

## Ex Post-Evaluation Brief

### BRAZIL: KV-Demarcation of Indian Territories (PPTAL)



<b>Sector</b>	Environmental policy and management (4101000)	
<b>Programme/Client</b>	KV-Demarcation of Indigenous Territories – BMZ No.: 1994 65 774*	
<b>Programme executing agency</b>	FUNAI	
<b>Year of sample/ex post evaluation report: 2013/2013</b>		
	Appraisal (planned)	Ex post-evaluation (actual)
<b>Investment costs (total)</b>	EUR 19.18 million	EUR 17.92 million
<b>Counterpart contribution (company)</b>	EUR 1.92 million	EUR 1.92 million
<b>Funding, of which budget funds (BMZ)</b>	EUR 17.26 million EUR 15.33 million	EUR 16.00 million EUR 14.08 million

\* random sample 2013

**Short description:** The project was part of the international pilot programme to preserve the tropical forests in Brazil (PPG7), a program that closed in September 2009. It was designed as an open programme in cooperation with the GIZ (cooperation program) with the overall objective of securing the survival of the indigenous peoples in the territories to be demarcated (target group) and securing the indigenous people's legal rights to their land (project objective). The key program components were the identification, demarcation, official recognition by the State President of Brazil and registration of Indian territories, patrolling and safeguarding of the territories, accompanying studies and training measures as well as support of the implementing agency (FUNAI).

**Objectives:** The overall objective of the project was to make a contribution to securing the survival of indigenous peoples in the lands to be demarcated. The overall objective of the project was to be reached when the number of indigenous people living in the lands to be demarcated remained at least the same. The programme objective was to secure the indigenous people's legal entitlement to their lands. The programme objective was to be reached when 70% of the 58 lands intended for demarcation at the start of the programme had received legal recognition from the President of Brazil.

**Target group:** The project's target group was the indigenous population in the approximately 119 lands that were intended for identification and delimitation (61 lands) as well as demarcation (58 lands).

#### Overall rating: 2

Model project that secures land entitlements for indigenous peoples in the Brazilian Amazon and thus reduces deforestation.

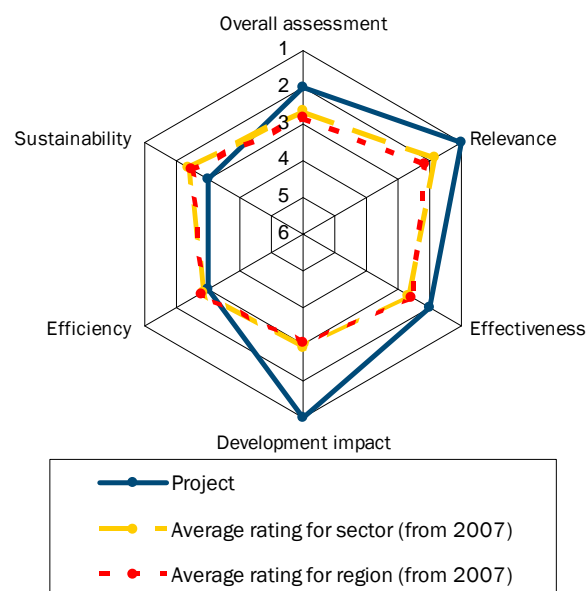
**Points to note:** The PPTAL designated more than 10% of the Brazilian Amazon for exclusive use by the indigenous peoples.

The indigenous population has doubled during the term of the project.

Demarcated lands represent effective protection against deforestation (1.46% deforestation in demarcated lands as compared to 20% deforestation in the rest of the Brazilian Amazon).

Nevertheless, it must be mentioned that monitoring and management of the demarcated lands is only sustainable to a limited extent, because it requires too much effort, time, and money from the target group.

#### Rating by DAC criteria



## **EVALUATION SUMMARY**

### Overall rating

The project for the demarcation of indigenous territories (PPTAL) has made a decisive contribution to the designation and legal recognition of indigenous territories. A total of 178 protected areas were designated and officially recognised. The total area of the demarcated territories is approx. 38 million ha and thus roughly equivalent to the area of Germany (35 million ha). Furthermore, studies were financed for the identification and designation of a further approx. 9 million ha as indigenous territories, which were demarcated after the end of the project. Legal certainty and a secure bases for life in indigenous territories contributed to more than doubling the indigenous population between 1994 and 2010 from about 400,000 to almost 900,000. At the same time, the demarcation of indigenous territories contributed to protection against deforestation: while indigenous territories showed a level of deforestation of 1.46%, the rest of the Brazilian rainforest is suffering from a far higher level of deforestation of around 20%. As far as the protection and management of the indigenous territories is concerned, since the end of the PPTAL there has often been a lack of funds with which to carry out protective measures. However a change in awareness has taken place with respect to the need of protecting and safeguarding the demarcated area among the target population.

**Rating: 2**

### Relevance

The PPTAL project was relevant with respect to Brazil's development objectives. In its Constitution of 1988, the country had guaranteed the demarcation of its indigenous people's territories. The project is still relevant today, since in its national policy for environmental and land management in indigenous territories (Política Nacional de Gestão Ambiental e Territorial de Terras Indígenas – PNGATI), which was adopted in 2012, the country set itself the goal of protecting natural resources in indigenous territories. However, there are conflicting tendencies with respect to this strategy within the Brazilian government and congress, such as the Brazilian growth acceleration programme (Programa de Aceleração do Crescimento – PAC), and legislative changes, which aim at greater economic use of these resources by non-indigenous players.<sup>1</sup>

From the current perspective, the PPTAL project promised to make an important contribution to solving a central development problem for the target group (the indigenous population), by ensuring them to enjoy legal certainty regarding the territories in which they settled and thus guaranteeing an important basis for indigenous people's livelihood.

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<sup>1</sup> According to the Berliner Tagespiegel newspaper of 01.11.2013, "Early in the year [...] the [Brazilian] government (had received) 4,500 applications from mining companies that want to prospect for gold, copper and other raw materials in 17 Indian reservations."

The project is also in line with the BMZ strategies for "Cooperation with Indigenous Peoples in Latin America and the Caribbean" 2006 and "Forests and Sustainable Development" 2002, which define the strategic direction for collaboration between German development cooperation and indigenous peoples in the tropical forests.

The project was part of the international pilot programme to preserve the tropical forests in Brazil (PPG7), which had been established in 1992 for the protection of the rainforest and implemented in 26 projects through 2009, being financed by the G-7 member states, the European Union and the Netherlands. One of these 26 projects was the PPTAL, which was co-financed by German FC, German TC, the Rain Forest Trust Fund administrated by the World Bank, DFID, and the Brazilian government.

### **Sub-Rating: 1**

#### Effectiveness:

The programme objective was to secure the indigenous people's rights to their territories. The programme objective was to be reached when 70% of the 58 territories intended for demarcation at the start of the programme had received legal recognition from the President of Brazil.

According to the final report, by the end of the programme term (2009), a total of 178 indigenous territories were indeed designated or officially recognised under the PPTAL instead of the planned 119, i.e. 50% more than originally planned. Instead of the 58 planned registrations, the PPTAL financed 81 indigenous territories that were officially recognised by a decree of the Brazilian President and recorded in the land registers of the corresponding municipalities and the Union, i.e. 40% more than planned. The total area of the designated territories amounted to 47 million ha, of which approx. 38 million ha were demarcated. Out of a total of 304 indigenous territories in the north of Brazil, about half (by number and area) of all indigenous territories were designated and demarcated with the help of German development cooperation, i.e. marked with boundary stones, signs and forest corridors, and recorded on maps. The evaluation mission was informed that in 2013 Brazil has a total of 645 demarcated indigenous territories, comprising about 110 million ha, which is equivalent to 13% of the land surface of Brazil. Of this, 435 indigenous territories or (108 million ha) are in the Amazon (planning region Amazônia Legal), representing 21.2% of its total area. The authority responsible for the indigenous peoples, FUNAI, has currently received a further 400 applications, mostly from small territories, which still have to be considered.

The project was less effective with respect to the administration and protection of the indigenous territories. More than 20 indigenous villages received radio equipment, while in 80 territories training on protecting the land against intruders was carried out and motor boats distributed. This equipment (corresponding to about 25% of the project costs) no longer functioned properly four years after the end of the 15-year project term, while the patrols were no longer conducted wherever FUNAI did not provide funds. All that has remained from this ac-

tivity is an awareness of the need for patrols and, in some cases, the ability to come together in organisations in order to apply to FUNAI for funds for protection of the territories. From the evaluation perspective, however, the demand made on the indigenous communities to protect their territories themselves appears to be an excessive one, since it transfers land protection, which is a responsibility of the state, to one of the weakest groups in society.

### **Sub-Rating: 2**

#### Efficiency

The programme was efficient, as it demarcated 50% more indigenous territories and registered 40% more than originally planned. Through the cooperation with the GIZ and Rain Forest Trust Fund of the World Bank, in relation to the lending guidelines, technical specifications and internal processes, the demarcation procedure was revised and rendered more efficient and cost effective. An important contribution to lowering costs came from the indigenous population's involvement in the designation of the territories. Furthermore, the methodology and technical procedures of the individual stages of the demarcation process (such as tendering procedures, technical specifications for the demarcation such as the width of forest corridors and the form and material of boundary stones) were improved, documented in manuals and implemented. Moreover, many ethnological surveys and studies were conducted regarding individual areas, which as part of the PPTAL were to form the basis for protection projects and projects designed to secure livelihoods.

Efficiency was, however, reduced by the long period of fifteen years taken for implementation, compared with the originally planned six years. On the one hand, this can be attributed to logistical difficulties in the execution of such a project in the Amazon (identification, participation in demarcation and recognition by the Brazilian President) and, on the other, the cumbersome bureaucracy and the lack of qualified employees at FUNAI.

With respect to allocation efficiency, the endeavour to provide redress for injustice suffered by the indigenous peoples and the entitlement, enshrined in the Constitution of 1988, to the designation and legal safeguarding of indigenous territories, is per se indisputable. There would have been alternative options under certain circumstances for the way in which the project was implemented, but in retrospect these can only be specified with difficulty.

### **Sub-Rating: 3**

#### Impact

The overall objective of the project was to make a contribution to securing the survival of indigenous peoples in the territories to be demarcated. The overall objective of the project was

to be reached when the number of indigenous people living in the territories to be demarcated remained at least the same.

With an investment of EUR 20 million, it has proven possible to designate about 47 million ha of indigenous territories and thus secure the right of the indigenous peoples to about 21% of the Amazon region.<sup>2</sup> Overall, about 40% of the Amazon region is covered by nature conservation measures in 2013 (20% indigenous territories and 20% national parks as well as other forms of nature conservation). PPTAL was thus a "good practice project", which not only demarcated indigenous territories in the Brazilian Amazon and provided the indigenous population with legal rights and a basis for their livelihood, but also promoted the participation of the indigenous people in the demarcation, monitoring and management of their land.

According to the 2010 census, the size of the indigenous population of Brazil has more than doubled, increasing from about 400,000 at the start of the project to almost 900,000 in 2010, which means an overachievement of the target indicator, i.e. an increase in the indigenous population (or at least no decrease). In 2010, a total of 517,383 of the indigenous population, equivalent to 57.7%, lived in indigenous territories. It is difficult to obtain population figures for individual indigenous territories. However, taking the example of one of the territories of the Paumari visited by the mission, it can be seen that the population there increased considerably. While the land of the Paumari had 561 inhabitants in 1989, in 2006 there were 896, i.e. an increase of 60%.<sup>3</sup> The positive impact on the target group of legal rights and a basis for their livelihood is also shown by, for example, the birthrate. While the birthrate in one of the indigenous territories safeguarded by the registered land title (Nove de Janeiro) was, on average, 2.8 children per woman, the number of births per woman in two neighbouring territories without a title (Tenharim Marmelos and Diahui) stood at only 1.4 and 1.5 children per woman, respectively. The difference in the birth rates was explained by representatives of FUNAI by a shortage of land needed to feed a family, and the inhabitants' fear that they might not be able to survive.

The project provided a model for others, since it supported the Brazilian government in guaranteeing the right of the indigenous population to the demarcation of their land, as enshrined in the Constitution of 1988. At the same time, the demarcation of indigenous territories functioned positively as a protective shield against deforestation (see image below).

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<sup>2</sup> The about 110 million ha in total of demarcated or designated Indian lands represented 20% of the total area of the Amazon, of which 47 million ha was demarcated with funds from the PPTAL.

<sup>3</sup> FUNAI. 2008: Paumari do Lago Marahã. Coletânea de Documentos da Terra Indígena. Brasília; and Menendez, L. Lacerda. 2011. A Alma Vestida : Estado sobre a cestaria Paumari. São Paulo.

*The green, wooded areas matches the indigenous territories. Red areas indicate cleared land and settlements (source: GIZ)*



Thus, at 1.46%, the level of deforestation as a percentage of indigenous territories is far lower than the approx. 20% deforested area of the Brazilian Amazon entire rainforest. Furthermore, in comparison to other forms of nature conservation, indigenous territories demonstrate better protection against deforestation, as shown by a deforested area of 1.46% in indigenous territories against 1.63% in other nature conservation areas of the Amazon.

**Sub-Rating: 1**

Sustainability

Even though the demarcations within the framework of the project were able to make a significant contribution to the effective safeguarding of the indigenous people's legal rights to their territories, in recent years pressure to make economic use of the Amazon's natural resources has grown constantly. One indication of this is the Brazilian growth acceleration programme (Programa de Aceleração do Crescimento – PAC). In indigenous territories too, pressure has been growing from neighbours, who do not hesitate to use violence and, far from the capital and the reach of the law, threaten the integrity of the indigenous territories e.g. through illegal logging, fishing, or mining. Simultaneously, there is growing pressure from economic and political players to slow down the demarcation process and, in some cases, even reverse demarcation. One sign of a decline in political support for demarcation is the fact that the demarcation of new territories is only being approved in individual cases. This trend is being countered by a better organisation of indigenous organisations, which are, together with FUNAI, calling for a say in political decision-making. In this area, the indigenous movement achieved a success for the preservation of their territories with the adoption in 2012 of the National Policy for Environmental and Land Management in Indigenous Territories (Política Nacional de Gestão Ambiental e Territorial de Terras Indígenas – PNGATI).

The sustainability criterion is not fulfilled for equipment for protective measures, since no equipment has still been in use four years after the end of the fifteen-year project. This is countered by the training effect of the PPTAL, which has created an awareness among the indigenous population of the boundaries of their demarcated land and of the need to protect them, even if dependence on public funds persists and these are not sufficient for effective protection.

In view of the contradictory trends in Brazilian society and a lack of sustainability in the physical component of the protected area, we still rate the sustainability of the demarcation of indigenous territories as satisfactory.

**Sub-Rating: 3**

## Notes on the methods used to evaluate project success (project rating)

Projects (and programmes) are evaluated on a six-point scale, the criteria being relevance, effectiveness, efficiency and overarching developmental impact. The ratings are also used to arrive at a final assessment of a project's overall developmental efficacy. The scale is as follows:

1	Very good result that clearly exceeds expectations
2	Good result, fully in line with expectations and without any significant shortcomings
3	Satisfactory result – project falls short of expectations but the positive results dominate
4	Unsatisfactory result – significantly below expectations, with negative results dominating despite discernible positive results
5	Clearly inadequate result – despite some positive partial results, the negative results clearly dominate
6	The project has no impact or the situation has actually deteriorated

Ratings 1-3 denote a positive or successful assessment while ratings 4-6 denote a not positive or unsuccessful assessment

### **Sustainability is evaluated according to the following four-point scale:**

Sustainability level 1 (very good sustainability): The developmental efficacy of the project (positive to date) is very likely to continue undiminished or even increase.

Sustainability level 2 (good sustainability): The developmental efficacy of the project (positive to date) is very likely to decline only minimally but remain positive overall. (This is what can normally be expected).

Sustainability level 3 (satisfactory sustainability): The developmental efficacy of the project (positive to date) is very likely to decline significantly but remain positive overall. This rating is also assigned if the sustainability of a project is considered inadequate up to the time of the ex post evaluation but is very likely to evolve positively so that the project will ultimately achieve positive developmental efficacy.

Sustainability level 4 (inadequate sustainability): The developmental efficacy of the project is inadequate up to the time of the ex post evaluation and is very unlikely to improve. This rating is also assigned if the sustainability that has been positively evaluated to date is very likely to deteriorate severely and no longer meet the level 3 criteria.

The overall rating on the six-point scale is compiled from a weighting of all five individual criteria as appropriate to the project in question. Ratings 1-3 of the overall rating denote a "successful" project while ratings 4-6 denote an "unsuccessful" project. It should be noted that a project can generally be considered developmentally "successful" only if the achievement of the project objective ("effectiveness"), the impact on the overall objective ("overarching developmental impact") and the sustainability are rated at least "satisfactory" (rating 3).