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Enabling poor rural people  
to overcome poverty

## Report on IFAD's Development Effectiveness

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## Abbreviations and acronyms

ASAP	Adaptation for Smallholder Agriculture Programme
CFS	Committee on World Food Security
COSOP	Country strategic opportunities programme
CPM	Country programme manager
CPO	Country programme officer
CPMT	Country programme management team
DSF	Debt Sustainability Framework
FAO	Food and Agriculture Organization of the United Nations
GALS	Gender Action Learning System
GEF	Global Environment Facility
IEE	Independent External Evaluation of IFAD
IFAD9	Ninth Replenishment of IFAD's resources
IOE	Independent Office of Evaluation of IFAD
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MOPAN	Multilateral Organisation Performance Assessment Network
OECD	Organisation of Economic Co-operation and Development
PoLG	Programme of Loans and Grants
PCR	Project Completion Report
PRM	Partnership and Resource Mobilization Office
RIDE	Report on IFAD's Development Effectiveness
RIMS	Results and Impact Management System
RMF	Results Measurement Framework
WFP	World Food Programme

## Summary and conclusions

1. This is the first Report on IFAD's Development Effectiveness (RIDE) in the IFAD9 period (2013-2015). The RIDE's purpose is to report on performance against indicators contained in the Results Measurement Framework (RMF) 2013-2015, and the implementation of IFAD9 commitments.<sup>1</sup> The RMF introduced a series of important improvements to strengthen and more clearly demonstrate outcomes achieved by the Fund; it sets ambitious outreach and impact targets with a strong emphasis on value for money – indeed it is the first RMF of a multilateral development organization to set a target for the number of people taken out of poverty – 80 million.<sup>2</sup> In relation to this, IFAD has committed to the major effort of conducting 30 impact evaluations by 2015.
2. Progress towards Millennium Development Goal targets on poverty and hunger has been strong on the whole, but many countries are far from on track to achieving them, particularly among fragile and conflict-affected states. The number of people who are extremely poor (by the US\$1.25 a day line) and suffer severe hunger remains dauntingly high at 1.2 billion and 827 million people respectively, and the majority still live in rural areas and depend on agriculture for their livelihoods.
3. No poverty and hunger eradication agenda can succeed unless support to rural communities is intensified to match the scale of the challenges that they face and equips them to take advantage of new emerging opportunities. Investment in smallholder agriculture is the most cost-effective way for developing countries to tackle poverty and hunger and to spur vibrant and inclusive economic development in rural areas – and the reason IFAD exists is to mobilize resources for this purpose and ensure they are efficiently channelled through highly effective development programmes.
4. Pledges towards IFAD9 stand at a record high in both absolute terms (US\$1.39 billion) and relative to the target of US\$1.5 billion (93 per cent). These figures include pledges of US\$330 million for the Adaptation for Smallholder Agriculture Programme (ASAP) to improve the climate resilience of IFAD-supported projects by scaling up "multiple-benefit" approaches to increase agricultural output while simultaneously reducing vulnerability to climate-related risks. In 2013, the ASAP was awarded Momentum for Change "lighthouse" status for innovation on climate finance at the Warsaw Conference of Parties of the United Nations Framework Convention on Climate Change.
5. In terms of the delivery of IFAD's assistance, impressive progress has been made in increasing the disbursement ratio and the speed with which disbursements are processed. Disbursements increased by 17 per cent over last year; the time required for processing withdrawal applications improved by over 40 per cent; and the time from project approval to first disbursement also declined. These are strong indications of IFAD's success in increasing the efficiency with which it delivers services to client countries.
6. IFAD's performance as a partner has improved significantly according to the Independent Office of Evaluation of IFAD (IOE). Partner surveys generally confirm this view, while also highlighting other areas for improvement, which IFAD is already addressing through a continued push for decentralization and more systematic engagement in national policy dialogue.

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<sup>1</sup> The IFAD9 Commitment Matrix and Results Measurement Framework 2013-2015 are presented in annexes I and II respectively of the Report of the Consultation on the Ninth Replenishment of IFAD's Resources (GC 35/L.4), approved at the 35th session of the IFAD Governing Council in February 2012.

<sup>2</sup> Performance against this target will be reported in 2015.

7. The number of beneficiaries receiving services from IFAD-funded projects rose by 33 per cent, from 59.1 million in 2011 to 78.7 million in 2012, reaching 87 per cent of the target of 90 million set for 2015. The share of women beneficiaries continues to be high at about 50 per cent, representing a key indicator of the inclusiveness of IFAD-supported projects. Indicators measuring beneficiaries of microenterprises and marketing services have been among those experiencing the highest growth rates reflecting increased attention to linking smallholders to markets through value chain projects.
8. IFAD's contribution to development outcomes and impact has also improved considerably, and for many indicators performance is already close to or exceeding RMF targets set for 2015. Significant positive trends have been registered with respect to: replication and scaling up; rural poverty impact; environment and natural resource management; gender equality; market development; and human empowerment and social capital.<sup>3</sup> On the whole, these results show that IFAD-supported projects increasingly respond to the international community's growing demand, including in the context of "post-2015" discussions, for development models that are more inclusive and sustainable and that can boost shared prosperity for today's and future generations.
9. Project efficiency and government performance are the areas where progress is proving hardest, principally because reaching the poorest in remote parts of rural areas is both very difficult and expensive; these are also the areas where public service delivery capacities are often weakest. Remedial measures are being taken, including through the recently completed Consolidated Action Plan to Enhance Operational and Institutional Efficiency,<sup>4</sup> which will complement and underpin the broad series of reforms agreed for the IFAD9 period.
10. The proportion of projects reported at risk of not achieving development objectives remains unchanged. In response, IFAD is launching a programme with the Food and Agriculture Organization of the United Nations that will focus on addressing implementation issues in poorly performing projects, especially ones in fragile institutional and social contexts where performance issues are the most severe. Related to this, a wider review of IFAD-funded operations in fragile states is being undertaken that will contribute to strengthening IFAD's business model in these countries. This work will be complemented and informed by an IOE corporate-level evaluation on fragile states to be undertaken in 2014.

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<sup>3</sup> IFAD-supported programmes are guided by policies and strategies on a wide range of themes, including: targeting; gender equality and women's empowerment; indigenous people; land; climate change; environment and natural resource management; and private-sector collaboration.

<sup>4</sup> Document EB 2013/109/R.12.

# Report on IFAD's Development Effectiveness

## I. Introduction

1. The Report on IFAD's Development Effectiveness (RIDE) is the principal mechanism for communicating the Fund's performance to its governing bodies vis-à-vis commitments and targets set out in the Commitment Matrix of the Ninth Replenishment of IFAD's Resources (IFAD9) and in the Results Measurement Framework (RMF) 2013-2015. Progress towards meeting RMF indicators is reported in sections II-VI below, and progress on IFAD9 commitments is summarized in annex I. In line with Executive Board requests to streamline performance reporting, the following four reports are included as annexes 2-5 respectively: Annual Report on IFAD Policy on Gender Equality and Women's Empowerment; Implementation of the Istanbul Programme of Action for Least Developed Countries; Annual Report on Quality Assurance of IFAD's Projects and Programmes; and Progress Report on the Adaptation for Smallholder Agriculture Programme.
2. The RMF is organized in five levels. Each level assesses a different dimension of performance:
  - **Level 1** tracks global progress in meeting the first Millennium Development Goal (MDG 1) targets for reducing poverty and hunger, together with official development assistance (ODA) to, and public investment and productivity in, the agriculture sector (annexes I and II);
  - **Level 2 indicators**, discussed in section III, address the performance of IFAD-supported projects at completion. These are considered relatively strong indicators of impact on poverty and food insecurity. Responsibility for results achieved is shared by client governments, other partners accountable for project implementation and IFAD. These assessments are based on project completion reports (PCRs) prepared by client governments, to which ratings are assigned through an internal IFAD review process. Since 2011, all PCRs and related ratings are validated by the Independent Office of Evaluation of IFAD (IOE). The difference between IFAD and IOE ratings (also known as the "disconnect") is relatively small, especially for the critical measure of "rural poverty impact";
  - **Level 3 indicators**, discussed in section IV, measure the number of beneficiaries reached and the concrete outputs delivered through active projects. Responsibility for performance in this area is shared with client governments and other implementing partners, and is reported directly by the projects through IFAD's Results and Impact Management System (RIMS). Because concrete outputs will vary according to the type of project, most indicators are tracked rather than targeted. A key exception is the number of people reached; and
  - **Level 4 and 5 indicators**, discussed in sections V and VI, involve variables that are more under the control of IFAD itself and more directly express its management performance. They are about what IFAD does to maximize programme outcomes and impact and raise its value for money, in terms not only of results but also of cost, timeliness and use of human resources. Several indicators are reported by external parties or at arm's length, for example by the Quality Assurance and Grants Unit for project quality at entry, and through client surveys for country programme performance.

## II. Global trends in poverty, hunger and agriculture

3. Table 1 summarizes progress against level 1 indicators in the RMF 2013-2015. At the global level, with China leading the way, the MDG 1 target of halving the proportion of extremely poor people has been reached five years ahead of the 2015 deadline. Despite overall progress, an estimated 1.2 billion people still experience

extreme income poverty, with the majority (three out of four) living in rural areas. Marked differences persist across regions and many countries are far from on track in achieving the MDG 1 **poverty** target. Nonetheless, all regions have met, or are close to meeting, the target except for sub-Saharan Africa, where the number of extremely poor people has increased steadily, from 290 million in 1990 to 414 million in 2010, and where the average income of the extremely poor has failed to rise.

Table 1

**Level 1 RMF 2013-2015: Global trends in poverty, hunger and agriculture**

<i>Indicators</i>	<i>Baseline (year)</i>	<i>Results (year)</i>	<i>Target (year)</i>
<b>1.1 Global poverty and nutrition outcomes</b>			
1.1.1 MDG 1: Population living on less than US\$1.25 a day <sup>a</sup>	46.7% (1990)	22% (2010)	23.4% (2015)
1.1.2 MDG 1: Prevalence of undernourishment in population <sup>b</sup>	23.2% (1990-92)	14.3% (2011-13)	11.6% (2015)
1.1.3 MDG 1: Children under 5 who are underweight <sup>a</sup>	25% (1990)	16% (2011)	Tracked
<b>1.2 Global agricultural development and investment outcomes</b>			
1.2.1 Crop production index (2004-2006 = 100) <sup>c</sup>	105.1 (2007)	118.2 (2011)	Tracked
1.2.2 Agricultural value added (annual percentage growth) <sup>c</sup>	3.3 (2007)	3.9 (2011)	Tracked
1.2.3 Level of official development assistance to agriculture <sup>d</sup>	US\$5.7bn (2006)	US\$10.7bn (2011)	Tracked
1.2.4 Proportion of countries complying with the Maputo Declaration commitment of 10 per cent of total public expenditure on agriculture <sup>e</sup>	19% (2005)	24% (2003-10)	Tracked

<sup>a</sup> Source: United Nations, The Millennium Development Goals Report 2013.

<sup>b</sup> Source: Food and Agriculture Organization of the United Nations, The State of Food Insecurity in the World 2013.

<sup>c</sup> Source: World Bank, World Development Indicators. Crop production index reported for the world. Agricultural value added reported for low- and middle-income countries.

<sup>d</sup> Source: Organisation for Economic Co-operation and Development, StatExtracts (ODA commitments in United States dollars constant 2011 prices; for the agriculture, forestry, fishing sector; by bilateral and multilateral donors).

<sup>e</sup> Source: Regional Statistical Analysis and Knowledge Support System  
[http://www.resakss.org/sites/default/files/pdfs/ReSAKSS\\_AgExp\\_2013\\_website.pdf](http://www.resakss.org/sites/default/files/pdfs/ReSAKSS_AgExp_2013_website.pdf).

4. Further progress will be required to achieve the MDG 1 hunger target at the global level; the prevalence of hunger in developing countries stood at 14.3 per cent in 2011-2013, equivalent to 827 million people. Again, there are marked disparities in progress across regions. The highest proportion of undernourished people is in sub-Saharan Africa, and Western Asia has seen a rise in the prevalence of undernourishment. In order to meet the MDG 1 hunger target, progress in reducing the proportion of children under 5 who are underweight will also need to be accelerated. Growth in global agricultural production has been above 2 per cent per annum over the past several decades; however, recent projections point to a slowing of output growth to 1.5 per cent per annum in the coming decade. A number of factors are expected to cause production to grow less rapidly than in the past: fundamental changes in production conditions, including high and rising oil and energy prices; growing resource constraints (land and water in particular); climate change-related shocks and stresses, including extreme weather events; and, in some cases, past underinvestment in agriculture and, in particular, in research and development. Nonetheless, agricultural production over the longer term is projected to continue to grow more rapidly in developing countries. This will further increase their share of global agricultural output and trade, and should enhance food security as it spreads global production risk while generating higher incomes and domestic production in many net food-importing countries. Continued investment to underpin increased productivity will be critical to achieve this.

5. Following several years of decline, ODA to agriculture increased significantly between 2006 and 2011 in response to the food price spikes of 2007-2008 and 2011. However, ODA exhibits swings that reflect food price movements, which raises concerns about the predictability of ODA to the sector and prospects for its sustained growth, particularly in periods when global food markets are relatively calm.
6. Since 2003 when the Maputo Declaration on Agriculture and Food Security in Africa was adopted, public agriculture expenditure in Africa as a whole has increased, but at a slower pace than the growth in total expenditures: 13 countries have surpassed the target of allocating 10 per cent of national budgets to the agricultural sector in any year, and 12 have surpassed it in more than one year. Other parts of the developing world exhibit a similar trend of government expenditure in agriculture increasing, yet decreasing as a share of total expenditure.

### **III. IFAD's contribution to development outcomes and impact**

7. Table 2 summarizes progress against level 2 indicators in the RMF 2013-2015. Performance in 2012-2013 (column D) is close to the 2015 targets (column E) for several indicators (environment and natural resource management, replication and scaling up, sustainability of benefits, and relevance). In the case of gender equality, the 2015 target has been surpassed; this is especially important since boosting opportunities for women in agriculture bears considerable benefits in terms of increasing yields on their farms and alleviating hunger. Rural poverty impact shows encouraging progress, which will need to be extended to achieve the RMF target for 2015.
8. When using data that span a longer time period and for a larger cohort size (columns B and C, which provide a firmer basis for establishing trends), many of the indicators referred to above display significant improvement, especially since the Independent External Evaluation of IFAD (IEE) was published in 2005 (column A). The performance of rural poverty impact sub-indicators on human empowerment and social capital and on markets is of particular note. These results, when taken together with those for environment and natural resource management, show that IFAD-supported projects are increasingly responding to the international community's growing demand for development models that are more inclusive, build the capacities of disadvantaged and disempowered groups, and, at the same time, are environmentally sustainable. Equally important, performance with respect to replication and scaling up has also strengthened considerably.
9. Improvements vis-à-vis rural poverty impact and environment and natural resource management have been highlighted by IOE in recent editions of its Annual Report on Results and Impact of IFAD Operations (ARRI). The last two ARRIs have also underlined the upward trend of an additional indicator, namely, IFAD's performance as a partner (from 47 per cent moderately satisfactory or better for projects completing in 2004-2006, to 84 per cent for projects completing in 2009-2011).
10. Sustainability of benefits, one of the most crucial and challenging areas in general and the weakest indicator in the 2006-2009 cohort, has shown good progress thanks to efforts to raise client country engagement in agriculture and rural development through more intense partnering, as well as better-quality exit strategies, and attention to mainstreaming newly created institutions within government programmes. Although 80 per cent of completed projects are already rated moderately satisfactory or better for effectiveness, IFAD needs to make additional efforts to ensure more realistic designs, clear institutional arrangements, and timely deployment and high quality of project management teams.



Table 2  
**Level 2 RMF 2013-2015: IFAD's contribution to development outcomes and impact**

Indicators	A. IEE 2005	B. Results 2006-2009	C. Results 2010-2013	D. Results 2012-2013	E. Target 2015
<b>2.1. Outcome indicators (percentage of projects rated moderately satisfactory or better) at completion</b>					
2.1.1 Relevance	100	91	97	97	100
2.1.2 Effectiveness	67	80	80	80	90
2.1.3 Efficiency	45	66	66	66	75
2.1.4 Rural poverty impact	55	74	83	84	90
<i>Household income and assets</i>		74	86		
<i>Agriculture and food security</i>		73	81		
<i>Human empowerment and social capital</i>		69	89		
<i>Institutions and policies</i>		77	84		
<i>Markets</i>		56	75		
2.1.5 Gender equality		90	91	91	90
2.1.6 Sustainability of benefits	40	64	72	72	75
2.1.7 Innovation and learning	55	71	84	84	90
2.1.8 Replication and scaling up	55	66	86	86	90
2.1.9 Environment and natural resource management	-	68	87	87	90
2.1.10 Adaptation of smallholders to climate change*	-			-	
2.1.11 Government performance	-			71	80
<b>2.2. Impact indicators*</b>					
2.2.1 Household asset ownership index	-				Tracked
2.2.2 Level of child malnutrition (3 sub-indicators – acute, chronic and underweight), disaggregated for girls and boys	-				Tracked
2.2.3 Length of hungry season	-				Tracked
<b>2.3. People moved out of poverty*</b>					
2.3.1 People moved out of poverty	-				80 million

\* The indicators will be reported in 2015.

11. Two areas continue to be challenging: efficiency and government performance. Measures are being taken to address these areas, including through the recently completed IFAD Consolidated Action Plan to Enhance Operational and Institutional Efficiency,<sup>5</sup> which will complement and underpin the broad series of reforms agreed for the IFAD9 period.
12. Notwithstanding IFAD's best efforts, it is important to recognize that performance is conditioned and to a degree inhibited by some important contextual realities. First, reaching the poorest in remote and disadvantaged regions in rural areas is both very difficult and expensive. This can give rise to tensions between efforts to achieve sustainable impact while increasing project efficiency; it is not inconceivable that in some instances enhanced impact may come at the expense of efficiency.
13. Second, performance of client governments and other implementing partners is a determining factor in improving project performance and achieving RMF targets. Both IFAD and IOE data show that on the whole government performance is not particularly strong and has not improved over the past decade. Unfortunately, the reality is that rural areas are home to the largest number of poor, yet subnational rural governments suffer daunting fiscal constraints, including very narrow tax

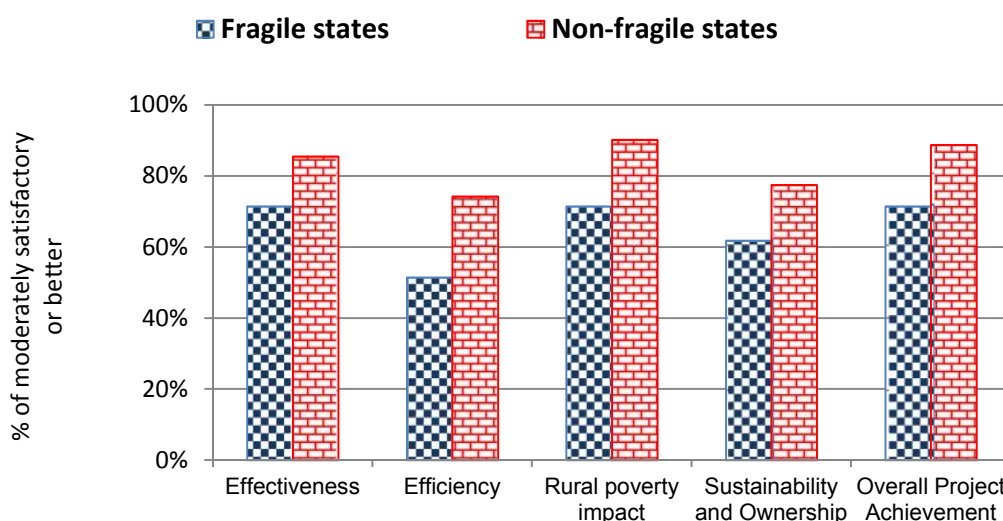
<sup>5</sup> Document EB 2013/109/R.12

bases that prevent them from providing a high-quality package of services to the poor.

14. Third, and closely linked to government performance, is the issue of conflict and fragility. The IFAD9 Consultation identified this as a priority issue, calling on IFAD to review its approach to programme design and implementation support in fragile states. In the context of a wider review process, a study has been undertaken to assess the performance of projects in fragile states.
15. Chart 1 shows that projects in fragile states underperform ones in non-fragile states in all key performance areas, most notably for project efficiency. Overly complex project design, weak implementing institutions, a volatile context and security-related issues in fragile states (but also fragile areas within non-fragile states) present challenges to fulfilment of project supervision and implementation functions and undermine the sustainability of project benefits.

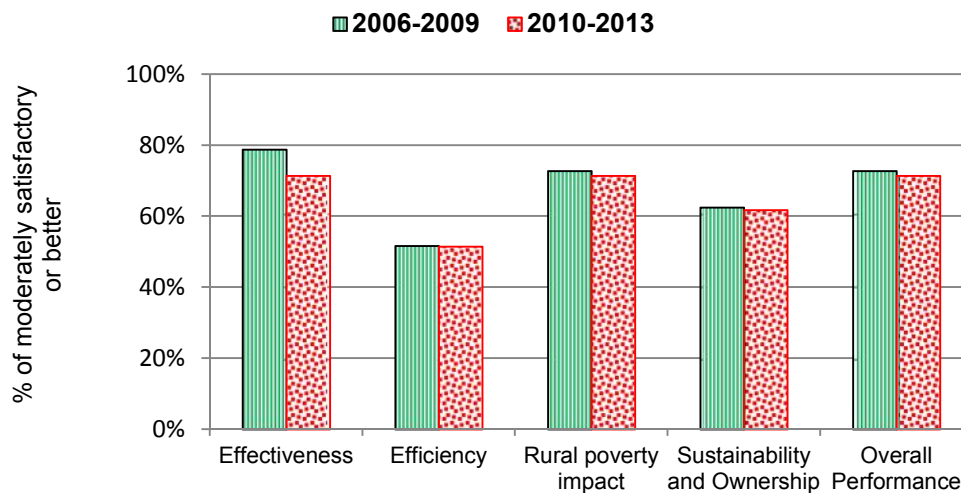
Chart 1

**Performance differential between fragile and non-fragile states (2006-2013)**



16. Chart 2 further shows that over time project performance in fragile states has been flat, if not deteriorating in some respects. By contrast, projects in non-fragile states show improvement, implying a widening development differential between fragile and non-fragile states.

Chart 2  
Performance trends in fragile states



17. Poor project performance in fragile states is largely the result of weak government capacities. This is reflected in table 3, which shows the growing differential between fragile and non-fragile states with respect to government performance. This reconfirms the need for special attention to strengthening governance and institutional capacity within newly designed projects in fragile states. The planned IOE corporate-level evaluation on fragile states is timely and will be of great value to IFAD as it revamps the Fund's business model for operations in these countries.

Table 3  
Government performance in fragile and non-fragile states

	<i>Moderately satisfactory or better 2006-2009</i>	<i>Moderately satisfactory or better 2010-2013</i>
Fragile states	55%	54%
Non-fragile states	76%	81%
Difference between fragile and non-fragile states	-21%	-27%

#### IV. IFAD's contribution to country programme and project outputs

18. Table 4 presents results for level 3 indicators of the RMF 2013-2015. These indicators are a subset of a larger suite of indicators used in the RIMS. Results presented draw on data from the 253 projects that were active in 2012. Total beneficiary outreach stood at 78.7 million people, an increase of 33 per cent over 2011, and 87 per cent of the target of 90 million set for 2015.
19. The total financial commitment of the active portfolio in 2012 was US\$12.3 billion, of which IFAD's share was US\$5.4 billion, or 44 per cent of the total; domestic financiers including financial institutions and governments accounted for 32 per cent (US\$3.9 billion), and cofinanciers for 24 per cent (US\$3 billion). Of the 10 projects with the highest outreach, five were rural finance projects, in Bangladesh, India, and Nigeria, Pakistan and Uganda. Together these projects provide services to 16.4 million people. Most of them involve institutions that IFAD-funded programmes have helped grow to national or regional scale through long-term partnerships.
20. As new projects enter and completed ones exit the portfolio of active projects, the sector composition of outputs changes. Evolution in the type of projects financed by IFAD is resulting in a more diverse range of outputs being delivered, which is leading to a slight decrease in the representativeness of RMF output indicators. Examples of indicators outside the RMF showing significant growth in 2012

compared to 2011 include: households receiving animals (up by 54 per cent), households receiving facilitated animal health services (up by 14 per cent), processing facilities constructed/rehabilitated (up by 33 per cent), and market facilities constructed/rehabilitated (up by 23 per cent). Increases in the latter two indicators and those on marketing and microenterprises in table 4 are the result of the rising share of value chain projects in the portfolio. The strong performance of policies and institutions indicators, along with the continuing high overall share of women beneficiaries, reflects the successful implementation of IFAD's policies and approaches to gender mainstreaming, targeting and inclusive development.

Table 4

**Level 3 RMF 2013-2015: IFAD's contribution to country programme and project outputs**

<i>Indicators</i>	<i>Baseline value</i> *	<i>Results 2012</i>
<b><i>Natural resource management</i></b>		
3.1 Common-property-resource land under improved management practices (hectares)	5.5 million	3.2 million
3.2 Area under constructed/rehabilitated irrigation schemes (hectares)	373 thousand	265 thousand
<b><i>Agricultural technologies</i></b>		
3.3 People trained in crop production practices/technologies	4.51 million	4.46 million
Male: female ratio	65:35	55:45
3.4 People trained in livestock production practices/technologies	1.2 million	2.61 million
Male: female ratio (percentage)	44:56	56:44
<b><i>Rural financial services</i></b>		
3.5 Voluntary savers	7.86 million	5.48 million
Male: female ratio	47:53	29:71
3.6 Active borrowers	2.70 million	2.46 million
Male: female ratio	43:57	26:74
3.7 Value of savings mobilized	US\$495 million	US\$262 million
3.8 Value of gross loan portfolio	US\$338 million	US\$338 million
<b><i>Marketing</i></b>		
3.9 Roads constructed/rehabilitated (kilometres)	17.6 thousand	15.3 thousand
3.10 Marketing groups formed/strengthened	13.2 thousand	19.7 thousand
<b><i>Microenterprises</i></b>		
3.11 People trained in business and entrepreneurship	716 thousand	1, 513 thousand
Male: female ratio (percentage)	39:61	16:84
3.12 Enterprises accessing facilitated non-financial services	57 thousand	110 thousand
<b><i>Policies and institutions</i></b>		
3.13 People trained in community management topics	2.13 million	2.66 million
Male: female ratio (percentage)	33:67	16:84
3.14 Village/community action plans prepared	28 thousand	37 thousand
3.15 People receiving services from IFAD-supported projects (number)	59.1 million (target 2015: 90 million)	78.7 million
<b><i>Male: female ratio (percentage)</i></b>	<b>52:48</b>	<b>51:49</b>

Source: Office records.

\* All baseline values are as at 2010, except for people receiving services, which is for 2011.

## V. Operational effectiveness of country programmes and projects

21. Progress against level 4 indicators in the RMF 2013-2015 is presented in multiple tables (5-9) reflecting the different streams of work they embody.
22. **County programme management.** Table 5 summarizes progress against country programme-related indicators. Results-based country strategic opportunities programme (RB-COSOP) quality at entry continues to be high. Results from client surveys (32 countries were surveyed in 2013), on the other hand, highlight some

areas requiring attention. The decline in performance on adherence to the aid effectiveness agenda will be assessed more closely to identify causes and remedial actions. Performance on engagement in national policy dialogue shows improvement. The rating for partnership-building, a new indicator measured for the first time in 2013, is encouragingly high. The continued institutional push for decentralization, closer cooperation with national-level partners and stronger engagement in national policy dialogue is expected to contribute to improved country programme performance.

Table 5  
**Level 4 RMF 2013-2015: Country programme management**

<i>Indicators</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2013</i>	<i>Target 2015</i>
<b>4.1 Country programme quality at entry</b>				
4.1.1 Percentage of RB-COSOPs rated 4 or better	2010	100	100	100
<b>4.2 Percentage of country programmes rated 4 or better during implementation for:</b>				
4.2.1 Contribution to increased incomes, improved food security, and empowerment of poor rural women and men	2011	78	81	90
4.2.2 Adherence to the aid effectiveness agenda	2011	93	78	100
4.2.3 Engagement in national policy dialogue	2011	55	69	70
4.2.4 Partnership-building*	2013	88	88	90

\* This indicator is new and has been measured for the first time in 2013. The baseline value is equivalent to the 2013 actual value, and the target has been set on that basis.

23. **Project quality at entry.** Table 6 summarizes progress against project quality-at-entry indicators (a full account of IFAD's quality-at-entry performance is provided in annex IV). Quality-at-entry indicators for the RMF 2013-2015 are all new or somewhat modified compared with those rated in previous years as part of the IFAD8 RMF 2010-2012; furthermore, the number of projects reviewed in 2013 is smaller than in typical years: this requires caution in interpreting results, especially for the specific dimensions of gender, monitoring and evaluation (M&E), and scaling up. Overall, quality-at-entry ratings are high and improving; overall ratings for projects in fragile states are on par with target. Due to changes in criteria between 2012 and 2013 for rating gender performance, a results-to-baseline comparison for this indicator is not meaningful. Quality assurance reviews in 2013 note particular improvement in addressing the issue of project complexity; they also acknowledge ongoing efforts to strengthen performance with respect to logical frameworks, implementation arrangements and M&E, but note that weaknesses in these areas continue to linger.

Table 6  
**Project quality-at-entry RMF indicators**

<i>Indicators</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2013</i>	<i>Target 2015</i>
<b>4.3 Percentage of projects rated 4 or better at entry / average rating</b>				
4.3.1 Overall average	2010/2011	79	93 / 4.5	85
4.3.2 Overall average for projects in fragile states only	2010/2011	n/a	80 / 4.5	80
4.3.3 Gender	2010/2011	86	78 / 4.0	90
4.3.4 Monitoring and evaluation	2010/2011	70	85 / 4.2	80
4.3.5 Percentage of projects receiving positive ratings on scaling up	2010/2011	72	76 / 4.4	80

Source: Office records.

Note: 2013 data include RMF ratings for one project which was reviewed in December 2012.

24. **Portfolio management.** Table 7 summarizes progress against portfolio management indicators. Overall, results in this area are very strong – close to or already exceeding target in many cases – especially for indicators that are the expression of efficiency in delivering services to client countries (for example, time from approval to first disbursement; project time overrun; time to process withdrawal applications; and disbursement ratio). Disbursements increased by 17 per cent over last year; the biggest increases were in projects in sub-Saharan Africa. These results suggest that efficiencies expected from the roll-out of a risk-based assurance framework are beginning to be realized.
25. Consistent with strong results on gender at project completion reported in section III, performance on gender focus in implementation continues to be consistently high and is already at the 2015 target level. A similar trend is evident for the indicator on IFAD’s performance as a partner.
26. Projects at risk remain stable at 18 per cent of the total portfolio,<sup>6</sup> while proactivity has declined marginally. IFAD is launching a programme with the Food and Agriculture Organization of the United Nations that will focus on addressing implementation issues in poorly performing projects, especially ones in fragile institutional and social contexts, where performance issues are the most severe.

Table 7

**Level 4 RMF 2013-2015: Portfolio management**

<i>Indicators</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2013</i>	<i>Target 2015</i>
<b>4.4 Portfolio management</b>				
4.4.1 Time from project approval to first disbursement (months)	2010/2011	17	15.9	14
4.4.2 Proactivity index	2010/2011	50	46	75
4.4.3 Projects at risk	2010/2011	18	18	Tracked
4.4.4 Project time overrun (percentage)	2010/2011	22	16.8	18
4.4.5 Time for withdrawal application processing (days)	2009/2010	28	15.6	20
4.4.6 Percentage disbursement ratio – overall portfolio	mid-2011	15.7	17.7	18
4.4.7 Percentage disbursement ratio – for countries in fragile situations <sup>a</sup>	mid-2011	15	22	17
4.4.8 Gender focus in implementation	mid-2011	88	90	90
4.4.9 Percentage of projects for which IFAD performance is rated moderately satisfactory or better	2010/2011b	73	84	80

<sup>a</sup> This figure represents disbursements in IFAD’s list of fragile states, which combines a harmonized list agreed on by multilateral development banks and a list compiled by the Organisation for Economic Co-operation and Development.

<sup>b</sup> Baseline figures were increased from 71 per cent in line with IOE’s new methodology for reporting performance, which is now based on completion cohorts.

27. **Project monitoring and evaluation.** Table 8 summarizes progress against project M&E indicators. These indicators were introduced in the RMF 2013-2015 to help address persistent underperformance of project M&E systems, which are critical to effective project management and the successful achievement of results. The results reported below show that good progress has been made on all indicators, especially with respect to fulfilment of requirements for undertaking baseline surveys.
28. As part of IFAD9 commitments, various initiatives are under way to strengthen project M&E systems and carry out preparatory work to conduct the 30 planned impact evaluations. In-house capacity on M&E and impact evaluation has been established and has started providing expert advice on these matters to selected

<sup>6</sup> At the end of the review period, i.e. 30 June 2013, IFAD’s investment portfolio (with 267 active projects) contained 48 projects considered as “actual problem” projects and three projects considered as “potential problem” projects.

projects at different stages of the project cycle. Impact evaluation guidelines have been developed and put a premium on the integration of IFAD-supported project M&E systems within broader national M&E systems.

Table 8

**Level 4 RMF 2013-2015: Project monitoring and evaluation**

<i>Indicators</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2013</i>	<i>Target 2015</i>
<b>4.5 Project monitoring and evaluation</b>				
4.5.1 Percentage of projects with RIMS or equivalent baseline surveys (cumulative percentage)	mid-2011	23	64	40
4.5.2 Percentage of projects submitting RIMS impact survey	mid-2011	70	78	95
4.5.3 PCR quality (percentage rated 4 or better)	2010-2011	80	88	90

29. **Cofinancing.** Table 9 presents the cofinancing ratio, which stands at 1.45. While this is very positive, maintaining or further increasing it will be challenging given trends in ODA and public domestic investment going to agriculture reported in section II.

Table 9

**Level 4 RMF 2013-2015: Cofinancing**

<i>Indicator</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2013</i>	<i>Target 2015</i>
4.6.1 Cofinancing ratio	2008-2010	1.34	1.45	1.6

## VI. Institutional effectiveness and efficiency

30. Table 10 presents results for level 5 indicators of the RMF 2013-2015. So far, a remarkable 93 per cent of the IFAD9 pledge target has been reached (US\$1.39 billion out of US\$1.5 billion). However, contributions beyond the pledge target will be required to fulfil the programme of loans and grants (PoLG) commitment target of US\$3 billion in the IFAD9 period; this is because a sizable share of contributions have been received for the Adaptation for Smallholder Agriculture Programme (ASAP), which operates on a grant basis (and therefore does not generate future reflows to IFAD). For this, donor outreach is being strengthened and innovative resource mobilization models are being explored.
31. Deepening of human resource management reforms continued over the last year, also guided by results of the 2012 global staff survey. The introduction of a new reward and recognition framework for high-performing staff is one of the most significant initiatives undertaken, which will provide additional incentives for superior performance; its implementation will begin in 2014.
32. High priority is being given to process streamlining, including through adoption of improved information and communication technology. Assessments were carried out in several areas, including travel, procurement, human resources management, payments and records management. Various initiatives were undertaken, such as the review of major service contracts at headquarters, resulting in estimated savings of 5-7 per cent; delegation of authority for low-value purchases and streamlining of the corporate procurement guidelines, improving the efficiency of procurement operations; and integration of the travel system and simplification of related procedures, significantly reducing the transactional burden of the travel process.

Table 10

**Level 5 RMF 2013-2015: Institutional effectiveness and efficiency**

<i>Indicator</i>	<i>RMF baseline</i>	<i>Results 2013</i>	<i>Target 2015</i>
<b>5.1 Improved resource mobilization and management</b>			
5.1.1 Percentage achieved of replenishment pledges	NA	93	100
<b>5.2 Improved human resource management</b>			
5.2.1 Staff engagement index: percentage of staff positively engaged in IFAD objectives	70	75	75
5.2.2 Percentage of workforce from Lists B and C Member States	40	40	Tracked
5.2.3 Percentage of women in P-5 posts and above	28	29	35
5.2.4 Time to fill professional vacancies (days)	144	107	100
<b>5.3 Improved risk management</b>			
5.3.1 Number of actions overdue on high-priority internal audit recommendations	21	3	15
<b>5.4 Improved administrative efficiency</b>			
5.4.1 Ratio of administrative budget to the planned PoLG	14.1	14.1	Tracked
5.4.2 Share of budget allocations to: (baseline 2011)			
Cluster 1	62	60.0	65
Cluster 2	7	8.4	9
Cluster 3	23	25.6	20
Cluster 4	8	6.0	6
5.4.3 Ratio of budgeted staff positions to total budgeted positions in:			
Cluster 1	57	58.1	61
Cluster 2	7	9	9
Cluster 3	25	26.3	22
Cluster 4	11	6.6	8
5.4.4 Ratio of budgeted staff positions in IFAD country offices to budgeted staff in country programme divisions	38	39.3	45
5.4.5 Ratio of actual administrative expenditures (including expenditures financed by management fees) to the IFAD-funded annual PoLG augmented by the value of the programmes and projects managed by IFAD but funded by other agencies	14.7	12.4	12.5
5.4.6 Ratio of actual administrative expenditures (including expenditures financed by management fees) less actual expenditures on "technical support" to developing Member States to the integrated programme of work	12.5	10.6	10.6
5.4.7 Ratio of actual administrative expenditures (including expenditure financed by management fees) to annual disbursements	22.1	19.9	18.8
5.4.8 Ratio of actual costs of General Service staff to total staff costs	30	25	25

Sources: Office records.

33. Actuals-based ex-post efficiency indicators (5.4.5 – 5.4.8) show strong improvement – reaching 2015 targets for all but one indicator – reflecting a combination of success in increasing PoLG commitments, in mobilizing additional resources, and, in recent years, in implementing efficiency measures, including ones to control unit staff costs. Progress on budget-based ex-ante efficiency indicators (5.4.1 – 5.4.4) is relatively modest, mainly due to increases in planned expenditures for 2014 to implement the IFAD Consolidated Action Plan to Enhance Operational and Institutional Efficiency,<sup>7</sup> a significant portion of which are related to information and communication technology activities and fall into results cluster 3; these expenditures go hand in hand with the process-streamlining work referred to above that will contribute to future savings. Although this entails a slightly lower share of total planned expenditures in cluster 1 in 2014 compared to 2013, the absolute spend in cluster 1 planned for 2014 actually increases by 3 per cent. The shares of planned expenditures in clusters 2 and 4 move in a positive direction vis-à-vis RMF targets for 2015. The ratio of budgeted staff positions in IFAD country offices improves slightly.

<sup>7</sup> Document EB 2013/109/R.12



## IFAD9 Commitment Report

This report provides a succinct status of progress in implementing IFAD9 commitments as at 30 September 2013, i.e. only nine months into the IFAD9 period. Progress against these commitments is monitored quarterly by Management to identify and address implementation issues. Overall implementation status is positive. All commitments are reported to be either on track or have minor implementation issues being addressed by the departments responsible.

Table 1

### Summary status of IFAD9 commitment implementation

Area	TOTAL deliverables	On track (green)	Minor issues (yellow)	Major issues (red)
1. Increasing IFAD's operational effectiveness	32	16 (50%)	16 (50%)	0
2. Increasing IFAD's institutional effectiveness and efficiency	10	46 (60%)	4 (40%)	0
3. Strengthening IFAD's financial capacity and management	7	6 (86%)	1 (14%)	0
4. Enhancing IFAD's results management system	7	7 (100%)	0	0
<b>TOTAL (percentage of TOTAL)</b>	<b>56</b>	<b>35 (63%)</b>	<b>21 (37%)</b>	<b>0</b>

Table 2

### Detailed report on implementation of IFAD9 commitments

Area of reform	Key commitments	Responsibilities	Time frame	Reporting	Status Q3 2013
Aid effectiveness	1. Strengthen country leadership and ownership.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR - Busan commitments	<b>Yellow</b>
	2. Strengthen and, where feasible, increase reliance on country systems and implementation structures.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, CFS directors	Ongoing	- RIDE annually - IFAD9 MTR - Busan commitments	<b>Green</b>
	3. Raise the level of IFAD technical cooperation implemented through coordinated programmes.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR - Busan commitments	<b>Green</b>
Scaling up	4. Strengthen country programme development, monitoring and management processes to ensure systematic attention to scaling up, broader partnership-building, more-rigorous policy analysis, and active engagement in national policy dialogue on agriculture and rural development.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, SPD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>

<i>Area of reform</i>	<i>Key commitments</i>	<i>Responsibilities</i>	<i>Time frame</i>	<i>Reporting</i>	<i>Status Q3 2013</i>
	5. Strengthen knowledge management processes to enhance IFAD's capacity to better capture and harness evidence-based knowledge for scaling up.	<b>Overall:</b> SKM <b>Implementation:</b> SPD, COM, PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
Private sector	6. Increase engagement in policy dialogue for more conducive rural business environments that enable smallholders and poor rural people to gain better access to markets and value chains.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
	7. Engage private-sector actors more systematically in country and project-level programming to raise their pro-poor and sustainable investments in rural areas.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
	8. Increase information and communications technology activities in IFAD-supported programmes.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
Gender equality and women's empowerment	9. Strengthen analysis of gender equality and women's empowerment issues in IFAD's operations for stronger and more even performance in this regard, and to promote expanded economic opportunities for rural women.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	10. Enhance indicators to measure impact and results in gender equality and women's empowerment.	<b>Overall:</b> PMD <b>Implementation:</b> Director, PTA	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	11. Enhance IFAD's capacity to document and disseminate field experience in gender equality and women's empowerment, and strengthen its advocacy efforts in this area.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, COM directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
Climate change and sustainable management of environmental resources	12. Strengthen analysis of climate change and environmental issues in IFAD's operations to support innovative approaches to climate resilience and sustainable use of natural resources.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	13. Assist smallholder producers in benefiting from climate finance and other adaptation and mitigation incentives, including through the IFAD-managed Adaptation for Smallholder Agriculture Programme (ASAP).	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	14. Ensure that complementary contributions to support the implementation of the ASAP are employed for that purpose.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, CFS directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	15. Enhance IFAD's capacity for knowledge management, advocacy and partnerships on climate change, the environment and natural resource management.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, COM directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>

<i>Area of reform</i>	<i>Key commitments</i>	<i>Responsibilities</i>	<i>Time frame</i>	<i>Reporting</i>	<i>Status Q3 2013</i>
Project efficiency	16. Strengthen assessments of economic returns on investment during project design, recognizing the need to ensure that social and environmental objectives are also met.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, SSD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
	17. Implement the scaling-up agenda.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, SPD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	18. Reduce delays in the project cycle.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, CFS directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
Country-level decentralization	19. Open additional country offices in line with the IFAD Country Presence Policy and Strategy, ensuring adequate delegation of authority at the country level, and cost-efficiency in the set-up and operation of country offices.	<b>Overall:</b> PMD, CSD <b>Implementation:</b> Country Presence Coordination Group (CPCG), co-chaired by AVP and Head, CSD	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
	20. Strengthen country office management and coordination, including implementation of incentives for outposting of internationally recruited staff, and adequate delegation of decision-making authority to operate effectively and efficiently.	<b>Overall:</b> PMD, CSD <b>Implementation:</b> CPCG, co-chaired by AVP and Head, CSD	Ongoing	- RIDE annually - IFAD9 MTR	<b>Green</b>
Fragile states	21. Adopt a flexible approach to programme design and implementation support in fragile states, with a strong focus on building the capacity of community and government institutions, including through appropriate country presence arrangements and close collaboration with other multilateral and bilateral partners.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
	22. Enhance the quality of programme design and implementation support in fragile states by performing deeper analysis of the causes of fragility.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
	23. Ensure simplicity of project objectives and activities in fragile states.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
	24. Strengthen application of risk management in the context of programmes in fragile states, including for the security of the workforce.	<b>Overall:</b> PMD <b>Implementation:</b> PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>
National monitoring and evaluation systems	25. Strengthen national monitoring and evaluation systems by enhancing the capacity of project management staff and implementing partners, particularly at start-up and in early project implementation, through the systematic engagement of M&E experts during design and supervision	<b>Overall:</b> PMD <b>Implementation:</b> SSD, PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	<b>Yellow</b>

<i>Area of reform</i>	<i>Key commitments</i>	<i>Responsibilities</i>	<i>Time frame</i>	<i>Reporting</i>	<i>Status Q3 2013</i>
	missions.				
South-South and triangular cooperation	26. Establish an adequately resourced corporate coordination function to ensure that South-South and triangular cooperation are pursued strategically, are widely mainstreamed across country programmes and are grounded in a robust evidence base.	<b>Overall:</b> SKM <b>Implementation:</b> PMD, SPD directors	2013	- RIDE 2013 - IFAD9 MTR	Green
	27. Develop staff incentives to proactively pursue and promote South-South and triangular cooperation.	<b>Overall:</b> SKM <b>Implementation:</b> SPD, PMD directors	2013	- RIDE 2013 - IFAD9 MTR	Yellow
Partnership and advocacy	28. Increase focus on strategic long-term partnerships, in particular with the Food and Agriculture Organization of the United Nations (FAO) and the World Food Programme (WFP) in order to: contribute to the success of the Committee on World Food Security; strengthen country programming; and raise efficiency through joint servicing initiatives.	<b>Overall:</b> SKM <b>Implementation:</b> OPV, SSD, CSD, PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	Green
	29. Strengthen partnerships with multilateral development banks, the Consultative Group on International Agricultural Research, bilateral development agencies, the Global Donor Platform for Rural Development, foundations, NGOs, farmers' associations and the private sector.	<b>Overall:</b> PMD, SKM, PRM <b>Implementation:</b> PMD, PRM directors	Ongoing	- RIDE annually - IFAD9 MTR	Green
	30. Intensify engagement with global policymaking and advocacy forums, such as the G20, that have a key role in shaping international development architecture.	<b>Overall:</b> SKM <b>Implementation:</b> SKM, OPV directors	Ongoing	- RIDE annually - IFAD9 MTR	Green
	31. Intensify identification of and engagement with relevant new high-potential global advocacy initiatives.	<b>Overall:</b> PMD, SKM <b>Implementation:</b> SKM, PMD, OPV directors	Ongoing	- RIDE annually - IFAD9 MTR	Yellow
	32. Support efforts to bring broader perspectives to global and national policy dialogue on smallholder agriculture, food and nutrition security and rural poverty reduction, particularly those of poor rural people and farmers' organizations.	<b>Overall:</b> SKM <b>Implementation:</b> SKM, PTA directors	Ongoing	- RIDE annually - IFAD9 MTR	Green
Institutional efficiency	33. Introduce a "fit-for-purpose" and efficient staff-time recording system to measure the full costs of performing key business processes and activities.	<b>Overall:</b> BOD, CSD <b>Implementation:</b> IFAD directors	2013	- RIDE 2013 - IFAD9 MTR	Yellow
	34. Develop key business-process efficiency indicators and benchmarks to facilitate identification of opportunities for process streamlining and cost-saving.	<b>Overall:</b> SKM <b>Implementation:</b> Director, SPD	2013	- RIDE 2013 - IFAD9 MTR	Yellow
	35. Liaise with the Executive Board to explore opportunities to reduce costs associated with the operations of IFAD's governing bodies.	<b>Overall:</b> SEC <b>Implementation:</b> Secretary of IFAD	2013	- RIDE 2013 - IFAD9 MTR	Green

Area of reform	Key commitments	Responsibilities	Time frame	Reporting	Status Q3 2013
	36. Integrate recommendations of the corporate-level evaluation of the Fund's efficiency into IFAD's Change and Reform Agenda, and strengthen indicators for measuring the Fund's efficiency, including the efficiency ratios.	<b>Overall:</b> OPV <b>Implementation:</b> IFAD directors	2013	- RIDE 2013 - IFAD9 MTR	Yellow
	37. Streamline the Fund's processes and workflows through adoption of improved information and communication technologies.	<b>Overall:</b> CSD <b>Implementation:</b> IFAD directors	2013	- RIDE 2013 - IFAD9 MTR	Yellow
	38. Assess the value added of business processes, and the potential for adopting more cost-effective alternative delivery modalities, including through joint servicing initiatives with other Rome-based agencies.	<b>Overall:</b> CSD <b>Implementation:</b> CSD, FOD directors	2013	- RIDE 2013 - IFAD9 MTR	Green
	39. Report progress against IFAD9 efficiency targets, including cost savings, to governing bodies through the annual Report on IFAD's Development Effectiveness.	<b>Overall:</b> SKM <b>Implementation:</b> Director, SPD	2013 onwards	- RIDE annually - IFAD9 MTR	Green
Human resources reform	40. Consolidate and deepen reforms completed in IFAD8.	<b>Overall:</b> CSD <b>Implementation:</b> Director, HRD	Ongoing	- RIDE annually - IFAD9 MTR	Green
	41. Equip IFAD with instruments and resources to promote gender competence and gender equality in its human resources management policies, as well as gender balance and equitable geographical distribution in its staffing.	<b>Overall:</b> CSD <b>Implementation:</b> Director, HRD	Ongoing	- RIDE annually - IFAD9 MTR	Green
	42. While maintaining alignment with the United Nations Common System, continue to explore opportunities for flexibility in IFAD's compensation and benefits system so as to ensure, with a view to achieving institutional efficiency goals, that appropriate levels of compensation and performance-based reward systems are in place for all IFAD staff. This would include efforts such as: participating actively in the 2011-2012 ICSC Rome Local Salary Survey Committee, with respect to GS salary levels; urging the ICSC to ensure appropriate compensation levels at the Professional level; and piloting a pay-for-performance model in collaboration with the ICSC.	<b>Overall:</b> CSD <b>Implementation:</b> Director, HRD	Ongoing	- RIDE annually - IFAD9 MTR	Green
IFAD's financial model	43. Deploy an enhanced financial model based on a sustainable cash flow approach on 1 January 2013. Towards this, the capacity of the Treasury Services Division will be strengthened, and a review of the current financial model undertaken to improve its flexibility, robustness and alignment with the financial projection models used by other IFIs.	<b>Overall:</b> FOD <b>Implementation:</b> FOD directors	2013	- Audit Committee - Executive Board in April 2013 - IFAD9 MTR	Green
	44. Present a proposal to the Executive Board regarding future use of the advance commitment authority once the sustainable cash flow approach has been fully implemented. Until then, current use, reporting and approval of the advance commitment authority will continue.	<b>Overall:</b> FOD <b>Implementation:</b> FOD directors	2013	- Proposal to Audit Committee - Executive Board in 2013	Green

Area of reform	Key commitments	Responsibilities	Time frame	Reporting	Status Q3 2013
	45. Present a proposal to the Executive Board on the management of responsibility for compensation for foregone principal arising from adoption of the Debt Sustainability Framework, beginning in IFAD10.	<b>Overall:</b> FOD <b>Implementation:</b> FOD directors	2013	- Proposal to Audit Committee - Executive Board in 2013	Green
Internal resource mobilization	46. Increase internal resources available to support IFAD's Programme of Loans and Grants in the IFAD9 period, in line with the decision taken at the 104 <sup>th</sup> session of the Executive Board to carry out a comprehensive review of IFAD's Lending Policies and Criteria in 2012 and to align IFAD's lending terms as far as possible with those of the International Development Association and the International Bank for Reconstruction and Development – taking into account IFAD's specificity as outlined in the Agreement Establishing IFAD.	<b>Overall:</b> FOD <b>Implementation:</b> FOD, LEG directors	2013 onwards	- Proposal to Executive Board in 2012	Green
	47. Enhance IFAD's internal resources by soliciting payment of loan and contribution arrears, and by exploring the possibility of loan prepayments with interested borrowing Member States.	<b>Overall:</b> FOD <b>Implementation:</b> PRM, LEG directors	Ongoing	- Proposal to Audit Committee and Executive Board as appropriate	Yellow
New sovereign donors and alternative financing modalities	48. Encourage non-Member States and groupings of States to contribute to and/or join the Fund.	<b>Overall:</b> PRM, LEG directors <b>Implementation:</b> Director, PRM	Ongoing	- Proposal to Governing Council and Executive Board as appropriate	Green
	49. Explore the scope for raising financing from other sources, to be submitted to the Executive Board, provided that any related agreements have no consequences for the governance of the Fund.	<b>Overall:</b> FOD, PRM <b>Implementation:</b> PRM, LEG directors	Ongoing	- Proposal to Executive Board as appropriate	Green
Impact evaluation	50. Increase compliance with the requirement that projects conduct a baseline survey by the end of their first year of implementation.	<b>Overall:</b> PMD <b>Implementation:</b> PMD, SSD directors	Ongoing	- RIDE annually - IFAD9 MTR	Green
	51. Actively pursue partnerships with institutions specialized in impact evaluation, and mobilize resources to develop adequate internal capacity to evaluate impact.	<b>Overall:</b> SKM, PMD <b>Implementation:</b> SSD, PMD directors	Ongoing	- RIDE annually - IFAD9 MTR	Green
	52. Present an information paper to the Executive Board on the methodologies IFAD will employ in carrying out impact assessments and in evaluating the new impact-level indicators introduced in the RMF 2013-2015.	<b>Overall:</b> SKM <b>Implementation:</b> Director, SSD	December 2012	- Paper to Executive Board in December 2012	Green
	53. Conduct, synthesize and report on approximately 30 impact surveys over the IFAD9 period. Three to six of these will use randomized control trials (RCTs) or another similarly rigorous methodology, depending on cost-sharing opportunities, interest and the availability of institutions specialized in impact evaluation to support this work.	<b>Overall:</b> SKM <b>Implementation:</b> Director, SSD	2013 onwards	- IFAD Outcome Report to Executive Board from 2014 onwards	Green

<i>Area of reform</i>	<i>Key commitments</i>	<i>Responsibilities</i>	<i>Time frame</i>	<i>Reporting</i>	<i>Status Q3 2013</i>
Results reporting	54. Review and consolidate mechanisms for results reporting to governing bodies, towards more succinct accounts focused on impact and outcomes achieved.	<b>Overall:</b> SKM <b>Implementation:</b> Director, SPD	April 2013	- Proposal to Executive Board in April 2013	<b>Green</b>
	55. Report to the Executive Board and Evaluation Committee annually on performance against RMF 2013-2015 indicators and targets, through the Report on IFAD's Development Effectiveness.	<b>Overall:</b> SKM <b>Implementation:</b> SPD, PMD directors	2013 onwards	- RIDE annually - IFAD9 MTR	<b>Green</b>
	56. Report annually to the Executive Board through the Audit Committee on enterprise risk management activities in IFAD.	<b>Overall:</b> VP <b>Implementation:</b> Risk Champions	Annual	- Reporting to Audit Committee annually - Annual report on IFAD's ERM activities to Executive Board	<b>Green</b>

## Annual Report on IFAD Policy on Gender Equality and Women's Empowerment

1. This is the second annual report on gender in IFAD, reporting on progress in the implementation of the IFAD Policy on Gender Equality and Women's Empowerment.
2. The policy is central to IFAD's Strategic Framework 2011-2015 and the IFAD9 replenishment commitments. Its goal is to deepen impact and strengthen the sustainability of IFAD-supported development initiatives by increasing IFAD's impact on gender equality and strengthening women's empowerment in poor rural areas. Achievements on the gender agenda will also be crucial to the IFAD10 replenishment discussions.
3. The report, in line with the RIDE reporting period, covers the period from July 2012 to June 2013. It follows a similar structure to that of the 2012 report: the first part focuses on achievements in relation to the three strategic objectives of the policy; the second highlights key activities and outputs under the five action areas for policy implementation; and the third identifies some of the principal activities for the coming year.

### A. Results achieved in relation to the strategic objectives

4. In 2012, women's representation among people receiving services from IFAD-supported projects continued to increase numerically (from 28 million in 2011 to 37 million in 2012) and women now account for almost half of all beneficiaries (49 per cent). An overview of the outreach to IFAD beneficiaries through IFAD-supported loan activities is presented in table 1. Women continue to dominate training in business and entrepreneurship (accounting for 84 per cent of the people trained) and in rural financial services, where they account for over 70 per cent of both savers and borrowers. They also continue to dominate training in community management topics. During the last year, the number of women participating in training in crop and livestock production practices and technologies has grown.

Table 1

**Number of people receiving services from IFAD-supported projects disaggregated by gender**

<i>Operational outcomes</i>		<i>Measures of success and source of verification</i>			
<i>Indicator</i>		<i>Baseline value (2007/2008)</i>	<i>RIDE 2011 (2010 data)</i>	<i>RIDE 2012 (2011 data)</i>	<i>RIDE 2013 (2012 data)</i>
<i>People receiving services from IFAD-supported projects</i>	People receiving services from IFAD-supported projects (number)	29.2 million	43.1 million	59.1 million	78.7 million
	Male: female (percentage)	57:43	54:45	52:48	51:49
<i>Agricultural practices/Technologies</i>	People trained in crop production practices/technologies	1.7 million	4.5 million	4.8 million	4.5 million
	Male: female (percentage)	50:50	65:35	64:36	55:45
	People trained in livestock production practices/technologies	1.1 million	1.2 million	1.2 million	2.6 million
	Male: female (percentage)	35:65	44:56	55:45	56:44
<i>Rural financial services</i>	Active borrowers	4.4 million	2.7 million	4.3 million	2.5 million
	Male: female (percentage)	52:48	43: 57	31:69	26:74
	Voluntary savers	5.4 million	7.9 million	5 million	5.5 million
	Male: female (percentage)	51:49	47:53	32:68	29:71
<i>Microenterprise</i>	People trained in business and entrepreneurship	0.2 million	0.7 million	1.4 million	1.5 million
	Male: female (percentage)	53:47	39:61	25:75	16:84
<i>Policies and institutions</i>	People trained in community management topics	0.7 million	2.1 million	3.2 million	2.7 million
	Male: female (percentage)	38:62	33:67	25:75	16:84

Source: RIMS.



5. The text below presents examples from the current IFAD portfolio that contribute to the achievement of the three strategic objectives of the gender policy – economic empowerment, representation and decision-making, and workload balance and sharing of the benefits – as well as the two cross-cutting themes of youth and climate change. An individual project may contribute to more than one objective but is presented under the objective that highlights its most innovative feature.

**Strategic objective 1: Promote economic empowerment of rural women and men**

6. The principal thrust of the majority of IFAD loans is to promote economic empowerment to enable rural women and men to have an equal opportunity to participate in, and benefit from, profitable economic activities. The projects demonstrating such initiatives have been grouped under four thematic headings.

**Accessing financial services**

7. The Western Sudan Resources Management Programme formed solidarity-based, self-sufficient savings and credit groups in rural communities in Sudan. The groups have developed a strong savings culture among rural women and, in 2012, they accounted for 93 per cent of the 11,700 members. This experience has enhanced their confidence in undertaking new economic activities and lifted the status of women within the community by replacing what is perceived as “idle” time with productive activities.
8. The Rural Development and Modernization Project for the Eastern Region of El Salvador takes financial services to populations that are usually excluded, focusing on women, but without excluding men. The financial groups design their own management fund model, embracing both economic and social considerations. Affirmative action to close gender gaps and improve women’s quality of life includes: literacy training circles; sexual health campaigns for women, men and couples; and fuel-efficient stoves, which reduce women’s time collecting wood. The formation of a women’s network, including women’s financial groups, engages in dialogue with government (mainly municipalities) to request and manage services.

**Developing value chains and enterprises**

9. The Support Programme for Rural Microenterprise Poles and Regional Economies in Madagascar works on pro-poor value chains that affect vulnerable groups, especially women and young girls who have left school. The value chains include crafts and fruit processing, for women and young girls, in addition to onion, maize, beans and vanilla value chains, which are of interest to both women and men. Women farmer and producer organizations have been created to facilitate their access to productive investments and finance, and their technical and productive skills have been improved through business development services. Access to markets has been strengthened through creating market infrastructures managed by women’s organizations, involving women in dialogue platforms for specific value chains and ensuring their active participation in trade negotiation workshops. In addition, the Norwegian-funded women’s leadership grant programme supported the emergence of new women leaders.
10. The Northern Rural Growth Programme in Ghana has four commodity windows to promote value chain development: industrial crops, women’s crops, fruit and vegetables, and animal resources. The inclusion of a specific women’s crops window (for shea butter) has enabled women to access land and other production resources. Women are organized into groups and receive training in advocacy and market access. They are linked directly to international companies, thereby avoiding several layers of intermediaries. Their incomes have been tripled by this intervention. Women have also increased their participation in other commodity windows, especially industrial crops. The programme has advocated for women value chain actors to be represented on the district value chain committees. It has

also engaged with the regional paramount chiefs to promote behaviour change, which has yielded results in terms of women's access to land. Women now account for two thirds of the programme participants.

11. The Farmer Market Access Programme in Armenia makes financing available to rural small and medium-sized enterprises that show growth potential and provides support to help women build their knowledge, skills and confidence. The programme also contributes to the Rural Finance Facility, a permanent autonomous unit set up by the Government to channel capital to financial institutions and thus improve rural poor people's access to loans. Loans are given to family enterprises and family members occupy most of the jobs created, with women acting as enterprise founders, employees and suppliers. So far, more than 300 enterprises have generated about 2,000 full-time jobs (35 per cent held by women).

#### **Accessing land**

12. Significant progress has been made in Africa in recognizing the importance of land and natural resource tenure security for women, but the real challenge now is in developing and implementing appropriate policies, approaches and tools for securing these rights. Studies on women's land rights undertaken in Ethiopia and Uganda, with the support of supplementary funds from Canada, highlighted the need to promote the empowerment of rural women above and beyond land titling or individual legal actions, to enable them to claim, defend and consolidate their land rights, and then to build more effectively on their secured rights to guarantee their livelihoods. Tools, guidelines and approaches were shared at a practitioners meeting in Nairobi in May 2013, a collaborative initiative between IFAD, the Global Land Tool Network and the International Land Coalition.
13. Project-level examples include the Kirehe Community-Based Watershed Management Project in Rwanda, which has facilitated 140,000 land titles being issued to land owners and, where applicable, these titles are co-registered to the husband and wife; securing women's access to productive lands for rice production and market gardening in the Sustainable Rural Development Programme in Burkina Faso; and the equitable allocation of land to women and young women and men to utilize seeds supplied under the Agricultural Value Chains Support Project in Senegal.

#### **Developing infrastructure**

14. The Sunamganj Community-Based Resource Management Project in Bangladesh forms labour contracting societies (LCS) for infrastructure development, creating an often unique opportunity for women to earn cash income. Women account for 40 per cent of LCS members and report that LCS is an important chance for them to improve their economic and social situation. Women's wages, hours of work and benefits are equal to those of their male colleagues. Many invest their earnings in income-generating activities. Some also make the blocks for the road, which they can do near their homes with flexible timing, thus allowing them to continue with homestead gardening, looking after their children etc. Women account for 75 per cent of the members of the implementation monitoring committees that monitor the infrastructure works and this has increased their voice in community decision-making. The roads have also made travelling easier, more affordable and safer, thus enabling women to travel to nearby cities and markets to purchase goods, and to visit hospitals/doctors or their relatives. In addition, road maintenance has generated regular employment for the poorest and most disadvantaged women.

#### **Strategic objective 2: Increase rural women's decision-making power and representation**

15. Initiatives to enable women and men to have equal voice and influence in rural institutions and organizations take place in a variety of contexts, ranging from

- project-related institutions at the community level, to farmer and producer organizations, through to national forums and global gatherings.
16. The Rural Women's Leadership Programme developed the capacity of grass-roots women leaders in Madagascar, Nepal, the Philippines and Senegal. This three-year programme – supported by supplementary funds from the Government of Norway – demonstrated that there is clear demand from grass-roots women for their priorities to be heard in farmer organizations, and that a holistic approach is required that considers informal and women-only cooperatives as well as formal and national organizations, women's wings as well as mainstreaming gender into services, and a gender-balanced membership base. Alongside building the capacities of women themselves, institutions must be supported in order to change, adjust the perception of leadership and value the contribution of women. In many contexts it is important to work with men in order to build understanding and acceptance of (even advocacy for) the potential contribution of women both in farmer organizations and through collective action. Good practices and lessons learned from the programme have already spread to others; for example experiences in Senegal, which were implemented in partnership with the Women's College of the National Council of Rural Groups, have been shared in Benin, Côte d'Ivoire, Guinea and Mauritania. The programme has resulted in two follow-up grant-funded initiatives: "Capacity building for women's leadership in farmer producer organizations in Asia and the Pacific region" and "Knowledge management and learning on gender empowerment of rural producer groups in East and Southern Africa".
  17. The Rural Development Project in the Mountain Zones of Al-Haouz Province in Morocco has contributed to improving the living conditions of rural women by enabling them to integrate into the community's socio-economic life and becoming part of the decision-making process of local cooperatives and associations. In the past, women were not allowed to speak in public or take care of administrative processes, but the project's innovative and participatory approaches have contributed to favourable changes in attitude and behaviour regarding women and their role in the communities. Women now actively participate in decision-making processes and their contributions are appreciated.
  18. The Agricultural Value Chains Support Project in Senegal has not only developed value chains but also strengthened women's and men's roles in the governance of rural institutions. The presence of women as chairpersons of their organizations has increased significantly, and women currently account for around 60 per cent of the leaders of the organizations partnered by the project; many women have been elected for other positions, such as treasurer or secretary. Women also account for half of the chairpersons of the assemblies of the inter-professional forums uniting representatives of producer, processor and trader organizations.
  19. The Participatory Smallholder Agriculture and Artisanal Fisheries Development Programme in Sao Tome and Principe started working on the bio-coffee value chain in 2010. After two years of programme implementation, women accounted for 51 per cent of the beneficiaries of this value chain. Women also hold prominent positions in the institutions responsible for the operation of the coffee industry. Infrastructure has been built to alleviate women's workload, namely processing facilities, drinking water supply with laundry facilities, and improved stoves. Most of the leadership positions within the newly created association of women producers are held by women who are members of the fair trade cocoa and quality cocoa associations that have been created by the programme.
- Strategic objective 3: Achieve an equitable balance in workload and sharing of benefits**
20. Many IFAD-supported projects enable women to access basic infrastructure, services and labour-saving technologies in order to reduce drudgery and to achieve

a more equitable balance in workloads. Drudgery reduction is often the key to enabling women to become active stakeholders in project implementation.

21. The District Livelihoods Support Programme in Uganda uses the household mentoring methodology as a mechanism for social inclusion and promoting gender equality. All adult members of poorer households, i.e. household head, spouse and adult children, are mentored together, unlike other approaches that tend to focus on the household head. This has enabled joint family discussions, planning, visioning and priority setting, to ensure that not only men and women but also adult children have a voice in influencing decisions at the household level. The visioning exercise brings out clearly the issue of workloads, and how the work can be redistributed to ensure all family members contribute to development. The programme also encourages women, men and their offspring or their representatives to seek inclusion in the certificate of land registration – and this achievement represents an important cultural shift. Men have been encouraged to join adult literacy classes by broadening the content to include aspects of business planning. Through these classes, men and women have been enlightened and empowered to stand up for their rights, take charge of economic affairs in their households, and some groups have evolved into savings and credit associations.
22. The Participatory Small-scale Irrigation Development Programme in Ethiopia has deliberately targeted women heads of households through women-only groups. The programme has supported the introduction of improved stoves through demonstrations and training of trainers in the construction and use of the stoves. The triple benefits reducing women's burden of fetching firewood, improving the community's energy efficiency and creating income-generating opportunities.
23. The Southern Highlands Project in Peru has focused particularly on developing women's businesses because they are the basis of family savings and household money management, and this has important implications for education and the nutrition of children. In addition to a range of activities to facilitate inclusion in the formal financial system and to support women's participation in fairs, study tours and stories of life competitions, the project has empowered women to participate in the leadership and influence the decision-making of associations and rural community organizations, and has introduced shared life and risk insurance for couples.
24. The Second Cordillera Highland Agricultural Resource Management Project in the Philippines conducted community consultations with women and men separately, in order to be able to incorporate the specific needs, views and concerns of rural indigenous women in *barangay* (district) participatory project investment plans. This was a major achievement in highly traditional indigenous communities, where women's participation tends to be dominated by men. There is evidence that women's voice resulted in different outcomes – for example, investing in domestic water supplies (which had been the women's priority) before rehabilitating a community irrigation system (men's priority).

#### **Cross-cutting themes**

25. **Youth.** Young people are becoming an increasingly significant resource in agricultural and rural development, accounting for over 60 per cent of the world's rural population. However, they face specific challenges that hinder their engagement, in terms of limited access to productive resources, lack of employment opportunities and limited voice. Within this dynamic, it is essential to identify and address the differing challenges and priorities of young rural women and young rural men. Recently, IFAD has adopted essentially two approaches to engage with rural young people: (i) to increase their engagement in the agricultural sector, for example through agricultural training and supporting farm mechanization (Botswana, Burundi, Madagascar); securing land rights and improving their access to land (Mozambique); and engaging with young farmer

clubs for technical training (Cambodia); and (ii) to promote employment opportunities, for example through developing micro and small enterprises and value chains (Burundi, Burkino Faso, Ghana, Senegal); establishing a job connection programme (Viet Nam) and a Young Professionals Programme (Afghanistan); and supporting vocational training (India). IFAD's Strategy and Knowledge Management Department (SKM) has developed a guidance note aimed at enabling development practitioners and project staff to mainstream young people into rural development programmes, and a policy brief aimed at providing policymakers with practical advice on addressing rural youth issues.

26. **Climate change.** Projects supported by the IFAD Adaptation for Smallholder Agriculture Programme (ASAP) have a strong focus on the differentiated vulnerabilities of women and men to climate-induced hazards, and also harness the role of women as agents of change to strengthen the impact on the resilience of communities and ecosystems. Initiatives include: increasing women's asset base and supporting livelihood diversification as an important strategy for increasing their resilience to external shocks, including climate change (Plurinational State of Bolivia); providing for ethnic minority women to be represented in key committees and groups related to the management of growing climate risks, and to influence longer-term policy dialogue at the provincial/national levels (Viet Nam); and mitigating the burden of climate change on women's workloads in collection fuelwood through introducing innovative biofuel energy sources, which reduce women's non-productive time, counter deforestation and create a cleaner and safer energy source (Mali).

## **B. Results achieved in relation to the implementation plan**

27. The gender policy is implemented through five action areas. Action areas 1 to 3 relate to IFAD's core activities, while action areas 4 and 5 relate to the institutional structures and resources for policy delivery. This section reports on key activities **and achievements in relation to the output indicators identified for each action area.**

### **Action area 1: IFAD-supported country programmes and projects**

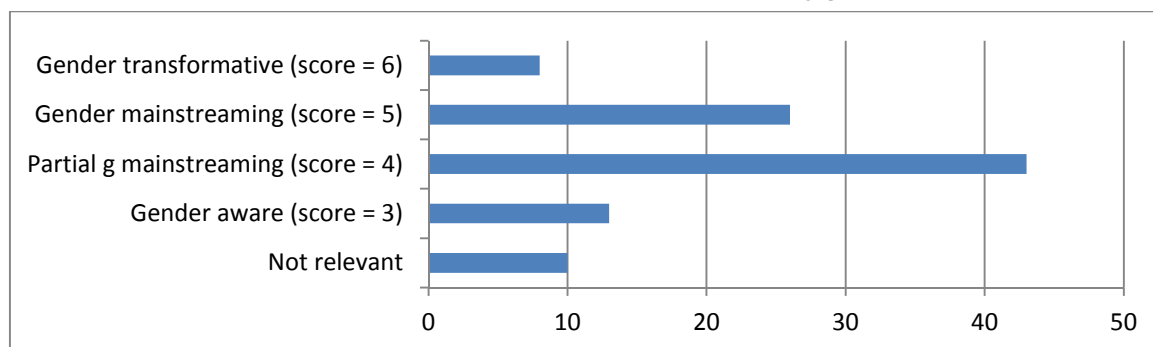
28. Specialist gender staff at headquarters and the regional level regularly provide technical support during the country programme and project design and implementation process to strengthen the gender equality and poverty targeting perspectives, by participating in missions, as members of country programme management teams and by providing inputs to document reviews.
29. Activities to strengthen project design in 2012-2013 included: developing a system of gender markers to reflect the maturity of a project at different stages of the project cycle from a gender perspective; strengthening the gender perspective of the Results and Impact Management System (RIMS), in collaboration with IFAD's Programme Management Department (PMD) Front Office and SKM, by drawing on key elements of the Women's Empowerment in Agriculture Index (WEAI); providing inputs to the IFAD staff induction training and direct design training, together with project management training for staff from the FAO Investment Centre; the Policy and Technical Advisory Division's (PTA) livestock thematic paper on tools for project design, with a special focus in women and pastoralists; and developing an e-learning course on social analysis for agricultural and rural development in collaboration with the FAO Investment Centre.

### **Indicator 1.1: Increase in the proportion of loans and grants with gender-specific objectives supported by clear budget allocations**

30. All project design reports are required to describe the target group and the gender context, and to outline strategies for strengthening beneficiary outreach among the poor and for promoting gender equality and women's empowerment as an integral part of project design.

31. At the corporate level, a methodology has been developed for conducting an ex ante analysis of the gender-sensitivity of the value of the IFAD loan portfolio. Each loan component or subcomponent was analysed from a gender perspective to assess how gender considerations had been taken into account in shaping its activities and implementation mechanisms. A score was assigned to reflect the degree to which gender issues had been addressed. Figure 1 presents the results for the 35 loans – amounting to US\$825 million – that were approved by the Executive Board between September 2012 and April 2013 (which coincides with the RIDE’s reporting period). They show that the content of over 77 per cent of the value of the loans is rated moderately satisfactory or above with respect to gender.

Figure 1

**Distribution of total loan value approved September 2012-April 2013 by gender score**

Percentage of total loan value

32. Overall, 26 per cent of the total loan value can be classified as gender mainstreaming – where the commitment to gender equality is fully integrated within the component activities and is reflected in the allocation of financial and human resources, as well as the operational measures and procedures. A further 8 per cent of the budget can be described as gender transformative, with activities that go beyond addressing the symptoms of gender inequality to tackling the underlying social norms, attitudes, behaviours and social systems.
33. Most of the loan value (43 per cent) can be described as partial gender mainstreaming, whereby gender considerations have been mainstreamed in some aspects of component design but with limited allocation of resources. A further 13 per cent contributes in a more limited way to gender equality (gender aware). Gender issues were not considered to be relevant to 10 per cent of the loan value at design stage, such as meteorology and hydrometric systems or seed certification.

**Indicator 1.2: Improvement in gender ratings for loan and grant design**

34. An arms-length review for quality assurance is conducted prior to presenting a project to the Executive Board for approval. The incorporation of gender issues in project design has steadily improved since 2008 (table 2). Of the projects designed in 2012/2013, 96 per cent were judged to be at least moderately satisfactory with regard to addressing and mainstreaming gender issues into design.

Table 2

**Percentage of projects rated 4 or better at design for gender**

Indicator	2008	2009	2010	2011	2012	2013
Gender equality and target population	82	85	92	95	94	96

Source: Quality Assurance and Grants Unit.

35. A total of 46 grants were approved between July 2012 and June 2013. Five had a strong gender focus and a further 31 had a gender dimension, whereas only 10 made no reference to gender. The five grants with the strong gender focus were: establishing a competitive grant fund to enable women entrepreneurs to upgrade and expand their rural enterprises (Latin America and the Caribbean Division –

LAC); working with the Aga Khan Foundation to set up sustainable, independent, export-oriented women-led small businesses in cashmere, mohair and wool processing in Afghanistan, Kyrgyzstan and Tajikistan (PTA); securing access to land for poor women and men with the International Land Coalition (PTA); cofinancing a two-year collaborative research programme with World Bank and FAO on understanding the determinants of input use and/or allocation of household resources that may underlie gender differences in agricultural productivity in sub-Saharan Africa (West and Central Africa Division – WCA); and supporting participants from IFAD-supported projects in mountain regions to attend the Bhutan+10 conference on gender and sustainable mountain development (PTA/Asia and the Pacific Division – APR).

**Action area 2: IFAD as a catalyst for advocacy, partnerships and knowledge management**

36. The nexus of partnerships, knowledge management and communication is critical for advocacy and outreach. Ongoing activities include: working with the regional divisions and the Communications Division (COM) to prepare regional and subregional gender briefs in order to generate a more nuanced understanding of regionally-differentiated gender issues and to share some project responses; and updating IFAD's dedicated gender website – an initiative led by SKM, working with COM, and supported by supplementary funds from Finland.

**Indicator 2.1: Increase in IFAD inputs on gender issues in international forums and publications**

37. The first global meeting of the Indigenous Peoples' Forum took place at IFAD headquarters on 11 and 12 February 2013. There were 34 participants (of whom just over half were women), representing 27 countries from the regions of Asia and the Pacific, Africa, and Latin America and the Caribbean. Addressing gender issues was a common thread running through the three regional workshops that were held as part of the preparations for the forum. During the forum, the gender dimension was enriched by three testimonies from different regions during a session on increasing opportunities for indigenous women as key actors for indigenous peoples' well-being. The commitment to addressing gender issues was also reflected in the synthesis of deliberations, which included the specific recommendation for IFAD to "Devise measures for affirmative action targeting indigenous peoples and, in particular, indigenous women and youth".
38. In mid-October 2012, an IFAD delegation participated in the Bhutan+10 Gender and Sustainable Mountain Development in a Changing World international conference organized by the International Centre for Integrated Mountain Development, Bhutan's Ministry of Agriculture and Forests, and the National Commission for Women and Children. Ten women and five men were selected from the regions of Asia and the Pacific, East and Southern Africa, and Latin America and the Caribbean, and many were from IFAD-funded projects.

**Indicator 2.2: Inclusion in key IFAD policy documents and knowledge products of references to gender equality and empowerment of women**

39. IFAD regularly gives visibility to gender-related aspects of rural development through "voices from the field" on the Rural Poverty Portal and IFAD's website, articles posted on IFAD's social reporting blog, IFAD's daily press clipping service, abstracts circulated by the library services, and COM-led initiatives around major events. During the year, several of the IFAD regional newsletters have a specific gender focus, for example, rural women's savings and credit associations in Ethiopia; investing in rural women through smart development in Latin America and the Caribbean and the importance of breaking the cycle of violence against women in Honduras. Many IFAD videos also have a strong gender dimension.
40. Specific knowledge products include the Near East, North Africa and Europe Division's "Learning for Rural Change: 18 Stories from Sudan", which highlights

five stories of women's empowerment (May 2013) and APR's "Construction of village roads by villagers: Creating jobs for women and men in Sunamganj, Bangladesh", in "Gender, Roads and Mobility in Asia" (2012).

**Indicator 2.3: Increase in focus on gender issues in policy dialogue and scaling up**

41. Scaling up, a priority for IFAD in recent years, has had additional impetus with the IFAD9 commitment to lift 80 million people out of poverty by 2015. However, there is concern to ensure that scaling up does not weaken the outreach of IFAD-supported projects – particularly value chain development – to the rural poor and especially women. This concern was noted in the Brookings Institute Paper (2013) "Scaling up programs for the rural poor: IFAD's experience, lessons and prospects". The gender desk explored this issue by learning lessons from five successful IFAD targeting and gender scaling up experiences and identifying ways to help IFAD retain and strengthen its poverty and gender focus in the scaling up agenda.

**Indicator 2.4: Increase in joint initiatives on gender-related activities with other development agencies**

42. The three Rome-based agencies (RBAs – FAO, IFAD and WFP) and UN Women have developed a five-year joint programme for accelerating progress towards the economic empowerment of rural women, to be implemented in seven countries: Ethiopia, Guatemala, Kyrgyzstan, Liberia, Nepal, Niger and Rwanda. The programme was launched – with support from all four agencies – in New York in September 2012 and in Rome in October 2012. IFAD is co-leading the country-level response in Ethiopia and IFAD representatives have participated in national stakeholder workshops. IFAD hosted the second annual retreat on 23-24 May, with 45 representatives from the four agencies (of whom 10 per cent were men) from both headquarters and country offices and one staff member from the United Nations Development Programme. Inspiration was drawn from the country updates, where much has been achieved in identifying opportunities for complementarity among ongoing operations, as well as developing specific action plans. Discussions were held on the multi-partner trust fund, managerial arrangements at the international level and coordination at the country level, resource mobilization and communication strategies, and the monitoring and evaluation framework.
43. In Kenya, the three Rome-based agencies have jointly implemented the project "One voice against gender inequity: Addressing gender inequity in disaster risk reduction and resilience building in the arid and semi-arid lands of Kenya". The project has supplied agricultural inputs (mainly seeds), water tanks, drip irrigation kits and local chicken; trained women's groups and individuals in poultry production; and designed tools for community level research.
44. The 2013 theme for International Women's Day (IWD) highlighted the pervasive nature of violence against women and its damaging impact on agricultural productivity, food security and rural livelihoods, and the quality of women's lives. IFAD participated in three IWD events: the first hosted by WFP on behalf of the three Rome-based agencies; the second for international undergraduate and graduate students participating in Rome's Model United Nations; and the third organized by the UN Women's Guild and held at IFAD.
45. IFAD is a member of the United Nations Inter-Agency Network on Women and Gender Equality, the OECD Development Assistance Committee Network on Gender Equality, the multilateral development banks' Gender Working Group, and the Gender in Agriculture Partnership, which is part of the Global Forum on Agricultural Research. At the country level, IFAD participates in United Nations Development Group task teams on gender equality, for example in Kenya.



### **Action area 3: Capacity-building of implementing partners and government institutions**

46. In-country capacity-building is vital for strengthening the enabling institutional environment for promoting gender equality and women's empowerment, as well as for successful project implementation. Initiatives in 2012-2013 included:
- A three-day gender learning and sharing forum to enhance project impacts and development sustainability organized by the East and Southern Africa Division (ESA) and PTA in Nairobi, from 28 to 30 November 2012, attended by 33 participants (44 per cent women) drawn from 14 projects in nine ESA countries, IFAD country offices, the IFAD Regional Office in Nairobi and government ministries.
  - A five-day gender and knowledge management workshop organized by the India country office and PTA in Chennai, from 1 to 5 October 2012, attended by 23 gender and knowledge management focal points from the 11 IFAD-supported programmes and projects in India (30 per cent women).
  - Two learning routes organized by Procasur and Oxfam Novib, with IFAD support, on strengthening the contribution of value chain development to gender justice and pro-poor wealth creation through the Gender Action Learning System (GALS). The two routes ran concurrently in Rwanda and Uganda, from 24 September to 3 October 2012, with 38 participants (of whom 61 per cent were women) drawn from 16 countries and included many staff from IFAD-supported projects in the regions of Asia and the Pacific, East and Southern Africa, and West and Central Africa.
  - A learning event on developing skills for scaling up GALS took place in Kenema, Sierra Leone, from 21 to 28 January 2013. The participatory training interacted with community members engaged with the GALS methodology in the IFAD-funded Rehabilitation and Community-based Poverty Reduction Project. The 32 IFAD-supported project staff (of whom 53 per cent were women) were from eight countries, covering anglophone and francophone East and West Africa.
  - The IFAD-Philippines Gender Network, with membership drawn from the IFAD-supported project staff, is a national initiative supporting implementation by organizing workshops on, for example, gender monitoring and evaluation, and mainstreaming gender in value chain activities, as well as general meetings for experience sharing.

#### **Indicator 3.1: Improvement in gender ratings for loan and grant portfolio at completion**

47. At completion, IFAD assesses how much attention was given to gender issues, whether a project was specifically designed to address the needs of women, and whether the project contributed to improving the situation of women in general. As shown in table 3, performance in this regard is strong.

Table 3

#### **Percentage of projects rated 4 (moderately satisfactory) or better at completion stage for gender**

<i>Indicator</i>	<i>2010</i>	<i>2011</i>	<i>2012</i>	<i>2013</i>
Gender equality	88	90	91	91

Source: Project/programme completion report scores for projects completed during the year under review.

48. In the tenth Annual Report on Results and Impact of IFAD Operations (2012), the Independent Office of Evaluation's scores on gender for the 24 projects evaluated in 2011 were broadly similar to the ratings from the project completion report, with only -0.3 difference in ratings. Interestingly, the proportion of projects that scored at least moderately satisfactory or above for gender was higher in low-income countries (89 per cent) than middle-income countries (73 per cent).

**Indicator 3.2: Increase in the number and quality of initiatives to support gender equality and women's empowerment undertaken by government institutions**

49. Linked to the activities of the Joint Programme, an indicator will be developed to measure changes in the gender-responsiveness of the policy environment at the country level. An interesting example of policy engagement was experienced in Bangladesh, when the director of the Sunamganj Community-Based Resource Management Project was selected to lead a team updating the gender strategy of the local government's engineering department, as a result of project achievements. Consequently, the department's central gender policy and strategy incorporates many lessons from the project, such as the inclusion of women in rural organizations, opportunities for waged work and natural resource management, and addressing violence against women.

**Action area 4: Gender and diversity balance in IFAD**

50. Working with the Human Resources Division (HRD), activities in this area have gained momentum during 2012-2013. A gender and diversity e-learning course – which has been developed with the support of Finnish supplementary funds – is close to completion. The three modules will cover: the importance of gender equality and diversity in the workplace; IFAD's approach to promoting gender and diversity in the workplace through its policies and organizational culture; and ensuring a constructive and positive work environment. The President has endorsed this initiative and it will be mandatory for all staff and consultants.

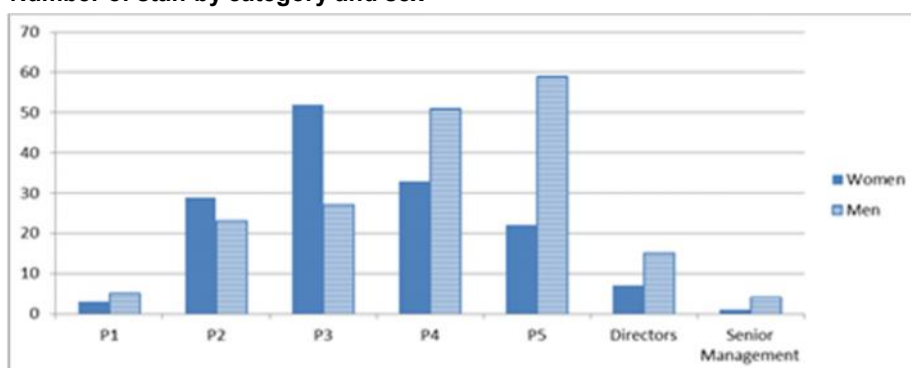
**Indicator 4.1: Increase in number of women at grade P-5 or above employed by IFAD**

51. As the President noted in a speech at the 2013 Governing Council: "A better gender balance is one of IFAD's goals". However, it is proving challenging to significantly change the gender profile of the organization and the gender parity plan currently under preparation with HRD will chart a way forward.
52. As of 1 August 2013, IFAD employed a total of 586 staff members,<sup>1</sup> comprising 331 Professional staff and 255 General Service staff. Women accounted for 81 per cent of General Service staff in 2013; 60 per cent of P-1 to P-3; 39 per cent of P-4; 27 per cent of P-5; 32 per cent of directors; and 20 per cent of senior management (see figure 2 and table 4). Overall, women account for 28 per cent of staff at grade P-5 or above. There is a similar distribution among IFAD field staff paid through other United Nations agencies: women account for 71 per cent of General Service staff and 23 per cent of national Professional officers. With reference to the UN-SWAP targets, IFAD exceeds the target on gender equality for General Service staff (at 81 per cent) and has made slight gains for grade P-4 and above (33 per cent). The share of workforce from List B and List C countries is stable at 40 per cent in 2013.

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<sup>1</sup> The data refer to IFAD, including hosted entities (the Global Mechanism of the United Nations Convention to Combat Desertification, the International Land Coalition and the United Nations Secretary-General's High-Level Task Force on the Global Food Security Crisis).

Figure 2  
Number of staff by category and sex



Data for General Service staff: 207 women; 48 men

Table 4  
Composition of staff

Indicator	2011	2012	2013	Target
Percentage of women in P-5 posts and above	28	30	29	35 (RMF 2015)
Percentage of women in P-4 posts and above	31	30	33	50* (UN-SWAP)
Percentage of women in General Service staff positions	81	81	81	50* (UN-SWAP)
Percentage of workforce from Lists B and C Member States	40	39	40	Tracked

\* Indicators for the UN-SWAP performance assessment.

#### Indicator 4.2: Improvement in scores on gender-related staff survey questions by both women and men

53. The results of the 2012 biannual Global Staff Survey were analysed from a gender perspective and the recommendations were aligned with the overall recommendations approved by the Executive Management Committee. In total, 329 staff members responded to the survey, of whom 57 per cent were Professional staff and 43 per cent General Service staff, and 56 per cent were women and 44 per cent men. Women gave lower scores than men generally, and most notably for questions regarding perceptions of equal treatment for women and men, equal career opportunities for women and men, assigning the right people to the job, and being comfortable in reporting on discrimination or harassment. Interestingly, the category of "work/life balance", which is often associated with marked gender differences, was in fact the area with the smallest gender difference.
54. Overall, there have been improvements associated with working with IFAD since 2010, with no significant differences between women and men in these responses. In 2012, 75 per cent were satisfied with their work at IFAD and 80 per cent gained a sense of personal satisfaction from their work. Personal pride associated with working with IFAD rose from 68 per cent in 2010 to 81 per cent in 2012. The staff engagement index continued to show steady improvement and achieved the RMF target of 75 per cent (table 5).

Table 5  
Work satisfaction

Indicator	2010	2011	2012	2013
Staff engagement index*	70	71	75	75

\* This index reports on an annual staff survey based on a subset of six indicators from the Global Staff Survey.

**Action area 5: Resources, monitoring and professional accountability**

55. The Operations Management Committee is the reporting mechanism for gender issues and the Associate Vice-President, Programmes, has been appointed as the Senior Management gender champion.

**Indicator 5.1: Increase in human and financial resources from IFAD's core budget invested to support gender equality and women's empowerment**

56. The dedicated gender staffing at IFAD headquarters has been maintained during 2012-2013, comprising two Professional staff members (P-5 and P-4) and one General Service staff member. Two divisions continue to have outposted full-time regional gender coordinators (WCA in Dakar and ESA in Nairobi) and their presence strengthens the ability to mainstream gender across the portfolio, provide specialist gender expertise on design and implementation support missions, and enhance the gender focus across their regional portfolios.
57. Progress has been made in strengthening IFAD's gender architecture, with terms of reference for divisional gender focal points and the introduction of alternates. At present, the gender focal points and their alternates for the regional divisions at headquarters consist of nine P-5s, one P-3 and one G-6; seven women and four men. The network of gender focal points at the country office, programme and project level is currently being mapped out.
58. As part of the preparation of the IFAD Administrative Budget for 2014, the Budget and Organizational Development Unit adjusted the budget system to create new fields to capture ex ante gender-related and supporting activities. The results from this pilot initiative indicate that around 6 per cent of total staff costs is spent on direct gender-related activities. The results by division fell into three clusters: more than 10 per cent (Ethics Office and PTA); around 10 per cent (regional divisions, COM and SDD); and 5 per cent or less (all other divisions). Given that the methodology was only piloted this year, a more rigorous exercise will be initiated early next year to better capture gender sensitivity data on all costs.
59. Awaiting the redesign of IFAD's gender architecture, the Thematic Group on Gender (TG-G) continues to function as an important resource augmenting the activities of the gender staff and gender focal points. The membership of 69 people (74 per cent are women), drawn from 23 divisions, reflects the widespread interest in gender among staff at IFAD. Approximately one third of members attended some of the six TG-G meetings held during the year. External meetings were organized with: (i) a Senior Advisor (Gender) from the Asian Development Bank on gender mainstreaming in the Bank's operations and architecture; (ii) three staff members and members of the Self-employed Women's Association of India; and (iii) a Senior Scientist from WorldFish on gender transformative approaches in agriculture. These events attracted colleagues from across the house, and from FAO and WFP.

**Indicator 5.2: Increase in the number of substantive references to gender issues in agricultural and rural development by IFAD Management in public forums and the media**

60. Between July 2012 and June 2013, the President delivered 26 speeches. Over half of his speeches (58 per cent) referred to aspects of gender that were relevant to the topic under discussion (and one of which focused specifically on women, delivered at the Rome launch of the Joint Programme on Rural Women's Day 2012 held at FAO); this represents a significant increase in the visibility that the President has given to gender issues in the international arena during the last year. Senior Management also made statements at other key gender events during the year, including the Director of Corporate Services at the New York launch of the Joint Programme and the Deputy Director of Partnerships and Resource Mobilization at IWD.

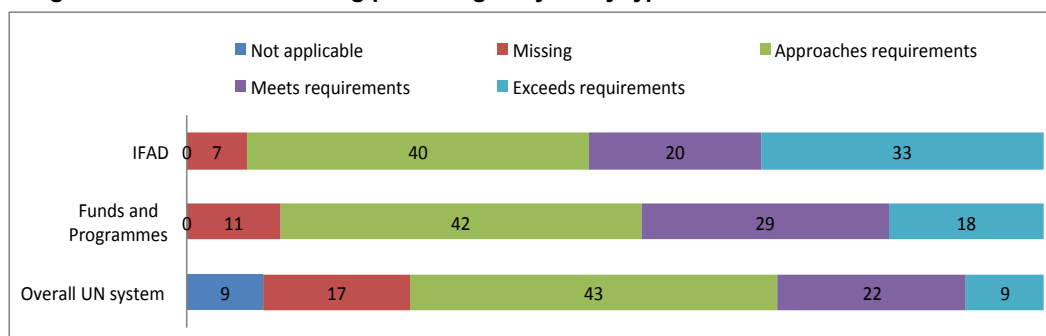
61. Several corporate events hosted by IFAD had a strong gender dimension, such as the RBA event on microfinance with Princess (at the time, now Queen) Maxima of the Netherlands; scaling up from the perspective of IFAD partners with representatives from Argentina, India, and Sao Tome and Principe; and engaging with young people.

### 5.3 Increase in score in annual review of IFAD's performance on gender equality and women's empowerment

62. The UN-SWAP provides an overview of the promotion of gender equality and the empowerment of women for the United Nations system, and will allow tracking of progress towards the set of 15 common-system performance indicators that make up the core of the UN-SWAP accountability framework. Based on the first round of reporting in February 2013, IFAD's overall performance was better than the overall United Nations system and also slightly better than the performance of the United Nations agencies that were grouped under Funds and Programmes<sup>2</sup> (see figure 3). UN Women commented "IFAD's results for the first year of UN-SWAP reporting are very impressive and confirm that it is a leader in many areas related to gender equality and women's empowerment, particularly the following: programme review; gender equality and the empowerment of women policies; performance management; monitoring and reporting; and organizational culture". Activities have already been initiated to address areas where IFAD was weaker, including gender architecture and parity in staffing; tracking of financial resources allocated to gender-related activities within the organization; and capacity assessment and development of staff. Additional work is needed to meet the requirements with regard to gender-responsive performance management, gender-responsive auditing and the specific allocation of financial resources to support gender equality and women's empowerment. An IFAD-hosted meeting with the other RBAs identified a number of areas for increased synergy and coordination of reporting.

Figure 3

#### Comparison of IFAD's performance against the United Nations system and all Funds and Programmes as a whole: rating percentages by entity type



Source: UN Women (2013)

63. The 2013 assessment by the Multilateral Organisation Performance Assessment Network (MOPAN)<sup>3</sup> found that IFAD has increasingly mainstreamed cross-cutting priorities such as gender, environment, and food security and nutrition into its strategies, policies and operations since 2010. The MOPAN assessment concluded that the key challenge is now to translate these policies into stronger results at the operational level.

<sup>2</sup> Funds and Programmes: IFAD, IOM, ITC, UNAIDS, UNCDF, UNDP, UNFPA, UNHCR, UNICEF, UNOPS, UNRWA, UNV, UNW, WFP.

<sup>3</sup> MOPAN is a network of donor countries with a common interest in assessing the organizational effectiveness of multilateral organizations and their measurement and reporting on development and/or humanitarian results.

**C. Outlook for 2013-2014**

64. Building on the achievements of 2012-2013, highlights for 2013-2014 will include:

- Strengthening the IFAD gender architecture including developing three gender-related communities in IFAD, and the system of gender focal points;
- Capacity-building through regional and subregional gender learning and sharing events, for IFAD staff, gender focal points, project staff and consultants regularly involved in operational support;
- Announcing the winners of the first IFAD Gender Awards, which have been launched by IFAD Management to recognize the best performing projects in addressing gender inequalities and empowering women in each region;
- Launching the corporate e-learning module on gender and diversity;
- Drafting the gender parity plan to improve gender balance among staff, especially at grade P-5 and above;
- Embedding commitments to gender equality and diversity in IFAD's core competency framework;
- Launching and updating of IFAD's revamped gender website and new communication tools;
- Enhancing the collection and interpretation of sex-disaggregated data at the outcome and impact levels, and developing indicators of women's empowerment;
- Promoting the use of household methodologies in the context of IFAD-supported initiatives to achieve sustainable development impacts.

## Implementation of the Istanbul Programme of Action for Least Developed Countries

### A. Background

1. The Least Developed Countries (LDCs) represent the poorest and weakest segment of the international community. They comprise more than 880 million people (about 12 per cent of the world population), but account for less than 2 per cent of world GDP and about 1 per cent of global trade in goods (United Nations Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States [UN-OHRLLS] 2013). Their largely agrarian economies are affected by a cycle of low productivity and low investment. They rely on the export of a few primary commodities as the major source of export and fiscal earnings, which makes them highly vulnerable to external terms-of-trade shocks. These constraints are responsible for insufficient domestic resource mobilization, low economic management capacity, weaknesses in programme design and implementation, chronic external deficits, high debt burdens and heavy dependence on external financing that have kept LDCs in a poverty trap.
2. IFAD has operations in 45 of the 49 LDCs. While LDCs are not an operational category for IFAD, they do represent a core IFAD constituency. Since the beginning of its operations in 1978, IFAD has allocated 43 per cent of its resources to LDCs, and in the last three years, that percentage has increased to 50 per cent (table 1).

Table 1

#### IFAD allocation: 2010 – September 2013 (approved project financing)

	<i>US\$ million</i>
Total programme (including LDCs)	2 757
LDCs	1 379
Percentage of IFAD allocation to LDCs	50 per cent

Source: Project Portfolio Management System (PPMS)

3. LDCs receive financing on softer financing terms for projects and programmes, including grants within the Debt Sustainability Framework (DSF), highly concessional loans combined with DSF grants, and highly concessional loans (table 2).

Table 2

#### IFAD financing terms for LDCs (2010-2013)

<i>Financing terms</i>	<i>US\$ million</i>	<i>Number of loans and grants</i>
DSF grant	440	19
DSF grant/highly concessional loan	376	12
Highly concessional loan	563	17
<b>Total</b>	<b>1 379</b>	<b>48</b>

Source: PPMS.

### B. Istanbul Programme of Action for Least Developed Countries

4. The Fourth United Nations Conference on Least Developed Countries was held in Istanbul, Turkey, in May 2011. Member States agreed on the Istanbul Programme of Action (IPoA) for Least Developed Countries for the Decade 2011-2020, overarching goal is to overcome the structural challenges faced by the LDCs, to eradicate poverty, achieve internationally agreed development goals, and enable half of the 49 LDCs to graduate out of this category by 2020.
5. The IPoA was endorsed in 2012 by IFAD's Governing Council during its thirty-fifth session (GC 35/L.11 resolution 170/XXXV). Since then, IFAD has been actively

contributing to realization of the programme of action, mainly through the Inter-Agency Working Group on Agriculture, Food Security and Nutrition, and Rural Development. This working group comprises UN-OHRLLS and the Rome-based agencies (IFAD, WFP and FAO), with the possibility of participation by other relevant agencies. The working group aims to articulate a development approach that is specifically relevant to LDCs and their pursuit to reduce hunger and malnutrition and sustainably increase the incomes of poor people. The group also has a mandate to help monitor the implementation of the IPoA under this cluster.

6. With the intention of drawing attention to the central importance of raising agricultural and rural productivity as a primary engine of both poverty eradication and long-term self-sustaining development, UN-OHRLLS (in partnership with the Rome-based agencies [RBAs] and United Nations Conference on Trade and Development [UNCTAD]) organized a side event in July 2013 at the margins of the 38<sup>th</sup> FAO Conference. The event was entitled "Food security, sustainable agriculture development and structural transformation in LDCs?" Participation included high-level representatives from LDCs and their development partners, IFAD and other United Nations organizations, the private sector and civil society. During this meeting, IFAD stressed the need to place agriculture and rural development front and centre in the ongoing deliberations for the post-2015 development agenda.
7. The Eighth Inter-Agency Consultative Group (IACG) meeting on the implementation of the IPoA was held in Geneva in July 2013. The purpose of the meeting was to assess progress and chart the way forward for the IACG's working groups, and to address the priorities of LDCs in relation to the Sustainable Development Goals (SDGs) and the post-2015 agenda. During that meeting, IFAD reported on the progress of its working group and informed the participants that indicators for the areas of agriculture, food security and nutrition and rural development – to complement those of the IPoA – had been selected based on the reliability of data, comparability across time and countries, and ease of collection and interpretation. The proposed indicators are: public spending in agriculture, household food consumption and undernourishment and food insecurity.
8. The Working Group has reconfirmed its commitment to work with LDCs and their development partners to identify shortcomings in their ongoing policies and interventions and to conceive and implement well-informed corrective measures and actions. The work on indicators will facilitate the identification of achievements, challenges and corrective measures in the areas of agriculture, food security and rural development.

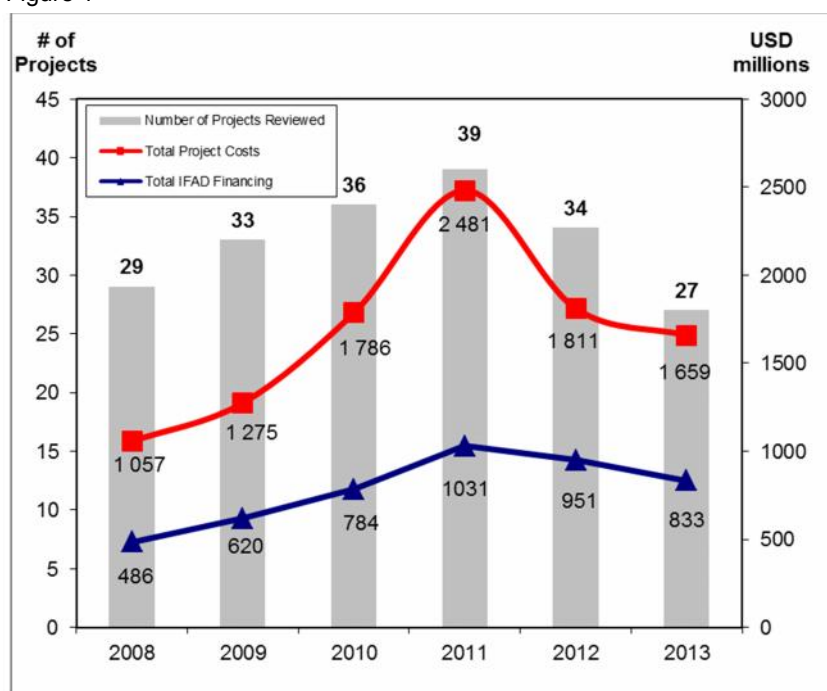


## Annual report on quality assurance in IFAD's projects and programmes

### A. Summary findings of the 2013 Quality Assurance review process

1. In 2013, 27 quality assurance (QA) project reviews for new project designs were conducted,<sup>1</sup> representing total project costs of US\$1.66 billion and total IFAD investments of more than US\$830 million (figure 1). Overall, activities financed by the reviewed projects aim to support more than 4.3 million beneficiary households in 25 countries.

Figure 1



Editorial changes: # of Projects > No. of projects; millions > million. Legend: only first word of each phrase capitalized.

2. Results from the 2013 QA review process point to continued solid performance in the quality-at-entry of IFAD projects: over the course of the calendar year, some 63 per cent of projects were cleared by the QA review with few or no changes, with the remaining projects requiring further refinements during implementation (table 1). In addition, QA reviewers judged that: (a) 100 per cent of project designs under review in 2013 would be ready for implementation immediately following Board approval; and (b) 100 per cent had sufficiently aligned the number and nature of project components with the reality of the host country context. Given this, most project designs (89 per cent) were judged likely to meet their development objectives.

<sup>1</sup> In addition, three Adaptation for Smallholder Agriculture Programme (ASAP) supplementary financing plans were reviewed by the QA secretariat in 2013, but were not scored by QA reviewers as they were attached to project designs previously reviewed and currently under implementation.

Table 1  
**QA review results 2008-2013**

<i>Final project categories</i>	2008	2009	2010	2011	2012	2013
Number of project reviews	29	33	36	40	35	27
Projects judged ready to proceed with minor changes (percentage)	30	30	42	38	60	63
Projects judged ready to proceed subject to additional assurances during loan negotiations and/or further modifications/reviews during implementation (percentage)	60	67	58	60	37	37
Projects requiring substantive changes entailing delay in presentation to Executive Board (percentage)	10	0	0	3	3	0
Projects dropped from the lending programme (percentage)	0	3	0	0	0	0

Notes: Includes two sets of data for two projects that were reviewed twice – once in 2011 and again in 2012. Values may not total 100 per cent due to rounding.

3. As noted in the 2012 QA annual report, these sustained positive results in quality-at-entry stem largely from the convergence of efforts focused on improving IFAD's project design cycle – the quality enhancement (QE) process, direct project supervision and the QA review. Set in motion more than five years ago, these processes are now sufficiently mature to be mutually complementary. Another contributing factor has been an increase in the number of new projects that either follow up on or scale up existing operations.
4. In 2013, the QA process rated quality-at-entry indicators in the IFAD9 Results Measurement Framework (RMF) 2013-2015, all of which were new or somewhat modified compared to those rated in previous years as part of the IFAD8 RMF 2010-2012. Thus baseline and results data are not exactly comparable, as baseline data for RMF 2013-2015 indicators (produced in 2011 when the RMF 2013-2015 was developed) were either approximated or used a different methodology to that later elaborated and actually used for QA ratings; this is notably the case for the indicator on gender. The results are presented in table 2.

Table 2  
**Project quality-at-entry RMF indicators<sup>a</sup>**

<i>Indicators</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2013</i>	<i>Target 2015</i>
<b>4.6 Percentage of projects rated 4 or better at entry/average rating</b>				
4.3.1 Overall average	2010/2011	79	93 / 4.5	85
4.3.2 Overall average for projects in fragile states only <sup>b</sup>	2010/2011	n/a	80 / 4.5	80
4.3.3 Gender <sup>c</sup>	2010/2011	86	78 / 4.0	90
4.3.4 Monitoring and evaluation	2010/2011	70	85 / 4.2	80
4.3.5 Percentage of projects receiving positive ratings on scaling up <sup>d</sup>	2010/2011	72	76 / 4.4	80

<sup>a</sup> Quality-at-entry ratings are based on a scale of 1-6, where 1 is highly unsatisfactory and 6 is highly satisfactory. The percentage indicates the number of projects receiving a rating of 4 or better out of the total number of projects.

<sup>b</sup> In 2013, 10 projects reviewed (37 per cent) were located in fragile states. The ratings presented reflect only projects in those states.

<sup>c</sup> Gender QA ratings differ from those presented in annex II on gender for two reasons: (a) the reporting periods are different (July 1 - June 30 for the RIDE report and gender annex, and 1 January – 30 October for the QA annex); and (b) gender rating criteria changed from 2012 to 2013, with a new set of survey questions focusing on the extent to which various gender-related aspects of project design are adequately presented in the current project design report.

<sup>d</sup> Scaling-up ratings are based on 18 projects that explicitly identify themselves as "scaling-up" activities.

Note: 2013 data include RMF ratings for one project that was reviewed in December 2012.

Source: Office records.

5. Among the 27 projects scored in 2013, 93 per cent were considered satisfactorily designed (with 80 per cent of designs in fragile states considered satisfactory); 78 per cent were deemed to have sufficiently outlined the details of planned gender interventions in the design report; 85 per cent sufficiently outlined M&E activities; and 76 per cent of scaling-up projects were judged to have sufficiently made the case for expanding on previous designs.

6. Given 2013's small sample size – a universe of less than 30 projects, from a quarter to a third smaller than typical years – and the methodological issues referred to above, related to the transition between IFAD8 and IFAD9 RMF indicators for quality-at-entry, little inferential conclusions should be drawn from these new RMF data. It is expected that in future years (2014 and 2015) enough historical data as well as a larger project sample size will be available to draw more meaningful (portfolio-level) conclusions.
7. Despite the sustained satisfactory performance outlined in paragraph 2 and table 1, several themes in overall design weakness in IFAD projects persist, especially in the areas of: economic and financial analysis, implementation arrangements, logical frameworks, and monitoring and evaluation (table 3). In terms of improvement in design quality, in 2013 – for the first time in six years – project 'complexity' was not flagged as a significant issue likely to hinder the implementation or threaten the outcome of project objectives.

Table 3

**Top 10 recommendations (percentage of projects)**

<i>Theme</i>	<i>2013</i>	<i>2012</i>	<i>2008-2013</i>
Logframe	42	60	33
Economic analysis	37	46	30
Rural finance	26	11	18
Implementation arrangements	24	34	44
Other	17	11	7
M&E	15	20	33
Environment and adaptation to climate change	15	11	8
Project concept	11		2
Water issues	9	14	10
Lessons learned	9		2

8. The following specific recommendations related to project design were identified in multiple projects in 2013; an asterisk next to the topic indicates that this aspect was also highlighted in both the 2012 and 2011 Annual Reports. The QA urges IFAD Management to pay greater attention to remedial measures to address and resolve these issues.
9. **The use of (and need for) economic and financial analysis and their linkage to the logical framework.** Over the course of 2013, many projects continued to demonstrate persistent weaknesses related to the quality of the economic justification and assumptions, the realism and utility of the logframe indicators and, most importantly, the explicit linkages between these two tools and their own linkage to the design document itself. IFAD as an institution needs to determine what more can be done to ensure that these traditionally essential tools for project design are consistently and uniformly used. More details concerning each tool are treated briefly below.
10. **Logical framework.** While improvements with respect to the design and use of logframes have been made over the last few years, in the judgement of QA reviewers, they have yet to be universally adopted by IFAD as a tool to assist in project design and supervision. In 2013, QA reviewers continued to question a number of logframe practices, including: the overabundance of indicators (placing a potential burden on M&E systems); the use of percentage-based rather than numerically based indicators (percentages give only relative, not absolute, indications of improvement); and imprecision with respect to stating project goals.
11. **Economic and financial analysis.** The use of economic and financial analysis (EFA) as an aid in project design continues to be inconsistently applied. In several cases during 2013, key aspects of economic analysis (the cost of labour, exceedingly high rates of return) were overlooked or improperly treated in the period between the QE and QA review. As in 2012, QA reviewers continue to assert that including a brief statement outlining the basic assumptions made in carrying

out the analysis (e.g. cropped area, cropping intensity, yields, production costs, farm-gate prices based on import parity, etc.) would clarify the analysis and also provide a much-needed logical link between the EFA and the indicators being used in the logframe and the risk analysis.

12. **Implementation arrangements.** Managing and mitigating risks associated with implementation arrangements is a cost of doing business for IFAD. Unlike other multilateral lending institutions, IFAD relies heavily on service providers (NGOs, other international organizations, or the private sector) to implement projects. While this approach has generally resulted in sound implementation, risks will always persist, as the government (and IFAD) will not always have the ability to closely monitor and influence the manner in which service providers discharge their responsibilities.
13. **Monitoring and evaluation.** Given the corporate objectives related to scaling up and impact assessment, consistently and accurately capturing key project outputs and outcomes is an area in which IFAD intends to focus more effort over the near term – and for this reason, QA reviewers continue to devote much attention to M&E. In 2013, QA reviewers judged that 85 per cent of the reviewed designs had satisfactorily outlined the M&E arrangements to be utilized by the project. This notwithstanding, they also expressed concerns over the implementing agencies' capacity to manage these systems. In addition, on several occasions over the course of 2013, QA reviewers encountered projects that were the fifth or sixth IFAD-supported project in the country and were either scaling up previous operations or contained similar components. In such instances, there should have been a wealth of information available from previous projects to inform project design, but while design reports made references to successful outcomes under earlier projects – and even though the projects had a functioning M&E system – there are limited hard numeric data to back this up.
14. **Lessons learned.** Increasingly, IFAD projects are expected to replicate (often on a larger scale) the good results achieved from previous interventions in a country or specific subsector. However, many reviewers during this session called into question the degree to which compelling evidence for expanding “successful” components – or even strong arguments drawn from completion reports – were presented in project design documentation. As scaling up is now a visible corporate agenda item, it will be imperative for IFAD to be able to justify its project design decision-making with hard, clear evidence drawn from functional M&E systems.
15. **Environmental assessment protocols.** Given IFAD's increased focus on environmental, climate change and adaptation issues (partly in response to the ASAP facility), one QA recommendation emerging in 2013 was that IFAD's protocol on environmental assessment of B category or environmentally oriented projects should be reviewed, with a view to providing guidance on undertaking baseline studies and the analysis of impacts on ecological services, so as to formulate actions/strategies to address root causes of environmental problems, including mitigation and other management measures.

## **B. Efficacy of IFAD's quality assurance system**

16. In addition to conducting at-entry reviews of new project designs, during 2013 the QA secretariat also undertook several other initiatives to improve the delivery of IFAD's project design quality-control process: (a) comparative review of issues raised at the QE and QA review stages; (b) analysis of the accuracy of QA reviewers' predictions with respect to previously reviewed project designs; (c) desk review of compliance with QA recommendations; and (d) enactment of reforms of the QA process itself.
17. **Comparative review of the QE and QA processes.** A desk review of 45 previously reviewed project designs was carried out to consider the value-added and efficacy of the revised QE process vis-à-vis the QA process.

18. A close correlation between the key issues raised by QA and QE was found in a number of instances, with a fundamental difference: QE recommendations were phrased as suggestions, without, at times, a clear indication of what exactly needed to be done, thus leaving CPMs with broad latitude to interpret the recommendations in a manner best suited to their readiness to undertake additional work. By contrast, the QA must come up with very specific recommendations, and in each case the process includes an ex-post examination of the extent to which the recommendations were adopted.
19. Findings emerging from the present review clearly point to the different approaches of the two reviews. QE is heavily focused on how to improve and sharpen the design of policy and technical aspects during the upcoming last design mission. The QA on the other hand is focused on the following: will the project achieve its stated development objectives; are there outcome indicators that would permit an unambiguous evaluation of the results; and has the project adopted the most appropriate approach to maximizing returns for the beneficiaries? With this different emphasis, it is not surprising that issues identified by the two reviews and the way CPMs respond to them are quite different.
20. With both reviews having clear objectives, the question to be considered in 2014 is the extent to which the QE approach could be expanded to address broader issues pertaining to outcomes and measuring results. For the time being, a pilot will be undertaken to give QA reviewers a chance to also participate in QE reviews.
21. **Predictive accuracy of QA recommendations.** During 2013, the QA secretariat undertook a review of projects that: (a) had been rated "unlikely to achieve their development objectives" by the QA; and (b) were at least one year into implementation. Of the 19 projects involved, the findings of the analysis suggested that the QA was wrong in three cases, but prescient in many other instances (for example, 6 of the 19 projects have since been cancelled, suspended or withdrawn). Going forward, the QA will continue to review the portfolio of active projects and update and revise this analysis in order to provide IFAD with a better indication of the predictive value of QA reviews. In addition, the scope of the exercise will be expanded (for example, by considering projects that are performing poorly despite QA predications that they would likely achieve their development objectives).
22. **Compliance with QA recommendations.** A review of some 20 QA progress notes (which ask CPMs to detail how QA recommendations were incorporated into their projects) was undertaken in 2013 and reveals considerable variability in the degree of compliance. The review also highlighted persistent delays in project implementation due to a host of issues, many of which are directly related to concerns expressed during the QA reviews. These questions should be taken up by IFAD Management as a matter of priority, along with consideration of what more can be done to ensure that follow-up on QA recommendations is not undertaken as a bureaucratic exercise, but rather is done for its intended purpose: to improve the likelihood of project success.
23. **QA reform.** During the course of 2013, three broad reforms were carried out in the QA process. First, QA reviewers began providing comments on project concept notes, in the hope of being able to offer feedback/guidance on design aspects much earlier in the design process. Second, it was agreed to pilot the involvement of QA reviewers in the QE process over the course of 2014 to explore whether such participation yielded improved design quality at the entry level. Third, the new web-based knowledge management system for managing the QA process and storing QA data (QUASAR) was launched; further refinements to the system will be introduced in 2014.

## Progress report on the Adaptation for Smallholder Agriculture Programme

### ASAP financing status

- ASAP's financing status is presented in table 1. Additional contributions are currently being evaluated by four potential donors. As at 30 September 2013, US\$102.9 million has been programmed for ASAP-supported initiatives at the country level. An additional US\$2.1 million has been committed to ASAP design support, vulnerability analyses, knowledge management and communication activities.

Table 1  
ASAP financing status as at 1 October 2013

<i>Donor country</i>	<i>Currency</i>	<i>Pledge</i>	<i>US\$ equivalent</i>
Belgium	Euro	6 000 000	8 583 691
Canada	CAD	19 849 000	20 347 514
Netherlands	Euro	40 000 000	57 224 607
Sweden	SKR	30 000 000	4 729 027
UK actual	GBP	100 000 000	162 000 000
UK performance-based	GBP	47 500 000	76 950 000
<b>Total</b>			<b>329 834 839</b>

### ASAP programming status

- ASAP began operations on 20 September 2012 with approval of the first ASAP-supported project by the IFAD Executive Board. New programme design activities were initiated upon receipt of new financing commitments by bilateral donors. Project cycle milestones for ASAP-supported projects presented for the approval of the IFAD Executive Board in 2013 are listed in table 2. Table 3 summarizes adaptation actions proposed for ASAP financing in the 2012-2013 pipeline. ASAP results projections to date are shown in table 4.

### ASAP knowledge management

- ASAP has enabled IFAD to define a knowledge management strategy for climate change adaptation that incorporates the delivery of staff training, knowledge products and knowledge partnerships.

### Staff training

- Over the course of 2012, IFAD trained 112 members of project design teams and staff from regional divisions, the Policy and Technical Advisory Division, the Department for Strategy and Knowledge Management and the Office of Partnership and Resource Mobilization on the basics of climate change adaptation and ASAP programming. Regular feedback sessions have taken place at the Senior Management level (PDMT, OMC, OPV) to share updates on the programming status of ASAP and to exchange lessons learned during ASAP-related programming.
- Training activities related to the programming of climate and environmental finance have been introduced into IFAD's portfolio of corporate staff training courses. IFAD's course on project design training now contains a case study with ASAP financing.

### ASAP-related knowledge products

<i>Title</i>	<i>Type</i>
Adaptation for Smallholder Agriculture Programme (ASAP)	Brochure
Annotated project design report for ASAP-supported projects	IFAD template
Monitoring and evaluation framework for ASAP	IFAD checklist
Checklist for Country Programme Management Team (CPMT) meetings of ASAP-supported projects	IFAD checklist
Choosing indicators for logical frameworks in ASAP-supported projects – guidance for project design	IFAD internal 'how-to' note
Climate-smart smallholder agriculture: What's different? IFAD Occasional Paper No.3	IFAD occasional papers
Nwanze, K.F. 2012. Surviving climate Change Entails New Approaches to Agricultural Development. COP 18. <i>World News – Climate Change: The New Economy</i> , pp. 62-63.	Journal article
Salman, R.A. 2012. Implement Policy Responses to Increase Climate Resilience. In D. Verner, ed. <i>Adaptation to a Changing Climate in the Arab Countries: A Case for Adaptation Governance in Building Climate Resilience</i> . MENA Development Report. MNA Flagship Report No. 64635. Washington, DC: World Bank.	Journal article
Salman, R.A. 2012. Agriculture, Rural Livelihoods, and Food Security are Stressed in a Changing Climate. In D. Verner, ed. <i>Adaptation to a Changing Climate in the Arab Countries: A Case for Adaptation Governance in Building Climate Resilience</i> . MENA Development Report. MNA Flagship Report No. 64635. Washington, DC: World Bank.	Journal article
Climate change and value chains: an IFAD "how-to" note	IFAD internal 'how-to' note
The Adaptation Advantage: The Economic Benefits of Preparing Small-Scale Farmers for Climate Change	Compilation of case studies
Guidelines for integrating climate change adaptation and mitigation options for fisheries and aquaculture into project design	IFAD internal 'how-to' note
Adaptation in Practice, Vol.1: Increasing Adaptive Capacity through Participatory Mapping	Compilation of case studies
ASAP-supported Actions to Strengthen Women's Empowerment and Gender Equality (2013)	Compilation of case studies
What are ASAP funds being spent on?	Analysis of case studies

### Institutional partnerships established by IFAD to operationalize ASAP

<i>Institution</i>	<i>Focus of cooperation</i>	<i>Type of cooperation</i>
World Agroforestry Centre (ICRAF)	Earth observation and remote sensing for ASAP baseline analysis and impact monitoring	Institutional contract
Climate Change, Agriculture and Food Security Programme (CCAFS) of the Consultative Group for Agricultural Research	Referral of technical experts from the CGIAR climate change programme to the ASAP investment design process; application of CGIAR tools for adaptation programming; supporting participatory research design in ASAP-supported projects; developing knowledge products for ASAP investment design; cofinancing of ASAP knowledge management activities	Fellowship of CCAFS staff in IFAD; joint field missions
World Food Programme (WFP)	Exchanging earth observation and vulnerability information for ASAP investment designs	Peer-to-peer collaboration (to be formalized)
Food and Agriculture Organization of the United Nations (FAO)	Design support for ASAP-supported projects in Chad, Côte d'Ivoire, Kenya, Kyrgyzstan, Mali	Service contracts, based on IFAD-FAO memorandum of understanding

## **ASAP communication and advocacy**

<i>Key achievements in ASAP-related advocacy and communication</i>	<i>Type</i>
Media and event coverage (in a variety of international/national publications)	<ul style="list-style-type: none"> <li>• Press release UNEP/IFAD – Smallholders, Food Security &amp; Environment</li> <li>• Press statement – World Environment Day</li> <li>• Video B-roll for international broadcasters/World Environment Day</li> <li>• Video B-roll for international broadcasters/Burkina Faso ASAP feature</li> <li>• Press advisory – Intergovernmental Panel on Climate Change (IPCC) report</li> <li>• Joint press release – IFAD wins Momentum for Change Award for ASAP</li> <li>• Opening press statement – United Nations Framework Convention on Climate Change (UNFCCC) (CoP19)</li> <li>• International press release – Adaptation Advantage Report (CoP19)</li> <li>• Press conference at UNFCCC – Adaptation Advantage Report (CoP19)</li> </ul>
Video products for web, TV and event broadcasting	<ul style="list-style-type: none"> <li>• ASAP animation to introduce the concept of smallholder adaptation</li> <li>• Video B-roll from ASAP in Bolivia (Plurinational State of), Burkina Faso, Mozambique</li> <li>• Interview with Elwyn Grainger Jones for World Environment Day</li> <li>• Climate impacts video – voice of smallholders from IFAD/ASAP-supported projects (Burkina Faso and Mozambique)</li> <li>• Message to Warsaw video – voice of smallholders from IFAD/ASAP-supported projects (Burkina Faso and Mozambique)</li> <li>• Momentum for Change 2013 Lighthouse Activity Video (CoP19)</li> <li>• Coproduction of TV show Shamba Shape-Up, broadcast to 13 million viewers, 70% of them farmers in Kenya, Uganda and the United Republic of Tanzania. Shows ASAP-promoted technology in a makeover show format (English/Swahili)</li> <li>• ASAP Animation Awards Competition – Arts University Bournemouth enters competition to produce ASAP-related short animations</li> </ul>
Web presence	<ul style="list-style-type: none"> <li>• Upgrading of ASAP project database (single template, regular updates)</li> <li>• Series of web articles and blog posts after field missions to ASAP-supported projects in Bolivia (Plurinational State of), Burkina Faso and Mozambique</li> <li>• Photos for IFAD's web-based photo database following field missions</li> </ul>
Social media	<ul style="list-style-type: none"> <li>• Regular social media updates for Twitter and Facebook accompanying every ASAP-related event or story</li> <li>• Production of at least two social media updates per week</li> <li>• Live events – web-streaming of climate lectures and other live events, accompanied by social media posts</li> </ul>
Events organized	<ul style="list-style-type: none"> <li>• Climate change session at Global Donor Platform for Rural Development (GDPRD), the Hague (with Sir Gordon Conway)</li> <li>• Three events in a climate lecture series – Sir Gordon Conway (Imperial College London), Jan Kees Vis (Unilever), Warren Evans (World Bank)</li> <li>• World Environment Day – information day for IFAD staff and visitors</li> <li>• Embassy of South Africa/RBA Agriculture, Food Security and Climate Change discussion and reception</li> <li>• IFAD Executive Board informal seminar on ASAP</li> </ul>
Events with speaking roles (presenting ASAP)	<ul style="list-style-type: none"> <li>• Climate-Smart Agriculture Conference, University of California, Davis</li> <li>• IIED Conference on Community-based Adaptation (CBA7), International Institute for Environment and Development (UK), Bangladesh</li> <li>• UNFCCC climate talks, FAO side event, Bonn</li> <li>• Climate Change and Development for Africa Conference (CCDAIII), Addis Ababa</li> <li>• IFAD information stand presenting ASAP (Committee on World Food Security (CFS) 14 (FAO), CoP19)</li> <li>• Co-organized side event – How does climate change alter the way we manage food security? (CFS40)</li> <li>• Co-organized side event – Climate Smart Agriculture (CoP19)</li> <li>• Co-organized discussion forum – Food Security – GSF (Cop19)</li> <li>• Co-organized discussion forum – Integrating Agriculture, Trees and Forests – Global Landscape Forum (CoP19)</li> <li>• Co-organized side event – Climate Forecasting/Information (CoP19)</li> </ul>



Table 2  
**Programme design cycle of ASAP-supported projects presented to the IFAD Executive Board in 2013**

<i>Country</i>	<i>ASAP allocation US\$ million</i>	<i>Blended multilateral grant US\$ million</i>	<i>when presented to the Executive Board</i>	<i>IFAD associated loan</i>	<i>Thematic focus</i>
<b>Bangladesh</b>	<b>15</b>	0	Sep-13	Haor Infrastructure and Livelihood Improvement Project	Village protection to prevent flood damage; diversified food production and income-generation systems; capacity-building for climate risk management; flash flood early warning system
<b>Viet Nam</b>	<b>12</b>	0	Dec-13	Adaptation to Climate Change in the Mekong Region	Combined rice/aquaculture systems, salinity monitoring and management in soil and groundwater; saline-tolerant catfish breeding, institutional capacity development
<b>Mozambique</b>	<b>4.91</b>	0	Sep-12	Pro-Poor Value Chain Project in the Maputo and Limpopo Corridors (PROSUL)	Climate change adaptation in value chains for irrigated horticulture, cassava and red meat; improved water management and irrigation; strengthening of weather station network; community-based natural resource management plans; pest and disease monitoring
<b>Rwanda</b>	<b>7</b>	0	Dec-13	Post-Harvest Agribusiness Support Project	Climate-resilient post-harvest processing and storage for maize, cassava, beans, potatoes and dairy value chains; improvement in climate information services and storage building codes
<b>Bolivia (Plurinational State of)</b>	<b>10</b>	0	Dec-13	Economic Inclusion Programme for Families and Rural Communities in the Territory of the Plurinational State of Bolivia	Inventories of indigenous adaptation knowledge; community-based natural resource management at landscape level; climate information management; "Concursos" for community-based adaptation
<b>Nicaragua</b>	<b>8</b>	0	Dec-13	Adaptation to Changes in Markets and Effects of Climate Change (NICADAPTA)	Sustainable water resource management, agricultural diversification and strengthening of meteorological services in coffee and cocoa value chains
<b>Yemen</b>	<b>10</b>	10 (LDCF)	Dec-13	Rural Growth Programme	Integrated watershed management; water conservation in drought-prone areas; rehabilitation and improvement of rural feeder roads; diversifying energy systems in rural areas
<b>Djibouti</b>	<b>6</b>	0	Dec-13	Programme to Reduce Vulnerability in Coastal Fishing Areas	Reducing climate risks in fisheries value chains; participatory management of coastal resources; protection of coastal infrastructure; improved post-harvest cooling and storage; improving access to fresh water for fisheries value chains; protection of coastal mangrove ecosystems and coral reefs
<b>Kyrgyzstan</b>	<b>10</b>	0	Dec-13	Livestock and Market Resilience Project	Protection of livestock from climate-related disasters and diseases; community-based management and restoration of degraded pastures and rangelands; climate-resilient dairy value chain; early warning systems
<b>Nigeria</b>	<b>15</b>	0	Dec-13	Inclusive Growth for Smallholder Farmers in Staple Crop Process Zones in Nigeria	Integration of climate risk management into rural agribusiness value chains; improving rural roads to harvest excess runoff and prevent flood-damage; improving access to diversified, renewable energy sources
<b>Mali</b>	<b>10</b>	0	Dec-13	Fostering Agricultural Productivity Project	Increased ecosystem and smallholder resilience through farmers' access to renewable energy technologies, diversified farming activities and innovative financial services

Table 3

**Adaptation activities proposed by ASAP-supported projects in 2012 and 2013**

<i>Type of climate change adaptation investments</i>	<i>Countries with corresponding ASAP investment activities</i>
<b>AGRICULTURAL PRODUCTION</b>	
<b>Spreading and reducing climate-related risks through agricultural <i>diversification</i> strategies</b>	
• Diversification of agricultural crops (e.g. mixed staple crop/horticulture systems, mixed cash crop/agroforestry systems, etc.)	Mozambique, Nepal, Nicaragua
• Expanding crop-based agricultural production systems with additional income options (e.g. mixed crop/aquaculture systems, mixed crop/livestock systems)	Bangladesh, Chad, Kyrgyzstan, Mozambique, Nepal, Viet Nam, Yemen
• Testing and adoption of heat-/salinity-/submergence -tolerant crop or livestock varieties	Bangladesh, Viet Nam
<b>Avoiding losses in production from climate-related <i>pests and diseases</i></b>	
• Establishing early warning systems for climate-related pests and diseases	Mozambique, Nicaragua
• Protecting crops from climate-related pests and diseases (e.g. through push/pull methods, integrated pest management)	Mozambique
• Protecting livestock from climate-related pests and diseases (e.g. through additional vaccines, testing, better climate information)	Kyrgyzstan, Lesotho, Mozambique
<b>Rehabilitating and protecting soils from growing water stress and erosion</b>	
• Conservation agriculture (reduced/zero tillage)	Ghana, Mozambique
• Adoption of agroforestry practices to improve soil quality (e.g. through the use of fertilizer trees, wind breaks, hedge rows)	Ghana, Nepal
• Improved livestock management to enable soil regeneration	Kyrgyzstan, Lesotho, Mozambique
• Regeneration of degraded lands through better erosion control (contour bunds, terracing, slope stabilization, etc.)	Lesotho, Mali, Nigeria, Nepal, Yemen
<b>Protecting productive lands and facilities from extreme climate events</b>	
• Creation of buffer zones to protect agricultural land and production infrastructure from extreme events (e.g. through wetlands, greenbelts, flood recession schemes)	Djibouti, Ghana
• Improving infrastructure to protect agricultural production from extreme events (e.g. safe havens for livestock, elevated greenhouses, reinforced stables, etc.)	Kyrgyzstan, Lesotho, Nigeria
<b>Improving management of water resources to counter growing risk of water shortages</b>	
• Improving the reach and efficiency of irrigation systems (e.g. through expansion of irrigation to rain-fed areas; drip irrigation, runoff harvesting)	Ghana, Mali, Mozambique, Nigeria, Viet Nam, Yemen
• Adopting freshwater conservation measures (e.g. demand-side management, shade-cloths/shade-plants, preventive maintenance to improve water flows)	Chad, Djibouti, Mozambique, Nicaragua
• Increasing water production and storage capacity (e.g. through communal reservoirs, rainwater harvesting, check dams, etc.)	Chad, Mozambique, Nicaragua, Viet Nam, Yemen
• Promotion of water-efficient horticulture systems	Chad, Mozambique
<b>Enhancing and diversifying access to clean energy sources for agricultural production</b>	
• Transfer of renewable energy technologies (e.g. biogas, solar pumping) to increase environmental sustainability and economic efficiency	Bolivia (Plurinational State of), Mali, Mozambique, Rwanda, Yemen
<b>Providing better climate information to help farmers be better prepared for shocks and stresses</b>	
• Broader dissemination of weather information to enable better choices in the type, timing and location of agricultural practices	Bolivia (Plurinational State of), Rwanda
• Improving the quality of seasonal weather forecasts to enable better crop choices	Lesotho
• Analysis of climate models for improved policy and scenario planning	Kyrgyzstan, Lesotho, Mozambique
• Installation of early warning systems for climate-related hazards (e.g. flash floods, salinity intrusions, pests and diseases)	Bangladesh, Bolivia (Plurinational State of), Lesotho, Nicaragua, Viet Nam

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**Making financial services available for climate risk management and transfer**


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- Appraisal and piloting of weather index insurance schemes
- Establishing small grant programmes for farmer innovation, climate risk management and disaster risk reduction
- Establishing small business support schemes as an incentive to climate risk management activities (e.g. subsidized loans, business planning support)

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**Strengthening the skills base of local institutions to analyse and tackle climate risks in agricultural production**


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- Establishing institutional processes for participatory climate risk and vulnerability analysis
- Doing inventories of and transferring indigenous options for climate risk management
- Supporting the development of risk management plans at the landscape level (e.g. for watersheds, rangelands)
- Increasing policy dialogue on climate risk management issues and connecting smallholder organizations with the policy process
- Establishing structures for participatory and applied research at the community level (e.g. through crop trials, study routes, farmer field schools)
- Strengthening extension services with access to additional know-how, technologies and information systems
- Introducing climate risk-management approaches into educational curricula (such as farmer field schools, extension training, university courses)
- Training community groups and local institutions in climate change and climate risk-management issues
- Training policymakers and government institutions in climate change and climate risk-management issues
- Providing incentives to the participation of women in climate risk-appraisal and risk-management activities
- Establishing structures to mediate conflicts over climate-sensitive natural resources

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**POST-HARVEST PROCESSING AND STORAGE**


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**Protecting processing and storage infrastructure from extreme climate events**


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- Designing and applying revised building codes to protect processing infrastructure in hazard-prone areas
- Improved land-use planning to avoid damage to processing and storage infrastructure (e.g. slaughter houses, milk-processing centres, processing centres) from extreme events
- Improving water availability during dry periods through water harvesting and storage (e.g. rainwater harvesting, fog harvesting, reservoir management)

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**Increasing storage opportunities to buffer against climatic and economic variability**


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- Rehabilitating, improving or expanding existing storage facilities (e.g. improved storage for seed, food and forage; better cooling for dairy and fish produce)
- Introducing new or alternative storage options

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**Promoting clean production technologies to reduce human impact on climate-sensitive ecosystems**


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- Introduction of energy-efficient processing and storage technologies (e.g. solar heating, -cooling, -drying, -milling, -lighting, solar photovoltaic electricity, energy-saving appliances)
  - Implementing pollution control measures (e.g. in cassava processing) to reduce human-induced stresses on climate-constrained resources
  - Increasing resource efficiency and reducing post-harvest losses through the reduction of waste and the re-use and recycling of by-products
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**ACCESS TO MARKETS**


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***Protecting market access infrastructure from extreme climate events***


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|---|--------------------------------------|
| • Analysing exposure of critical market infrastructure (such as feeder roads, market facilities) to floods, storms, landslides and erosion                                    | Djibouti                             |
| • Upgrading and reinforcing existing market access infrastructure (e.g. strengthening road surfaces; improving road drainage; reinforcing landing docks and jetties)          | Bangladesh, Djibouti, Nigeria, Yemen |
| • Building protective infrastructure to mitigate interruptions of transport routes (e.g. through slope/river bank stabilization, retaining walls, dykes, coastal engineering) | Bangladesh                           |
| • Relocating new infrastructure to reduce exposure from climate-related hazards   |                                      |
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Table 4

**ASAP results projections from ASAP-supported projects designed in 2012 and 2013 (aggregated from 11 project design reports at the quality assurance stage)**

<b>ASAP RESULTS HIERARCHY</b>	<b>ASAP RESULTS AT GLOBAL PORTFOLIO LEVEL</b>	<b>PORTFOLIO RESULTS INDICATORS</b>	<b>2020 TARGET</b>	<b>PROGRAMMED TO DATE<sup>a</sup></b>
<b>Goal</b>	<b>Poor smallholder farmers are more resilient to climate change</b>	1. Number of poor smallholder household members whose climate resilience has been increased	8 000 000 members	2 311 772 household members plus 3 030 000 receiving improved climate information <sup>b</sup>
<b>Purpose</b>	<b>Multiple-benefit adaptation approaches for poor smallholder farmers are scaled up</b>	2. Percentage of new investments in ENRM in IFAD9 compared with IFAD8 3. Leverage ratio of ASAP grants versus non-ASAP financing 4. Percentage of extent of land and ecosystem degradation in productive landscapes 5. Number of tons of greenhouse gas emissions (CO <sub>2</sub> e) avoided and/or sequestered	20 per cent 1 : 4 minus 30 per cent 80 000 000 tons	To be aggregated across IFAD investment portfolio at the end of IFAD9 (2015) 1 : 5.7 Impacts to be aggregated across the global ASAP portfolio (projections in 2015, actual impacts in 2020) Impacts to be aggregated across the global ASAP portfolio (projections in 2015, actual impacts in 2020)
<b>Outcome 1</b>	<b>Improved land management and gender-sensitive climate resilient agricultural practices and technologies</b>	6. Number of hectares of land managed under climate-resilient practices	1 000 000 hectares	279 786 hectares plus 15 watersheds <sup>d</sup>
<b>Outcome 2</b>	<b>Increased availability of water and efficiency of water use for smallholder agricultural production and processing</b>	7. Number of households, production and processing facilities with increased water availability	100 000 households	12 000 households plus 31 production and processing facilities
<b>Outcome 3</b>	<b>Increased human capacity to manage short- and long-term climate risks and reduce losses from weather-related disasters</b>	8. Number of individuals (including women), community groups and institutions engaged in climate risk management, ENRM or DRR activities	1 200 groups	954 443 individuals plus 805 community groups plus 1 089 institutions
<b>Outcome 4</b>	<b>Rural infrastructure made climate-resilient</b>	9. US\$ value of new or existing rural infrastructures made climate-resilient	US\$80 000 000	85 000 000 US\$ plus 396 villages <sup>e</sup> plus 494 kilometres of rural roads <sup>6</sup>
<b>Outcome 5</b>	<b>Knowledge of climate smart smallholder agriculture documented and disseminated</b>	10. Number of international and country dialogues on climate issues in which ASAP-supported projects or project partners make an active contribution	40 dialogues	27 dialogues Plus 30 knowledge products and publications

<sup>a</sup> Aggregated from quantitative targets formulated in the logical frameworks of 11 ASAP-supported projects. Excludes targets formulated as percentage improvements relative to still unknown baseline values; qualitative targets which cannot be aggregated into any ASAP portfolio-level results indicator; and quantitative indicators with target values that have yet to be established by participatory processes.

<sup>b</sup> Includes individuals receiving new or improved weather forecasts, agro-meteorological forecasts, seasonal forecasts or early warning information.

<sup>c</sup> Baseline value for IFAD8 aggregates project investments which are coded in IFAD's Project Portfolio Management System (PPMS) under 11 ENRM-related sub-component types. Excludes ENRM investments coded with individual names outside of these subcomponent types. Also excludes ENRM-related cofinancing from non-IFAD sources (e.g. GEF, LDCF, SCCF, Adaptation Fund).

<sup>d</sup> To be converted into hectares ex-post (i.e. once the geographic extent of target watersheds has been ascertained by project teams).

<sup>e</sup> To be converted into US\$ ex-post (i.e. once the financial value of climate-proofed infrastructure has been ascertained by project teams).