strengthening the access of indigenous peoples products to world markets and promoting the fair trade of their products.

2. Major speeches at the seminar were given by Ms. Erica-Irene Daes, Chairperson, UN Working Group on Indigenous Populations; Mr. Noel Brown, former Director of the United Nations Environment Program; Mr. Ramiro Cibrian, representing the Directorate General of the European Commission; Mr. Conrado Jorge Valiente, President of the World Council of Indigenous Peoples; and, Ms. Rosemarie Kuptana, President of the Inuit Circumpolar Conference. Closing remarks were made by Mr. Ingvar Ahren of the Saame Parliament of Sweden; Ms. Marianne Jensen, the Minister of Health and Environment of Greenland; and, Mr. Par Stenback, the Secretary-General of the Nordic Council of Ministers.

3. The formal papers presented at the seminar, as well as the final Recommendation adopted by it, will be published by the Nordic Council of Ministers and disseminated among its Member Governments and international agencies. Reference to the role of the Bank in "finding solutions to indigenous issues" is made in one of the seminar recommendations (see Final Recommendation attached).

North-South Issues and Indigenous Development

4. While the seminar was an important step in raising the issue of the role of indigenous peoples in the global economy, the general framing of issues at the seminar was mainly from a Northern indigenous perspective. This was reflected in the relatively

large amount of attention devoted during the first day of the seminar and in the Final Recommendation to issues relating to the US government's import ban on marine mammal products and the European Union's wild fur import regulations, both of which have had dramatic effects on the traditional livelihoods and hunting and trapping economies of Northern peoples, especially in Alaska, Canada and Greenland. It was also reflected in the emphasis given during the seminar to North-South partnerships between indigenous peoples, especially for potential joint ventures in forestry development, fisheries and tourism.

5. Although these initiatives have an intrinsic interest, and might be taken up by some indigenous peoples in developing countries in the future, they were not the central concerns of the limited number of indigenous peoples from Africa, Asia and Latin America who attended the seminar. For example, two excellent seminar presentations were given by indigenous representatives of the Nyae Nyae Development Foundation, a Baswara or Bushmen organization in Namibia, and the Olkonerei Integrated Pastoralist Survival Program, a Maasai organization in Tanzania. However, the issues they raised in their presentations -- the lack of government recognition of indigenous concerns in national development programs, the threat to their ancestral lands and resources from outside interests, and the need for grassroots efforts to improve their basic health, literacy and food security-- had little to do with the seminar's central themes of indigenous trade and production for international markets.

6. Similarly, the Asia and Latin American participants in the seminar noted that for those indigenous peoples who inhabit the world's remaining tropical forests, the issue is less one of more rapid integration into the world economy than it is of recognizing and protecting indigenous land, resource and intellectual property rights from the dislocating effects of the current quest for forest products. In this regard, these delegates tended to highlight the challenges posed for the protection of indigenous lands and cultural heritage by ILO Convention 169, the Biodiversity Convention and Chapter 26 of the Agenda 21 documents, rather than the new opportunities for trade in indigenous products posed by the GATT and World Trade Organization.

7. Lastly, the seminar devoted relatively limited attention to the pressing issue of designing socially and culturally appropriate strategies for poverty alleviation among indigenous peoples. In the paper which I presented to the seminar, I attempted to focus upon this issue by highlighting the ways in which the Bank through its investments in bilingual education and indigenous training and technical assistance is strengthening the human and social capital of Latin America's indigenous populations (see, paper by Shelton H. Davis and Harry Patrinos, *Investing in Latin America's Indigenous Peoples: The Human and Social Capital Dimensions*). While this paper was well received, it was clear that the Bank's and other donor agencies' concerns with poverty alleviation among indigenous and tribal peoples in developing countries was not a central concern of the Copenhagen seminar.

Creating a South-South Dialogue on Indigenous Issues

8. During the seminar and on the day following, I met with various representatives of other donor agencies who were present at the seminar. These included Mmes. Caroline Rubow and Susan Ulbaek of the Danish International Development Agency (DANIDA), Ms. Lot van Schaik of the Netherlands Ministry of Foreign Affairs, Ms. Maria Noguero Alvarez of the Spanish Agency of International Cooperation, and Mr. Anders Rudqvist representing the Swedish International Development Agency (SIDA). All of us agreed that while the seminar was of great interest, it did not address in any systematic fashion the issues faced by the tens of millions of indigenous and tribal peoples in the world's developing countries.

9. Specifically, there was a general feeling among all of the donor agency representatives that more South-South dialogue needed to be created between indigenous peoples from developing countries, as well as among donor agencies working with these peoples. There was especially a felt need to exchange experiences about what types of policies and programs were most appropriate for promoting poverty alleviation and grassroots development among indigenous peoples. There was also an expressed need to focus more attention and direct more funds toward training and capacity building, so indigenous peoples and their organizations could assume a more active role in the design and implementation of such programs.

10. In discussions with the DANIDA representatives, it was agreed that the establishment of a joint indigenous organization/donor agency Network on Indigenous Peoples Development might be an important contribution which our respective agencies could make to the International Decade of the World's Indigenous Peoples. The idea of the network would be to create an informal body of representatives from recognized indigenous organizations and donor agencies who would periodically meet to share experiences, promote activities and disseminate successful examples of socially and culturally appropriate poverty alleviation and development strategies for indigenous peoples. For this purpose, it was suggested that a future planning meeting be held--perhaps at the World Bank-- to create such a network.

11. In regard to this idea, I mentioned that ENVSP had already initiated discussions with the International Labor Organization (ILO) to have one of its specialists work on secondment at the Bank for a short period to help to organize such a network. DANIDA also said that it might be able to provide funds to have an indigenous person work with the Bank and ILO to organize such a meeting, as well as provide assistance for a small number of indigenous representatives to attend such a meeting. I suggested that we discuss this idea with our respective agencies, and other donor agencies, over the next couple of months and perhaps begin the actual planning for the inter-agency and indigenous organization meeting in September 1996.

Conclusion

12. In conclusion, the Copenhagen seminar--while focusing major attention on northern indigenous issues-- did provide an excellent opportunity to reopen discussions about the possible contribution of the Bank and other donor agencies to the International Decade of the World's Indigenous Peoples. One of the informal outcomes of the meeting was the idea of promoting more inter-agency and indigenous organization cooperation on the twin themes of poverty alleviation and grassroots indigenous development within a developing country context. For this purpose, it is recommended that more South-South dialogue and sharing of experience be created among representatives of both donor agencies and indigenous organizations working in Africa, Asia, Latin America and other developing country areas. To this end, the idea of forming a Network on Indigenous Peoples Development has been recommended for which planning support would be sought from DANIDA, the ILO and the Bank.

attachment:

cc: Messrs./Mmes.: Fisiy (AFTES); Schaengold, del Castillo (ASTHR);
Kudat, Peabody (EMTEN); Partridge, Martinez,
Uquillas (LATEN); Martin-Brown (ESDVP);
Steer, Cernea (ENVDR); Aronson, Bebbington,
Soeftestad (ENVSP); Indigenous Peoples Working Group

**Recommendation
adopted
by
The Conference on Indigenous Peoples' Production and Trade
Copenhagen 15-17 January 1996**

Draft

The Conference on Indigenous Peoples Production and Trade held in Copenhagen 15-17 January 1996 discussed and debated questions concerning existing international operative mechanisms with relevance to the Indigenous Peoples' production and trade and what can be done to strengthen the Indigenous Peoples' products access to the world market and promote fair trade relations.

The Conference was a Nordic contribution to the International Decade of Indigenous Peoples, initiated by the Greenland Home Rule Government and arranged by the Nordic Council of Ministers, which is a political body for the co-operation of the governments in Denmark, Iceland, Finland, Norway and Sweden and the autonomous areas of Greenland, the Faroe Islands and the Aaland Islands.

At the conference there were representatives from numerous indigenous and international organizations world wide.

The conference recommended the following;

- that governments and relevant organizations, during the UN-decade of Indigenous Peoples promote and strengthen trade and barter between Indigenous Peoples
- that governments and relevant organizations honour their obligations to address Indigenous Peoples issues specified in the various conventions and declarations such as the two (2) UN covenants on Human Rights of 1966, The ILO convention 169, The Rio Declaration and The Bio Diversity Convention
- that developments which affect Indigenous Peoples be controlled by themselves and that benefits are directed to Indigenous Peoples.
- that the principle of sustainable development be adhered to and not undermined by special interest groups.
- that all governments recognize and fulfil, their commitments towards the Indigenous Peoples' right to a sustainable utilization of their natural, economical, social and cultural resources.
- that national governments use international aid programs as means to facilitate international arrangements between Indigenous Peoples' businesses.

- that governments explore possible market arrangements for the Indigenous trade, such as barter and trade for goods and services.
- that governments and organizations actively consult with and advise Indigenous Peoples prior to the implementation of agreements and outside development interests.
- that more effective measures for the protection of Indigenous Peoples' cultural, scientific and intellectual heritage be promoted
- that WIPO (World Intellectual Property Organization), WTO (World Trade Organization) and the World Bank take active part in finding solutions to Indigenous issues
- that the development of a sui generis system of protection on the use and ownership of genetic resources and associated knowledge and practices of Indigenous Peoples be supported
- that universities and other training centres consider the establishment of Indigenous fellows programmes
- that ethical guidelines be developed in close consultation with organizations involved in indigenous development and others to ensure the full and proper involvement of these peoples in their own development

The conference participants took note of the special role of the Nordic countries in the international community in singling out the Indigenous Peoples' cause as a key issue in nature conservation and management, preservation of cultural diversity as well as an important parameter of the overriding human rights concerns

The conference specifically welcomes the Nordic Council of Ministers' initiative to carry out a study on the international restrictions on trade with Arctic products with the goal to repeal restrictions that are not in accordance with current conventions. The conference also welcomes official document by the Danish Ministry of Development and Foreign Aid entitled "Strategy for Danish Support to Indigenous Peoples"

Bearing this in mind the conference urge the Nordic Council of Ministers and the governments of the Nordic Countries;


- to work for a Permanent Forum and a Centre for Indigenous Peoples within the United Nations system comprised of representatives of indigenous peoples, states and UN agencies.
- to support the work for an approbation of agreement on the Draft Declaration on the Rights of Indigenous Peoples as soon as possible.
- to work for the realization of an international trade fair for Indigenous products in 1999.
- to work for a removal of trade barriers that are inconsistent with the GATT/WTO agreement, such as the US import ban on marine mammal products and the EU wild fur import regulation of 1991
- to stand by the Indigenous Peoples in the Nordic countries, the Saami and the Greenlanders, in a continued commitment to further their social well-being, cultural identity and increasing political role in managing their own affairs

Furthermore the Conference will urge the Nordic Council of Ministers to promote the above recommendations in all international fora and implement them in their national policies and programmes.

OFFICE MEMORANDUM

DATE: January 22, 1996

TO: Ms. Gloria Davis, Chief, ENVSP

FROM: Shelton H. Davis, Princ. Sociologist, ENVSP 

EXTENSION: 3-3413

SUBJECT: **Denmark: Back-to-Office Report on Seminar on Indigenous Peoples Production and Trade in Copenhagen, Jan. 15-17, 1996**

The Seminar

1. I attended the above seminar which was organized by the Nordic Council of Ministers and the Greenland Home Rule Government as part of the International Decade of the World's Indigenous Peoples. The seminar brought together representatives of indigenous organizations, the Nordic governments and international organizations to discuss the theme of indigenous peoples production and trade. A central purpose of the seminar was to seek ways of strengthening the access of indigenous peoples products to world markets and promoting the fair trade of their products.

2. Major speeches at the seminar were given by Ms. Erica-Irene Daes, Chairperson, UN Working Group on Indigenous Populations; Mr. Noel Brown, former Director of the United Nations Environment Program; Mr. Ramiro Cibrian, representing the Directorate General of the European Commission; Mr. Conrado Jorge Valiente, President of the World Council of Indigenous Peoples; and, Ms. Rosemarie Kuptana, President of the Inuit Circumpolar Conference. Closing remarks were made by Mr. Ingvar Ahren of the Saame Parliament of Sweden; Ms. Marianne Jensen, the Minister of Health and Environment of Greenland; and, Mr. Par Stenback, the Secretary-General of the Nordic Council of Ministers.

3. The formal papers presented at the seminar, as well as the final Recommendation adopted by it, will be published by the Nordic Council of Ministers and disseminated among its Member Governments and international agencies. Reference to the role of the Bank in "finding solutions to indigenous issues" is made in one of the seminar recommendations (see Final Recommendation attached).

North-South Issues and Indigenous Development

4. While the seminar was an important step in raising the issue of the role of indigenous peoples in the global economy, the general framing of issues at the seminar was mainly from a Northern indigenous perspective. This was reflected in the relatively

large amount of attention devoted during the first day of the seminar and in the Final Recommendation to issues relating to the US government's import ban on marine mammal products and the European Union's wild fur import regulations, both of which have had dramatic effects on the traditional livelihoods and hunting and trapping economies of Northern peoples, especially in Alaska, Canada and Greenland. Issues also reflected in the emphasis given during the seminar to North-South partnerships between indigenous peoples, especially for potential joint ventures in forestry development, fisheries and tourism.

5. Although these initiatives have an intrinsic interest, and might be taken up by some indigenous peoples in developing countries in the future, they were not the central concerns of the limited number of indigenous peoples from Africa, Asia and Latin America who attended the seminar. For example, two excellent seminar presentations were given by indigenous representatives of the Nyae Nyae Development Foundation, a Baswara or Bushmen organization in Namibia, and the Olkonerei Integrated Pastoralist Survival Program, a Maasai organization in Tanzania. However, the issues they raised in their presentations -- the lack of government recognition of indigenous concerns in national development programs, the threat to their ancestral lands and resources from outside interests, and the need for grassroots efforts to improve their basic health, literacy and food security-- had little to do with the seminar's central themes of indigenous trade and production for international markets.

6. Similarly, the Asia and Latin American participants in the seminar noted that for those indigenous peoples who inhabit the world's remaining tropical forests, the issue is less one of more rapid integration into the world economy than it is of recognizing and protecting indigenous land, resource and intellectual property rights from the dislocating effects of the current quest for forest products. In this regard, these delegates tended to highlight the challenges posed for the protection of indigenous lands and cultural heritage by ILO Convention 169, the Biodiversity Convention and Chapter 26 of the Agenda 21 documents, rather than the new opportunities for trade in indigenous products posed by the GATT and World Trade Organization.

7. Lastly, the seminar devoted relatively limited attention to the pressing issue of designing socially and culturally appropriate strategies for poverty alleviation among indigenous peoples. In the paper which I presented to the seminar, I attempted to focus upon this issue by highlighting the ways in which the Bank through its investments in bilingual education and indigenous training and technical assistance is strengthening the human and social capital of Latin America's indigenous populations (see, paper by Shelton H. Davis and Harry Patrinos, *Investing in Latin America's Indigenous Peoples: The Human and Social Capital Dimensions*). While this paper was well received, it was clear that the Bank's and other donor agencies' concerns with poverty alleviation among indigenous and tribal peoples in developing countries was not a central concern of the Copenhagen seminar.

Creating a South-South Dialogue on Indigenous Issues

8. During the seminar and on the day following, I met with various representatives of other donor agencies who were present at the seminar. These included Mmes. Caroline Rubow and Susan Ulbaek of the Danish International Development Agency (DANIDA), Ms. Lot van Schaik of the Netherlands Ministry of Foreign Affairs, Ms. Maria Noguero Alvarez of the Spanish Agency of International Cooperation, and Mr. Anders Rudqvist representing the Swedish International Development Agency (SIDA). All of us agreed that while the seminar was of great interest, it did not address in any systematic fashion the issues faced by the tens of millions of indigenous and tribal peoples in the world's developing countries.

9. Specifically, there was a general feeling among all of the donor agency representatives that more South-South dialogue needed to be created between indigenous peoples from developing countries, as well as among donor agencies working with these peoples. There was especially a felt need to exchange experiences about what types of policies and programs were most appropriate for promoting poverty alleviation and grassroots development among indigenous peoples. There was also an expressed need to focus more attention and direct more funds toward training and capacity building, so indigenous peoples and their organizations could assume a more active role in the design and implementation of such programs.

10. In discussions with the DANIDA representatives, it was agreed that the establishment of a joint indigenous organization/donor agency Network on Indigenous Peoples Development might be an important contribution which our respective agencies could make to the International Decade of the World's Indigenous Peoples. The idea of the network would be to create an informal body of representatives from recognized indigenous organizations and donor agencies who would periodically meet to share experiences, promote activities and disseminate successful examples of socially and culturally appropriate poverty alleviation and development strategies for indigenous peoples. For this purpose, it was suggested that a future planning meeting be held--perhaps at the World Bank-- to create such a network.

11. In regard to this idea, I mentioned that ENVSP had already initiated discussions with the International Labor Organization (ILO) to have one of its specialists work on secondment at the Bank for a short period to help to organize such a network. DANIDA also said that it might be able to provide funds to have an indigenous person work with the Bank and ILO to organize such a meeting, as well as provide assistance for a small number of indigenous representatives to attend such a meeting. I suggested that we discuss this idea with our respective agencies, and other donor agencies, over the next couple of months and perhaps begin the actual planning for the inter-agency and indigenous organization meeting in September 1996.

Conclusion

12. In conclusion, the Copenhagen seminar--while focusing major attention on northern indigenous issues-- did provide an excellent opportunity to reopen discussions about the possible contribution of the Bank and other donor agencies to the International Decade of the World's Indigenous Peoples. One of the informal outcomes of the meeting was the idea of promoting more inter-agency and indigenous organization cooperation on the twin themes of poverty alleviation and grassroots indigenous development within a developing country context. For this purpose, it is recommended that more South-South dialogue and sharing of experience be created among representatives of both donor agencies and indigenous organizations working in Africa, Asia, Latin America and other developing country areas. To this end, the idea of forming a Network on Indigenous Peoples Development has been recommended for which planning support would be sought from DANIDA, the ILO and the Bank.

attachment:

cc: Messrs./Mmes.: Fisij (AFTES); Schaengold, del Castillo (ASTHR);
 Kudat, Peabody (EMTEN); Partridge, Martinez,
 Uquillas (LATEN); Martin-Brown (ESDVP);
 Steer, Cernea (ENVDR); Aronson, Bebbington,
 Soeftestad (ENVSP); Indigenous Peoples Working Group

**Recommendation
adopted
by
The Conference on Indigenous Peoples' Production and Trade
Copenhagen 15-17 January 1996**

Draft

The Conference on Indigenous Peoples Production and Trade held in Copenhagen 15-17 January 1996 discussed and debated questions concerning existing international operative mechanisms with relevance to the Indigenous Peoples' production and trade and what can be done to strengthen the Indigenous Peoples' products access to the world market and promote fair trade relations.

The Conference was a Nordic contribution to the International Decade of Indigenous Peoples, initiated by the Greenland Home Rule Government and arranged by the Nordic Council of Ministers, which is a political body for the co-operation of the governments in Denmark, Iceland, Finland, Norway and Sweden and the autonomous areas of Greenland, the Faroe Islands and the Aaland Islands.

At the conference there were representatives from numerous indigenous and international organizations world wide.

The conference recommended the following;

- that governments and relevant organizations, during the UN-decade of Indigenous Peoples promote and strengthen trade and barter between Indigenous Peoples
- that governments and relevant organizations honour their obligations to address Indigenous Peoples issues specified in the various conventions and declarations such as the two (2) UN covenants on Human Rights of 1966, The ILO convention 169, The Rio Declaration and The Bio Diversity Convention
- that developments which affect Indigenous Peoples be controlled by themselves and that benefits are directed to Indigenous Peoples.
- that the principle of sustainable development be adhered to and not undermined by special interest groups.
- that all governments recognize and fulfil, their commitments towards the Indigenous Peoples' right to a sustainable utilization of their natural, economical, social and cultural resources.
- that national governments use international aid programs as means to facilitate international arrangements between Indigenous Peoples' businesses.

- that governments explore possible market arrangements for the Indigenous trade, such as barter and trade for goods and services.
- that governments and organizations actively consult with and advise Indigenous Peoples prior to the implementation of agreements and outside development interests.
- that more effective measures for the protection of Indigenous Peoples' cultural, scientific and intellectual heritage be promoted
- that WIPO (World Intellectual Property Organization), WTO (World Trade Organization) and the World Bank take active part in finding solutions to Indigenous issues
- that the development of a sui generis system of protection on the use and ownership of genetic resources and associated knowledge and practices of Indigenous Peoples be supported
- that universities and other training centres consider the establishment of Indigenous fellows programmes
- that ethical guidelines be developed in close consultation with organizations involved in indigenous development and others to ensure the full and proper involvement of these peoples in their own development

The conference participants took note of the special role of the Nordic countries in the international community in singling out the Indigenous Peoples' cause as a key issue in nature conservation and management, preservation of cultural diversity as well as an important parameter of the overriding human rights concerns

The conference specifically welcomes the Nordic Council of Ministers' initiative to carry out a study on the international restrictions on trade with Arctic products with the goal to repeal restrictions that are not in accordance with current conventions. The conference also welcomes official document by the Danish Ministry of Development and Foreign Aid entitled "Strategy for Danish Support to Indigenous Peoples"

Bearing this in mind the conference urge the Nordic Council of Ministers and the governments of the Nordic Countries;

- to work for a Permanent Forum and a Centre for Indigenous Peoples within the United Nations system comprised of representatives of indigenous peoples, states and UN agencies.
- to support the work for an approbation of agreement on the Draft Declaration on the Rights of Indigenous Peoples as soon as possible.
- to work for the realization of an international trade fair for Indigenous products in 1999.
- to work for a removal of trade barriers that are inconsistent with the GATT/WTO agreement, such as the US import ban on marine mammal products and the EU wild fur import regulation of 1991
- to stand by the Indigenous Peoples in the Nordic countries, the Saami and the Greenlanders, in a continued commitment to further their social well-being, cultural identity and increasing political role in managing their own affairs

Furthermore the Conference will urge the Nordic Council of Ministers to promote the above recommendations in all international fora and implement them in their national policies and programmes.

OFFICE MEMORANDUM

DATE: January 11, 1996

TO: Mr. Shelton H. Davis, Princ. Sociologist, ENVSP

FROM: ^{GD}
Gloria Davis, Chief, ENVSP

EXTENSION: 82750

SUBJECT: **Copenhagen: Terms of Reference for Seminar on
Indigenous Peoples Production and Trade (Jan. 15-17, 1996)**

1. On January 14, 1996, you will fly to Copenhagen, Denmark to participate in the above seminar organized by the Nordic Council of Ministers, the Greenland Home Rule and the Danish International Development Agency (DANIDA) as part of the UN's International Decade of the World's Indigenous Peoples. At the seminar, you will present the attached paper titled "Investing in Latin America's Indigenous Peoples," which describes Bank-supported efforts to strengthen the human and social capital of the LAC region's indigenous population.
2. You will remain in Copenhagen for an extra day on January 18, to meet with representatives of DANIDA and discuss possible areas of collaboration with the Bank in work relating to indigenous peoples and development.
3. On return to headquarters, you will write a brief report describing the highpoints of the seminar.

attachment:

cc: Messrs./Mmes.: Steer, Cernea (ENVDR); Partridge, Martinez, Uquillas (LATEN);
Schaengold, del Castillo (ASTHR); Fisiy (AFTES);
Peabody (EMTEN); Martin-Brown (ESDVP);
Aronson, Bebbington, Soeftestad (ENVSP)

Investing in Latin America's Indigenous Peoples: The Human and Social Capital Dimensions

by

Shelton H. Davis and Harry Anthony Patrinos¹

**The World Bank
Washington, D.C.**

Introduction

In an article published in March 1994, the Nobel Laureate economist Gary S. Becker, citing the Indian rebellion which had just taken place in Chiapas, Mexico, stated, "Third World nations that neglect the education, training and health of the poor perpetuate divisions that may tear apart their social fabric." Becker's statement is particularly germane, because it was made during the same year that the Presidents of the countries of the Western Hemisphere were planning to meet in Miami for the Summit of the Americas, and the United Nations was about to launch its International Decade of the World's Indigenous Peoples. It was also made just a year before the World Summit on Social Development. Although not planned to coincide with each other, each of these events poses a similar question: Just how much will governments and the international community include indigenous peoples in their social and economic development plans for the coming century?

¹ The authors are respectively Principal Sociologist (Environment Department) and Economist (Human Development Department) at the World Bank. The article was originally written for the Nordic Council of Ministers "Seminar on Indigenous Peoples Production and Trade" held in Copenhagen, Denmark on 15-17 January, 1996. The views expressed in the article are those of the authors and should not be attributed to the World Bank.

This question is particularly important for a number of Latin American countries where indigenous peoples comprise a large segment of the national population. Although all figures on indigenous populations are biased and criteria of identification (language, self-identification, community of residence, etc.) vary, according to some estimates, there are over 40 million indigenous people in Latin America, or about 8 percent of the region's population. Mexico has the largest indigenous population in the Americas, with over 12 million people. In neighboring Guatemala, there are about 4 million indigenous people, speaking 22 distinct Mayan Indian languages. More than half of Bolivia's 7 million people speak an indigenous language; while Peru has 9.1 million indigenous inhabitants (40.8 percent of its national population), and Ecuador has 3.1 million indigenous people or 29.5 percent of the population.

A 1994 World Bank study, *Indigenous People and Poverty in Latin America*, demonstrates that indigenous peoples are more likely than any other group of a country's population to be poor. A person in the World Bank study was considered to be "poor" if his or her income was less than \$2 per day. While the incidence of poverty is high throughout Latin America, it is particularly severe and deep among the indigenous population, whether they live in remote rural areas or on the fringes of the region's growing cities. In Bolivia, more than half of the total population is poor, but over two-thirds of the indigenous population is poor. In Guatemala, over two-thirds of the national population is poor, compared with 90 percent of the indigenous population.²

² George Psacharopoulos and Harry Anthony Patrinos, *Indigenous People and Poverty in Latin America: An Empirical Analysis* (Washington: World Bank, 1994).

These poverty statistics are correlated with a striking lack of access to essential social services. For example, in Peru, indigenous people are more likely to become ill than are non-indigenous people, but they are much less likely to have access to or consult a physician. Perhaps as a result of poor initial health conditions, or as a result of neglected treatment, the duration and severity of illness is greater among the indigenous population. The proportion of indigenous people hospitalized is almost twice that in the Spanish-speaking population. Although the average cost of both hospitalization and medicine is less for indigenous people, only 57 percent of indigenous people purchase medicine for their illnesses, as compared to 81 percent of the non-indigenous population.

The study also indicates that there is a strong correlation between lack of schooling, being indigenous and poverty. The indigenous population possesses considerably less schooling at all levels from primary education through secondary school and universities. The comparative statistics on literacy and schooling between indigenous and non-indigenous persons are particularly revealing:

- In *Guatemala*, the majority of indigenous people have no formal education and of those who do, the majority have only primary education. On the average, indigenous people have only 1.3 years of schooling and only 40 percent are literate. Mayan-speaking children, if they do attend school, are more likely to repeat grades at the primary level and are more likely to drop out of school altogether.

- In *Bolivia*, the schooling levels of indigenous people are approximately three years less, on average, than for non-indigenous individuals. The differences are even greater for indigenous females, suggesting that they are the most disadvantaged group in Bolivian society.
- In *Peru*, non-indigenous people have 20 percent more education than do indigenous people. Not only is the indigenous population less educated and less literate than the Spanish-speaking population, but it also lags behind in terms of training. Differences in educational levels of indigenous and non-indigenous individuals are substantial. Only 40 percent of indigenous heads-of-household have education in excess of primary schooling. In contrast, 41 percent of Spanish-speaking heads-of-household have some secondary school education, and 22 percent have some post-secondary education. But, only 6 percent of indigenous heads-of-household have some post-secondary education.
- Finally, in *Mexico*, access to formal education for Indians has expanded in recent years. Nevertheless, educational levels remain significantly higher in areas with non-indigenous as compared to indigenous populations. Illiteracy continues to be a serious problem of some states, especially those such as Chiapas which have large numbers of indigenous people. The rate of illiteracy increases for both males and females as the percentage of *municipio* indigenous population rises. The disparity is greatest, however, in the female sub-sample, where the illiteracy rate is more than four times greater in the "high" indigenous *municipio* category than in the "low" one. In addition, the gender disparity in the illiteracy rate increases as the *municipio* indigenous percentage increases. Overall, school enrollment rates are much higher in non-indigenous areas than in indigenous ones.

Lost Opportunities and New Hopes

Beyond their human implications for the indigenous peoples involved, these statistics indicate a series of lost opportunities for the national economies in terms of the development and use of these countries' human capital. But the results also show that policy makers can help indigenous peoples improve their situation by strengthening their human capital. Policies to reduce the educational gaps between indigenous and non-indigenous persons (e.g., bilingual education programs which are demonstrated to improve student achievement) could make a large dent in earnings differentials and lead to considerable decline in poverty among indigenous peoples. They can also contribute to the wider productive performance of the region's national economies and lower the social tensions in their polities.

The study also documents that equalization of income-generating characteristics would boost the productivity of the indigenous population in their market and non-market activities and lead to a considerable reduction in inequality and poverty. This suggests that the socioeconomic conditions of indigenous peoples can be improved since policy-influenced variables such as education are largely responsible for observed earnings differences. This unrealized potential provides hope for the future.

Another hopeful sign is the strong social and cultural bonds among indigenous peoples. The past two decades have witnessed the growth of a vast network of grassroots indigenous organizations throughout Latin America. In almost all countries where there are significant indigenous populations, younger and more educated Indians--many of them originally educated in

government, church or NGO-sponsored bilingual education programs-- are reaffirming their indigenous cultural roots and identities, and using them to form new ethnic organizations and federations. The platforms of these new indigenous organizations are based upon combating negative attitudes toward indigenous people, participating in local decision-making and development policies, asserting indigenous languages and cultures, and most important maintaining control over indigenous lands and natural resources.

The growth of these organizations is often seen as a threat to traditional power structures and ways of doing things in Latin America. However, from an economic and sociological point of view, this phenomena can be looked at as a form of *social capital* which, along with improvements in human capital generated through greater access to education, health care and other vital services, could become one of the major engines of poverty alleviation and sustainable development in Latin America.³

Investing in the human and social capital of indigenous peoples, within a framework of respect for their cultures and identities (what in Latin America is termed *desarrollo con identidad* or "ethno-development"), is one of the major challenges facing governments of the region and the

³ Shelton H. Davis and William Partridge, "Promoting the Development of Indigenous People in Latin America," in *Finance and Development*, Volume 31, Number 1, March 1994, pp.38-40. The idea of looking at the growth of these indigenous organizations as a form of social capital, intricately related to the growth of human capital, is taken from the theoretical writings of University of Chicago sociologist James S. Coleman. See, specifically, his article, "Social Capital in the Creation of Human Capital," *American Journal of Sociology*, Volume 94, 1988, pp. 95-120.

international donor community. It should also be one of the major agenda items and goals of the UN's International Decade of the World's Indigenous Peoples.

In the remainder of this essay, we look in more detail at two aspects of this investment challenge in Latin America: first, at several investments being made by the World Bank in bilingual education programs for indigenous peoples; and, second, at a recent World Bank initiative to support a series of technical assistance and capacity-strengthening programs for indigenous organizations. Both of these initiatives are attempts to support the strengthening of the capacity of indigenous people to participate in the rapidly changing economies of Latin America. These programs demonstrate that well-planned and targeted investments by national governments and international agencies can provide indigenous peoples and their organizations with the necessary skills and training to participate as both productive individuals and distinct social and cultural entities in their wider economies and societies. They also provide important lessons for other regions of the world where there are large concentrations of indigenous peoples living in similar conditions of poverty and social marginalization.

Investing in Indigenous Education

As far back as the early 1960s, economists such as T.W. Schultz and Gary Becker suggested that human capital factors, and especially education, play a significant role in explaining income differentials between persons. The human capital theory posits that if a person has more years of schooling or training, he or she will receive higher rewards later in life in terms of earnings as compensation or return on past investment. Since its initial formulation, the human capital

theory has been extensively tested, not only in industrial countries such as the United States, Canada and Europe, but also in more than 60 countries throughout the world where data exist on earnings, education and labor market experience.⁴

More recent research has applied the human capital theory to racial and ethnic groups, beginning first with black/white educational and economic differences in the United States and over time extending the analysis to other racial and ethnic groups and countries. This has included several studies of schooling, wages and job experience of Native American populations in the United States and Canada, aboriginal populations in Australia and the Maoris of New Zealand. While there is little doubt that factors such as labor market discrimination based on ethnicity do play a role in explaining differences in income levels between indigenous peoples and other more dominant national populations, access to schooling and training continue to be significant factors in explaining group differences and outcomes.

The World Bank study cited previously reviews this literature and, for the first time, extends the analysis to household-level data on earnings, job experience and educational background of indigenous and non-indigenous people in four Latin American countries: Bolivia, Guatemala, Mexico and Peru. This study, as mentioned previously, found that indigenous people have much lower levels of literacy and schooling relative to the non-indigenous populations in all

⁴ For background, see: G.S. Becker, *Human Capital* (Washington: National Bureau of Economic Research, 1964; second edition, 1975); J. Mincer, *Schooling, Experience and Earnings* (New York: Columbia University Press, 1974); and, T.W. Schultz, "Investment in Human Capital," *American Economic Review*, 51 (1), March 1961. Also, G. Psacharopolous, "Returns to Investment in Education: A Global Update," *World Development*, 22 (9), September 1994.

four countries. However, the study also found that equalization of school attainment would result in a considerable increase in relative earnings. "Much of the earnings disadvantage of indigenous workers," the study concludes, "is due to lower human capital endowments. While the monetary benefits of schooling are lower for the indigenous population, an increase in schooling levels would lead to a significant increase in earnings in all countries except Peru. The relative magnitude, however, differs from country to country."⁵

While increased investment in the education of indigenous people as a means of increasing household incomes and reducing poverty is the major policy recommendation in the 1994 World Bank study, it is less clear from this analysis how to improve the *quality* of indigenous education. The study, for example, notes that in all of the countries under investigation, indigenous children have higher rates of grade repetition and dropouts than non-indigenous children. Furthermore, as already mentioned, there are also wide disparities between the schooling experience and educational attainment of indigenous boys and girls.

Recent work indicates that bilingual and inter-cultural educational programs are having some success in improving the quality of indigenous education in Latin America. Specifically, in such countries as Bolivia, Ecuador, Guatemala, Mexico, Peru and Paraguay several pilot programs have been carried out (some of them with the support of international donors) which are having positive effects on the quality of education being provided to indigenous children, especially in the

⁵ See, Psacharopoulos and Patrinos, 1994, p. 212. Also, by the same authors, "Reducing Poverty in Latin America Among Indigenous People: An Enhanced Role for Education," in *Prospects*, Vol. XXV, No. 1, March 1995, pp. 121-131.

primary grades where mother-tongue literacy is vital to learning and competency in both the vernacular and national languages. Some innovative work is also taking place in the development of curricular materials in indigenous languages and in the use of radio instruction as ways to reach indigenous students in remote areas.⁶

A major challenge facing all of these bilingual education programs is how to "scale-up" from essentially experimental or pilot programs to programs which will have a national impact, covering a larger number of indigenous communities and language groups. For example, Guatemala's National Bilingual Education Program (PRONEBI), sponsored by the US Agency for International Development (USAID), still only covers 4 of the country's 22 ethno-linguistic groups (albeit those with the largest number of indigenous speakers) and as of 1992 only reached 15 percent of the Mayan-speaking, school-age population. Similarly, in the Andean countries, while efforts are now underway to increase the scope and outreach of bilingual education, such programs are still only reaching a minority of indigenous children and are described in the literature as still being at the pilot or developmental stage. There is also a significant deficit of didactic materials in the vernacular languages. Such materials are needed from initial literacy training through primary school and into the secondary-school curricula.

The World Bank is working closely with national counterparts and international agencies such as UNICEF to improve the coverage of schooling for indigenous children, e.g., in school-

⁶ See, S.M. Cummings and Stella Tamayo, *Language and Education in Latin America: An Overview* (Washington: The World Bank, Human Resources Development and Operations Policy Working Paper, May 1994).

building programs associated with various Bank-financed Social Investment Funds directed at poverty areas. It is also supporting, through its educational lending portfolio, investments in bilingual teacher-training, textbook production, curricula development, institutional strengthening and vocational training. Current educational projects financed by the Bank which include strong bilingual education components exist in Bolivia (two projects), Guatemala, Honduras, Mexico (two projects), Paraguay and Peru. The Mexico Second Primary Education Project, which is among the Bank's largest educational loans, extends the experience learned in strengthening indigenous educational programs in four of Mexico's poorest states (Chiapas, Guerrero, Hidalgo and Oaxaca) to ten other states. The project includes the production of language textbooks for Children's Reading Corners in 17 native languages spoken by the major ethnic groups in the project area.⁷

While it is still too early to judge what effects these bilingual education programs will eventually have on the earnings, employment opportunities and general welfare of the indigenous population, they have been well received by indigenous school teachers and other pedagogical experts, parents and, most important, Indian children. There is also a strong awareness among indigenous professionals and educational policy makers that girls as well as boys must be served by such programs and that indigenous children must be provided with linguistic, cultural and other skills to participate in both their own local communities and the wider national economy. This is

⁷ See, Staff Appraisal Report, *Mexico: Second Primary Education Project* (Washington: The World Bank, Country Department II, Human Resources Operations Division, Latin America and the Caribbean Region, March 1994). The project will expend US\$412 million over a seven-year period, of which US\$138 million will be covered by the World Bank loan.

particularly true, given that large numbers of rural indigenous people in Latin America are migrating to cities, but still maintain close social and cultural ties with their villages of origin.

Strengthening Indigenous Organizations

Along with these bilingual education programs which have a national focus, the World Bank has also been investing in an innovative technical assistance and capacity-strengthening program for indigenous organizations in Latin America. The idea for this program arose from a series of inter-agency workshops which the World Bank's Latin America and Caribbean Region Environment Unit (LATEN) co-sponsored with several other international agencies as part of the International Year of the World's Indigenous Peoples. The first of these workshops was held in Washington in March 1993 and included, along with the participation of representatives of the World Bank, representatives from the Inter-American Development Bank (IDB), International Fund for Agricultural Development (IFAD), International Labor Organization (ILO), and the United Nations Economic Commission on Latin America and the Caribbean (ECLAC). A follow-up workshop was held in Washington in September 1993 and included, along with the other agencies, the participation of the newly formed Hemispheric Indigenous Peoples Fund (Fondo Indigena) in La Paz, Bolivia, and representatives of nearly a dozen Latin American indigenous organizations.⁸

⁸ See, Jorge E. Uquillas and Jean-Carlo Rivera (editors), *Indigenous Peoples and Development in Latin America* (Washington: The World Bank, LATEN Dissemination Note # 8, December 1993).

One of the major conclusions of these workshops was the need for greater investment on the part of international agencies in strengthening indigenous organizations. Such investment, it was argued, would enable these organizations to take a more active role in the design, management, monitoring and evaluation of development projects. Specifically, the workshops recommended that it was necessary to train the leaders of indigenous organizations, as well as the representatives of their affiliate grassroots organizations and communities, in the following:

- (1) to prepare and manage strategies for indigenous development, institutional and administrative development, and participation in public service and local government;
- (2) to obtain managerial training in such areas as finance and accounting, selection and contracting of consultants, and, the administration, evaluation and control of development programs; and,
- (3) to encourage the exchange and sharing of experiences among indigenous organizations about self-identified issues and themes; to put them in contact with other actors in the development process; and, to support an ongoing relationship among indigenous organizations and the development and donor communities.

In general, the workshops highlighted the expressed need of indigenous organizations for increased technical skills and institutional strengthening to actualize their collective desire for local-

level economic development but within a framework of cultural identity, autonomy and self-determination.⁹

LATEN responded to this need by initiating a series of indigenous technical assistance and capacity-strengthening programs which have now been completed or are currently under implementation in eight Latin American countries: Chile, Bolivia, Mexico (completed programs), Guatemala, Ecuador, Costa Rica, Colombia and Nicaragua (to be implemented in 1996). These programs have been carried out with funds provided by the World Bank's Institutional Development Fund (IDF) -- a preinvestment, institutional-strengthening grant facility -- and a Trust Fund of the Swedish International Development Agency (SIDA). Funding for each of the country programs is in the range of US\$100,000 to \$200,000, and total funds allocated to the overall program to date amount to US\$1.4 million, including a \$200,000 grant to the Hemispheric Indigenous Peoples Fund to carry out a series of case studies on successful experiences in indigenous development.

From the beginning, the program has collaborated with the Hemispheric Indigenous Peoples Fund, national government agencies, and participating indigenous organizations. In fact, one of the major objectives of the program is to ensure that indigenous peoples participate fully in

⁹ For an interesting study of how indigenous organizations in Ecuador are becoming increasingly involved in grassroots development activities, see, Anthony Bebbington and Galo Ramon (editors), *Actores de una Decada Ganada: Tribus, Comunidades y Campesinos en la Modernidad* (Quito: Comunidec, 1992).

the establishment of national training program objectives and in the design, implementation, monitoring and evaluation of all training program activities.

Evaluations carried out of the three completed programs to date indicate that their objectives are being achieved in terms of providing specific skills to indigenous peoples and institutionally strengthening both their organizations and collaborating government agencies. In Chile, for example, the training program was designed by the government's Special Commission on Indigenous Peoples (CEPI) in collaboration with Mapuche, Aymara and Atacameño indigenous organizations. Over 120 indigenous leaders were trained by the program in such thematic areas as ethno-development, project design and evaluation, organizational development, negotiation skills, indigenous laws and the role of women in development.

The Bolivian program was also a collaborative effort of the recently- established Secretary of Indigenous and Ethnic Affairs and participating regional indigenous organizations. As part of the program, 100 indigenous leaders were trained, mainly from Aymara and Quechua-speaking organizations and communities. The program used a "learning by doing" approach and included both theoretical discussion and field experience and practice. At the end of the program, each participant carried out a diagnostic study of the development needs of his or her community and produced a project proposal to address the main problems detected. Themes covered in the course included analysis of socio-economic conditions of indigenous communities, project planning and evaluation, organizational management and negotiation.

Finally, the Mexican program focused specifically on training indigenous leaders from organizations and communities involved in forestry and natural resource management. The program took a "training of trainer" approach and included representatives of indigenous forestry organizations from different regions and ethnic backgrounds (Tarahumaras, Tepehuanos, Huicholes, Purepechas, Nahuatl, Otomis, Mazahuas, Mixtecos, Zapotecos, Chinantecos and Mayas). Main themes covered in the program included: (a) participatory rural appraisal techniques, organizational development and management of public services at the local level, and; (b) development of project proposals for the management of natural resources, using an approach called "Strategic Planning for Community Development" (SPCD). The most important result of the training program was the improved technical, administrative and organizational ability of indigenous communities to solicit and administer funds directly from international agencies and the national and local governments. A follow-up training program is now being implemented in Mexico, targeted specifically at indigenous women.

A major consequence of the training programs has been to change the attitudes and improve the institutional capacity of collaborating government agencies to work in partnership with indigenous organizations and communities. In the Mexico program, for example, funds were channeled directly from the World Bank's IDF program through the Treasury and Public Credit Secretary to the indigenous community (Nuevo San Juan) which organized the forestry training workshops. According to one government representative who followed the process:

[This] is the first experience of Mexico where these types of funds were not administered by the government... [Nuevo San Juan's] experience in the use of financial resources has been exceptional... Now we know and have full assurance that the communities have the managerial and technical capacities to administer these funds and implement efficient actions, as we have witnessed it personally.¹⁰

One issue which has arisen in the course of the training programs concerns the "scaling up" of what are essentially pilot or experimental programs. At present, these are still relatively small programs which only reach a minority of indigenous organizations and communities and their leaders. The World Bank and collaborating agencies have tried to respond to the limited amount of funds available for this purpose by selecting organizations which have a broad outreach to the indigenous populations in their countries and by using the "training of trainers" method as in Mexico or the "learning by doing" method as in Bolivia. However, there is still a fundamental issue of reaching the large mass of indigenous people who inhabit the countryside in many Latin American countries, and in drawing upon technical assistance and training funds which may exist in other programs, such as regular World Bank loans or through the technical assistance programs of the United Nations Development Program (UNDP), the ILO or other UN agencies.

Lastly, there is also the question of how these technical assistance and training programs will be linked to broader social investment and development programs, some of which are financed by the World Bank or other donor agencies. The World Bank is currently taking an initial step to build upon these pilot training initiatives through the preparation of its first stand-alone, indigenous peoples development projects in Ecuador and Mexico. A major challenge of these projects has

¹⁰ Cited in Jorge E. Uquillas and Juan Martinez, *Training Indigenous Forestry Communities in Mexico*, Paper prepared for World Bank Agricultural Symposium, Washington, January 1996.

been to convince governments to invest in indigenous peoples development through project preparation and management partnerships with indigenous organizations and communities. These types of projects, which can be truly said to further the indigenous goals of autonomy and self-determined development, are still only at an early, preparatory stage, but their design and implementation are worthy of close scrutiny in the months and years ahead.

Conclusion

Some years ago, the well-known development economist Albert O. Hirschman published *Getting Ahead Collectively* (Pergamon Press, 1984), which described various grassroots development experiences in Latin America. One of the themes of this book was that as these countries move toward civilian rule and democracy, there is renewed space to release the "social energy" of various local organizations dedicated to more popular and participatory forms of development. Although Hirschman only alluded to grassroots indigenous organizations, they are perhaps one of the clearest reflections of this new phenomena. Moreover, in Latin America, these new indigenous organizations bring an added dimension to the grassroots development equation; i.e., the continuing existence of indigenous languages and cultures that go back thousands of years before the arrival of Europeans and are serving as the basis for socially mobilizing indigenous peoples for the twin goals of cultural reaffirmation and rural poverty alleviation.

In this paper, we have argued that despite the continuing pattern of abysmal poverty which characterizes the situation of the vast majority of the continent's indigenous peoples, there are grounds for hope if investments are made in the proper direction. A priority investment is the

human capital of indigenous people, especially through closing the gap in schooling and, in turn, household incomes, between them and other sectors of the national population. Studies carried out by the World Bank indicate that, in countries such as Bolivia, increasing school attainment from 0 to 16 years would result in a reduction in poverty among indigenous people from 60 to less than 30 percent. That is, the poverty ratio would decrease by more than half if schooling were increased. These studies further indicate that the best form of educational investment for indigenous school children is bilingual education, because such programs improve the quality of education in terms of decreased grade repetition and dropout rates and improved school performance. They also have the greatest chance of improving the schooling and educational performance of indigenous girls who, as in so many parts of the world, have been doubly left-behind by educational and other social welfare reforms.

Equally important is the need to strengthen the social capital of indigenous people through the strengthening of their organizations and communities. Indigenous people stand out for the persistence of their strong social bonds and identities, their collective control and sustainable management of their lands and natural resources, their deep respect for the cultural knowledge of their elders, and their close spiritual attachments to their ancestors and the earth. Yet, there is also a strong feeling among the leaders of indigenous organizations that they often lack the skills to adapt successfully to the modern world and define their own development paths. New skills are often called for from modern accounting and the use of personal computers to project planning and evaluation, organizational management, budgeting and negotiating. Hence, investments in technical assistance and capacity strengthening are critical, not to denigrate or extinguish the profound

cultural knowledge which indigenous peoples inherit from the past, but to build upon it for the future which they and their children will create.

The International Decade of the World's Indigenous Peoples calls for a "new partnership" among indigenous peoples, national governments and international agencies for purposes of social and economic development. One way in which national governments and the international donor community can respond to this challenge is by directing more investment toward the strengthening of the human and social capital of indigenous peoples. By so doing, we believe, the international community obtains the best chance of both reducing poverty and human misery and setting the groundwork for a more prosperous and sustainable future for us all.

OFFICE MEMORANDUM

DATE: January 11, 1996

TO: Mr. Shelton H. Davis, Princ. Sociologist, ENVSP

FROM: Gloria Davis, Chief, ENVSP

EXTENSION: 82750

SUBJECT: **Copenhagen: Terms of Reference for Seminar on
Indigenous Peoples Production and Trade (Jan. 15-17, 1996)**

1. On January 14, 1996, you will fly to Copenhagen, Denmark to participate in the above seminar organized by the Nordic Council of Ministers, the Greenland Home Rule and the Danish International Development Agency (DANIDA) as part of the UN's International Decade of the World's Indigenous Peoples. At the seminar, you will present the attached paper titled "Investing in Latin America's Indigenous Peoples," which describes Bank-supported efforts to strengthen the human and social capital of the LAC region's indigenous population.

2. You will remain in Copenhagen for an extra day on January 18, to meet with representatives of DANIDA and discuss possible areas of collaboration with the Bank in work relating to indigenous peoples and development.

3. On return to headquarters, you will write a brief report describing the highpoints of the seminar.

attachment:

cc: Messrs./Mmes.: Steer, Cernea (ENVDR); Partridge, Martinez, Uquillas (LATEN);
Schaengold, del Castillo (ASTHR); Fisiy (AFTES);
Peabody (EMTEN); Martin-Brown (ESDVP);
Aronson, Bebbington, Soeftestad (ENVSP)

Investing in Latin America's Indigenous Peoples: The Human and Social Capital Dimensions

by

**Shelton H. Davis and Harry Anthony Patrinos¹
The World Bank
Washington, D.C.**

Introduction

In an article published in March 1994, the Nobel Laureate economist Gary S. Becker, citing the Indian rebellion which had just taken place in Chiapas, Mexico, stated, "Third World nations that neglect the education, training and health of the poor perpetuate divisions that may tear apart their social fabric." Becker's statement is particularly germane, because it was made during the same year that the Presidents of the countries of the Western Hemisphere were planning to meet in Miami for the Summit of the Americas, and the United Nations was about to launch its International Decade of the World's Indigenous Peoples. It was also made just a year before the World Summit on Social Development. Although not planned to coincide with each other, each of these events poses a similar question: Just how much will governments and the international community include indigenous peoples in their social and economic development plans for the coming century?

¹ The authors are respectively Principal Sociologist (Environment Department) and Economist (Human Development Department) at the World Bank. The article was originally written for the Nordic Council of Ministers "Seminar on Indigenous Peoples Production and Trade" held in Copenhagen, Denmark on 15-17 January, 1996. The views expressed in the article are those of the authors and should not be attributed to the World Bank.

This question is particularly important for a number of Latin American countries where indigenous peoples comprise a large segment of the national population. Although all figures on indigenous populations are biased and criteria of identification (language, self-identification, community of residence, etc.) vary, according to some estimates, there are over 40 million indigenous people in Latin America, or about 8 percent of the region's population. Mexico has the largest indigenous population in the Americas, with over 12 million people. In neighboring Guatemala, there are about 4 million indigenous people, speaking 22 distinct Mayan Indian languages. More than half of Bolivia's 7 million people speak an indigenous language; while Peru has 9.1 million indigenous inhabitants (40.8 percent of its national population), and Ecuador has 3.1 million indigenous people or 29.5 percent of the population.

A 1994 World Bank study, *Indigenous People and Poverty in Latin America*, demonstrates that indigenous peoples are more likely than any other group of a country's population to be poor. A person in the World Bank study was considered to be "poor" if his or her income was less than \$2 per day. While the incidence of poverty is high throughout Latin America, it is particularly severe and deep among the indigenous population, whether they live in remote rural areas or on the fringes of the region's growing cities. In Bolivia, more than half of the total population is poor, but over two-thirds of the indigenous population is poor. In Guatemala, over two-thirds of the national population is poor, compared with 90 percent of the indigenous population.²

² George Psacharopoulos and Harry Anthony Patrinos, *Indigenous People and Poverty in Latin America: An Empirical Analysis* (Washington: World Bank, 1994).

These poverty statistics are correlated with a striking lack of access to essential social services. For example, in Peru, indigenous people are more likely to become ill than are non-indigenous people, but they are much less likely to have access to or consult a physician. Perhaps as a result of poor initial health conditions, or as a result of neglected treatment, the duration and severity of illness is greater among the indigenous population. The proportion of indigenous people hospitalized is almost twice that in the Spanish-speaking population. Although the average cost of both hospitalization and medicine is less for indigenous people, only 57 percent of indigenous people purchase medicine for their illnesses, as compared to 81 percent of the non-indigenous population.

The study also indicates that there is a strong correlation between lack of schooling, being indigenous and poverty. The indigenous population possesses considerably less schooling at all levels from primary education through secondary school and universities. The comparative statistics on literacy and schooling between indigenous and non-indigenous persons are particularly revealing:

- In *Guatemala*, the majority of indigenous people have no formal education and of those who do, the majority have only primary education. On the average, indigenous people have only 1.3 years of schooling and only 40 percent are literate. Mayan-speaking children, if they do attend school, are more likely to repeat grades at the primary level and are more likely to drop out of school altogether.

- In *Bolivia*, the schooling levels of indigenous people are approximately three years less, on average, than for non-indigenous individuals. The differences are even greater for indigenous females, suggesting that they are the most disadvantaged group in Bolivian society.
- In *Peru*, non-indigenous people have 20 percent more education than do indigenous people. Not only is the indigenous population less educated and less literate than the Spanish-speaking population, but it also lags behind in terms of training. Differences in educational levels of indigenous and non-indigenous individuals are substantial. Only 40 percent of indigenous heads-of-household have education in excess of primary schooling. In contrast, 41 percent of Spanish-speaking heads-of-household have some secondary school education, and 22 percent have some post-secondary education. But, only 6 percent of indigenous heads-of-household have some post-secondary education.
- Finally, in *Mexico*, access to formal education for Indians has expanded in recent years. Nevertheless, educational levels remain significantly higher in areas with non-indigenous as compared to indigenous populations. Illiteracy continues to be a serious problem of some states, especially those such as Chiapas which have large numbers of indigenous people. The rate of illiteracy increases for both males and females as the percentage of *municipio* indigenous population rises. The disparity is greatest, however, in the female sub-sample, where the illiteracy rate is more than four times greater in the "high" indigenous municipio category than in the "low" one. In addition, the gender disparity in the illiteracy rate increases as the municipio indigenous percentage increases. Overall, school enrollment rates are much higher in non-indigenous areas than in indigenous ones.

Lost Opportunities and New Hopes

Beyond their human implications for the indigenous peoples involved, these statistics indicate a series of lost opportunities for the national economies in terms of the development and use of these countries' human capital. But the results also show that policy makers can help indigenous peoples improve their situation by strengthening their human capital. Policies to reduce the educational gaps between indigenous and non-indigenous persons (e.g., bilingual education programs which are demonstrated to improve student achievement) could make a large dent in earnings differentials and lead to considerable decline in poverty among indigenous peoples. They can also contribute to the wider productive performance of the region's national economies and lower the social tensions in their polities.

The study also documents that equalization of income-generating characteristics would boost the productivity of the indigenous population in their market and non-market activities and lead to a considerable reduction in inequality and poverty. This suggests that the socioeconomic conditions of indigenous peoples can be improved since policy-influenced variables such as education are largely responsible for observed earnings differences. This unrealized potential provides hope for the future.

Another hopeful sign is the strong social and cultural bonds among indigenous peoples. The past two decades have witnessed the growth of a vast network of grassroots indigenous organizations throughout Latin America. In almost all countries where there are significant indigenous populations, younger and more educated Indians--many of them originally educated in

government, church or NGO-sponsored bilingual education programs-- are reaffirming their indigenous cultural roots and identities, and using them to form new ethnic organizations and federations. The platforms of these new indigenous organizations are based upon combating negative attitudes toward indigenous people, participating in local decision-making and development policies, asserting indigenous languages and cultures, and most important maintaining control over indigenous lands and natural resources.

The growth of these organizations is often seen as a threat to traditional power structures and ways of doing things in Latin America. However, from an economic and sociological point of view, this phenomena can be looked at as a form of *social capital* which, along with improvements in human capital generated through greater access to education, health care and other vital services, could become one of the major engines of poverty alleviation and sustainable development in Latin America.³

Investing in the human and social capital of indigenous peoples, within a framework of respect for their cultures and identities (what in Latin America is termed *desarrollo con identidad* or "ethno-development"), is one of the major challenges facing governments of the region and the

³ Shelton H. Davis and William Partridge, "Promoting the Development of Indigenous People in Latin America," in *Finance and Development*, Volume 31, Number 1, March 1994, pp.38-40. The idea of looking at the growth of these indigenous organizations as a form of social capital, intricately related to the growth of human capital, is taken from the theoretical writings of University of Chicago sociologist James S. Coleman. See, specifically, his article, "Social Capital in the Creation of Human Capital," *American Journal of Sociology*, Volume 94, 1988, pp. 95-120.

international donor community. It should also be one of the major agenda items and goals of the UN's International Decade of the World's Indigenous Peoples.

In the remainder of this essay, we look in more detail at two aspects of this investment challenge in Latin America: first, at several investments being made by the World Bank in bilingual education programs for indigenous peoples; and, second, at a recent World Bank initiative to support a series of technical assistance and capacity-strengthening programs for indigenous organizations. Both of these initiatives are attempts to support the strengthening of the capacity of indigenous people to participate in the rapidly changing economies of Latin America. These programs demonstrate that well-planned and targeted investments by national governments and international agencies can provide indigenous peoples and their organizations with the necessary skills and training to participate as both productive individuals and distinct social and cultural entities in their wider economies and societies. They also provide important lessons for other regions of the world where there are large concentrations of indigenous peoples living in similar conditions of poverty and social marginalization.

Investing in Indigenous Education

As far back as the early 1960s, economists such as T.W. Schultz and Gary Becker suggested that human capital factors, and especially education, play a significant role in explaining income differentials between persons. The human capital theory posits that if a person has more years of schooling or training, he or she will receive higher rewards later in life in terms of earnings as compensation or return on past investment. Since its initial formulation, the human capital

theory has been extensively tested, not only in industrial countries such as the United States, Canada and Europe, but also in more than 60 countries throughout the world where data exist on earnings, education and labor market experience.⁴

More recent research has applied the human capital theory to racial and ethnic groups, beginning first with black/white educational and economic differences in the United States and over time extending the analysis to other racial and ethnic groups and countries. This has included several studies of schooling, wages and job experience of Native American populations in the United States and Canada, aboriginal populations in Australia and the Maoris of New Zealand. While there is little doubt that factors such as labor market discrimination based on ethnicity do play a role in explaining differences in income levels between indigenous peoples and other more dominant national populations, access to schooling and training continue to be significant factors in explaining group differences and outcomes.

The World Bank study cited previously reviews this literature and, for the first time, extends the analysis to household-level data on earnings, job experience and educational background of indigenous and non-indigenous people in four Latin American countries: Bolivia, Guatemala, Mexico and Peru. This study, as mentioned previously, found that indigenous people have much lower levels of literacy and schooling relative to the non-indigenous populations in all

⁴ For background, see: G.S. Becker, *Human Capital* (Washington: National Bureau of Economic Research, 1964; second edition, 1975); J. Mincer, *Schooling, Experience and Earnings* (New York: Columbia University Press, 1974); and, T.W. Schultz, "Investment in Human Capital," *American Economic Review*, 51 (1), March 1961. Also, G. Psacharopoulos, "Returns to Investment in Education: A Global Update," *World Development*, 22 (9), September 1994.

four countries. However, the study also found that equalization of school attainment would result in a considerable increase in relative earnings. "Much of the earnings disadvantage of indigenous workers," the study concludes, "is due to lower human capital endowments. While the monetary benefits of schooling are lower for the indigenous population, an increase in schooling levels would lead to a significant increase in earnings in all countries except Peru. The relative magnitude, however, differs from country to country."⁵

While increased investment in the education of indigenous people as a means of increasing household incomes and reducing poverty is the major policy recommendation in the 1994 World Bank study, it is less clear from this analysis how to improve the *quality* of indigenous education. The study, for example, notes that in all of the countries under investigation, indigenous children have higher rates of grade repetition and dropouts than non-indigenous children. Furthermore, as already mentioned, there are also wide disparities between the schooling experience and educational attainment of indigenous boys and girls.

Recent work indicates that bilingual and inter-cultural educational programs are having some success in improving the quality of indigenous education in Latin America. Specifically, in such countries as Bolivia, Ecuador, Guatemala, Mexico, Peru and Paraguay several pilot programs have been carried out (some of them with the support of international donors) which are having positive effects on the quality of education being provided to indigenous children, especially in the

⁵ See, Psacharopolous and Patrinos, 1994, p. 212. Also, by the same authors, "Reducing Poverty in Latin America Among Indigenous People: An Enhanced Role for Education," in *Prospects*, Vol. XXV, No. 1, March 1995, pp. 121-131.

primary grades where mother-tongue literacy is vital to learning and competency in both the vernacular and national languages. Some innovative work is also taking place in the development of curricular materials in indigenous languages and in the use of radio instruction as ways to reach indigenous students in remote areas.⁶

A major challenge facing all of these bilingual education programs is how to "scale-up" from essentially experimental or pilot programs to programs which will have a national impact, covering a larger number of indigenous communities and language groups. For example, Guatemala's National Bilingual Education Program (PRONEBI), sponsored by the US Agency for International Development (USAID), still only covers 4 of the country's 22 ethno-linguistic groups (albeit those with the largest number of indigenous speakers) and as of 1992 only reached 15 percent of the Mayan-speaking, school-age population. Similarly, in the Andean countries, while efforts are now underway to increase the scope and outreach of bilingual education, such programs are still only reaching a minority of indigenous children and are described in the literature as still being at the pilot or developmental stage. There is also a significant deficit of didactic materials in the vernacular languages. Such materials are needed from initial literacy training through primary school and into the secondary-school curricula.

The World Bank is working closely with national counterparts and international agencies such as UNICEF to improve the coverage of schooling for indigenous children, e.g., in school-

⁶ See, S.M. Cummings and Stella Tamayo, *Language and Education in Latin America: An Overview* (Washington: The World Bank, Human Resources Development and Operations Policy Working Paper, May 1994).

building programs associated with various Bank-financed Social Investment Funds directed at poverty areas. It is also supporting, through its educational lending portfolio, investments in bilingual teacher-training, textbook production, curricula development, institutional strengthening and vocational training. Current educational projects financed by the Bank which include strong bilingual education components exist in Bolivia (two projects), Guatemala, Honduras, Mexico (two projects), Paraguay and Peru. The Mexico Second Primary Education Project, which is among the Bank's largest educational loans, extends the experience learned in strengthening indigenous educational programs in four of Mexico's poorest states (Chiapas, Guerrero, Hidalgo and Oaxaca) to ten other states. The project includes the production of language textbooks for Children's Reading Corners in 17 native languages spoken by the major ethnic groups in the project area.⁷

While it is still too early to judge what effects these bilingual education programs will eventually have on the earnings, employment opportunities and general welfare of the indigenous population, they have been well received by indigenous school teachers and other pedagogical experts, parents and, most important, Indian children. There is also a strong awareness among indigenous professionals and educational policy makers that girls as well as boys must be served by such programs and that indigenous children must be provided with linguistic, cultural and other skills to participate in both their own local communities and the wider national economy. This is

⁷ See, Staff Appraisal Report, *Mexico: Second Primary Education Project* (Washington: The World Bank, Country Department II, Human Resources Operations Division, Latin America and the Caribbean Region, March 1994). The project will expend US\$412 million over a seven-year period, of which US\$138 million will be covered by the World Bank loan.

particularly true, given that large numbers of rural indigenous people in Latin America are migrating to cities, but still maintain close social and cultural ties with their villages of origin.

Strengthening Indigenous Organizations

Along with these bilingual education programs which have a national focus, the World Bank has also been investing in an innovative technical assistance and capacity-strengthening program for indigenous organizations in Latin America. The idea for this program arose from a series of inter-agency workshops which the World Bank's Latin America and Caribbean Region Environment Unit (LATEN) co-sponsored with several other international agencies as part of the International Year of the World's Indigenous Peoples. The first of these workshops was held in Washington in March 1993 and included, along with the participation of representatives of the World Bank, representatives from the Inter-American Development Bank (IDB), International Fund for Agricultural Development (IFAD), International Labor Organization (ILO), and the United Nations Economic Commission on Latin America and the Caribbean (ECLAC). A follow-up workshop was held in Washington in September 1993 and included, along with the other agencies, the participation of the newly formed Hemispheric Indigenous Peoples Fund (Fondo Indigena) in La Paz, Bolivia, and representatives of nearly a dozen Latin American indigenous organizations.⁸

⁸ See, Jorge E. Uquillas and Jean-Carlo Rivera (editors), *Indigenous Peoples and Development in Latin America* (Washington: The World Bank, LATEN Dissemination Note # 8, December 1993).

One of the major conclusions of these workshops was the need for greater investment on the part of international agencies in strengthening indigenous organizations. Such investment, it was argued, would enable these organizations to take a more active role in the design, management, monitoring and evaluation of development projects. Specifically, the workshops recommended that it was necessary to train the leaders of indigenous organizations, as well as the representatives of their affiliate grassroots organizations and communities, in the following:

- (1) to prepare and manage strategies for indigenous development, institutional and administrative development, and participation in public service and local government;
- (2) to obtain managerial training in such areas as finance and accounting, selection and contracting of consultants, and, the administration, evaluation and control of development programs; and,
- (3) to encourage the exchange and sharing of experiences among indigenous organizations about self-identified issues and themes; to put them in contact with other actors in the development process; and, to support an ongoing relationship among indigenous organizations and the development and donor communities.

In general, the workshops highlighted the expressed need of indigenous organizations for increased technical skills and institutional strengthening to actualize their collective desire for local-

level economic development but within a framework of cultural identity, autonomy and self-determination.⁹

LATEN responded to this need by initiating a series of indigenous technical assistance and capacity-strengthening programs which have now been completed or are currently under implementation in eight Latin American countries: Chile, Bolivia, Mexico (completed programs), Guatemala, Ecuador, Costa Rica, Colombia and Nicaragua (to be implemented in 1996). These programs have been carried out with funds provided by the World Bank's Institutional Development Fund (IDF) -- a preinvestment, institutional-strengthening grant facility -- and a Trust Fund of the Swedish International Development Agency (SIDA). Funding for each of the country programs is in the range of US\$100,000 to \$200,000, and total funds allocated to the overall program to date amount to US\$1.4 million, including a \$200,000 grant to the Hemispheric Indigenous Peoples Fund to carry out a series of case studies on successful experiences in indigenous development.

From the beginning, the program has collaborated with the Hemispheric Indigenous Peoples Fund, national government agencies, and participating indigenous organizations. In fact, one of the major objectives of the program is to ensure that indigenous peoples participate fully in

⁹ For an interesting study of how indigenous organizations in Ecuador are becoming increasingly involved in grassroots development activities, see, Anthony Bebbington and Galo Ramon (editors), *Actores de una Decada Ganada: Tribus, Comunidades y Campesinos en la Modernidad* (Quito: Comunidec, 1992).

the establishment of national training program objectives and in the design, implementation, monitoring and evaluation of all training program activities.

Evaluations carried out of the three completed programs to date indicate that their objectives are being achieved in terms of providing specific skills to indigenous peoples and institutionally strengthening both their organizations and collaborating government agencies. In Chile, for example, the training program was designed by the government's Special Commission on Indigenous Peoples (CEPI) in collaboration with Mapuche, Aymara and Atacameno indigenous organizations. Over 120 indigenous leaders were trained by the program in such thematic areas as ethno-development, project design and evaluation, organizational development, negotiation skills, indigenous laws and the role of women in development.

The Bolivian program was also a collaborative effort of the recently- established Secretary of Indigenous and Ethnic Affairs and participating regional indigenous organizations. As part of the program, 100 indigenous leaders were trained, mainly from Aymara and Quechua-speaking organizations and communities. The program used a "learning by doing" approach and included both theoretical discussion and field experience and practice. At the end of the program, each participant carried out a diagnostic study of the development needs of his or her community and produced a project proposal to address the main problems detected. Themes covered in the course included analysis of socio-economic conditions of indigenous communities, project planning and evaluation, organizational management and negotiation.

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A major consequence of the training programs has been to change the attitudes and improve the institutional capacity of collaborating government agencies to work in partnership with indigenous organizations and communities. In the Mexico program, for example, funds were channeled directly from the World Bank's IDF program through the Treasury and Public Credit Secretary to the indigenous community (Nuevo San Juan) which organized the forestry training workshops. According to one government representative who followed the process:

[This] is the first experience of Mexico where these types of funds were not administered by the government... [Nuevo San Juan's] experience in the use of financial resources has been exceptional... Now we know and have full assurance that the communities have the managerial and technical capacities to administer these funds and implement efficient actions, as we have witnessed it personally.¹⁰

One issue which has arisen in the course of the training programs concerns the "scaling up" of what are essentially pilot or experimental programs. At present, these are still relatively small programs which only reach a minority of indigenous organizations and communities and their leaders. The World Bank and collaborating agencies have tried to respond to the limited amount of funds available for this purpose by selecting organizations which have a broad outreach to the indigenous populations in their countries and by using the "training of trainers" method as in Mexico or the "learning by doing" method as in Bolivia. However, there is still a fundamental issue of reaching the large mass of indigenous people who inhabit the countryside in many Latin American countries, and in drawing upon technical assistance and training funds which may exist in other programs, such as regular World Bank loans or through the technical assistance programs of the United Nations Development Program (UNDP), the ILO or other UN agencies.

Lastly, there is also the question of how these technical assistance and training programs will be linked to broader social investment and development programs, some of which are financed by the World Bank or other donor agencies. The World Bank is currently taking an initial step to build upon these pilot training initiatives through the preparation of its first stand-alone, indigenous peoples development projects in Ecuador and Mexico. A major challenge of these projects has

¹⁰ Cited in Jorge E. Uquillas and Juan Martinez, *Training Indigenous Forestry Communities in Mexico*, Paper prepared for World Bank Agricultural Symposium, Washington, January 1996.

been to convince governments to invest in indigenous peoples development through project preparation and management partnerships with indigenous organizations and communities. These types of projects, which can be truly said to further the indigenous goals of autonomy and self-determined development, are still only at an early, preparatory stage, but their design and implementation are worthy of close scrutiny in the months and years ahead.

Conclusion

Some years ago, the well-known development economist Albert O. Hirschman published *Getting Ahead Collectively* (Pergamon Press, 1984), which described various grassroots development experiences in Latin America. One of the themes of this book was that as these countries move toward civilian rule and democracy, there is renewed space to release the "social energy" of various local organizations dedicated to more popular and participatory forms of development. Although Hirschman only alluded to grassroots indigenous organizations, they are perhaps one of the clearest reflections of this new phenomena. Moreover, in Latin America, these new indigenous organizations bring an added dimension to the grassroots development equation; i.e., the continuing existence of indigenous languages and cultures that go back thousands of years before the arrival of Europeans and are serving as the basis for socially mobilizing indigenous peoples for the twin goals of cultural reaffirmation and rural poverty alleviation.

In this paper, we have argued that despite the continuing pattern of abysmal poverty which characterizes the situation of the vast majority of the continent's indigenous peoples, there are grounds for hope if investments are made in the proper direction. A priority investment is the

human capital of indigenous people, especially through closing the gap in schooling and, in turn, household incomes, between them and other sectors of the national population. Studies carried out by the World Bank indicate that, in countries such as Bolivia, increasing school attainment from 0 to 16 years would result in a reduction in poverty among indigenous people from 60 to less than 30 percent. That is, the poverty ratio would decrease by more than half if schooling were increased. These studies further indicate that the best form of educational investment for indigenous school children is bilingual education, because such programs improve the quality of education in terms of decreased grade repetition and dropout rates and improved school performance. They also have the greatest chance of improving the schooling and educational performance of indigenous girls who, as in so many parts of the world, have been doubly left-behind by educational and other social welfare reforms.

Equally important is the need to strengthen the social capital of indigenous people through the strengthening of their organizations and communities. Indigenous people stand out for the persistence of their strong social bonds and identities, their collective control and sustainable management of their lands and natural resources, their deep respect for the cultural knowledge of their elders, and their close spiritual attachments to their ancestors and the earth. Yet, there is also a strong feeling among the leaders of indigenous organizations that they often lack the skills to adapt successfully to the modern world and define their own development paths. New skills are often called for from modern accounting and the use of personal computers to project planning and evaluation, organizational management, budgeting and negotiating. Hence, investments in technical assistance and capacity strengthening are critical, not to denigrate or extinguish the profound



cultural knowledge which indigenous peoples inherit from the past, but to build upon it for the future which they and their children will create.

The International Decade of the World's Indigenous Peoples calls for a "new partnership" among indigenous peoples, national governments and international agencies for purposes of social and economic development. One way in which national governments and the international donor community can respond to this challenge is by directing more investment toward the strengthening of the human and social capital of indigenous peoples. By so doing, we believe, the international community obtains the best chance of both reducing poverty and human misery and setting the groundwork for a more prosperous and sustainable future for us all.

OFFICE MEMORANDUM

DATE: December 12, 1995

TO: Mmes. Gloria Davis (ENVSP) and Ellen Schaengold (ASTHR)

FROM:  Shelton H. Davis (ENVSP) and  Concepcion del Castillo (ASTHR)

EXTENSION: 33413 and 80141

SUBJECT: **Philippines: Regional Forum on Indigenous Peoples Policies for Development Assistance in Asia (Manila, November 8 to 10, 1995)**

A. Introduction

1. We represented the Bank at the above forum organized by the Asian Development Bank (ADB) and held at the Punta Baluarte Resort outside of Manila on the above dates. The forum was the first meeting among multilateral donor agencies, representatives of Asian indigenous peoples organizations, and national government representatives. Its main purpose was to discuss several recent policy statements and documents on the role of indigenous peoples in development, including the ADB's Draft Working Paper on Indigenous Peoples (dated 25 October 1994) and the Bank's OD 4.20.

2. Participants at the meeting included: (a) from the donor community, representatives of the ADB, International Labor Organization (ILO), Netherlands Ministry of Foreign Affairs (Directorate General of International Cooperation), and the World Bank; (b) representatives of indigenous peoples organizations from Bangladesh, India, Indonesia, Malaysia, Myanmar, Nepal, the Philippines and Thailand; and, (c) government representatives from Bhutan, Kyrgyz Republic, Malaysia, Myanmar, Nepal, the People's Republic of China, and Thailand.

3. The forum was noteworthy for the absence of government representatives from India, Indonesia, the Philippines, and Vietnam, all of whom have significant indigenous, tribal or ethnic minority populations. In addition, some of the indigenous representatives at the forum had somewhat questionable links with grassroots indigenous communities. The only spokesperson for India's large tribal population (over 50 million people), for example, was a film maker who represented a group called "The Other Media."

4. However, some of these problems of representativeness were balanced by the presence of several excellent resource persons at the forum. These included representatives from the Asian Institute of Technology in Bangkok, the Bank Information Center (BIC) in Washington, the International NGO Forum on Indigenous Development (INFID) in Jakarta, the International Work Group for Indigenous Affairs (IWGIA) in Copenhagen, and the Tribal Research Institute of the Chiang Mai University in Thailand.

B. General Evaluation of the Forum

5. Besides the issue of representativeness, the forum suffered from a lack of strategic planning and institutional commitment on the part of ADB. Up until the day prior to the forum, the ADB's Social Development Division did not have a clear vision of what it expected to achieve from the event beyond fulfilling a promise to Asian indigenous peoples organizations and NGOs that it would hold some type of "consultation" on its draft Working Paper.

6. Furthermore, the Social Development Specialist (an NGO liaison officer) assigned to organizing and facilitating the forum seemed overwhelmed by the task and received relatively limited or no support from other members of ADB's Office of Environment and Social Development, or for that matter the general management of the ADB. Ironically, the World Bank and ILO, with two representatives each sent to the forum, had greater representation than the ADB at the forum which, besides its Social Development Specialist, had only one other staff member (an Information Officer) sit through (and photograph) the entire event.

7. Despite these problems, the indigenous peoples representatives at the forum felt that it constituted an *initial step* (emphasis theirs) in creating a dialogue between themselves and the multilateral development banks and other donors. Although they questioned some of the elements of the ADB's Draft Working Paper and the World Bank's policy (such as the focus on definitional issues), they were pleased that both institutions had begun to raise these issues with Borrower governments. They also felt that these indigenous peoples policies, if implemented, could lead to a more socially just and environmentally sustainable development model in the Asia region.

C. The Concept of "Indigenous Peoples" in Asia

8. There was great debate at the forum on the meaning and applicability of the concept of "indigenous peoples" to the Asian context. Many of the indigenous peoples representatives belong to a loose-knit association called the "Asian Indigenous Peoples Pact" (AIPP). The AIPP has been active over the past few years in bringing the human rights and social situation of Asia's indigenous, tribal and ethnic minorities to the attention of the UN Human Rights Commission's Working Group on Indigenous Populations. The latter has just completed a draft Declaration on the Rights of Indigenous Peoples which is currently under consideration by the UN.

9. At many of these meetings, the AIPP has made it clear that it believes that the concept of "indigenous peoples," which has its roots in the legal, political and other claims of aboriginal or indigenous groups in the Americas and the Pacific (Australia, New Zealand), has applicability in the Asian context. Thus, at a recent meeting sponsored by the IWGIA and AIPP in Chiang Mai, the indigenous representatives "unanimously accepted the relevance and importance of the concept of 'indigenous peoples' in Asia."

10. While disclaiming any need to provide a "strict definition" for the term, the indigenous representatives at the Chiang Mai conference noted the following:

- (a) *Indigenous peoples have a special attachment to lands and resources. On the basis of this, indigenous peoples claim ownership and control of their resources.*
- (b) *Indigenous peoples have a sense of shared ancestry. The collective identity of indigenous peoples is found throughout Asia and stretches far into their history. This shared ancestry provides the grounds for self-identification of themselves as indigenous and of respect for their identity by other indigenous peoples.*
- (c) *Indigenous peoples have distinct languages, cultures, spirituality and knowledge. These features make each indigenous people unique guardians of their heritage and responsible for passing the wisdom of their ancestors to their descendants.*
- (d) *Indigenous peoples have their own political, social and cultural institutions. These include customary law, consensual decision-making processes, community life and collective sharing. The indigenous peoples of Asia strive to control their own lives and make their own decisions. They claim self-government from within, and do not want political systems imposed from outside.*
- (e) *Indigenous peoples' lands and territories and cultural institutions are violated by states and global forces through acts of domination. This factor of indigenous peoples in Asia consists of their being colonized peoples, a fate which they share with other indigenous peoples through the world.*
- (f) *The indigenous peoples of Asia consider the UN draft Declaration applied to them and constitutes the basic minimum demands for their survival. The concept of indigenous peoples in Asia should be protected by the draft Declaration.¹*

11. For obvious reasons, most (if not all) of the governments of Asia refuse to accept this concept of "indigenous peoples" arguing that they are unified nations comprised of various ethnic or minority groups. Behind this negation of the concept of "indigenous peoples" is a broader cultural and ideological position that all the various ethnic groups (including the

¹ Copies of the full statement made at the Chiang Mai conference on 9 through 11 October 1995 were included in the documentation for the ADB forum and are available upon request.

dominant ones) are "indigenous" vis-à-vis the former European colonial powers. According to this viewpoint, the true purpose of both government and development is to create a single, unified nation and people sharing, as the Chinese delegation put it in the title of a book distributed at the forum, "The Road to Common Prosperity."

12. This conflicting language and view of the nation places the World Bank and ADB in the unenviable position of seeking to be both responsive to organizations which claim to speak for indigenous peoples and communities, while at the same time respecting the sovereignty of their Member Countries. While there is no simple response to this dilemma, we think the Bank is correct in focusing on the ways in which certain groups or peoples are *vulnerable to being disadvantaged in the development process* because of their social and cultural identities (the language of OD 4.20, paragraph 3).

13. We also think the Bank is correct in maintaining a broad definition of "indigenous peoples," which respects the unique ways in which the social and cultural identities of groups manifest themselves in particular countries and geographical contexts. The preparation of country profiles of indigenous peoples and other ethnic minorities, recently completed or being carried out in several Asian countries, as well as the growing use of Social Assessments in Bank-funded projects, should facilitate this process of social and cultural identification.

D. "Meaningful" Consultation and Participation

14. The forum also provided an opportunity to clarify what is meant by "meaningful" consultation and participation when dealing with indigenous peoples and communities. Several of the indigenous representatives addressed this issue, and a large part of the final day's discussion was devoted to this general topic.

15. The indigenous representatives noted the need for donor agencies to understand the wider social and political contexts in which consultations with indigenous peoples take place. The representatives pointed out repeatedly that the situation of disenfranchisement of indigenous peoples prevalent in many Asian countries prevents them from expressing their views and opinions about development interventions; impedes them from being able to protect their lands and other resources which are being expropriated by state agencies and private companies; and they lack even a minimal degree of self-government. For these reasons, it is important for donor agencies to be sensitive to the wider political contexts in which indigenous peoples live and not assume that they are free to express their views, especially in the presence of government representatives.

16. When consultations do take place, donor agencies should provide indigenous peoples beforehand with access to all relevant information about the proposed development intervention in languages that they are familiar with and in simple and plain formats. Where necessary, donor agencies should assure that translations are made into vernacular languages but by translators who are trusted by local communities, rather than by government representatives.

17. Donors should not assume that anyone who is put forth as an indigenous leader represents all or even a majority of the indigenous communities in a project area; and, consultations should be broad enough to include representatives of all or most of the different communities affected by a proposed project.

18. Donor agencies should respect the views of indigenous peoples who do not wish to have development projects in their territories; and, they should be particularly cautious of financing projects in areas which are highly militarized but where indigenous peoples live.

19. When indigenous peoples do agree to participate in such projects, they should be provided with the necessary training and institutional support to participate in all phases from project preparation through implementation to monitoring and evaluation. Where qualified indigenous personnel exist, they should be included in the staff of the project; and, when outside technical consultants are needed, they should be acceptable to indigenous peoples and their communities.

20. The indigenous representatives also expressed a need to know more about the donor agencies-- what their objectives and policies are; what procedures they have for preparing and appraising projects; and, how indigenous peoples might participate and benefit from these projects. It is not enough to assume that donor agencies should learn about indigenous peoples; indigenous peoples are also interested in learning more about the donor agencies, how they work, and what role they can play in their struggles.

E. Alternative Perspectives on Development

21. While they were not specific on the details, many of the indigenous representatives also suggested that it was necessary for the donor agencies to consider alternative models of development which were more in keeping with indigenous cultures and cosmologies. They argued that many of the Western models of development, such as those implied in conventional economic development and modernization theories, were out of touch with the needs of Asian societies and a cause of much of the environmental degradation (e.g., deforestation and soil erosion) in the areas which have been historically occupied by indigenous peoples.

22. Perhaps the most lucid statement of this position was made by one of the Dayak representatives from Eastern Kalimantan in Indonesia. He noted that the indigenous peoples were more interested in their "liberation" from (rather than incorporation into) conventional models and processes of economic development, because of their implicit assumption about the essential backwardness and lack of worth of indigenous societies and cultures. Rather than accepting a Marxist or radical Christian notion of liberation, however, the indigenous peoples were being drawn to traditional notions of harmony and balance in nature, society and the human person.

23. The Dayak representative cited a saying in his own language where there is what he described as an "horizontal" rather than a "vertical" notion of development, somewhat like the growth of a banana tree. He went on to describe how his ancestors talked about and viewed the "good life" in terms of the "mountains still possessing mythical tigers, the rivers having fish and dragons, the rice fields being plentiful, and peoples having health and no wars and conflicts." This qualitative, metaphorical approach to development, he felt, was more in keeping with Asia's indigenous heritage, and concepts of harmony, balance and equilibrium and had much to teach contemporary governments and development institutions.

F. Follow-up Activities by ADB and the Bank

24. During the final session of the forum, the indigenous representatives expressed their desire that the proposed ADB policy should meet the needs and reflect the aspirations of indigenous peoples. They further expressed a concern that the policy be implementable and influence the policies and actions of ADB's Member Countries.

25. The indigenous representatives also pointed out that the forum was only the first step in a process, and it should be followed up with a more genuine and ongoing process of consultation, perhaps on the sub-regional or country level. This process should include a broader range of indigenous leaders and organizations and a translation of the ADB Working Paper (and World Bank and other policies) into local languages.

26. The ADB representative at the conference assured the indigenous representatives that their views would be incorporated into the final draft of the Working Paper to be presented to the ADB's Board. He also said that the Social Development Division would be preparing a report on the findings and recommendations of the forum which would be presented to the participants for comment prior to finalization and dissemination.


27. Finally, as representatives of the World Bank, we noted that we would bring the findings of the forum to the attention of our colleagues and managers. We also suggested that it might be more appropriate to respond to the indigenous peoples desire for more information on our institutions and policies through meetings at our Resident Missions. The indigenous representatives seemed to like this idea, but suggested that ENVSP and the Regional Social Unit in ASTHR facilitate such a process of constructive contact and dialogue with the Resident Missions.

cc: Messrs./Mmes: Cohen, Martin-Brown (ESDVP); Koch-Weser (ASTEN); Socknat, Lund (ASTHR); Lichtenstein (LEGEA); di Leva (LEGEN); Mead (LEGSA); Clark, Fernandez (OPRPG); Barrett (TWUTD); Guggenheim (Resident Mission, Jakarta); Allen (Resident Mission, Manila); Steer, Cernea, Monnin, Scura (ENVDR); Aronson, Sequeira, Soeftestad (ENVSP); Bankwide Task Force on Indigenous Peoples; Asia Document Center

OFFICE MEMORANDUM

DATE: September 25, 1995

TO: Mr. Gregory Ingram, RAD

THROUGH: Mr. Andrew Steer, ENVDR 

FROM: Gloria Davis, ENVSP

EXTENSION: 82750

SUBJECT: Research Preparation Grant Proposal on
"Community Involvement in Industrial Pollution Control" in Brazil

1. You will find attached a Research Preparation Grant (RPG) Proposal to design a Research Project on the above topic. The RPG has been formulated by Mr. Shelton Davis, Principal Sociologist (ENVSP), and will provide greater understanding of how local neighborhood and community groups might assist state agencies and private firms in the identification, prevention and control of industrial pollution problems.

2. The work being proposed for Brazil is unique for a developing country (most social research on this topic has been done in industrial countries such as the United States and Japan), and it could provide important recommendations for the design of industrial pollution control policies and programs in other countries in Latin America and potentially throughout the world.

3. Mr. Davis has discussed the proposal with David Wheeler (PRDEI), the supervisor of the Research Committee-financed study on "The Economics of Industrial Pollution Control in Developing Countries;" and, with Joachim von Amsberg (LA1ER), the Task Manager for the Sectoral Study "Brazil: Managing Pollution Problems in the State of Rio de Janeiro." They are both in agreement that the insights, data and policy recommendations which would result from this research could substantially benefit their own work.

4. Copies of the proposal have also been shared with the current President of FEEMA (the state pollution control agency in Rio de Janeiro) and the collaborating Brazilian research institution (the Post-Graduate Program in Social Anthropology, National Museum, Federal University of Rio de Janeiro).

5. Thank you for considering this request. If you have further questions about the proposal, please contact Mr. Davis at ext. 33413.

cc: Messrs./Mmes: S. Davis, Narayan, McPhail, Salmen, Solo (ENVSP); Ackermann, Hanrahan, Hughes (ENVPE); Wheeler, Gray, Huq, Laplante, Pargal (PRDEI); Tlaiye, Gross, Manibog, von Amsberg (LA1ER); de Nevers, Rosenthal (LA2IE); Partridge, Quintero (LATEN); Kreimer (OED); Mahar, Menezes (Resident Mission, Brazil); Martin (Resident Mission, Mexico).

attachment

Community Involvement in Industrial Pollution Control in Brazil

Research Preparation Grant Proposal

A. Nature of the Proposal

ENV's Social Policy and Resettlement Division (ENVSP) is seeking a Research Preparation Grant (RPG) to design a Research Project on the topic of "Community Involvement in Industrial Pollution Control in Brazil." The Research Project is based on the hypothesis that conventional command-and-control regulation and market instrument approaches by themselves are insufficient to prevent and control industrial pollution in rapidly industrializing countries such as Brazil. At specific industrial sites, organized community or neighborhood groups can supplement such approaches by identifying critical industrial pollution control problems. When provided with adequate technical support and information, they can also be important partners in state and local government efforts to monitor compliance with industrial pollution standards.

The research for testing this hypothesis will be carried out in the State of Rio de Janeiro, in collaboration with the State Foundation for Environmental Engineering (FEEMA) and the ongoing PRDEI project on "The Economics of Industrial Pollution Control in Developing Countries." Although not directly linked, the research findings will also assist ongoing Bank-financed industrial pollution control work in Brazil, such as the LA1ER Sectoral Study, "Brazil: Managing Pollution Problems in the State of Rio de Janeiro."

ENVSP is seeking RPG funds to enable the Principal Project Supervisor to visit Brazil and work with a Brazilian partner institution (the Post-Graduate Program in Social Anthropology, National Museum, Federal University of Rio de Janeiro) to prepare a more formal Research Grant Proposal. Specific activities to be carried out with the RPG funds will

be: (a) a literature review of past social science research on community responses to industrial pollution control problems in Brazil; (b) selection of a sample for more intensive study of community or neighborhood groups in the State of Rio de Janeiro which have submitted complaints concerning industrial pollution control problems to FEEMA; and, (c) design of a questionnaire to be administered to leaders and residents in the selected communities to get a more systematic grasp of local perceptions of industrial pollution control problems, as well as their experiences in trying to resolve them.

B. "Informal Regulation" and Industrial Pollution Control

The theoretical and analytical background for the Research Project is based upon the growing amount of empirical and historical evidence that indicates that local citizen and community groups serve as "informal regulators" of industrial pollution activities in the absence of more formal government standards or weak institutional monitoring and compliance mechanisms (See, Wheeler, Laplante, and Hartman, 1995). Studies conducted in a number of developing countries, especially in the South and Southeast Asia regions, indicate that a statistically significant portion of the variance in the performance of industrial firms in the pollution prevention and control area is explainable by the public health and safety concerns and activities of local citizen and community groups (Pargal and Wheeler, 1995; Hettige, Huq, Pargal, and Wheeler, 1995; and, Pargal, Hettige, Singh, and Wheeler, 1995). These activities include organized protest and petition campaigns, the focussing of media attention on pollution problems, complaints to state and local pollution authorities, law suits, and more direct actions such as demonstrations and sit-ins at industrial sites. There is also historical and comparative evidence indicating that similar forms of community and citizen activism have played a critical role in the establishment and implementation of anti-pollution standards in highly industrialized countries, such as Japan and the United States (Enloe, 1975; Caldwell, Hayes and MacWhirter, 1976; and, McKean, 1981).

What is less known is the social and economic characteristics of the participants in these movements, the evolution and efficacy of their various tactics, and their sustainability once their initial grievances for industrial cleanup or compensation have been met. Research conducted in the United States, at an early period in the citizen's movement for improved environmental quality, indicates a generally "middle class" or "elite" bias to anti-pollution and other types of environmental campaigns (Cutter, 1981; Morrison and Dunlap, 1986). Some of the initial work on "informal regulation" in developing countries also indicates that communities which have shown a concern for industrial pollution problems have a higher educational and income profile, and that it is more likely for poor people to take an active interest in industrial pollution issues when their jobs are not perceived to be at stake. However, there is also a growing amount of recent evidence, especially from the United States, showing that poor and minority communities are demonstrating an increasing concern for industrial pollution issues, especially when they relate to the siting of toxic or hazardous wastes (Edelstein, 1987; Bullard, 1990).

The social dynamics and evolution of these community-based, anti-pollution movements are still relatively little understood, especially in terms of their leadership, phrasing of issues, alliances with the media and the scientific community, negotiations with industry and relations to local government and environmental agencies. One hypothesis worthy of further investigation is that poor people's concerns for the environment, including industrial pollution, are often expressed through groups formed for other than environmental purposes such as neighborhood improvement associations, church or other religious organizations, labor unions, fishermen's associations and the like. Similarly, there may be important cross-national and intra-country differences in the organization and evolution of anti-pollution movements, as demonstrated by recent case studies from Japan, the United States and Brazil (See, for example, the interesting case study by Stotz (1991) of the evolution of a successful neighborhood association protest against a polluting tannery and chemical factory in Rio de Janeiro).

Lastly, there are outstanding questions about the sustainability of these movements, especially when their initial grievances are met through negotiations with industry, the passage

of pollution control legislation or compensation in the courts. One variable which may be significant in the maintenance of sustained community-interest in pollution issues is the willingness of government agencies to mobilize local citizens groups as partners in the monitoring of compliance with pollution control standards.

Agreements by state agencies or private industry to supply continuing information on pollution control performance and loads to surrounding communities, as in the US Environmental Protection Agency's Toxic Release Inventory (TRI) Program or the European Union's efforts to convince industries to publicly disclose the results of Environmental Audits, are recent efforts in this direction. Adapted to local contexts, some of these efforts may be transferable to pollution control and monitoring programs in the Third World. There is a growing interest in these "public information-based" pollution control programs within the Bank and among some Borrower countries, such as Indonesia and Brazil (See, Kennedy, Laplante, and Maxwell, 1994; and, Wheeler, Laplante and Hartman, 1995).

C. Industrial Pollution Control in Brazil

Brazil, and particularly the State of Rio de Janeiro, provides an excellent context for furthering our sociological understanding of these citizen and community movements and their possible incorporation into more formal industrial pollution control programs. Brazil was one of the first Latin American countries to introduce modern industrial pollution control legislation and to create state agencies for their implementation. Within a year of the 1972 Stockholm Conference on the Environment, the federal government and the state government of Sao Paulo created environmental regulatory agencies. The Bank has worked closely with Sao Paulo's State Technology Company for Basic Sanitation and Water Pollution Control (CETESB), providing it with two investment loans over the past decade and assisting it in the financing of the cleanup of the industrial city of Cubatao (Findley, 1988).

Recently, local authorities, the Bank and other donor agencies have focussed more attention on industrial pollution control issues in the State of Rio de Janeiro. The coast line of Rio de Janeiro has a remarkable diversity of natural ecosystems, many of which have been deteriorated already or are now threatened by industrial developments. Guanabara Bay, which faces the city of Rio de Janeiro and is a major reason for its great tourism attraction, has 10,000 industries, 10 oil terminals, 12 shipyards and two oil refineries, making it the second largest industrialized zone (after Sao Paulo) in the country. Similarly, Sepetiba Bay, which is located 60 km. to the south of Rio de Janeiro but within the same municipality, has undergone increased industrialization and continuous urbanization over the past two decades, and it already has an "astonishing level of metal contamination, similar to heavily industrialized areas in Europe and the United States" (Kreimer, et. al., 1993).

While a State Foundation for Environmental Engineering (FEEMA) was established in 1975, and a large body of pollution control legislation has been passed since that time, the state government has had relatively little success in controlling industrial pollution trends. Following the holding of the Earth Summit in Rio in 1992, however, there has been a renewed interest in strengthening the institutional capacity of FEEMA to deal with pollution problems. As a result of recent constitutional changes, there is also more attention being paid to strengthening municipal governments (of which there are 13 in the Rio de Janeiro Metropolitan Area) in such areas as industrial zoning, environmental impact assessment and pollution monitoring and control.

Citizen and community groups are playing an increasingly important role in this new "environmental consciousness." There are over 80 recognized, neighborhood associations in the *favelas* (urban squatter settlements) of Rio de Janeiro, many of which have taken up industrial pollution issues as part of broader programs directed at improving water and sanitation, health, housing, crime prevention and educational facilities. There has also been increased anti-pollution activity on the part of farmer, fishing, coastal, and urban middle-class communities within the state.

The Rio de Janeiro state legislature has passed legislation which obligates large businesses to pay for and submit to independent Environmental Audits (Law 18898/91) and to reduce their chemical wastes released to the environment by ten percent annually (Law 2011/92). It has also established a special Citizen's Forum to Monitor the Cleaning Up of Guanabara Bay, modelled after similar fora created for monitoring the cleaning up of the Thames and Rhine rivers in Europe.

International donors are supporting these activities through the financing of feasibility studies, sector work and investment loans. The Inter-American Development Bank (IDB), for example, is financing a large water and sanitation project in Guanabara Bay. The World Bank also has several ongoing or proposed investment projects which will directly affect environmental quality in Rio de Janeiro, and it is currently carrying out sector work with FEEMA for developing more cost-effective instruments for industrial pollution prevention and control (von Amsberg, 1995). To date, no Bank-financed research has focussed upon the neighborhood or community dimensions of pollution control, although there is awareness of the potential policy implications of such work among industrial pollution specialists in both FEEMA and the Bank.

D. The Community Involvement Study

The proposed study on "Community Involvement in Industrial Pollution Control" would build upon the relationships which the PRDEI team, and researchers from ENVPE, have already established with FEEMA. These include Bank assistance in the strengthening of FEEMA's GIS capacity to map pollution "hot spots" in the state, analysis of the agency's industrial pollution complaint files, and surveys of industrial firms about their pollution control attitudes and behavior. The focus of the Community Involvement study, however, would be at the neighborhood or community level, looking at the relations between citizen awareness and activism concerning pollution and the responses of private industries, municipal governments and state agencies. The study would also suggest ways in which greater cooperation among citizen

groups, state agencies, and industrial firms (e.g., through more formalized information exchange or the establishment of joint citizen/industry advisory committees) might improve pollution control performance in the state.

To design the research project and conduct the research, ENVSP has discussed a partnership arrangement with the Post-Graduate Program in Social Anthropology (PPGAS), National Museum, Federal University of Rio de Janeiro. Professor Jose Sergio Leite Lopes, a former Director of the PPGAS Program and a well-known expert on working-class cultures and communities in Brazil, has agreed to work with the Principal Project Supervisor (Shelton Davis, Principal Sociologist, ENVSP) in preparing a more systematic research design for the project, possibly drawing upon graduate student field assistants to conduct the research.

To prepare a more formal research design, however, Mr. Davis needs to spend a week in Rio consulting with Professor Leite Lopes and his colleagues, as well as with counterparts in FEEMA. There is also a need, as background for preparation of a more formal Research Grant Proposal, to: (a) conduct a literature review of previous social science research on community responses to industrial pollution in Brazil; (b) to select a sample of communities or neighborhoods for more intensive study, based upon the FEEMA complaint file materials; and, (c) to design a questionnaire for surveying community background characteristics and attitudes and activities in relation to pollution issues.

These activities would be carried out over a three-month period between December 1995 and February 1996, after which ENVSP would submit a more formal Research Grant Proposal to the Research Committee for funding.

E. Budget

Budgetary needs to prepare the Research Grant proposal are as follows:

1. Travel for Mr. Shelton Davis:

Roundtrip Airfare (DC/RIO/DC).....US\$3,230.00

Hotel and Subsistence (6 days @ \$250 per day).... \$ 1,500.00

2. Service Contract to PPGAS to Prepare
Background Document for Research Grant

Proposal.....\$10,000.00

TOTAL.....\$14,730.00

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Shelton H. Davis, Ph.D.
Environment Department
The World Bank

Shelton H. Davis is Principal Sociologist in the Social Policy and Resettlement Division, Environment Department at the World Bank, where he is responsible for the Bank's work on tribal and indigenous peoples. Prior to transferring to the Environment Department in 1991, he spent four years in the World Bank's Latin America and Caribbean Region's Environment Division, where he worked on projects affecting indigenous peoples in Brazil, Paraguay, Colombia, Ecuador, Mexico, Guatemala and Panama.

Between 1984 and 1986, he was a visiting scholar at the OAS Inter-American Commission on Human Rights where he conducted a study of international mechanisms for protecting the land rights of forest-dwelling Indian populations in lowland South America. He was also the founder and director of the Anthropology Resource Center in Boston Massachusetts (1975 through 1984), and a hemispheric Indian documentation center called Indigena, Inc. in Berkeley, California (1973 through 1975).

He has written extensively on indigenous peoples, environment and development issues in Latin America, and his book *Victims of the Miracle: Development and the Indians of Brazil* (Cambridge University Press, 1977) is considered a classic in the field. He is also the author of *Land Rights and Indigenous Peoples: The Role of the Inter-American Commission on Human Rights* (Cultural Survival, 1988); and, the editor of *Indigenous Views of Land and Environment* (The World Bank, 1993) and, *Traditional Knowledge and Sustainable Development* (The World Bank, 1995).

Dr. Davis has taught at the Federal University of Rio de Janeiro in Brazil, Harvard University, University of California at Davis, Massachusetts Institute of Technology, Boston University, Clark University, the University of Massachusetts and most recently at Georgetown University.

He received his undergraduate degree in Sociology and Anthropology at Antioch College and his Ph.D. in Social Anthropology from Harvard University. He also did special studies in Social Anthropology at the London School of Economics and Political Science, and doctoral research among Mayan Indians in Guatemala.

His current research interests are in "public involvement in environmental decision-making," for which he is presently conducting a two-year action research program in the Environment Department at the World Bank.

Jose Sergio Leite Lopes
Professor of Anthropology
National Museum
Federal University of Rio de Janeiro

Jose Sergio Leite Lopes is a Professor of Anthropology in the Post-Graduate Program in Social Anthropology (PPGAS) at the National Museum, Federal University of Rio de Janeiro (UFRJ) and a well-known authority on the culture of industrial working-class populations in Brazil.

After receiving diplomas in Economics from the University of Paris (1968) and the Catholic University of Rio de Janeiro (1969), he pursued graduate studies in Social Anthropology at the National Museum receiving his Master's degree in 1976 and Doctor of Philosophy degree in 1986.

His Master's degree research on workers in a sugar-cane processing factory in the state of Pernambuco (Northeast, Brazil) was published as a book under the title, *O Vapor do Diabo: O Trabalho dos Operários do Açúcar* ("The Steam of the Devil: The Labor of Sugar-Cane Workers") in 1978. His doctoral dissertation research on the social history of a textile "company town," also in the Northeast, was published a decade later under the title, *A Tecelagem dos Conflitos de Classe na Cidade das Chaminés* ("The Weaving of Class Conflicts in the City of Chimneys," 1988).

Dr. Leite Lopes has also edited two collections of essays on social change and working-class culture and identity in Brazil and published numerous articles in Brazilian and French social science journals on the same subjects.

He was nominated as a Professor in the Department of Anthropology at the National Museum (UFRJ) in 1978, and has since served as Vice-Director of Cultural Activities in the PPGAS (1982-1984), Vice-Director of Teaching in the PPGAS (1984-1986), Director of the PPGAS (1984-1988), and Director of the Department of Anthropology (1990-1992).

Since 1982, he has received Research Fellowship support from Brazil's National Council for Scientific and Technological Research (CNPq); and, between 1988 and 1990, he was a Postdoctoral Fellow at the Center for European Sociology and Center for the Sociology of Education and Culture, School of Higher Studies in Social Sciences, Paris.

Aside from his native language Portuguese, Dr. Leite Lopes reads and speaks fluently English, French and Spanish. Several of his students are currently doing field research on industrial issues and working-class culture and communities in Brazil.

Terms-Of-Reference

Community Involvement in Industrial Pollution Control in Brazil

A. Nature of the Study

1. ENV's Social Policy and Resettlement Division (ENVSP) is designing a Research Project on the topic of "Community Involvement in Industrial Pollution Control in Brazil." The Research Project is based on the hypothesis that conventional command-and-control regulation and market instrument approaches by themselves are insufficient to prevent and control industrial pollution in rapidly industrializing countries like Brazil. At specific industrial sites, organized citizen or community groups can supplement such approaches by identifying critical industrial pollution control problems. When provided with adequate technical support and information, they can also be important partners in state and local government efforts to monitor compliance with industrial pollution standards.

2. The research for testing this hypothesis will be carried out in the State of Rio de Janeiro, in collaboration with researchers from the Post-Graduate Program in Social Anthropology, National Museum, Federal University of Rio de Janeiro (PPGAS/UFRJ), and with the support of the State Foundation for Environmental Engineering (FEEMA). The project also draws upon the experience and data sets of the ongoing PRDEI project on "The Economics of Industrial Pollution Control in Developing Countries," as well the findings of the LAIER Sectoral Study, "Brazil: Managing Pollution Problems in the State of Rio de Janeiro."

3. Comparative materials will be obtained through research on similar citizen and community-based, pollution control movements in Sao Paulo state, and a literature review of experiences in other Latin American countries with growing industrial economies. A more comprehensive research proposal will be prepared for submission to the Bank's Research Support Program by June 1, 1996.

B. Scope of the Work

4. The scope of the work to be carried out during the project preparation phase will include:

- (a) a literature review of social science research on citizen and community involvement in pollution control issues in Brazil;
 - (b) the identification of various social actors and institutions involved in pollution control activities in Rio de Janeiro state, including background on the history of their concerns for health, safety and environmental issues;
 - (c) an assessment of the role which various professional groups (engineers, public health officials, lawyers, etc.), trade unions and non-governmental organizations (NGOs) are playing in assisting local citizen and community groups to bring industrial pollution concerns to the attention of federal, state and municipal environmental agencies;
-

- (d) analysis of the process of complaint initiation and resolution in FEEMA and other state agencies (Ministerio Publico, IBAMA, State Legislature, Municipal Environmental Secretaries, etc.);
- (e) development of a typology and selection of a sample of cases for more intensive study based upon the analysis of the complaint initiation and resolution process; and,
- (f) design of a methodology (including development of a structured interview schedule and/or questionnaire) for analyzing statistical patterns and testing a series of hypotheses about the nature, evolution and outcomes of the complaint-resolution process.

C. Complaint-Resolution Process and Typology

5. Major attention during project preparation will focus on gaining greater sociological understanding of the dynamics of the complaint-resolution process and refining a preliminary typology developed for studying this process. This will include an assessment of the formal process of complaint resolution within FEEMA, based upon the agency's regulatory structure and administrative procedures, as well as a preliminary analysis of the interaction between FEEMA and other agencies, such as the Ministerio Publico and the Municipal Environmental Secretaries.

6. This part of the project preparation will also look at the informal process of complaint resolution, including some of the political and institutional obstacles to successful performance, the ways in which complaints escalate from private grievances to public disputes, the role of professionals as intermediaries between local communities and state agencies, and jurisdictional conflicts between state agencies such as the Labor Ministry, the Public Health Ministry and the Environmental Secretariats.

7. Based on the above considerations, an attempt will be made to refine the preliminary typology of complaints, including those situations where there is evidence of high industrial pollution risks but limited or no public complaints (i.e., the "no voice" situation). Besides the latter situation, which will be a major focus of attention in the actual research project, the current typology includes the following categories of cases:

- (a) cases where complaints are just being initiated and processed within FEEMA;
 - (b) cases where citizens or community groups are seeking support to resolve their complaints from other agencies such as the Ministerio Publico;
 - (c) cases where complaints remain outstanding or have not yet resulted in accords between FEEMA and industrial firms;
 - (d) cases where complaints have led to accords and successful resolution of pollution problems (e.g., Cortume Carioca); and,
 - (e) cases where complaints have led to accords with industries, but where there are still outstanding issues of monitoring and compliance (e.g., Inga, Panamericana, Bayer, Volta Redonda, etc.).
-

D. Rapid Assessment and Hypothesis Generation

8. For purposes of hypothesis generation and instrument design, a series of rapid assessments (5 to 10 days) will be carried out of cases where there are ongoing citizen and community complaints concerning industrial pollution issues. The cases to be looked at are in the three major industrial zones in Rio de Janeiro State: the Inga zinc factory in the Sepetiba Bay area, the Panamericana chloride-soda processing plant in the Guanabara Bay area, and the CSN steel factory in Volta Redonda, Paraiba do Sul area.

9. For each case, anthropological researchers will conduct background literature reviews and interviews with representatives of trade unions, local citizen and community groups, municipal authorities, industrial firms, and FEEMA personnel. Press clippings available at FEEMA will also be used to obtain a better grasp of the historical background and public perception of these disputes. In general, the rapid assessments will be used to generate hypotheses for incorporating and testing in the research project design.

E. Sample Selection and Instrument Design

10. Lastly, based upon the refinement of the typology and the rapid assessments, a sample of cases will be selected for more intensive study and special instruments will be designed for testing hypotheses concerning the nature, evolution and dynamics of the complaint-resolution process. For purposes of sample selection, the research team will be provided with computerized, data bases being developed by PRDEI based upon FEEMA's industrial cadastral, pollution assessment and complaint files. Instrument development will take the form of the design of targeted interview schedules and questionnaires adapted to different social actors (citizen groups, industrial firms, state agencies, municipal authorities, environmental and health and safety professionals, etc.) involved in the pollution control process.

F. Calendar of Work

11. The work program will be carried out in three stages over a four-month period between December 1995 and April 1996:

- (a) organization of research team and collection of additional data on public involvement and business perceptions of industrial pollution control problems (December 15, 1995 through January 15, 1996);
- (b) refinement of typology and rapid assessment of cases (January 15, 1996 through March 1, 1996); and,
- (c) selection of sample of cases, design of interview schedule and questionnaire and writing of final report (March 1 through April 15, 1996).

G. Research Team

12. The Brazilian Research Team will be organized and directed by Prof. Jose Sergio Leite Lopes (PPGAS/UFRJ) and include:

- (a) Dra. Rosane Prado (Professor of Anthropology, UFRJ):-- Conducted research on community perception of nuclear power plant in Angra dos Reis, Rio de Janeiro, Brazil.
- (b) Ms. Diana Antonaz (Doctoral Student in Anthropology, PPGAS/UFRJ)--Conducted research on community perception of construction and operation of aluminum plant in Barcarena, Para, Brazil.

13. Mr. Shelton H. Davis (Principal Sociologist, ENVSP) will serve as overall supervisor for the project and pending availability of funds will make a second visit to Brazil in March 1996.

H. Final Report

14. The final report of the Brazilian Research Team will be written in Portuguese and submitted to the Bank not later than 15 April 1996. The report will contain:

- (a) a description of the results of the preparatory research as outlined above;
- (b) a set of hypotheses to be examined during the actual research project;
- (c) a refined typology of cases;
- (d) a sample of actual cases, based on the typology, for more systematic investigations;
- (e) examples of the interview schedules and/or questionnaires to be utilized in the research;
- (f) recommendations for conducting comparative studies in Sao Paulo state;
- (g) a description of the Brazilian institutions or individuals who are available to participate in the research; and,
- (h) a budget and timetable for such participation.

15. Mr. Davis will take the findings and recommendations in this report and incorporate them into a formal Research Grant proposal to the Research Committee prior to the deadline of June 1, 1996.

SHDavis/JSLeite Lopes
12/13/95



Record Removal Notice

File Title Shelton H. Davis - Travel - Back to Office Reports [BTORs], Terms of Reference [TOR], Statements of Expense [SOE]		Barcode No. 1848721		
Document Date 04/19/1995 - 10/28/1998	Document Type Forms			
Correspondents / Participants				
Subject / Title Statement of Expenses; invoices; operational travel requests				
Exception(s) Personal Information				
Additional Comments		<p>The item(s) identified above has/have been removed in accordance with The World Bank Policy on Access to Information or other disclosure policies of the World Bank Group.</p> <table border="1"><tr><td>Withdrawn by Shiri Alon</td><td>Date September 19, 2023</td></tr></table>	Withdrawn by Shiri Alon	Date September 19, 2023
Withdrawn by Shiri Alon	Date September 19, 2023			

TORS

OFFICE MEMORANDUM

DATE: October 13, 1998

TO: Mr. Shelton H. Davis, Lead Specialist, LCSES

FROM: ^{GD}
Gloria Davis, Director, SDV

EXTENSION: 82750

SUBJECT: **Brazil: Terms of Reference**

Consultations on Approach Paper and Revision of OD 4.20; and
Public Involvement in Industrial Pollution Control (RP 681-46)

1. On October 15, 1998, you will travel to Brasilia to participate in the consultations on the Approach Paper for the Revision of OD 4.20. The consultations have been organized by the Resident Mission in Brasilia and will include meetings with representatives of indigenous organizations, NGOs, academic experts and government agencies. Two consultations have been scheduled, one with indigenous, civil society and academic organizations on October 17th and the other with government agencies on October 19th. You shall represent the Bankwide Working Group at the consultations, providing input concerning the history and experience of the Bank in implementing OD 4.20 on a worldwide level and the rationale for the recommendations made in the Approach Paper for revision of the policy.
2. Following the consultations in Brasilia, you will travel to Rio de Janeiro to conduct the final supervision of the Research Committee-financed study on "Public Involvement in Industrial Pollution Control in Brazil and Argentina." You will meet with Project Coordinator and Research Team at the Post-Graduate Program in Social Anthropology, Federal University of Rio de Janeiro (PPGAS/UFRJ) and discuss:
 - a) progress made in completing the field studies and questionnaire survey since the last supervision mission in April 1998;
 - b) the results of the questionnaire survey in assessing variability in citizen attitudes toward the environment and industrial pollution in the three towns in Rio de Janeiro state;
 - c) the findings of the comparative studies in Minas Gerais and Buenos Aires;
 - d) the draft final report for the project; and,
 - e) the strategy for disseminating the results of the study and the final report to the Brazilian social science community and state and local environmental agencies and citizen organizations.
3. You should also discuss with the Project Coordinator an appropriate time for him to visit Washington in order to discuss the findings of the project with Bank staff.

4. You will return to headquarters on October 23rd, and write a brief Back-to-Office Report on the results of the Approach Paper consultations and the supervision mission for the Research Committee Project Grant.

cc and cleared with: Ms. M. Koch-Weser (LCSES)

cc: Messrs/Mmes. S. Salman (LEGSA); R. Hanan (MDOPS);
D. Gross, J. Lisansky, C. Moser, J. Uquillas (LCSES);
D. Wheeler (DECRG); S. Margulis (EDIEN);
D. Hanrahan (ENVDR); G. Ingram, C. Elsie, V. Mataac (DECRA);
C. Parel (LA1CO); J. Garrison, N. Soares (Brasilia Res. Mission)

Prof. Jose Sergio Leite Lopes
PPGAS/URJ, Brazil
Fax No: (55-21) 254-6695

OFFICE MEMORANDUM

DATE: October 13, 1998

TO: Mr. Shelton H. Davis, Lead Specialist, LCSES

FROM: ^{GD}
Gloria Davis, Director, SDV

EXTENSION: 82750

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- b) the results of the questionnaire survey in assessing variability in citizen attitudes toward the environment and industrial pollution in the three towns in Rio de Janeiro state;
- c) the findings of the comparative studies in Minas Gerais and Buenos Aires;
- d) the draft final report for the project; and,
- e) the strategy for disseminating the results of the study and the final report to the Brazilian social science community and state and local environmental agencies and citizen organizations.

3. You should also discuss with the Project Coordinator an appropriate time for him to visit Washington in order to discuss the findings of the project with Bank staff.

4. You will return to headquarters on October 23rd, and write a brief Back-to-Office Report on the results of the Approach Paper consultations and the supervision mission for the Research Committee Project Grant.

cc and cleared with: Ms. M. Koch-Weser (LCSES)

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D. Hanrahan (ENVDR); G. Ingram, C. Elsie, V. Mataac (DECRA);
C. Parel (LAICO); J. Garrison, N. Soares (Brasilia Res. Mission)

Prof. Jose Sergio Leite Lopes
PPGAS/URJ, Brazil
Fax No: (55-21) 254-6695

OFFICE MEMORANDUM

DATE: January 8, 1998

TO: Ms. Maritta Koch-Weser, Director, LCSES

FROM: Elsie Garfield, ⁶⁶Sr. Economist, LCSES

EXTENSION: 3-5007

SUBJECT: **Colombia: Natural Resources Management Program (Ln. 3692-CO, TF020818)
Magdalena Medio LIL
Statement of Mission Objectives**

1. From January 12 to 31, 1998, I will undertake a mission to Colombia to: (i) supervise the NRMP with the team indicated below from January 12 to 21; and (ii) to work with Jairo Arboleda of the Resident Mission to prepare the PAD for the Magdalena Medio LIL from January 26 to 30.

Natural Resource Management Program (Ln. 3692-CO) Supervision

2. I will lead a team composed of Phil Hazelton (LCCRF), Shelton Davis (SDV), Stefano Pagiola (ENVGC) and Andrew Howard (Consultant) to assess progress with Program implementation and to review the 1998 work program for the various components. An important output of the mission will be agreement on a set of monitoring and evaluation indicators which should include targets for the remainder of the Program. Three critical issues to be examined are: (i) whether progress made in implementation of several components which were identified during last January's Mid-Term Review (MTR) as being slow to start-up has been sufficient, and, if not, whether they should be reduced in scope or dropped from the Program; (ii) whether in view of the continued lag in disbursements (32% of loan amount disbursed as of December 31, 1997, though 50% has been committed) and new problems arising from the new budget norms introduced in 1997, part of the loan should be cancelled (in line with proposals in the Portfolio Improvement Plan); and (iii) whether issues concerning the land titling components being implemented by INCORA (see LCC4C Director's letter to the Minister of Environment of November 13, 1997) are being satisfactorily addressed.

3. In addition to my mission leadership responsibilities, I supervise the management aspects of the Program, with particular attention to: (i) reviewing the Coordinating Unit's plan of action for implementing the auditor's recommendations and arrangements for ensuring timely submission of the audit of the 1997 accounts; (ii) measures to be taken to strengthen the Unit's supervision and support to Implementing Agencies on procurement, and (iii) assessing whether problems arising from the 1997 budget norms pose significant risks for implementation in 1998 (discussions with Ministry of Finance and DNP). In addition, I will be responsible for review of the **Component to Strengthen the Regional Corporations in the Pacific Coast (A.6)** and the Ministry's proposals for Bank support of its strengthening.

4. The following paragraphs delineate specific responsibilities of each team member (within the broad parameters of para. 2 above) and, as appropriate, special issues of concern.
5. **Mr. Hazelton** will be responsible for supervising the **Parks and Buffer Zone Component** (Sub-Program C) financed by the Dutch Grant and the **Ecological Zoning Component** (A.2), and support Mr. Davis's work on the related components in the Pacific Coast. He will work on the **Parks Component** in collaboration with Ms. Klokkers of the Netherlands Embassy to: (i) follow-up on whether comments made by the Bank on improvements to the *Matriz Logica del Plan Objetivo General* and to the 1997 Operating Plan (POA) have been taken into account, particularly concerning the need to establish a few measurable performance and development impact indicators and the establishment of a system for monitoring them; (ii) assess implementation of the Plan; (iii) review the 1998 Operating Plan; and (iv) assess the need for financial resources during 1998 in order to provide timely information to the Netherlands Government. An issue of particular concern is the extent to which problems of insecurity and violence may affect implementation, and how the Parks Unit plans to manage this problem. Concerning the **Ecological Zoning Component** being carried out by IGAC, he will assess progress since the Mid-Term Review and review the proposed Operating Plan for 1998.
6. **Mr. Shelton Davis** will be responsible for supervising the **Indigenous and Black Community Land Titling Components** (A.4 and A.5) and the **Regional Committees Component** (A.7). The Bank expressed serious concerns about progress in these components in November (see letters of November 13 and 25). The Ministry has agreed to undertake an independent, rapid assessment (description of current status of components, analysis of the obstacles, and analysis of the participation of indigenous and Afro-Colombian communities and organizations) which would contribute to the preparation and agreement on an Action Plan for the remainder of the loan. The Plan will include specific measures to resolve the problems identified, and revised performance and impact indicators. An important part of the assessment will be consultation with the key stakeholders. This work is expected to take one month and was originally to be undertaken in December prior to the mission, but this proved impossible. Mr. Davis will consult with the two independent experts who began their work this week; he will participate in a two-day consultation with representatives of the indigenous and black communities which is expected to be held during the mission. He will draw some preliminary conclusions about the status of the three components, but will need to follow-up after the mission (probably mid-February) to review the conclusions of the independent experts and to evaluate the proposed Action Plan.
7. **Mr. Stefano Pagiola** will have primary responsibility for reviewing progress on the Study of the Incentives Framework for Watershed Rehabilitation/Management which is mid-way through phase one. In addition, he will work with Mr. Howard to assess progress under the **Watershed Rehabilitation Component** (Sub-Program B) and the

Forestry Policy Component (A.1), in the later case to help ensure that the economic aspects are adequately addressed.

8. **Mr. Andrew Howard** will have primary responsibility for reviewing progress on the following components: **Forestry Policy (A.1)**, **Environmental Monitoring (A.3)**, **University Education (D.1)**, **Training (D.2)**, **Forestry Research (D.3)** and **Studies for Preparation of New Projects (D.5)**. Several of these components (A.3, D.1, D.2) were identified for special scrutiny by the Mid-Term Review mission in January 1997 since they were just starting up and the implementing agencies had not shown strong capacity and commitment. The Bank indicated to the Government at the MTR that based on performance of these components during 1997, their scope would be adjusted (including consideration of dropping the component and canceling the loan funds). Mr. Howard will assess the performance and recommend how to proceed for each of these components. Concerning the **Forestry Policy** component, particular attention should be paid to the Ministry's capacity to coordinate and supervise the analytical work underway, the quality of the studies, and the impact (i.e. utilization of the results for definition of policy and regulations). A preliminary draft of the Forestry Action Plan, a key output of this component, would be reviewed during the mission. Concerning **Component D.5**, a key concern is the number and utility of the studies being undertaken and the capacity of the Ministry to adequately supervise them.

9. **Mission Outputs:** I will coordinate preparation of the Aide Memoire in the field. Each mission member will assist in preparing the aide memoire by doing a short write-up of his main conclusions and recommendations. Upon completion of the mission, each team member will prepare a short report which should be submitted to me no later than January 30. I will prepare the full supervision report upon my return to Washington.

Magdalena Medio LIL Preparation

10. I will work with Jairo Arboleda to prepare the draft PAD in consultation with the Consortium CINEP-SEAP as appropriate. I will review with the Consortium and Task Team, progress in preparation particularly the design of the M&E system, and the steps required to secure loan approval and start-up within the next few months. Upon return to Washington, I will complete the draft PAD.

Reviewed by: J. Parker, LCSES

Distribution:

Messrs./Mmes. Solimano, Yuravlivker, Niforos (LCC4C); Wiens, M.E. Castro, van Nieuwkoop, T. Serra, Alderman, Calaug (LCSES); Cucullu, Nino (LEGLA); Abousleiman, Balchun (LOAEL); Rudqvist, S. Davis, G. Davis (SVD); Dixon, Pagiola (ENVGC); Hazelton (LCCRC); Saez, Arboleda, Cuellar, Gomez, Laverde, Buenaventura (LCCCO); Eduardo Figueroa (IDB-Washington); Joel Korn (IDB-Bogota); Ms. Klokkers (Netherlands Embassy, Bogota); A. Howard (Canada); IRIS3, Division and Chron Files.

THE WORLD BANK/IFC/M.I.G.A.

OFFICE MEMORANDUM

DATE: October, 24, 1997

TO: Gloria Davis, Director SDV and Robert Watson, Director, ENV

FROM: *S/D* Shelton Davis, SDV and *SM* Sergio Margulis, ENV

EXTENSION: 33413 and 33238

SUBJECT: **Seminar on "Public Involvement in Industrial Pollution Control in Brazil and Argentina"; Rio de Janeiro - October 15-17, 1997**

1. We participated in the above Seminar which was organized by the Post-Graduate Program in Social Anthropology, Federal University of Rio de Janeiro (PPGAS/UFRJ), and held at the National Museum in Rio de Janeiro. The purpose of the Seminar was to review progress to date on the above Research Project financed by a two-year Research Committee Grant to the Environment and Social Development Departments.

2. Participants in the Seminar included researchers from the PPGAS/UFRJ, led by Prof. Jose Sergio Leite Lopes; the President of Minas Gerais State Environmental Agency (FEAM), Dr. Mauricio Andres Ribeiro; former Vice-President of Rio de Janeiro Environmental Agency (FEEMA), Dr. Victor Coelho; two representatives of the Latin American Faculty for Social Sciences (FLACSO) in Buenos Aires, Drs. Hector Poggiese and Ricardo Rosendo; and a political scientist from the Instituto de Estudos da Religião (ISER), Dr. Leandro Piquet Carneiro.

3. The Seminar reviewed progress made in the research project to date, including a discussion of the seven research hypotheses (or theses), which form the basis of the project (see attachment). It also included a detailed discussion of the preliminary findings of the three community case studies in Rio de Janeiro State (Volta Redonda, Angra dos Reis and Itaguaí); an overview of the studies which will be conducted in three industrial towns in Minas Gerais State (Sete Lagoas, Betim and Nova Lima); and several potential areas for investigation in Buenos Aires (including a petrochemical complex in the river La Plata, the COPETRO coke plant in Southern Buenos Aires, and Pilar, an expanding industrial and suburban area in Northern Buenos Aires).

4. The rich discussion which took place at the Seminar highlighted three major points which could potentially contribute to the Bank's work in the industrial pollution control area. The first point concerns the complexity of the concept of "informal regulation", which as a result of the work of the DEC/Environment group is receiving increased

attention among industrial pollution specialists at the Bank (see recent article by Pargal et al, in the September 1997 World Bank Economic Review).

5. The DEC research on informal regulation indicates that socioeconomic variables such as income, education and labor dependency largely explain both the demand for environmental quality and the actual environmental outcomes. However, it does not provide, nor was it intended to provide, insight into the sociological processes through which citizens and communities demands for improved environmental services actually unfold. For example, the research being conducted in Rio indicates that communities have different perceptions of "environmental risks", which may in fact be as much determined by the past histories of their relations with industry as by their actual exposure to physical pollutants (see hypotheses 1 and 3). In this sense, citizen and community response to industrial pollution is determined both by socioeconomic characteristics and by cultural perceptions of risk.

6. A second and related point concerns the factors which trigger community and citizen action. Again, the Rio studies so far indicate that *spontaneous public responses to industrial pollution is relatively short lived and ineffective*. Such responses become effective when intermediary groups such as environmental NGOs, professionals, labor unions, etc., ally with local activists to promote the resolution of pollution concerns by bringing them to the attention of the media, parliamentarians, and State environmental agencies (see hypothesis 5). It is also clear from the Rio study that the sustainability of such efforts is problematic, to the degree that these efforts become enmeshed in local and State politics.

7. Finally, the study also suggests that the sustainability and effectiveness of these citizen and community actions are in large measure determined by State environmental policies and programs. For example, it is clear that the Rio environmental system was not designed for widespread citizen participation in the identification and control of industrial pollution problems; on the other hand, in Minas Gerais there is more than 20 years of experience in incorporating a broad spectrum of stakeholders into the environmental regulation and management processes. The next stage of the study will provide an in-depth comparison of differences between Rio and Minas in terms of State, industry and civil society interactions in the environmental arena.

8. These comparative studies should provide greater insight into the types of instruments which are available for promoting shared-responsibility for the control of industrial pollution control problems. For example, both the Rio and Minas studies will provide information on the relative effectiveness of municipal and State environmental councils and on the use of different types of agreements among State agencies, polluting industries and municipal governments (see hypothesis 7).

9. The Seminar also discussed follow-up activities, including the design of a questionnaire survey to measure local attitudes and perceptions of pollution, further field research in Rio and Minas, and the potentiality for funding more in-depth studies in Buenos Aires. Conversations were conducted with the Ford Foundation office in Rio,

which has recommended a grant of US\$ 150 Thousand to continue with the Rio and Minas studies after the Bank's Research Committee Grant ends. Contacts are also being made with the Southern Cone office of the Ford Foundation to finance the Buenos Aires community case studies.

10. Since the Seminar we have also met with Laura Tlaiye who is responsible for the studies component of the Argentine Environmental Project now being prepared. She has expressed an interest in conducting a questionnaire survey on local attitudes to industrial pollution control issues similar to those which will be conducted in Brazil.

11. The next Supervision mission for the research project will be in April at which time the questionnaire surveys will be carried out and a series of interviews will be conducted with senior management of the industries involved.

c.c: Messrs/Mmes: Johnson, Hanrahan (ENV), Wheeler, Pargal (DECRG), Ingram, Else, Mataac (DECRA), M.Koch-Weser, Mahar, Partridge, Moser, Tlaiye, Manibog, Gross, Redwood (LCSES), Parel, von Amsberg (LA1CO), Ackermann (ASTEN).

Mr. Jose Sergio Leite Lopes
FAX: 55-21-254-6695

Public Involvement in Industrial Pollution Control
in
Brazil and Argentina

Research Hypotheses and Theses

1. Local public concern for industrial pollution will most likely occur where there is close physical proximity to the source of the pollution and persons can readily identify these sources through sight, smell, taste, disease or some other physically experienced condition.
2. Under certain socio-economic conditions, people may be willing to accept or tolerate higher levels of pollution because of their poverty or greater dependency for jobs or other amenities (local taxes, housing, sponsoring of community activities and sports, etc.) provided by the sources of the pollution.
3. Local concepts of "pollution" and "risk" are socially and culturally constructed, will vary by occupation (fishermen, farmers, industrial workers) and gender (men and women), and may often be expressed or embedded in other private or public concerns about "social status," "social identity," "social inequality," "political power," or "social injustice."
4. Under the specific socio-economic circumstances of developing countries (widespread poverty and relatively weak "middle class" institutions), collective action on behalf of improved industrial pollution services is more likely to be generated through already existing associations (e.g., labor unions, neighborhood associations, farmers and fishermen's groups, etc.) than through new environmental groups or movements.

5. **The emergence and maintenance of these local community and citizen activities against industrial pollution will in large measure depend upon the presence of "intermediary institutions" (NGOs; public health, legal and other scientific professionals, etc.) who can assist local people in understanding the technical aspects of pollution issues and bring their concerns to the attention of public authorities.**
6. **[In the absence of effective state pollution control agencies], local communities and citizen groups will look toward other institutions (e.g., Public Defenders Offices, municipal authorities, parliamentarians, the media, etc.) to bring pressure upon government agencies to resolve their pollution complaints and problems.**
7. **State and municipal environmental agencies could improve their institutional capacities and performance through forming "negotiated agreements" or other types of formalized "partnerships" with local communities and citizen groups for purposes of joint pollution control and management. Greater access to and sharing of environmental information between government agencies and citizen groups may be one of the most effective tools in sustaining such agreements and partnerships.**

OFFICE MEMORANDUM

DATE: May 6, 1997

TO: Shelton H. Davis, Principal Sociologist, ENVSP

FROM: ^{GD} Gloria Davis, Chief, ENVSP

EXTENSION: 82750

SUBJECT: **Brazil: Public Involvement in Industrial Pollution Control in Brazil and Argentina (Terms of Reference)**

1. On May 11, 1997, you will travel to Rio de Janeiro and then to Buenos Aires to supervise the Research Committee-funded study on the above topic. The major purpose of your mission will be to review progress which has been made in implementing the study since your last mission to Brazil in November 1996. In carrying out your mission, you will work closely with the Principal Investigator Professor Jose Sergio Leite Lopes and the research team from the Post-Graduate Program in Social Anthropology, Federal University of Rio de Janeiro (PPGAS/UFRJ).

2. Among other activities, you will:

- a) review the results of the initial field investigations in the three Rio de Janeiro communities, focusing particular attention on hypothesis testing concerning the nature and determinants of community involvement in the identification and resolution of industrial pollution control issues;
- b) assess progress being made in the design of the citizen complaints study at FEEMA and the Public Ministry in Rio de Janeiro;
- c) assist in the preparation of Terms-of-Reference for the questionnaire survey to be conducted in the three Rio de Janeiro communities;
- d) assist in the preparation of the Terms of Reference for the bibliographical study to review Brazilian state and civil society participation in industrial pollution issues;
- e) assist in the preparation of the Terms-of-Reference for the comparative community studies in Minas Gerais and Buenos Aires (see paras 3 and 4 below); and,
- f) discuss with the Principal Investigator the structure and content of the year-end progress report on fund disbursements, initial research findings and research plans for the next fiscal year, which is due at the Bank by June 15, 1997.

3. In discussions with Mr. Margulis (ENVPE), one of the Project Advisors, it has been recommended that one of the Brazilian comparative community studies be conducted in the state of Minas Gerais rather than Sao Paulo. One of the reasons for this is because of current Bank-sector work on industrial pollution issues being conducted in Minas Gerais. Another reason is because of the relatively new sorts of industry being sited in Minas Gerais, and the innovative program of citizen and municipal participation in environmental matters being undertaken in that state.

4. Based on the above, you will spend one day of your mission visiting Belo Horizonte and consulting with the President of the Minas Gerais Environmental Foundation (FEAM) about possible collaboration with the study. On May 18, you will also travel in the company of the Principal Investigator to Buenos Aires, to consult with Argentine researchers who may collaborate with the study. Following these two trips, you will develop the Terms-of-Reference for the comparative community studies to be carried out under the project.

5. On return to headquarters, you will write a brief report describing progress being made in the study, as well as activities planned for the next fiscal year.

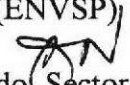
cc: Messrs./Mmes.: Steer (ENVDR); Hanrahan, Margulis (ENVPE);
Wheeler, Pargal (PRDEI); Else, Ingram (RAD);
Manibog, Tlaiye, von Amsberg (LA1ER); Parel (LA1CO);
Mahar (Resident Mission, Brasilia)

Mr. Leite Lopes, Principal Investigator (PPGAS/UFRJ) - by fax

OFFICE MEMORANDUM

DATE: October 17, 1996

TO: Shelton Davis (ENVSP)

FROM: Theodore Nkodo,  Sector Leader, Agriculture and Environment, LAMXC

EXTENSION: 35079

SUBJECT: **Industrial Pollution Prevention Economic and Sector Work (ESW) and GEF Project Mission to Mexico City, October 21-24, 1996**

1. You will travel to Mexico City on or about October 21 for a period of four days. The objective of your mission will be to (1) review the TORs for the Indigenous Peoples Development Plan for the GEF project and (2) carry out some exploratory work in the social communications area under the industrial pollution prevention ESW. Further details of each of these is given below.
2. GEF Project. You will consult with Mr. Nahmad in the Mexico Office on the TORs for the Indigenous Peoples Development Plan for the GEF Project, and report to Mr. Demayo on any queries or comments you have on these TORs.
3. Industrial Pollution Prevention ESW. You will meet with SEMARNAP officials to discuss and find out their priorities in the social communications area relating to Industrial Pollution Prevention, as well as to inform them of some of the work the Bank is doing in this area in other countries. You will also meet with INE officials to discuss the possibility of including a social component in the Guadalajara Environmental Management Systems pilot. Paul Martin and Saloman Nahmad from the Mexico Office will accompany you at these meetings.
4. On your return to Washington DC you will submit a Back-To-Office Report with your findings relating to the Industrial Pollution Prevention ESW.

CC: Messrs./Mmes. Lafourcade, Hamann, Nahmad (LAMXC); G. Davis (ENVSP); Kimes (ENVGC); Baxter, Ahmed, Demayo, Gianella, Martin (LASLG).

KAhmed/KA

OFFICE MEMORANDUM

DATE: April 8, 1996

TO: Shelton H. Davis, Princ. Sociologist, ENVSP

FROM: Gloria Davis, ^{GO}Chief, ENVSP

EXTENSION: 82750

SUBJECT: **Brazil: Community Involvement in Industrial Pollution Control (Terms of Reference)**

1. On April 15, 1996, you will travel to Brazil to begin a ten (10) day mission the purpose of which will be to supervise work being conducted by researchers at the Post-Graduate Program in Social Anthropology (PPGAS/ UFRG) on the above topic. The research is being financed as part of a Research Preparation Grant (RPG) to ENVSP under detailed Terms-of-Reference prepared during your previous mission to Brazil in December 1995.
2. The first three days of your mission will be spent in Sao Paulo with Messrs. Wheeler, Afsah and Witzel (PRDEI) at the offices of CETESB briefing state pollution officials about the nature of the research being conducted in Rio de Janeiro state. Specifically, you will discuss with CETESB the possibilities of extending to Sao Paulo state the model of complaint analysis and community involvement in pollution control being developed by the PPGAS/UFRG researchers and FEEMA in Rio de Janeiro.
3. On April 19th, you will travel to Rio where you will review with the PPGAS/UFRG researchers and their counterparts in FEEMA progress being made in the study. Specifically, you will review the results of preliminary field research, the process of hypothesis formulation, the typology of citizen complaints and cases, the sampling procedures to be used, and the interview schedules and questionnaires designed for the research. You will also discuss with the research team budgets, timetables, and institutional partnerships and responsibilities for the continuing research, including comparative work in Sao Paulo state.
4. At the end of your mission, you should have a draft Research Proposal prepared for submission to the Research Advisory Staff (RAD) and Committee. The draft Research Proposal will serve as your Back-to-Office Report.

cc: Messrs./Mmes: Gross, Tlaiye, von Amsberg (LA1ER); Wheeler, Afsah, Witzel (PRDEI); Ingram (RAD); Redwood (ENVLW); Mahar (Resident Mission, Brasilia); Leite Lopes (Consultant, PPGAS/UFRG, by fax); ENVSP Files

OFFICE MEMORANDUM

DATE: January 11, 1996

TO: Mr. Shelton H. Davis, Princ. Sociologist, ENVSP

FROM: ^{GD} Gloria Davis, Chief, ENVSP

EXTENSION: 82750

SUBJECT: **Copenhagen: Terms of Reference for Seminar on
Indigenous Peoples Production and Trade (Jan. 15-17, 1996)**

1. On January 14, 1996, you will fly to Copenhagen, Denmark to participate in the above seminar organized by the Nordic Council of Ministers, the Greenland Home Rule and the Danish International Development Agency (DANIDA) as part of the UN's International Decade of the World's Indigenous Peoples. At the seminar, you will present the attached paper titled "Investing in Latin America's Indigenous Peoples," which describes Bank-supported efforts to strengthen the human and social capital of the LAC region's indigenous population.

2. You will remain in Copenhagen for an extra day on January 18, to meet with representatives of DANIDA and discuss possible areas of collaboration with the Bank in work relating to indigenous peoples and development.

3. On return to headquarters, you will write a brief report describing the highpoints of the seminar.

attachment:

cc: Messrs./Mmes.: Steer, Cernea (ENVDR); Partridge, Martinez, Uquillas (LATEN);
Schaengold, del Castillo (ASTHR); Fisiy (AFTES);
Peabody (EMTEN); Martin-Brown (ESDVP);
Aronson, Bebbington, Soeftestad (ENVSP)

Investing in Latin America's Indigenous Peoples: The Human and Social Capital Dimensions

by

**Shelton H. Davis and Harry Anthony Patrinos¹
The World Bank
Washington, D.C.**

Introduction

In an article published in March 1994, the Nobel Laureate economist Gary S. Becker, citing the Indian rebellion which had just taken place in Chiapas, Mexico, stated, "Third World nations that neglect the education, training and health of the poor perpetuate divisions that may tear apart their social fabric." Becker's statement is particularly germane, because it was made during the same year that the Presidents of the countries of the Western Hemisphere were planning to meet in Miami for the Summit of the Americas, and the United Nations was about to launch its International Decade of the World's Indigenous Peoples. It was also made just a year before the World Summit on Social Development. Although not planned to coincide with each other, each of these events poses a similar question: Just how much will governments and the international community include indigenous peoples in their social and economic development plans for the coming century?

¹ The authors are respectively Principal Sociologist (Environment Department) and Economist (Human Development Department) at the World Bank. The article was originally written for the Nordic Council of Ministers "Seminar on Indigenous Peoples Production and Trade" held in Copenhagen, Denmark on 15-17 January, 1996. The views expressed in the article are those of the authors and should not be attributed to the World Bank.

This question is particularly important for a number of Latin American countries where indigenous peoples comprise a large segment of the national population. Although all figures on indigenous populations are biased and criteria of identification (language, self-identification, community of residence, etc.) vary, according to some estimates, there are over 40 million indigenous people in Latin America, or about 8 percent of the region's population. Mexico has the largest indigenous population in the Americas, with over 12 million people. In neighboring Guatemala, there are about 4 million indigenous people, speaking 22 distinct Mayan Indian languages. More than half of Bolivia's 7 million people speak an indigenous language; while Peru has 9.1 million indigenous inhabitants (40.8 percent of its national population), and Ecuador has 3.1 million indigenous people or 29.5 percent of the population.

A 1994 World Bank study, *Indigenous People and Poverty in Latin America*, demonstrates that indigenous peoples are more likely than any other group of a country's population to be poor. A person in the World Bank study was considered to be "poor" if his or her income was less than \$2 per day. While the incidence of poverty is high throughout Latin America, it is particularly severe and deep among the indigenous population, whether they live in remote rural areas or on the fringes of the region's growing cities. In Bolivia, more than half of the total population is poor, but over two-thirds of the indigenous population is poor. In Guatemala, over two-thirds of the national population is poor, compared with 90 percent of the indigenous population.²

² George Psacharopoulos and Harry Anthony Patrinos, *Indigenous People and Poverty in Latin America: An Empirical Analysis* (Washington: World Bank, 1994).

These poverty statistics are correlated with a striking lack of access to essential social services. For example, in Peru, indigenous people are more likely to become ill than are non-indigenous people, but they are much less likely to have access to or consult a physician. Perhaps as a result of poor initial health conditions, or as a result of neglected treatment, the duration and severity of illness is greater among the indigenous population. The proportion of indigenous people hospitalized is almost twice that in the Spanish-speaking population. Although the average cost of both hospitalization and medicine is less for indigenous people, only 57 percent of indigenous people purchase medicine for their illnesses, as compared to 81 percent of the non-indigenous population.

The study also indicates that there is a strong correlation between lack of schooling, being indigenous and poverty. The indigenous population possesses considerably less schooling at all levels from primary education through secondary school and universities. The comparative statistics on literacy and schooling between indigenous and non-indigenous persons are particularly revealing:

- In *Guatemala*, the majority of indigenous people have no formal education and of those who do, the majority have only primary education. On the average, indigenous people have only 1.3 years of schooling and only 40 percent are literate. Mayan-speaking children, if they do attend school, are more likely to repeat grades at the primary level and are more likely to drop out of school altogether.

- In *Bolivia*, the schooling levels of indigenous people are approximately three years less, on average, than for non-indigenous individuals. The differences are even greater for indigenous females, suggesting that they are the most disadvantaged group in Bolivian society.
- In *Peru*, non-indigenous people have 20 percent more education than do indigenous people. Not only is the indigenous population less educated and less literate than the Spanish-speaking population, but it also lags behind in terms of training. Differences in educational levels of indigenous and non-indigenous individuals are substantial. Only 40 percent of indigenous heads-of-household have education in excess of primary schooling. In contrast, 41 percent of Spanish-speaking heads-of-household have some secondary school education, and 22 percent have some post-secondary education. But, only 6 percent of indigenous heads-of-household have some post-secondary education.
- Finally, in *Mexico*, access to formal education for Indians has expanded in recent years. Nevertheless, educational levels remain significantly higher in areas with non-indigenous as compared to indigenous populations. Illiteracy continues to be a serious problem of some states, especially those such as Chiapas which have large numbers of indigenous people. The rate of illiteracy increases for both males and females as the percentage of *municipio* indigenous population rises. The disparity is greatest, however, in the female sub-sample, where the illiteracy rate is more than four times greater in the "high" indigenous municipio category than in the "low" one. In addition, the gender disparity in the illiteracy rate increases as the municipio indigenous percentage increases. Overall, school enrollment rates are much higher in non-indigenous areas than in indigenous ones.

Lost Opportunities and New Hopes

Beyond their human implications for the indigenous peoples involved, these statistics indicate a series of lost opportunities for the national economies in terms of the development and use of these countries' human capital. But the results also show that policy makers can help indigenous peoples improve their situation by strengthening their human capital. Policies to reduce the educational gaps between indigenous and non-indigenous persons (e.g., bilingual education programs which are demonstrated to improve student achievement) could make a large dent in earnings differentials and lead to considerable decline in poverty among indigenous peoples. They can also contribute to the wider productive performance of the region's national economies and lower the social tensions in their polities.

The study also documents that equalization of income-generating characteristics would boost the productivity of the indigenous population in their market and non-market activities and lead to a considerable reduction in inequality and poverty. This suggests that the socioeconomic conditions of indigenous peoples can be improved since policy-influenced variables such as education are largely responsible for observed earnings differences. This unrealized potential provides hope for the future.

Another hopeful sign is the strong social and cultural bonds among indigenous peoples. The past two decades have witnessed the growth of a vast network of grassroots indigenous organizations throughout Latin America. In almost all countries where there are significant indigenous populations, younger and more educated Indians--many of them originally educated in

government, church or NGO-sponsored bilingual education programs-- are reaffirming their indigenous cultural roots and identities, and using them to form new ethnic organizations and federations. The platforms of these new indigenous organizations are based upon combating negative attitudes toward indigenous people, participating in local decision-making and development policies, asserting indigenous languages and cultures, and most important maintaining control over indigenous lands and natural resources.

The growth of these organizations is often seen as a threat to traditional power structures and ways of doing things in Latin America. However, from an economic and sociological point of view, this phenomena can be looked at as a form of *social capital* which, along with improvements in human capital generated through greater access to education, health care and other vital services, could become one of the major engines of poverty alleviation and sustainable development in Latin America.³

Investing in the human and social capital of indigenous peoples, within a framework of respect for their cultures and identities (what in Latin America is termed *desarrollo con identidad* or "ethno-development"), is one of the major challenges facing governments of the region and the

³ Shelton H. Davis and William Partridge, "Promoting the Development of Indigenous People in Latin America," in *Finance and Development*, Volume 31, Number 1, March 1994, pp.38-40. The idea of looking at the growth of these indigenous organizations as a form of social capital, intricately related to the growth of human capital, is taken from the theoretical writings of University of Chicago sociologist James S. Coleman. See, specifically, his article, "Social Capital in the Creation of Human Capital," *American Journal of Sociology*, Volume 94, 1988, pp. 95-120.

international donor community. It should also be one of the major agenda items and goals of the UN's International Decade of the World's Indigenous Peoples.

In the remainder of this essay, we look in more detail at two aspects of this investment challenge in Latin America: first, at several investments being made by the World Bank in bilingual education programs for indigenous peoples; and, second, at a recent World Bank initiative to support a series of technical assistance and capacity-strengthening programs for indigenous organizations. Both of these initiatives are attempts to support the strengthening of the capacity of indigenous people to participate in the rapidly changing economies of Latin America. These programs demonstrate that well-planned and targeted investments by national governments and international agencies can provide indigenous peoples and their organizations with the necessary skills and training to participate as both productive individuals and distinct social and cultural entities in their wider economies and societies. They also provide important lessons for other regions of the world where there are large concentrations of indigenous peoples living in similar conditions of poverty and social marginalization.

Investing in Indigenous Education

As far back as the early 1960s, economists such as T.W. Schultz and Gary Becker suggested that human capital factors, and especially education, play a significant role in explaining income differentials between persons. The human capital theory posits that if a person has more years of schooling or training, he or she will receive higher rewards later in life in terms of earnings as compensation or return on past investment. Since its initial formulation, the human capital

theory has been extensively tested, not only in industrial countries such as the United States, Canada and Europe, but also in more than 60 countries throughout the world where data exist on earnings, education and labor market experience.⁴

More recent research has applied the human capital theory to racial and ethnic groups, beginning first with black/white educational and economic differences in the United States and over time extending the analysis to other racial and ethnic groups and countries. This has included several studies of schooling, wages and job experience of Native American populations in the United States and Canada, aboriginal populations in Australia and the Maoris of New Zealand. While there is little doubt that factors such as labor market discrimination based on ethnicity do play a role in explaining differences in income levels between indigenous peoples and other more dominant national populations, access to schooling and training continue to be significant factors in explaining group differences and outcomes.

The World Bank study cited previously reviews this literature and, for the first time, extends the analysis to household-level data on earnings, job experience and educational background of indigenous and non-indigenous people in four Latin American countries: Bolivia, Guatemala, Mexico and Peru. This study, as mentioned previously, found that indigenous people have much lower levels of literacy and schooling relative to the non-indigenous populations in all

⁴ For background, see: G.S. Becker, *Human Capital* (Washington: National Bureau of Economic Research, 1964; second edition, 1975); J. Mincer, *Schooling, Experience and Earnings* (New York: Columbia University Press, 1974); and, T.W. Schultz, "Investment in Human Capital," *American Economic Review*, 51 (1), March 1961. Also, G. Psacharopoulos, "Returns to Investment in Education: A Global Update," *World Development*, 22 (9), September 1994.

four countries. However, the study also found that equalization of school attainment would result in a considerable increase in relative earnings. "Much of the earnings disadvantage of indigenous workers," the study concludes, "is due to lower human capital endowments. While the monetary benefits of schooling are lower for the indigenous population, an increase in schooling levels would lead to a significant increase in earnings in all countries except Peru. The relative magnitude, however, differs from country to country."⁵

While increased investment in the education of indigenous people as a means of increasing household incomes and reducing poverty is the major policy recommendation in the 1994 World Bank study, it is less clear from this analysis how to improve the *quality* of indigenous education. The study, for example, notes that in all of the countries under investigation, indigenous children have higher rates of grade repetition and dropouts than non-indigenous children. Furthermore, as already mentioned, there are also wide disparities between the schooling experience and educational attainment of indigenous boys and girls.

Recent work indicates that bilingual and inter-cultural educational programs are having some success in improving the quality of indigenous education in Latin America. Specifically, in such countries as Bolivia, Ecuador, Guatemala, Mexico, Peru and Paraguay several pilot programs have been carried out (some of them with the support of international donors) which are having positive effects on the quality of education being provided to indigenous children, especially in the

⁵ See, Psacharopolous and Patrinos, 1994, p. 212. Also, by the same authors, "Reducing Poverty in Latin America Among Indigenous People: An Enhanced Role for Education," in *Prospects*, Vol. XXV, No. 1, March 1995, pp. 121-131.

primary grades where mother-tongue literacy is vital to learning and competency in both the vernacular and national languages. Some innovative work is also taking place in the development of curricular materials in indigenous languages and in the use of radio instruction as ways to reach indigenous students in remote areas.⁶

A major challenge facing all of these bilingual education programs is how to "scale-up" from essentially experimental or pilot programs to programs which will have a national impact, covering a larger number of indigenous communities and language groups. For example, Guatemala's National Bilingual Education Program (PRONEBI), sponsored by the US Agency for International Development (USAID), still only covers 4 of the country's 22 ethno-linguistic groups (albeit those with the largest number of indigenous speakers) and as of 1992 only reached 15 percent of the Mayan-speaking, school-age population. Similarly, in the Andean countries, while efforts are now underway to increase the scope and outreach of bilingual education, such programs are still only reaching a minority of indigenous children and are described in the literature as still being at the pilot or developmental stage. There is also a significant deficit of didactic materials in the vernacular languages. Such materials are needed from initial literacy training through primary school and into the secondary-school curricula.

The World Bank is working closely with national counterparts and international agencies such as UNICEF to improve the coverage of schooling for indigenous children, e.g., in school-

⁶ See, S.M. Cummings and Stella Tamayo, *Language and Education in Latin America: An Overview* (Washington: The World Bank, Human Resources Development and Operations Policy Working Paper, May 1994).

building programs associated with various Bank-financed Social Investment Funds directed at poverty areas. It is also supporting, through its educational lending portfolio, investments in bilingual teacher-training, textbook production, curricula development, institutional strengthening and vocational training. Current educational projects financed by the Bank which include strong bilingual education components exist in Bolivia (two projects), Guatemala, Honduras, Mexico (two projects), Paraguay and Peru. The Mexico Second Primary Education Project, which is among the Bank's largest educational loans, extends the experience learned in strengthening indigenous educational programs in four of Mexico's poorest states (Chiapas, Guerrero, Hidalgo and Oaxaca) to ten other states. The project includes the production of language textbooks for Children's Reading Corners in 17 native languages spoken by the major ethnic groups in the project area.⁷

While it is still too early to judge what effects these bilingual education programs will eventually have on the earnings, employment opportunities and general welfare of the indigenous population, they have been well received by indigenous school teachers and other pedagogical experts, parents and, most important, Indian children. There is also a strong awareness among indigenous professionals and educational policy makers that girls as well as boys must be served by such programs and that indigenous children must be provided with linguistic, cultural and other skills to participate in both their own local communities and the wider national economy. This is

⁷ See, Staff Appraisal Report, *Mexico: Second Primary Education Project* (Washington: The World Bank, Country Department II, Human Resources Operations Division, Latin America and the Caribbean Region, March 1994). The project will expend US\$412 million over a seven-year period, of which US\$138 million will be covered by the World Bank loan.

particularly true, given that large numbers of rural indigenous people in Latin America are migrating to cities, but still maintain close social and cultural ties with their villages of origin.

Strengthening Indigenous Organizations

Along with these bilingual education programs which have a national focus, the World Bank has also been investing in an innovative technical assistance and capacity-strengthening program for indigenous organizations in Latin America. The idea for this program arose from a series of inter-agency workshops which the World Bank's Latin America and Caribbean Region Environment Unit (LATEN) co-sponsored with several other international agencies as part of the International Year of the World's Indigenous Peoples. The first of these workshops was held in Washington in March 1993 and included, along with the participation of representatives of the World Bank, representatives from the Inter-American Development Bank (IDB), International Fund for Agricultural Development (IFAD), International Labor Organization (ILO), and the United Nations Economic Commission on Latin America and the Caribbean (ECLAC). A follow-up workshop was held in Washington in September 1993 and included, along with the other agencies, the participation of the newly formed Hemispheric Indigenous Peoples Fund (Fondo Indigena) in La Paz, Bolivia, and representatives of nearly a dozen Latin American indigenous organizations.⁸

⁸ See, Jorge E. Uquillas and Jean-Carlo Rivera (editors), *Indigenous Peoples and Development in Latin America* (Washington: The World Bank, LATEN Dissemination Note # 8, December 1993).

One of the major conclusions of these workshops was the need for greater investment on the part of international agencies in strengthening indigenous organizations. Such investment, it was argued, would enable these organizations to take a more active role in the design, management, monitoring and evaluation of development projects. Specifically, the workshops recommended that it was necessary to train the leaders of indigenous organizations, as well as the representatives of their affiliate grassroots organizations and communities, in the following:

- (1) to prepare and manage strategies for indigenous development, institutional and administrative development, and participation in public service and local government;
- (2) to obtain managerial training in such areas as finance and accounting, selection and contracting of consultants, and, the administration, evaluation and control of development programs; and,
- (3) to encourage the exchange and sharing of experiences among indigenous organizations about self-identified issues and themes; to put them in contact with other actors in the development process; and, to support an ongoing relationship among indigenous organizations and the development and donor communities.

In general, the workshops highlighted the expressed need of indigenous organizations for increased technical skills and institutional strengthening to actualize their collective desire for local-

level economic development but within a framework of cultural identity, autonomy and self-determination.⁹

LATEN responded to this need by initiating a series of indigenous technical assistance and capacity-strengthening programs which have now been completed or are currently under implementation in eight Latin American countries: Chile, Bolivia, Mexico (completed programs), Guatemala, Ecuador, Costa Rica, Colombia and Nicaragua (to be implemented in 1996). These programs have been carried out with funds provided by the World Bank's Institutional Development Fund (IDF) -- a preinvestment, institutional-strengthening grant facility -- and a Trust Fund of the Swedish International Development Agency (SIDA). Funding for each of the country programs is in the range of US\$100,000 to \$200,000, and total funds allocated to the overall program to date amount to US\$1.4 million, including a \$200,000 grant to the Hemispheric Indigenous Peoples Fund to carry out a series of case studies on successful experiences in indigenous development.

From the beginning, the program has collaborated with the Hemispheric Indigenous Peoples Fund, national government agencies, and participating indigenous organizations. In fact, one of the major objectives of the program is to ensure that indigenous peoples participate fully in

⁹ For an interesting study of how indigenous organizations in Ecuador are becoming increasingly involved in grassroots development activities, see, Anthony Bebbington and Galo Ramon (editors), *Actores de una Decada Ganada: Tribus, Comunidades y Campesinos en la Modernidad* (Quito: Comunidec, 1992).

the establishment of national training program objectives and in the design, implementation, monitoring and evaluation of all training program activities.

Evaluations carried out of the three completed programs to date indicate that their objectives are being achieved in terms of providing specific skills to indigenous peoples and institutionally strengthening both their organizations and collaborating government agencies. In Chile, for example, the training program was designed by the government's Special Commission on Indigenous Peoples (CEPI) in collaboration with Mapuche, Aymara and Atacameno indigenous organizations. Over 120 indigenous leaders were trained by the program in such thematic areas as ethno-development, project design and evaluation, organizational development, negotiation skills, indigenous laws and the role of women in development.

The Bolivian program was also a collaborative effort of the recently- established Secretary of Indigenous and Ethnic Affairs and participating regional indigenous organizations. As part of the program, 100 indigenous leaders were trained, mainly from Aymara and Quechua-speaking organizations and communities. The program used a "learning by doing" approach and included both theoretical discussion and field experience and practice. At the end of the program, each participant carried out a diagnostic study of the development needs of his or her community and produced a project proposal to address the main problems detected. Themes covered in the course included analysis of socio-economic conditions of indigenous communities, project planning and evaluation, organizational management and negotiation.

Finally, the Mexican program focused specifically on training indigenous leaders from organizations and communities involved in forestry and natural resource management. The program took a "training of trainer" approach and included representatives of indigenous forestry organizations from different regions and ethnic backgrounds (Tarahumaras, Tepehuanos, Huicholes, Purepechas, Nahuatls, Otomis, Mazahuas, Mixtecos, Zapotecos, Chinantecos and Mayas). Main themes covered in the program included: (a) participatory rural appraisal techniques, organizational development and management of public services at the local level, and; (b) development of project proposals for the management of natural resources, using an approach called "Strategic Planning for Community Development" (SPCD). The most important result of the training program was the improved technical, administrative and organizational ability of indigenous communities to solicit and administer funds directly from international agencies and the national and local governments. A follow-up training program is now being implemented in Mexico, targeted specifically at indigenous women.

A major consequence of the training programs has been to change the attitudes and improve the institutional capacity of collaborating government agencies to work in partnership with indigenous organizations and communities. In the Mexico program, for example, funds were channeled directly from the World Bank's IDF program through the Treasury and Public Credit Secretary to the indigenous community (Nuevo San Juan) which organized the forestry training workshops. According to one government representative who followed the process:

[This] is the first experience of Mexico where these types of funds were not administered by the government... [Nuevo San Juan's] experience in the use of financial resources has been exceptional... Now we know and have full assurance that the communities have the managerial and technical capacities to administer these funds and implement efficient actions, as we have witnessed it personally.¹⁰

One issue which has arisen in the course of the training programs concerns the "scaling up" of what are essentially pilot or experimental programs. At present, these are still relatively small programs which only reach a minority of indigenous organizations and communities and their leaders. The World Bank and collaborating agencies have tried to respond to the limited amount of funds available for this purpose by selecting organizations which have a broad outreach to the indigenous populations in their countries and by using the "training of trainers" method as in Mexico or the "learning by doing" method as in Bolivia. However, there is still a fundamental issue of reaching the large mass of indigenous people who inhabit the countryside in many Latin American countries, and in drawing upon technical assistance and training funds which may exist in other programs, such as regular World Bank loans or through the technical assistance programs of the United Nations Development Program (UNDP), the ILO or other UN agencies.

Lastly, there is also the question of how these technical assistance and training programs will be linked to broader social investment and development programs, some of which are financed by the World Bank or other donor agencies. The World Bank is currently taking an initial step to build upon these pilot training initiatives through the preparation of its first stand-alone, indigenous peoples development projects in Ecuador and Mexico. A major challenge of these projects has

¹⁰ Cited in Jorge E. Uquillas and Juan Martinez, *Training Indigenous Forestry Communities in Mexico*, Paper prepared for World Bank Agricultural Symposium, Washington, January 1996.

been to convince governments to invest in indigenous peoples development through project preparation and management partnerships with indigenous organizations and communities. These types of projects, which can be truly said to further the indigenous goals of autonomy and self-determined development, are still only at an early, preparatory stage, but their design and implementation are worthy of close scrutiny in the months and years ahead.

Conclusion

Some years ago, the well-known development economist Albert O. Hirschman published *Getting Ahead Collectively* (Pergamon Press, 1984), which described various grassroots development experiences in Latin America. One of the themes of this book was that as these countries move toward civilian rule and democracy, there is renewed space to release the "social energy" of various local organizations dedicated to more popular and participatory forms of development. Although Hirschman only alluded to grassroots indigenous organizations, they are perhaps one of the clearest reflections of this new phenomena. Moreover, in Latin America, these new indigenous organizations bring an added dimension to the grassroots development equation; i.e., the continuing existence of indigenous languages and cultures that go back thousands of years before the arrival of Europeans and are serving as the basis for socially mobilizing indigenous peoples for the twin goals of cultural reaffirmation and rural poverty alleviation.

In this paper, we have argued that despite the continuing pattern of abysmal poverty which characterizes the situation of the vast majority of the continent's indigenous peoples, there are grounds for hope if investments are made in the proper direction. A priority investment is the

human capital of indigenous people, especially through closing the gap in schooling and, in turn, household incomes, between them and other sectors of the national population. Studies carried out by the World Bank indicate that, in countries such as Bolivia, increasing school attainment from 0 to 16 years would result in a reduction in poverty among indigenous people from 60 to less than 30 percent. That is, the poverty ratio would decrease by more than half if schooling were increased. These studies further indicate that the best form of educational investment for indigenous school children is bilingual education, because such programs improve the quality of education in terms of decreased grade repetition and dropout rates and improved school performance. They also have the greatest chance of improving the schooling and educational performance of indigenous girls who, as in so many parts of the world, have been doubly left-behind by educational and other social welfare reforms.

Equally important is the need to strengthen the social capital of indigenous people through the strengthening of their organizations and communities. Indigenous people stand out for the persistence of their strong social bonds and identities, their collective control and sustainable management of their lands and natural resources, their deep respect for the cultural knowledge of their elders, and their close spiritual attachments to their ancestors and the earth. Yet, there is also a strong feeling among the leaders of indigenous organizations that they often lack the skills to adapt successfully to the modern world and define their own development paths. New skills are often called for from modern accounting and the use of personal computers to project planning and evaluation, organizational management, budgeting and negotiating. Hence, investments in technical assistance and capacity strengthening are critical, not to denigrate or extinguish the profound

cultural knowledge which indigenous peoples inherit from the past, but to build upon it for the future which they and their children will create.

The International Decade of the World's Indigenous Peoples calls for a "new partnership" among indigenous peoples, national governments and international agencies for purposes of social and economic development. One way in which national governments and the international donor community can respond to this challenge is by directing more investment toward the strengthening of the human and social capital of indigenous peoples. By so doing, we believe, the international community obtains the best chance of both reducing poverty and human misery and setting the groundwork for a more prosperous and sustainable future for us all.