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Investir dans les populations rurales

République des Philippines

Évaluation de la stratégie et du programme de pays

Note pour les représentants au Conseil d'administration

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Résumé

I. Généralités et contexte

1. Conformément à la politique d'évaluation adoptée par le FIDA en 2011, et comme approuvé par le Conseil d'administration à sa cent seizième session, tenue en décembre 2015, le Bureau indépendant de l'évaluation du FIDA (IOE) a procédé en 2016 à la première évaluation de la stratégie et du programme de pays (ESPP) de la République des Philippines.
2. **Portée.** L'évaluation a porté sur le partenariat entre le gouvernement et le FIDA mis en œuvre au titre de l'exposé des options et stratégies d'intervention pour le pays et du programme d'options stratégiques pour le pays (COSOP) approuvés respectivement en 1999 et 2009. Les aspects suivants ont été étudiés: i) le portefeuille de prêts (sept prêts entrés en vigueur entre 2003 et 2015); ii) les activités hors prêts (gestion des savoirs, concertation sur les politiques, partenariats et certains dons en cours d'exécution après 2010); et iii) la performance du FIDA et du gouvernement.
3. **Objectifs.** Cette ESPP poursuit deux grands objectifs: i) évaluer les résultats et la performance de la stratégie et du programme de pays financés par le FIDA; et ii) établir des conclusions et formuler des recommandations concernant l'avenir du partenariat entre le FIDA et la République des Philippines, afin de renforcer l'efficacité en matière de développement et d'éradiquer la pauvreté rurale. Cette ESPP a été effectuée conformément au Manuel de l'évaluation d'IOE (deuxième édition parue en 2015). Les conclusions, les enseignements et les recommandations issus de cette évaluation orienteront l'élaboration du nouveau COSOP qu'il est prévu de présenter en 2017.
4. **Processus d'ESPP.** Cette ESPP a été réalisée en plusieurs phases. Durant la phase préparatoire, une mission s'est déroulée aux Philippines du 27 janvier au 5 février 2016 et le document d'orientation de l'ESPP a été élaboré. La mission principale de l'ESPP s'est rendue aux Philippines du 29 mars au 22 avril 2016. Dans ce cadre ont eu lieu des réunions à Manille, ainsi que des visites sur le terrain dans huit provinces appartenant à quatre régions (Région administrative de la Cordillera, Mindanao du Nord, Visayas occidentales et Visayas orientales). La mission d'évaluation de la performance du projet (EvPP) portant sur le Programme de promotion de la microentreprise rurale (RuMEPP), conduite en janvier 2016, a effectué des visites sur le terrain dans deux autres régions (Caraga et Soccsksargen), en plus de la Région administrative de la Cordillera. Les conclusions de cette EvPP ont apporté un certain nombre d'éléments utiles dans le cadre de l'ESPP.
5. **Le FIDA aux Philippines.** Depuis 1978, le FIDA a apporté son concours à 15 projets financés par des prêts aux Philippines, dont le coût total s'élève à 771,5 millions d'USD. Le montant total des prêts accordés par le FIDA à ce jour s'établit à 241,9 millions d'USD, la présente évaluation portant sur sept prêts du FIDA d'un montant totalisant 153,4 millions d'USD. Dans les premiers temps, le cofinancement de projets à l'initiative d'autres institutions financières internationales était la principale modalité d'intervention du FIDA aux Philippines, mais ce modèle a évolué au cours de la dernière décennie. En ce qui concerne le portefeuille d'opérations en cours, le FIDA supervise aujourd'hui directement tous les projets sauf un, qu'il cofinance avec la Banque asiatique de développement. Le Fonds a ouvert un bureau de pays aux Philippines en 2009.
6. Le FIDA a élaboré deux COSOP en 1999 et 2009. Les trois projets en préparation inscrits dans le COSOP de 2009 ont connu une longue période de gestation: l'un d'entre eux a été approuvé en décembre 2012 (et a subi d'importants retards d'exécution), et les deux autres en 2015. Le portefeuille du FIDA aux Philippines comprend à la fois des projets fondés sur une démarche participative qui sont axés

sur une zone géographique et comprennent des composantes multisectorielles, et des interventions sectorielles couvrant une zone géographique étendue. Le principal groupe cible comprend les paysans des hautes terres, les peuples autochtones, les bénéficiaires de la réforme agraire et les pêcheurs. Tous projets confondus, la couverture géographique est très étendue. La diversité des organismes publics partenaires des projets financés par des prêts est une caractéristique du portefeuille qui mérite d'être signalée.

7. En raison de la présence de partenaires de développement disposant d'enveloppes de financement d'un montant élevé, les fonds apportés par le FIDA constituent une part tout à fait modeste de l'aide publique au développement en faveur des Philippines (environ 5% de l'aide au secteur agricole).

II. Portefeuille de prêts

8. **Pertinence.** Dans l'ensemble, les objectifs et les grands axes des projets correspondent bien aux stratégies des pouvoirs publics et du FIDA. Toutefois, dans le portefeuille d'interventions, un programme fait exception, à savoir le Programme d'accroissement rapide de la production alimentaire (RaFPEP). Conçu pour répondre à la flambée des prix des produits alimentaires de 2007-2008 et appuyer le Plan pour l'autosuffisance en riz du gouvernement, ce programme comportait deux volets distincts; l'un, inscrit dans un horizon à court terme, portait sur l'achat et la distribution de semences durant la première année (avec un cofinancement de l'Union européenne), tandis que l'autre visait à apporter un soutien de plus longue haleine aux systèmes d'irrigation communaux. Bien que les documents institutionnels du FIDA mettent l'accent sur le rôle stratégique que doit jouer le Fonds en favorisant le passage d'une intervention visant à apporter une réponse à court terme à la suite d'une situation d'urgence à des solutions à plus long terme, dans le cas présent ces deux volets étaient dans une large mesure indépendants, même s'ils étaient financés par le même prêt.
9. Les besoins, les difficultés et les perspectives des différents groupes cibles et les stratégies différenciées à mettre en œuvre pour leur venir en aide n'étaient pas toujours clairement identifiés. Par exemple, "les agriculteurs desservis par les systèmes d'irrigation communaux" ont été traités de manière identique lors de la conception, sans prendre en considération les différences entre les propriétaires fonciers, les fermiers et les métayers; autre exemple, s'agissant de l'appui au développement des microentreprises, il n'était pas clairement précisé s'il s'agissait d'axer les interventions sur les plus petites ou sur les plus grosses, ou encore sur les deux à la fois. En revanche, un aspect positif est à noter: une grande importance a été attachée à l'intégration de l'égalité des sexes dans le cadre des projets. Même lorsque ce point n'était que sommairement analysé au stade de la conception (par exemple, dans les volets axés sur l'irrigation du RaFPEP et du RuMEPP), les activités proposées présentent généralement un grand intérêt pour les femmes, car il est avéré qu'elles sont de nature à contribuer à leur autonomisation économique et sociale.
10. Les grands objectifs des activités menées au titre des projets sont jugés adaptés aux besoins des populations rurales pauvres. Mais dans certains cas, la conception présente des faiblesses – par exemple, des postulats erronés ou peu précis, une conception insuffisante ou complexe, ou un manque de clarté dans la définition des itinéraires d'impact, autant de failles qui entraînent des répercussions telles que: i) une définition floue de la fonction et du rôle de chacun des différents types de groupements et d'organisations de bénéficiaires, avec quelques exceptions positives comme les associations d'irrigants; ii) une action en faveur de la délivrance de titres de propriété aux populations autochtones pénalisée par une réflexion insuffisante sur les différents contextes, des problèmes de coordination avec les différents organismes et la législation; et iii) le fait de privilégier les lignes de crédit comme moyen d'améliorer l'accès des microentreprises aux

financements, en perdant de vue la nécessité d'améliorer le potentiel d'offre des prestataires de services financiers et les solutions pour y parvenir.

11. **Efficacité.** C'est dans le domaine de l'appui à l'agriculture irriguée, des infrastructures rurales, de l'amélioration de la participation des communautés à la planification et à la mise en œuvre des activités de développement et du renforcement de leurs organisations qu'ont été enregistrés les progrès les plus remarquables et les plus visibles au regard des objectifs, même si la performance varie en fonction des différents types d'organisations. La formule reposant sur les groupements (par exemple les groupements d'entreprises) appliquée dans le cadre de certains projets afin de développer les moyens d'existence n'a pas fait la preuve de son efficacité en donnant des résultats convaincants et probants.
12. Le RuMEPP a apporté une contribution importante au développement des microentreprises dans un certain nombre de cas. Toutefois, en l'absence de données complètes et fiables, le taux de succès parmi ceux qui ont participé au programme n'est pas connu avec certitude, ni la proportion d'abandons jugée acceptable.
13. Les données font état d'une efficacité mitigée dans des domaines comme la gestion des ressources naturelles ou l'amélioration de l'accès aux marchés, d'autant que l'attention portée à ce dernier aspect est plus récente. De surcroît, la promotion de la sécurité foncière pour les peuples autochtones, saluée comme une initiative d'avant-garde dans les précédents projets compte tenu des premiers succès enregistrés, s'est heurtée à des difficultés dans le cadre du Second Projet de gestion des ressources agricoles des hautes terres de la Cordillera (CHARMP2). Cette situation s'explique en partie par l'évolution des politiques et de la réglementation ou le manque de cohérence dans leur interprétation ou leur application, ainsi que par le fait que les situations varient d'une zone géographique à l'autre. Face à ces défis, les résultats obtenus à cet égard dans le cadre du CHARMP2 sont maigres au regard des objectifs et des cibles qui lui avaient été assignés.
14. Dans l'ensemble, l'analyse des données concernant le nombre de bénéficiaires ou la portée des projets s'est avérée délicate. On constate des incohérences dans les chiffres d'un rapport à l'autre en raison d'un certain nombre d'écueils, parmi lesquels: i) le double comptage des mêmes bénéficiaires au titre de plusieurs activités; ii) des difficultés dans la définition et l'enregistrement des bénéficiaires directs ou indirects; et iii) des différences d'interprétation du mode de calcul du nombre de bénéficiaires. Si les données ventilées par sexe sont correctement enregistrées au niveau de chaque projet, les différences au sein du groupe cible dans son ensemble n'ont pas fait l'objet d'une attention systématique.
15. **Efficiace.** Un certain nombre d'indices semblent attester de l'efficiace des interventions, notamment la part des frais de gestion des projets, relativement faible par rapport à d'autres pays, et le taux d'utilisation des fonds, qui est globalement élevé en dépit des retards initiaux. À l'exception d'un projet, pour lequel la part des frais de gestion s'établit à 15% selon les informations transmises, ce chiffre est d'environ 6% pour les projets achevés ou en passe de l'être.
16. Le taux de mobilisation de financements additionnels est également élevé: en moyenne 2,66 USD pour chaque dollar investi par le FIDA, à rapporter à l'objectif institutionnel de 1,6 USD. Toutefois, il convient de noter que le Projet de gestion intégrée des ressources naturelles et de l'environnement (INREMP), qui bénéficie d'un cofinancement de 100 millions d'USD apporté par la Banque asiatique de développement, contribue à faire augmenter sensiblement ce chiffre.
17. Parmi les points faibles en matière d'efficiace, il faut citer le décalage considérable entre la phase d'étude théorique et de mise en chantier et l'entrée en vigueur. Toutefois, en moyenne, le laps de temps qui sépare l'approbation du prêt et son

entrée en vigueur et le premier décaissement se situe dans la moyenne de la Division Asie et Pacifique du FIDA.

18. Les retards dans le décaissement des fonds et la mise en œuvre des activités, en particulier au cours des premières années, constituent un autre point faible. Pour l'INREMP, la progression des décaissements et de l'exécution a pris beaucoup de retard.
19. **Impact sur la pauvreté rurale.** L'impact le plus sensible et le plus homogène d'un projet à l'autre réside dans la contribution apportée à l'amélioration de la façon dont les organismes publics et les unités administratives locales travaillent dans le cadre des initiatives de développement rural et de leur manière de collaborer avec les populations pauvres des zones rurales, qui consiste par exemple à faire appel à une démarche participative tout en œuvrant au renforcement des organisations de ruraux pauvres afin qu'elles soient à même de participer utilement à ces initiatives. Le RuMEPP a contribué à renforcer l'attention portée par le Ministère du commerce et de l'industrie à l'essor des microentreprises et a débouché sur le lancement d'un certain nombre d'initiatives importantes. Globalement, les projets ont contribué à renforcer la collaboration et la "convergence" entre les différents organismes publics, les unités administratives locales et les acteurs n'appartenant pas au secteur public.
20. L'impact du portefeuille sur le capital humain et social et l'autonomisation est satisfaisant, en particulier en ce qui concerne les compétences individuelles et l'aptitude à s'engager dans des activités économiques; les projets ont aussi permis de donner aux communautés les moyens de participer à la planification, à l'exécution et au suivi des activités de développement, et à l'entretien des infrastructures, de favoriser l'intégration des chefs de tribu dans les conseils de développement local lorsque les peuples autochtones sont en minorité, et de renforcer les associations d'irrigants. L'effet sur l'aptitude des organisations de bénéficiaires à s'engager dans des activités productives, entrepreneuriales ou commerciales semble mitigé en raison de différents facteurs.
21. L'impact sur la productivité agricole et la sécurité alimentaire est visible et résulte en particulier des activités de soutien à l'irrigation, tandis que l'effet des autres interventions portant sur la sécurité alimentaire est moins net. Alors que la contribution apportée aux revenus des ménages est manifestement importante (par exemple grâce à l'essor des microentreprises et aux activités génératrices de revenus), il est difficile de se prononcer sur l'étendue et l'ampleur de cet effet en raison de l'insuffisance des données.
22. **Durabilité des avantages.** Pour ce critère, les évaluateurs apprécient la probabilité de pérennisation des avantages résultant des projets au-delà de la phase d'appui financier extérieur. Les principaux domaines pour lesquels cette durabilité des avantages est évaluée sont: i) les capacités collectives des bénéficiaires et de leurs organisations; ii) les infrastructures matérielles; et iii) les institutions qui servent les intérêts des pauvres et les démarches de collaboration des partenaires avec les populations rurales pauvres.
23. En ce qui concerne les capacités collectives des bénéficiaires, les organisations qui sont dotées d'un mandat et d'un statut juridique clairs, à l'instar des associations d'irrigants, présentent des perspectives de développement et de pérennisation très favorables. Plusieurs facteurs jouent en faveur des associations d'irrigants: un référent institutionnel clair (l'Administration nationale de l'irrigation [ANI]), la supervision et l'appui permanents de l'ANI, des revenus réguliers pour financer le fonctionnement et l'entretien (les redevances d'irrigation), et le rôle central que jouent les systèmes d'irrigation dans les moyens d'existence de leurs membres. En revanche, l'appréciation portée sur la durabilité des institutions communautaires et des organisations populaires de plus grande ampleur et plus structurées est nuancée, et les chances de pérennisation sont jugées encore plus incertaines et plus variables pour les groupes informels de taille beaucoup plus modeste

- bénéficiant d'un appui dans le cadre des projets (par exemple, les groupes d'entraide ou les groupes d'intérêt axés sur les moyens d'existence). Pour ces petits groupes en particulier, la durabilité sera un défi de taille s'ils n'appréhendent pas plus pleinement, dès le début du projet (grâce à l'approche et aux activités mises en place dans le cadre du projet), les avantages à long terme que l'appartenance à des groupes et des associations peut apporter sur le plan des moyens d'existence et de la situation économique.
24. En ce qui concerne les infrastructures matérielles, les perspectives quant à l'entretien des équipements d'irrigation remis en état sont très favorables, étant donné que les taux de recouvrement des redevances d'irrigation sont en hausse et que les capacités des associations d'irrigants en matière institutionnelle et de gouvernance s'améliorent. De même, pour les autres types d'infrastructures publiques, les chances de pérennisation semblent bonnes. Les facteurs favorables sont notamment les suivants: i) l'appropriation par les communautés, qui découle du processus participatif de planification et de mise en œuvre (identification des besoins et participation à la supervision des travaux); ii) les systèmes de perception des redevances, le cas échéant (par exemple, pour l'approvisionnement en eau à usage domestique); et iii) l'implication des unités administratives locales.
 25. En règle générale, les perspectives de pérennisation des institutions et des approches qui servent les intérêts des populations pauvres soutenues dans le cadre des projets sont également favorables. De l'avis des évaluateurs, cela s'explique principalement par le fait que le pays est doté d'un cadre politique, législatif et institutionnel globalement porteur, ce qui se traduit également par les scores relativement élevés obtenus lors des évaluations du secteur rural menées pour les besoins du Système d'allocation fondé sur la performance du FIDA.
 26. **Innovation et reproduction à plus grande échelle.** L'innovation a permis d'améliorer les méthodes de travail dans le cadre des projets. Quelques bons exemples d'interaction entre les dons et les prêts méritent d'être notés, les innovations produites avec l'appui de dons régionaux ayant été reprises dans le cadre de projets financés au moyen d'un prêt (par exemple, soutenir les écoles de formation à l'entrepreneuriat agricole, répertorier les variétés anciennes de riz et développer cette filière).
 27. Toutes les innovations dont les rapports indiquent qu'elles ont été reproduites à plus grande échelle ou sont susceptibles de l'être sont d'ampleur plutôt modeste et de nature technique, et elles correspondent à ce que le FIDA décrit comme "la reproduction à plus grande échelle des activités" plutôt qu'à "la reproduction à plus grande échelle des résultats". Bien que les exemples soient plutôt modestes, ils témoignent d'une utilisation efficace du financement des projets et de la gestion des savoirs. En revanche, l'articulation entre les innovations et la transposition à plus grande échelle et la concertation sur les politiques ou la participation à leur élaboration est moins évidente.
 28. **Égalité des sexes et autonomisation des femmes.** On constate des efforts visibles pour promouvoir l'égalité des sexes et l'autonomisation des femmes au niveau des projets, ce qui s'est traduit par des avancées notables. C'est le cas même lorsque les documents de conception présentaient des faiblesses sur ces questions (par exemple pour le RuMEPP), et malgré le fait que la situation des femmes aux Philippines est jugée meilleure que dans beaucoup d'autres pays. Le programme de pays dans son ensemble a également fait œuvre utile en mettant en lumière l'importance des questions d'égalité des sexes grâce à l'action du réseau du FIDA sur l'égalité des sexes aux Philippines. En outre, comme les évaluateurs chargés de l'ESPP l'ont constaté à l'occasion des visites sur le terrain, de nombreux employés des bureaux de projet, des principaux organismes publics présents sur le terrain et des unités administratives locales sont des femmes.

29. Dans l'ensemble, les projets ont donné aux hommes et aux femmes la possibilité de participer à des activités économiques et d'en tirer avantage. Les femmes étaient majoritaires au sein de nombreux groupements et des microentreprises bénéficiant d'un appui. Pour les nouvelles microentrepreneuses (entreprises en phase de création) dont les possibilités d'exercer une activité rémunératrice stable étaient limitées, voire inexistantes, la participation au projet leur a donné accès à des sources de revenus nouvelles ou plus intéressantes.
30. La participation des femmes aux processus de prise de décisions au sein de différentes instances a progressé, qu'il s'agisse d'organisations à caractère associatif ou de rassemblements communautaires, grâce à la conjonction des incitations, de la visibilité et de la sensibilisation, ainsi qu'aux progrès en matière de connaissances et de compétences. Selon les chiffres disponibles, dans le cadre du CHARMP2, la proportion de femmes aux postes de direction oscille entre 45 et 50 pour cent selon le type de groupement. Même au sein des associations d'irrigants, qui étaient autrefois considérées comme un milieu plus masculin, parallèlement à l'augmentation du nombre de femmes parmi les membres, la proportion de celles qui occupent des postes de responsabilité est en nette progression: selon les chiffres disponibles, elle atteint 32% pour le volet relatif à l'irrigation du RaFPEP, soit un pourcentage supérieur à l'objectif de 30%.
31. Bien qu'on ne dispose pas de données détaillées, l'essor de la participation des femmes aux activités de production ne semble pas se traduire par une charge de travail excessive pesant sur leurs épaules. En effet, les femmes se disent plutôt satisfaites d'avoir plus de possibilités de consacrer leur temps à des activités rémunératrices et, selon les indications disponibles, les maris voient généralement d'un bon œil les activités de leur épouse, auxquelles il leur arrive également de collaborer.
32. **Gestion de l'environnement et des ressources naturelles.** Parmi les quatre projets achevés ou qui se trouvent à un stade avancé de leur exécution, deux étaient particulièrement axés sur la gestion des ressources naturelles: le Projet de promotion des initiatives communautaires et de gestion des ressources dans le nord de Mindanao (NMCIRMP) et le CHARMP2. Il ressort de l'évaluation de la performance du premier de ces deux projets précédemment réalisée qu'un certain nombre d'avancées ont été obtenues (par exemple une meilleure gestion des ressources naturelles pour le lac Mainit), mais qu'il aurait été possible de faire plus si les activités ayant trait à la gestion des ressources naturelles avaient été lancées plus tôt. En revanche, dans le cadre du CHARMP2, si les activités de reboisement et d'agroforesterie ont bien progressé pour ce qui est des plantations, pour l'heure les avantages concrets pour les ménages et les communautés sont encore à venir.
33. **Adaptation au changement climatique.** La dimension de l'adaptation au changement climatique n'était pas expressément décrite dans les premiers projets, d'autant que le FIDA a élaboré sa Stratégie concernant le changement climatique en 2010. Néanmoins, un certain nombre des activités entreprises ont trait à cet aspect. Il s'agit notamment de la formation et du renforcement des capacités des agriculteurs en matière de méthodes de gestion durable des ressources naturelles, notamment les techniques de conservation des sols et de l'eau, la rotation des cultures et la réduction des risques de catastrophe. Dans certains cas, la conception des infrastructures rurales a été adaptée afin de renforcer la résilience.

III. Activités hors prêts

34. **Gestion des savoirs.** L'intégration de la gestion des savoirs dans le programme de pays des Philippines donne satisfaction. Différentes plateformes ont été mises en place. Premièrement, les réunions annuelles consacrées à l'examen du programme de pays, auxquelles participent des représentants d'interventions en cours (projets financés par des prêts et un certain nombre de dons), des fonctionnaires des ministères et des membres du personnel du FIDA, permettent

de faciliter la réflexion et la mutualisation des enseignements entre les projets financés par des prêts ou des dons, et d'en améliorer l'exécution. Deuxièmement, des salons des savoirs et de l'apprentissage sont organisés chaque année. Il s'agit de manifestations publiques rassemblant pendant deux jours les parties prenantes du programme de pays du FIDA aux Philippines et le grand public afin de mettre en avant les activités, les réalisations et les produits des projets financés par le FIDA et des communautés visées. Troisièmement, le Réseau du FIDA sur l'égalité des sexes aux Philippines met en relation les coordonnateurs pour les questions de parité hommes-femmes des projets financés par le FIDA, des organisations de la société civile et des organismes d'exécution. Ce réseau a été créé principalement dans le but d'offrir à ces coordonnateurs un cadre dans lequel évoquer et analyser ces questions et formuler des recommandations.

35. Toutes ces initiatives contribuent à la confrontation des expériences et à l'enrichissement mutuel. Les évaluateurs ont noté quelques passerelles intéressantes entre les projets financés par des prêts et les interventions financées au moyen de dons, l'expérience et les savoirs produits à la faveur des activités soutenues par un don étant repris par un projet financé par un prêt et contribuant à en améliorer l'efficacité. Le bureau de pays joue un rôle crucial dans l'organisation d'initiatives portant sur la gestion des savoirs comme celles mentionnées ci-dessus. Toutefois, le principal élément qui fait défaut est un mécanisme de diffusion des conclusions formulées afin de contribuer aux discussions portant sur les politiques.
36. **Concertation sur les politiques.** En matière de concertation sur les politiques, les objectifs initiaux arrêtés par le FIDA dans le COSOP de 2009 étaient trop ambitieux, aussi bien par leur portée qu'en raison de la démarche et du processus envisagés; de surcroît, ils reposaient dans une trop large mesure sur le postulat selon lequel les enjeux qui se dégageraient des examens annuels du programme de pays et des salons des savoirs et de l'apprentissage alimenteraient la concertation de plus haut niveau. En l'absence d'instance nationale permanente, le FIDA se devait de définir ou d'encourager des occasions de mener un dialogue plus large ou une concertation structurée. Le seul exemple de cet ordre est le forum consacré à la politique de sécurité alimentaire organisé en 2012. Faute de dispositif permanent, les objectifs inscrits dans le COSOP en matière d'articulation avec les politiques n'étaient pas réalistes.
37. Le programme de pays a permis de dégager de l'expérience de l'exécution des projets un certain nombre d'enseignements que le processus de gestion des savoirs a diffusés avec efficacité. Ces enseignements étaient utiles, mais ils concernaient pour la plupart des outils, des techniques et des activités plutôt que des résultats et des enseignements ayant des implications pour les enjeux stratégiques et politiques plus vastes.
38. **Établissement de partenariats.** Le programme de pays a permis d'établir des partenariats ambitieux avec un grand nombre de services administratifs à vocation opérationnelle et d'organismes de contrôle (en particulier l'Autorité nationale de développement économique [ANDE], le Ministère des finances et le Ministère du budget et de la gestion). Dans le cadre des projets, la collaboration avec les unités administratives locales est généralement privilégiée. Les projets ont également contribué à renforcer la collaboration entre de nombreux services administratifs à vocation opérationnelle à l'appui de l'Initiative nationale de convergence.
39. De même, les partenariats avec les organisations de la société civile donnent généralement satisfaction, en particulier ceux qui sont établis dans le cadre des dons, des examens annuels du programme de pays et des salons des savoirs et de l'apprentissage.
40. En revanche, les partenariats noués avec d'autres organismes de développement bilatéraux et multilatéraux sont moins nombreux qu'il n'était prévu dans le COSOP, et peu de partenariats avec le secteur privé ont vu le jour.

41. **Dons.** Depuis 2007, le FIDA a financé 27 dons d'une valeur totale de 28,66 millions d'USD sur tout le territoire du pays. Deux d'entre eux ont servi à cofinancer directement des projets appuyés par des prêts; six ont été accordés au titre du guichet-pays spécifique, dont un don d'un montant exceptionnellement élevé (4 millions d'USD) en faveur du redressement après le typhon Haiyan; et 19 étaient des dons au titre du guichet mondial/régional concernant à la fois les Philippines et plusieurs autres pays.
42. Les évaluateurs ont analysé en détail trois dons au titre du guichet-pays spécifique et trois dons régionaux. Des liens satisfaisants ont été établis entre deux de ces trois dons régionaux et des projets financés au moyen de prêts, grâce aux contacts noués dans le cadre des plateformes de gestion des savoirs et des manifestations décrites plus haut. Le petit don au titre du guichet-pays spécifique accordé pour soutenir le suivi-évaluation (S&E) axé sur les résultats des partenaires publics chargés de l'exécution des projets a contribué à l'émergence d'un nouveau dispositif national de S&E axé sur les résultats mis au point par l'ANDE et le Ministère du budget et de la gestion. En revanche, le don accordé en réponse au typhon Haiyan n'a pas constitué un moyen efficace et efficient de mettre en place une intervention de courte durée pour répondre à une situation d'urgence: malgré un traitement rapide du dossier de don, l'exécution de l'intervention a été considérablement retardée en raison de la lenteur de la passation des marchés et de la perturbation des services administratifs au lendemain du typhon. On peut également s'interroger sur la conformité avec la Politique du FIDA en matière de dons ou avec le principe énoncé dans les Directives du FIDA pour le relèvement rapide après une catastrophe, qui préconisent d'optimiser les synergies avec d'autres institutions et organismes spécialisés (de secours) et d'éviter tout chevauchement des activités.

IV. Performance des partenaires

43. **FIDA.** La performance du FIDA est particulièrement solide pour ce qui est de soutenir activement les activités hors prêts, de faciliter les interactions entre les dons et les prêts, de constituer des réseaux avec les organismes publics et les partenaires des projets, et d'assurer la supervision directe et l'appui à l'exécution. Le bureau de pays et le chargé d'appui au programme de pays du FIDA ont contribué de manière décisive à ces réalisations. Le FIDA a endossé avec efficacité la responsabilité de la supervision directe et de l'appui à l'exécution.
44. D'un autre côté, un certain nombre de lacunes ont été relevées, notamment l'incapacité à élaborer des orientations stratégiques cohérentes et utiles pour le programme de pays. Le COSOP de 2009 concordait avec les principaux cadres stratégiques et politiques, et tirait convenablement parti des expériences antérieures. Toutefois, les objectifs stratégiques de ce COSOP étaient étroitement concentrés sur les projets, la valeur ajoutée ne dépassant guère les limites des prêts individuels. En outre, la logique de ciblage n'était pas mûrement réfléchie et obéissait principalement au principe de ciblage géographique des "20 provinces les plus pauvres", qui n'était pas facile à appliquer étant donné que la liste changeait d'une année à l'autre et que les évaluations de la pauvreté présentent une marge d'erreur statistique élevée. Les autres insuffisances relevées sont notamment un certain nombre de faiblesses de conception, l'attention insuffisante portée à l'appui au S&E des projets, et des doutes concernant la capacité du Fonds à répondre aux situations d'urgence.
45. **Gouvernement.** Un large éventail d'organismes publics et d'unités administratives locales ont joué un rôle dans le programme de pays, et ils se sont généralement avérés être des partenaires précieux. La participation de l'ANDE à toutes les missions de supervision est une pratique exemplaire qui témoigne de la forte adhésion des pouvoirs publics. La disponibilité des fonds de contrepartie s'est avérée globalement satisfaisante si l'on excepte les difficultés rencontrées par les unités administratives locales pour obtenir les financements de contrepartie

nécessaires pour les volets relatifs aux infrastructures, dont la part avait initialement été fixée à un pourcentage plus élevé. Le principal écueil relevé dans le programme de pays réside dans la durée excessive du processus d'examen des nouvelles propositions de projet.

V. Conclusions

46. Ce programme de pays présente un tableau contrasté dans lequel se mêlent innovations et retards, et les processus l'ont emporté sur les progrès. Le bureau de pays du FIDA a su réunir les conditions permettant un suivi étroit du programme de pays et la mise en place d'un réseau d'excellente qualité avec les partenaires dans certains domaines, ce qui a permis d'améliorer la gestion des savoirs. L'attention portée à l'obtention d'une valeur ajoutée au-delà du financement des projets d'investissement a encore gagné en pertinence, étant donné que le FIDA s'efforce de trouver des moyens d'engager une collaboration efficace avec les pays à revenu intermédiaire comme les Philippines. Cependant, les retards importants subis, aussi bien sur le plan de l'exécution que pour l'entrée de nouveaux projets dans le portefeuille, ainsi que l'insuffisance des données et de l'analyse des résultats des projets, ont limité les savoirs à utiliser pour nourrir les processus de participation à l'élaboration des politiques et la reproduction à plus grande échelle à partir de l'appui apporté par le FIDA.
47. Le programme de pays correspondait bien aux plans nationaux et aux cadres stratégiques du FIDA. Toutefois, les détails de la conception des projets ne correspondaient pas toujours aux intentions stratégiques. Le ciblage reposait dans une large mesure sur la liste des "provinces les plus pauvres" établie par le gouvernement, une manière de procéder qui s'est avérée inapplicable. La sélection ou le suivi des bénéficiaires ciblés manquaient de clarté. Un certain nombre de projets s'appuyaient sur des groupements de bénéficiaires pour agir, mais le rôle et le potentiel de ces groupements – par exemple, comme moyen d'organisation ou comme support d'une entreprise viable – n'étaient pas toujours clairs sauf dans le cas des associations d'irrigants. La couverture géographique très étendue, la multiplicité des activités et la faible intensité des investissements étaient autant d'obstacles susceptibles de gêner la démonstration des solutions qui permettent d'atténuer la pauvreté et de produire des enseignements utiles dans la perspective de la concertation sur les politiques et de la reproduction à plus grande échelle.
48. Toute une série de réalisations marquantes méritent d'être signalées dans certains domaines, en dépit de longues périodes de gestation, de retards dans la mise en œuvre et du caractère imparfait ou peu satisfaisant des éléments permettant d'attester de leur contribution aux résultats. Méritent plus particulièrement d'être mentionnés le soutien à l'agriculture irriguée, les infrastructures rurales, la participation des communautés à la planification et à la mise en œuvre des activités de développement, le renforcement de leurs organisations, une plus forte implication des peuples autochtones dans la gouvernance locale et, dans une moindre mesure, le développement des microentreprises.
49. C'est pour les aspects suivants que les points forts du programme de pays apparaissent de manière particulièrement manifeste: la performance en matière de gestion des savoirs; la collaboration entre les prêts et les dons; la promotion de l'égalité des sexes et de l'autonomisation des femmes; le soutien apporté à l'autonomisation des bénéficiaires et de leurs organisations dans le cadre des projets; l'appui à la "convergence"; et la collaboration entre les différentes initiatives et les divers partenaires publics.
50. En général, les activités hors prêts ont permis de tirer le meilleur parti des atouts de la société philippine. Les contacts étroits et la confrontation des expériences en matière d'exécution témoignent de la relative solidité de la société civile, de la qualité des communications et du niveau d'éducation satisfaisant des cadres intermédiaires. La présence et le rôle du bureau de pays du FIDA ont été décisifs

dans l'organisation de ces activités. Toutefois, les objectifs initiaux en matière de concertation étaient par trop ambitieux, et les échanges ont davantage porté sur les outils et les techniques que sur les questions stratégiques de haut niveau. La collaboration avec les autres organismes multilatéraux ou bilatéraux a été insuffisante, et le Fonds n'est pas véritablement parvenu à exercer une grande influence sur les systèmes gouvernementaux. Le FIDA s'impose progressivement aux yeux du gouvernement comme un partenaire d'exécution modeste mais digne de confiance, mais il ne fait pas figure de défenseur dynamique pour un pays à revenu intermédiaire.

51. Au niveau des projets, le fonctionnement du suivi et de l'évaluation a laissé à désirer. Le suivi a permis d'obtenir des données concernant l'exécution mais, pour de nombreux projets, on relève des incohérences, même s'agissant d'informations élémentaires comme le nombre de bénéficiaires. Les travaux d'évaluation n'ont pas abouti à des conclusions fiables concernant les effets obtenus. Les rapports brossent un tableau où se mêlent une conceptualisation peu convaincante, une conception des enquêtes médiocre ou maladroite et un manque d'attention portée par la direction à des questions fondamentales telles que les revenus, l'équité et la sécurité alimentaire. Des occasions ont été manquées de mettre à profit la planification participative pour recueillir des données de référence et de procéder à des études de cas portant sur des questions complexes telles que l'expérience et les enseignements concernant la constitution et le renforcement des groupes de bénéficiaires et la gestion des ressources naturelles. L'obtention de conclusions plus solides aurait pu permettre de modifier les caractéristiques et la portée de la participation du FIDA à l'élaboration des politiques et donner lieu à une concertation de plus haut niveau avec le gouvernement et les autres partenaires de développement.

VI. Recommandations

52. On trouvera ci-après les grandes recommandations soumises à l'attention du FIDA et du Gouvernement philippin. Il convient de resituer toutes ces recommandations dans le contexte des éléments suivants: le nouveau gouvernement en place depuis juillet 2016 et la nouvelle orientation politique qui se dessine; le statut de pays à revenu intermédiaire des Philippines; la situation d'après-conflit qui prévaut dans l'île de Mindanao; et le fait que le pays est exposé aux risques de catastrophe.
53. **Recommandation 1: Réfléchir attentivement à l'avantage comparatif du FIDA au regard des besoins du pays dans la nouvelle stratégie de pays.** Le processus d'élaboration de la stratégie devrait prendre en considération les éléments suivants: i) le pays n'a pas particulièrement besoin de financements extérieurs, mais en revanche il est intéressé à l'idée d'acquérir des savoirs; et ii) en présence d'autres partenaires disposant d'enveloppes de ressources plus importantes en faveur du secteur agricole et rural, il est important de délimiter et de choisir d'un commun accord les enjeux stratégiques et les domaines dans lesquels l'appui du FIDA pourrait apporter une valeur ajoutée grâce aux compétences particulières qui sont les siennes. Cette nouvelle stratégie de pays devrait prendre en considération la spécificité du FIDA et son avantage comparatif dans la définition du groupe cible (par exemple les peuples autochtones, les pêcheurs) et/ou des domaines thématiques, en incarnant clairement le souci d'agir en faveur des pauvres, afin de produire des savoirs et des enseignements permettant d'éclairer les décisions d'investissement du gouvernement et des autres partenaires en faveur de la reproduction à plus grande échelle.
54. S'agissant de l'engagement aux côtés des peuples autochtones, et compte tenu des résultats déjà obtenus et des obstacles institutionnels actuels, c'est l'occasion de repenser le soutien à apporter et de mener une réflexion stratégique à cet égard. Le régime foncier reste une source potentielle de conflit et un enjeu essentiel pour les populations rurales pauvres, et la nouvelle stratégie de pays doit envisager des moyens d'améliorer l'appui apporté par le FIDA dans ce domaine – au niveau du

terrain comme sur le plan des politiques, en collaboration avec d'autres partenaires. En outre, étant donné que le pays et les populations rurales pauvres sont exposés aux catastrophes naturelles, la stratégie de pays devrait comprendre une évaluation de la vulnérabilité et des risques et une note d'information sur l'état de préparation du pays en cas de catastrophe, au regard des objectifs stratégiques du Fonds et de l'appui qu'il est prévu d'apporter.

55. L'assimilation des enseignements tirés des résultats des projets et l'utilisation de ces informations pour étayer les politiques publiques devraient constituer un élément explicite de la stratégie. Celle-ci devrait analyser les possibilités de mettre en place divers types de soutien prenant d'autres formes que le financement d'investissements, par exemple l'assistance technique remboursable ou l'organisation d'échanges de savoirs avec d'autres pays.
56. **Recommandation 2: Améliorer l'analyse diagnostique du groupe cible potentiel et le ciblage.** La définition du nouveau COSOP sera en partie influencée par l'entrée récente dans le portefeuille des projets CONVERGE et FishCORAL. Sans modifier les sites visés par ces interventions, il est possible d'améliorer l'identification des bénéficiaires potentiels et la définition des moyens de leur venir en aide. Tout d'abord, il faudrait une analyse de bonne qualité des différents groupes qui composent la population cible potentielle, une approche différenciée pour leur venir en aide, et un suivi de la portée des activités, des profils des bénéficiaires et de la performance du ciblage. Il conviendrait d'intégrer plus étroitement dans le ciblage les questions de sécurité alimentaire et d'inclusivité. Deuxièmement, lorsque c'est possible, il faudrait mettre en œuvre une approche plus stratégique afin de renforcer l'intensité des investissements dans les sites visés (soit dans le cadre d'un projet spécifique, soit en créant des synergies entre les projets), afin d'améliorer les chances d'obtenir un impact tangible. Cela pourrait éventuellement supposer de définir d'un commun accord une forme de ciblage géographique dans des zones plus restreintes (en s'appuyant sur l'expérience acquise dans l'île de Mindanao, les Visayas et la Région administrative de la Cordillera).
57. **Recommandation 3: Renforcer l'influence exercée en matière d'élaboration des politiques en améliorant la qualité des savoirs et des données factuelles.** Mettant à profit la performance généralement satisfaisante en matière de gestion des savoirs, il faudrait élaborer une stratégie d'exécution afin d'améliorer la qualité des données factuelles tirées du S&E dans l'ensemble du portefeuille. Cela pourrait notamment prendre la forme d'une collaboration plus étroite avec l'ANDE et le Ministère du budget et de la gestion, à l'appui de l'initiative nationale de S&E axé sur les résultats, et d'un appui au S&E apporté par les services opérationnels chargés de l'exécution ainsi que les unités administratives locales et d'autres acteurs locaux. La conception des projets devrait s'accompagner d'une théorie du changement claire, et des travaux d'analyse et des autoévaluations devraient être prévus. On pourrait envisager de rechercher un organisme avec lequel collaborer afin d'assurer la gestion des dispositifs de S&E et d'apprentissage à l'échelle de l'ensemble du portefeuille et d'apporter de la cohérence et de la rigueur à la conception des évaluations.
58. Les plateformes et activités de gestion des savoirs déjà établies devraient intégrer d'autres partenaires de développement et faire procéder à une analyse comparative des problèmes d'exécution et de la performance au-delà des projets appuyés par le FIDA. En outre, il faudrait doter le bureau de pays du FIDA des ressources nécessaires pour développer l'appui apporté en matière d'enjeux politiques et stratégiques nationaux.
59. **Recommandation 4: Renforcer les partenariats avec les autres partenaires de développement pour soutenir le nouveau gouvernement.** Les bons résultats obtenus jusqu'ici en matière de collaboration avec les organismes publics, les organismes de recherche et la société civile mériteraient d'être consolidés et

étendus à d'autres partenaires de développement. Les relations avec certains bénéficiaires de dons qui recèlent manifestement un potentiel en matière de valeur ajoutée et d'interaction devraient être placées au cœur de la stratégie et du programme de pays.

60. Des liens plus étroits pourraient être noués avec les organismes multilatéraux et bilatéraux. Il n'est pas indispensable que ceux-ci prennent la forme de cofinancements, d'autant que le gouvernement a récemment adopté une formule qui consiste à examiner séparément les propositions de projet et les sources de financement envisageables. Par l'intermédiaire du bureau de pays, le FIDA devrait collaborer avec les autres partenaires de développement intervenant dans le secteur rural afin d'intensifier les échanges d'informations avec le gouvernement, en mettant l'accent sur les domaines dans lesquels il dispose d'un avantage comparatif et qui correspondent aux priorités du gouvernement. Il existe également des perspectives de collaboration entre le FIDA et les autres institutions ayant leur siège à Rome afin d'apporter un appui sous forme de conseils sur des questions telles que la production alimentaire et la sécurité alimentaire, l'égalité des sexes et l'autonomisation des femmes dans l'agriculture et le développement rural, et la planification des interventions d'urgence visant à réduire les risques de catastrophe. Il convient de rechercher des possibilités de mettre au point des formules en association avec le secteur privé pour contribuer à favoriser les investissements des agriculteurs dans les filières.

Republic of the Philippines

Country Strategy and Programme Evaluation

Agreement at Completion Point

A. Introduction

1. This is the first country strategy and programme evaluation (CSPE) in the Republic of the Philippines conducted by the Independent Office of Evaluation of IFAD (IOE). The main objectives of the CSPE were to: (i) assess the results and performance of the IFAD-financed country strategy and programme; and (ii) generate findings and recommendations for the future partnership between IFAD and the Republic of Philippines for enhanced development effectiveness and rural poverty eradication.
2. The CSPE assessed the IFAD-Government partnership pursued under the country strategic opportunities paper/programmes (COSOPs) of 1999 and 2009. To inform the assessment, the CSPE covered: (i) the lending portfolio (US\$153.4 million across seven loans effective between 2003 and 2015); (ii) non-lending activities (knowledge management, policy dialogue, partnership building, and selected grants); and (iii) performance of IFAD and the Government.
3. This agreement at completion point (ACP) contains recommendations based on the evaluation findings and conclusions presented in the CSPE report, as well as proposed follow-up actions as agreed by IFAD and the Government. The signed ACP is an integral part of the CSPE report in which the evaluation findings are presented in detail, and will be submitted to the IFAD Executive Board as an annex to the new country strategic opportunities programme for the Philippines. The implementation of the recommendations agreed upon will be tracked through the President's Report on the Implementation Status of Evaluation Recommendations and Management Actions, which is presented to the IFAD Executive Board on an annual basis by the Fund's Management.

B. Recommendations and proposed follow-up actions

4. **Recommendation 1: Carefully reflect on IFAD's comparative advantage relative to the country's needs in the new country strategy.** The new country strategy should reflect IFAD's specificity and comparative advantage, in terms of the target group (e.g. indigenous peoples, fishers) and/or thematic areas with a clear pro-poor orientation, with a view to generating knowledge and lessons to inform investments by the Government and other partners for scaling-up.
5. Engagement with indigenous peoples in a proactive manner is one of the areas where IFAD has accumulated experience and comparative advantage, in the Philippines and at corporate level. Taking into consideration earlier achievements and prevailing institutional challenges, there is an opportunity to revisit and strategically reflect on future support. Land tenure remains a potential source of conflict and a key issue for the rural poor, and the new country strategy needs to consider ways to upgrade IFAD's support in this area. Furthermore, given the exposure of the country and the rural poor to natural disasters, the country strategy should include a vulnerability and risk assessment and a disaster preparedness country brief.
6. Learning from project results and using information to support government policy should be an explicit element of the strategy. The strategy should discuss the opportunities for diverse types of support apart from investment financing, such as reimbursable technical assistance and knowledge-sharing with other countries.

Proposed Follow-up: IFAD and the Government agree with this recommendation.

Formulation of the IFAD country strategy (envisaged for presentation to the IFAD board by December 2017) will build on the Philippine Development Plan, selecting areas where IFAD can add most value. The Government has adopted a Revised

Financing Framework that (i) prioritises programmes for Government support; (ii) determines whether they can be funded domestically; and (iii) selects any required financing partner based on technical and cost advantages. IFAD and NEDA shall dialogue closely to determine the development challenges that IFAD can best contribute to - which included IP issues, land tenure, commercialising smallholder agriculture, and strengthening pro-poor value chains and rural enterprises.

In selecting future interventions and policy areas where IFAD can best support the Government, IFAD's Social, Environmental and Climate Procedures (SECAP) shall provide a foundation for prioritising environmental and natural resources management, climate change, and other developmental and social challenges.

7. **Recommendation 2: Enhance diagnostic analysis of the potential target group and targeting.** Within the target locations of investment projects, there is scope to improve the identification of potential beneficiaries and how to reach them. First, there should be good-quality analysis of the different groups within the potential target population, a differentiated approach to reach them, and monitoring of the outreach, beneficiary profiles and the targeting performance. Issues of food security and inclusiveness should be more strongly built into targeting. Second, a more strategic approach to increase intensity of investment (either under a specific project or by creating synergies between projects) in targeted locations should be pursued where possible, to enhance the likelihoods of palpable impact. The latter might involve an agreement on a geographical focus in confined areas (building on experience in Mindanao, Visayas and Cordillera).

Proposed Follow-up: IFAD and the Government agree on the need for good diagnostics of the target group and to monitoring of targeting performance.

This will be founded on a Social, Environmental and Climate Procedures (SECAP) Study, which identifies key vulnerabilities in the country for different potential target groups in future programming. For ongoing projects, the target groups and targeting strategy have been approved by IFAD's Executive Board and the Government. IFAD supervision missions will support Government in assessing outreach and efficacy of targeting.

Opportunities for synergies are regularly reviewed during the IFAD Annual Country Programme Review (ACPoR). At these events, NEDA and government agencies, development partners, NGOs and farmer organisations also discuss operational targets and outreach. Synergies are regularly identified and partnerships established between IFAD-funded loans and grants. To optimise efficiency and maximise returns, synergies between projects will continue to be sought.

IFAD and NEDA do not agree on confining IFAD assistance within a geographic focus. Different interventions, with different outcome targets, should be directed to areas where they are respond best to the needs of their respective target group. Because each geographic zone may have different specificities, focussing different projects into one zone is not certain to maximise impact. Instead, IFAD and NEDA may seek to intensify investments by designing larger-sized projects.

8. **Recommendation 3: Strengthen leverage for policy engagement by improving the quality of knowledge and evidence.** Building on generally good performance in knowledge management, an implementation strategy should be developed to improve the quality of evidence from monitoring and evaluation (M&E) across the portfolio. This could include working more closely with NEDA and the Department of Budget Management in support of the national results-based M&E initiative, and supporting M&E by the implementing line departments as well as LGUs and local stakeholders. Project designs should be accompanied by theories of change and should plan for analytical work and self-assessments. Consideration could be given to identifying and working with an organization to manage M&E and

learning across the portfolio and bring consistency and rigour to evaluation design.

9. The established knowledge management platforms and processes should bring in other development partners and commission a comparative analysis beyond IFAD-supported projects. In addition, the IFAD Country Office should be resourced to increase support to national policy and strategy issues.

Proposed Follow-up: IFAD and the Government agree with this recommendation.

IFAD and NEDA have signed a Memorandum of Understanding (MoU) in 2008 to support collaboration in results monitoring, and IFAD has supported capacity building in NEDA M&E. The MoU will be reviewed to strengthen joint actions on improving the M&E of IFAD supported projects in alignment with government M&E systems. Working with NEDA, IFAD will strengthen the annual KLM-PE event by upgrading it into a more strategic and programmatic platform to build on learnings that can be turned into policy and program proposals. IFAD will explore options to engage a qualified research institute for impact studies of projects ready for scaling up. As part of strengthening knowledge sharing, the platform shall engage both IFAD-supported projects and non-IFAD projects in the country.

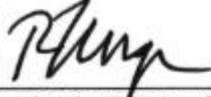
10. **Recommendation 4. Strengthen partnerships with development partners to support the Government.** Good performance to date in working with government agencies, research organizations and civil society should be expanded to other development partners. Relationships with grant recipients with clear potential for value addition and linkages should be mainstreamed in the country strategy.
11. IFAD should work more closely with other multilateral and bilateral development partners in the rural sector to strengthen the exchange of information with the Government. There are opportunities for IFAD to work with other Rome-based UN agencies to provide advice on issues such as food production and food security, gender equality and women's empowerment in agriculture and rural development, and disaster risk reduction. Opportunities should be sought for private sector partnerships that support value chain investments by farmers.

Proposed Follow-up: IFAD and the Government agree with this recommendation.

IFAD will explore options for joint events with NEDA and ADB on selected themes in agriculture and rural development where IFAD can feed its expertise into ADB programming for rural transformation and poverty reduction.

IFAD and NEDA shall continue knowledge exchange with World Bank projects, including the Philippines Rural Development Programme and the Inclusive Partnerships for Agricultural Competitiveness Project. The ICO shall support dissemination of knowledge from regional grants to the Government and partners.

Signed by:



Rolando G. Tungpalan
Undersecretary for Investment Programming
National Economic Development Authority (NEDA)
Government of the Philippines

Date:



Mr. Perin Saint Ange
Associate Vice President, Programme Management Department
International Fund for Agricultural Development
Date:

Main report

Republic of the Philippines Country Strategy and Programme Evaluation

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Currency equivalent, weights and measures

Currency equivalent

Currency unit = Philippine Peso (PHP)
US\$1 = PHP 47 (July 2016)

Weights and measures

Metric system

Abbreviations and acronyms

ADB	Asian Development Bank
ADSDPP	Ancestral domain sustainable development and protection plan
ARB	Agrarian reform beneficiary
ARC	Agrarian reform community
ARMM	Autonomous Region of Muslim Mindanao
BPMET	Barangay Planning, Monitoring and Evaluation Teams
CADC	Certificate of ancestral domain claim
CADT	Certificate of ancestral domain title
CALT	Certificate of ancestral land title
CAR	Cordillera Administrative Region
CARP	Comprehensive Agrarian Reform Program
CHARM1	Cordillera Highland Agricultural Resource Management Project
CHARMP2	Second Cordillera Highland Agricultural Resource Management Project
CIP	International Potato Centre
CIS	Communal irrigation system
CLE	Corporate level evaluation
COMMET	Community-based Operation & Maintenance Monitoring and Evaluation Teams
CONVERGE	Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project
COSOP	Country Strategic Opportunities Programme
CPP	Communist Party of the Philippines
CSPE	Country strategy and programme evaluation
DA	Department of Agriculture
DAR	Department of Agrarian Reform
DENR	Department of Environment and Natural Resources
DTI	Department of Trade and Industry
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FFS	Farmer field school
FishCORAL	Fisheries, Coastal Resources and Livelihood Project

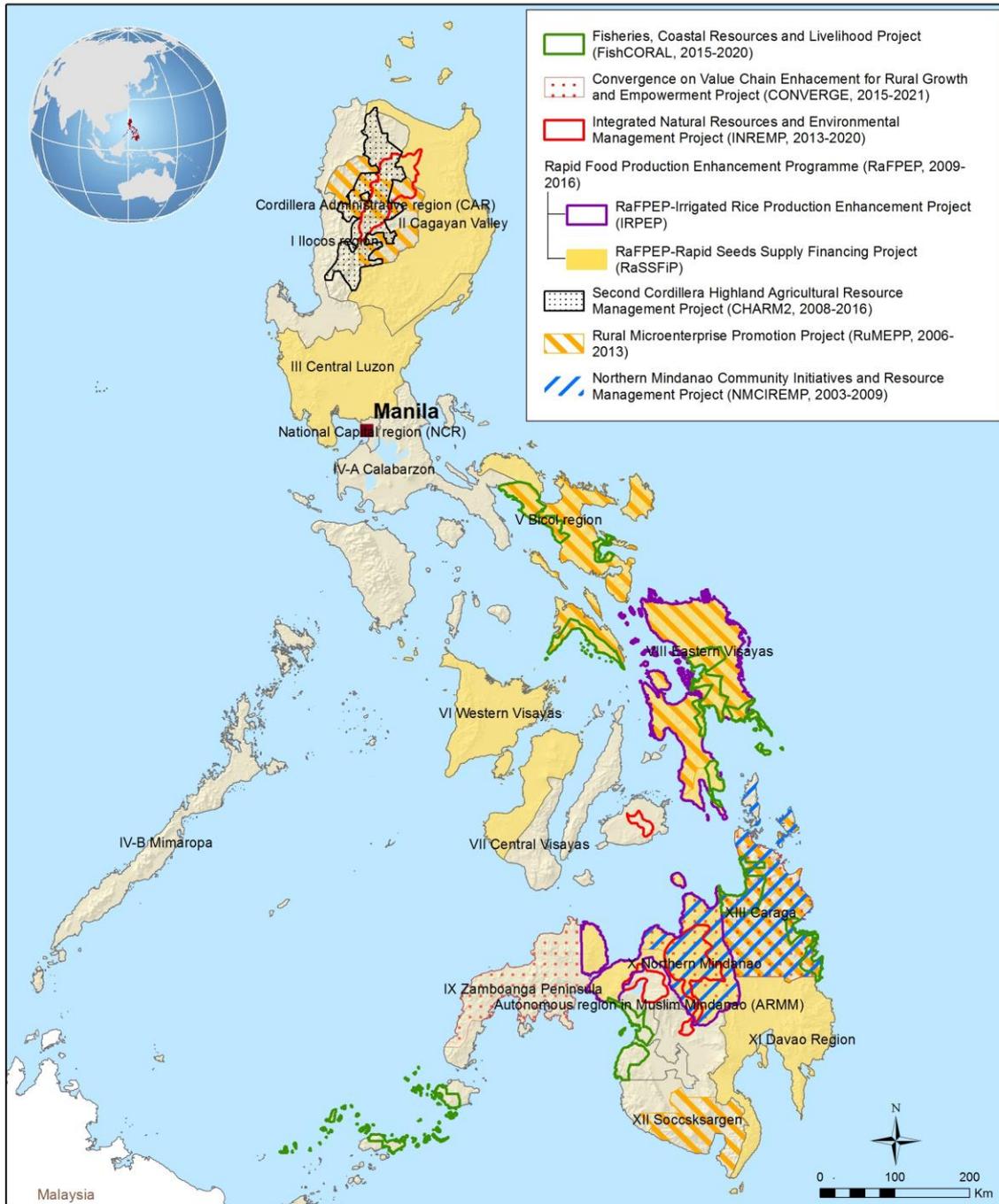
GDI	Gender Development Index
GDP	Gross Domestic Product
GII	Gender Inequality Index
GIZ	German Technical Cooperation Agency
GNI	Gross National Income
HDI	Human Development Index
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IFAD	International Fund for Agricultural Development
INREMP	Integrated Natural Resources and Environmental Management Project
IOE	Independent Office of Evaluation of IFAD
IA	Irrigators' association
IPs	Indigenous peoples
IPRA	Indigenous Peoples' Rights Act
IRPEP	Irrigated Rice Production Enhancement Project
IRRI	International Rice Research Institute
JICA	Japan International Cooperation Agency
LGUs	Local government units
LIGs	Livelihood Investment Groups
M&E	Monitoring and evaluation
MTDP	Medium Term Development Plan (2006-2010)
MILF	Moro Islamic Liberation Front
MNLF	Moro National Liberation Front
MTR	Mid-term reviews
NCIP	National Commission on Indigenous Peoples
NEDA	National Economic and Development Authority
NMCIREMP	Northern Mindanao Community Initiatives and Resource Management Project
NPA	New People's Army
ODA	Official Development Assistance
OECD	Organization for Economic Cooperation and Development
PCR	Project completion report
PDP	Philippine Development Plan
PPE	Project performance evaluation
PSR	Project status report
RaFPEP	Rapid Food Production Enhancement Project
RaSSFIP	Rapid Seed Supply Financing Project
RB-COSOP	Results-based country strategic opportunities programme
RES	Rewards for environmental services
RuMEPP	Rural Microenterprise Promotion Programme
SHGs	Self-help groups
SIGI	Social Institutions and Gender Index
UNDP	United Nations Development Programme
WFP	World Food Programme

Map of IFAD-supported operations covered in the evaluation

Republic of the Philippines

IFAD-funded operations approved after 2000

Country strategy and programme evaluation



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

Map compiled by IFAD | 25-02-2016

Map of IFAD-supported operations in the Republic of the Philippines since 1978



The Philippines



IFAD-funded operations in the 70's and 80's

- Magat River Multipurpose Project Stage II (Irrigation)
- Smallholder Livestock Development Project
- Communal Irrigation Development Project - Nationwide
- Highland Agriculture Development Project

IFAD-funded operations in the 90's

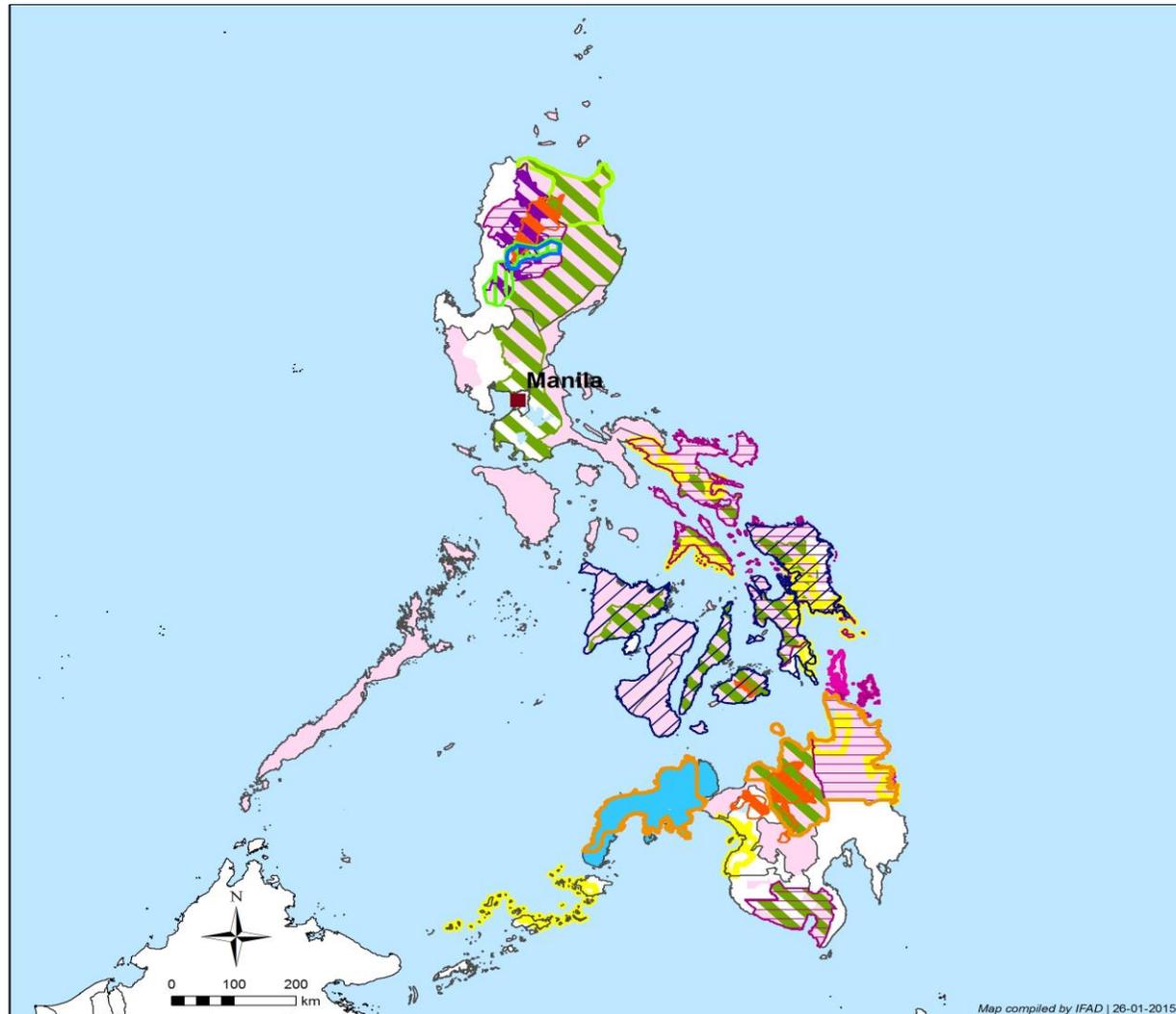
- Visayas Communal Irrigation and Participatory Project
- Cordillera Highland Agricultural Resource Management Project
- Rural Micro-Enterprise Finance Project - Nationwide
- Western Mindanao Community Initiatives Project

IFAD-funded operations in the 2000's

- Northern Mindanao Community Initiatives and Resource Management Project
- Rural Microenterprise Promotion Programme
- Second Cordillera Highland Agricultural Resource Management Project
- Rapid Food Production Enhancement Programme

IFAD-funded operations in the 2010's

- Integrated Natural resources Management Programme
- Convergence on Value Chain Enhancement for Rural Growth and Empowerment - Under Design
- Fisheries, Coastal Resources and Livelihoods Project (FishCORAL) - Under Design



6

Republic of the Philippines

Country Strategy and Programme Evaluation

I. Background

A. Introduction

1. In line with the International Fund for Agricultural Development (IFAD) Evaluation Policy¹ and as approved by the 116th session of the IFAD Executive Board in December 2015,² the Independent Office of Evaluation of IFAD (IOE) undertook the first country strategy and programme evaluation (CSPE) of the Republic of the Philippines in 2016. A CSPE is an evaluation of the results of partnerships between IFAD and the concerned government for reducing rural poverty and promoting inclusive rural transformation.
2. Since 1978 IFAD supported fifteen loan-financed projects in the Philippines for a total project cost of US\$771.5 million. The total amount of IFAD lending to date is US\$243.7 million, out of which this evaluation covers seven IFAD loans in the amount of US\$154 million. Reflecting the economic development of the country, the lending terms for the Philippines have progressed from highly concessional to intermediate, and to ordinary terms. The Philippines is classified as a lower middle-income country.

Table 1

A snapshot of IFAD operations since 1978

<i>Item</i>	<i>Details</i>
Number of loans-funded projects approved	15 (first loan in 1978)
Total amount of IFAD financing	US \$ 243.7 million (US\$241.9 million loans, US\$1.8 million grants)
Counterpart funding (Government, beneficiaries and domestic financial institutions)	US \$ 234.1 million
Co-financing amount	US \$ 293.7 million
Total portfolio cost	US \$ 771.5 million
Co-financers	ADB, EU, FAO, GEF, IBRD, OFID
Country Strategic Opportunities Paper/Programme (COSOP)	1999 and 2009
Country presence in the Philippines	Since 2009. Currently staffed with 1 country programme officer and 1 country programme assistant. Host Country Agreement not signed yet.
Country Programme Managers	Omer Zafar (Jan 2016-), Benoit Thierry (Sep 2014-), Khalid El Harizi (May 2014-), Youqiong Wang (Feb 2011-), Sana Jatta (Apr 2002-)
Main lead implementing agencies	Dept of Agriculture, Dept of Agrarian Reform, Dept of Trade and Industry, Dept of Environment and Natural Resources, National Irrigation Administration, Bureau of Fisheries and Aquatic Resources

B. Objectives, methodology and processes

3. The objectives of this CSPE are to: (i) assess the results and performance of the IFAD-financed strategy and programme; and (ii) generate findings and recommendations for the future partnership between IFAD and the Government of the Philippines for enhanced development effectiveness and rural poverty eradication. The latter is expected to serve as building blocks for formulation of the forthcoming Philippines results-based country strategic opportunities programme

¹ IFAD (2011) Evaluation Policy.

² EB 2015/116/R.2

(RB-COSOP), to be prepared by IFAD and the Government following the completion of the CSPE.

4. **Scope.** The CSPE assesses the results and performance of the partnership between IFAD and the Government pursued under COSOPs 1999 and 2009, while the latter is the main focus of the strategy assessment. The main unit of analysis of CSPEs is the country strategy and programme. The CSPE has a strategic focus building on the assessment of lending and non-lending activities. While recognizing that IFAD's assistance represents only a small segment of government actions in the agriculture and rural development sector, the CSPE seeks to analyse wider issues related to IFAD-government partnership, such as IFAD's strategic positioning in the country in relation to government priorities and the work of other development partners. The CSPE examines IFAD's role in contributing to institutional and policy transformation for better impact in the context of the country's positioning in the regional and global economy currently classified as a lower middle-income country. The evaluation also explores innovative scaling-up approaches to achieve sustainable and inclusive smallholder agriculture development.
5. The CSPE has been coordinated with the ongoing corporate level evaluation (CLE) on IFAD's decentralization experience conducted by IOE. A case study for the Philippines was conducted for the CLE in coordination with the CSPE team and it provided inputs also to this CSPE.
6. As for the **lending portfolio**, the CSPE covers the projects approved after the 1999 COSOP, hence, seven loans that became effective between 2003 and 2015. The loans/projects covered can be grouped as follows: (i) three projects that have been completed (NMCIREMP, RuMEPP, and RaFPEP); (ii) one project that is at an advanced stage of implementation (CHARMP2); and (iii) three projects which have either been delayed in execution or have recently been approved in September 2015: (a) INREMP; (b) CONVERGE and (c) FishCORAL. Table 2 provides basic information and the evaluation criteria covered for each project.

Table 2

Evaluability of projects covered by the 2016 CSPE

<i>Project names [lending terms]</i>	<i>Implementation period</i>	<i>Disbursement rate (Feb 2016)</i>	<i>Evaluation criteria*</i>
Northern Mindanao Community Initiatives and Resource Management Project (NMCIREMP) [HC]	2003-2009	NA	All criteria (project evaluated by IOE earlier)
Rural Microenterprise Promotion Programme (RuMEPP) [HC]	2006-2013	NA	All criteria (evaluated by IOE in 2016)
Second Cordillera Highland Agricultural Resource Management Project (CHARMP2) [HC]	2008-2016	83	All criteria
Rapid Food Production Enhancement Programme (RaFPEP) with two sub-projects [I]	2009-2016	94	All criteria
<i>Rapid Seed Supply Financing Project (RaSSFIP)</i>	<i>2009-2011</i>	<i>NA</i>	
<i>Irrigated Rice Production Enhancement Project (IRPEP)</i>	<i>2009-2015</i>	<i>NA</i>	
Integrated Natural Resources and Environmental Management Project (INREMP) [I]	2013-2020	3	Relevance**
Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project (CONVERGE) [O]	2015-2021	0	Relevance**
Fisheries, Coastal Resources and Livelihood Project (FishCORAL) [O]	2015-2020	0	Relevance**

Lending terms: HC – highly concessional; I – intermediate; O – ordinary

* See annex I to this report for more information on the definition of the evaluation criteria.

** Efficiency will be discussed in relation to project processing and implementation progress so far (the latter only for INREMP) but no rating will be provided.

7. Among these seven loans, RaFPEP presents a peculiar case. This project – or "programme" financed by an IFAD loan with a grant by the European Union (EU) – included two sub-projects: Rapid Seed Supply Financing Project (RaSSFiP) and Irrigated Rice Production Enhancement Project (IRPEP). RaSSFiP was intended for an emergency situation and had a limited implementation period. The two sub-projects were handled separately in supervision and implementation support, and were rated separately in project status reports (PSRs) prepared by the Asia and the Pacific Division (APR). Given the different objectives of these sub-projects, CSPE assessment will also make a distinction between them in assessment and provide separate ratings to arrive at consolidated ratings for the whole programme.
8. Annex V contains a comprehensive list of **grants** under implementation after 2010, including country grants and regional/global grants, which covered the Philippines to varied extent. As per the CSPE approach paper, six grants³ were reviewed closely to inform the assessment of the performance of non-lending activities, and also as part of the assessment of country strategy. These grants were selected in consultation with APR staff responsible for the Philippines country programme with a view to: (i) covering different types of grants (in terms of, for example, recipients, key themes/areas, country vs. regional); and (ii) looking into indications of linkages with the lending portfolio. HARP was selected also because the grant amount is exceptionally high for a country grant with IFAD funding.
9. **Methodology.** The CSPE followed the IFAD Evaluation Policy⁴ and the IFAD IOE Evaluation Manual (second edition 2015). It adopts a set of internationally recognized evaluation criteria and a six-point rating scale (annex I). The approach paper for this CSPE served as a further and specific guidance for the exercise.
10. Given the time and resource constraints, as is normally the case with CSPEs and as indicated in the approach paper, no large-scale quantitative survey was conducted for the CSPE. The evaluation has been undertaken with a combination of a desk review of existing documentation (project documents, data and information generated by the projects, available baseline and impact assessment survey reports, information and periodical reports on the country portfolio, country strategy, various knowledge products, available statistical data, and other reports), interviews and discussions with IFAD staff, relevant stakeholders (implementing agencies and implementing partners), beneficiaries and communities covered in the projects, interviews with key informants, and direct observations in the field. Evidence collected from different sources has been triangulated.
11. The sites for field visits were selected based on prior consultations with project stakeholders and also based on a number of considerations such as coverage of diversities and different contexts balancing with time constraints, overlap of interventions under different projects (loans and grants), and security issues.
12. In general terms, the principles of theory-based evaluation have been applied in an attempt to evaluate plausible causal relationships under the COSOP. At the stage of preparing the approach paper, a schematic theory of change logic model was developed from the text of the 2009 COSOP (see annex VII), supplemented by discussions with country office and project staff. The implicit theory of change in the 2009 COSOP is that direct investment in partnership with the Government of the Philippines, supported by some selected regional grants would deliver innovative programmes targeted at different target groups in poor rural communities. Structured annual programmes of knowledge management and joint programme reviews would provide substantive material for policy dialogue, with the aim of successful investments being scaled up by the government and/or development partners. It is a knowledge-driven partnership strategy with a

³ Three country grants, one to NEDA, HARP, and one to Atikha. Two grants to CGIAR: CURE (IRRI), FoodStart (CIP)

⁴ <http://www.ifad.org/pub/policy/oe.pdf>

discrete set of independent investments. This model was used to help construct specific evaluation questions under the evaluation framework described below.

13. *Evaluation frameworks and key issues.* To guide the CSPE, an evaluation framework was developed as part of the CSPE approach paper. The evaluation questions, mostly derived from the IFAD IOE Evaluation Manual but some also adapted or added, guided data collection. In the context of IFAD's strategy and programme in the Philippines, the following issues were given particular attention for investigation: (i) coherence of the strategy and programme; (ii) delays to implementation process; and (iii) IFAD's role and added value given its small size in official development assistance in the Philippines.
14. **Evaluation process.** The CSPE was conducted in several phases. The preparatory stage involved the preparation of the CSPE approach paper, specifying the evaluation objectives, methodology, process, timelines, and key evaluation questions. Its preparation was informed by a desk review to contextualize the evaluation and the consultations with IFAD and the Government.
15. IOE fielded a CSPE preparatory mission (comprised the IOE lead evaluator and the IOE principal senior consultant) to the Philippines between 27 January and 5 February 2016 to consult with key stakeholders. On 27-28 January 2016, the CSPE team participated in the Annual Country Programme Review Workshop organized by the IFAD country team in Baguio. The participation in this workshop provided an opportunity for the CSPE team to meet with project staff and key stakeholders and to provide a briefing on the evaluation methodology, approach and process. It also served as an opportunity to develop better understanding of the county portfolio and implementation issues, and directly observe the efforts made for self-assessment and knowledge management. In addition to the participation in the Annual Country Programme Review Workshop, the CSPE preparatory mission interacted with key government agencies and development partners.
16. Overlapping the CSPE preparatory mission, IOE also conducted a project performance evaluation (PPE) mission for the Rural Microenterprise Promotion Programme (RuMEPP) in January 2016. The PPE provides an in-depth assessment of one programme that is part of this CSPE.
17. Between the preparatory and the main missions, the following activities were undertaken: (i) preparation of the approach paper, based on the comments on the draft by IFAD and the government; (ii) self-assessment of project performance (by project staff/government) and non-lending activities (by IFAD and the government); and (iii) consultations with project staff on field visits scheduling.
18. The main CSPE mission visited the Philippines from 29 March to 22 April 2016. It started off with a CSPE team meeting and a kick-off meeting convened by the National Economic and Development Authority (NEDA) with participation from relevant agencies in Manila on 29 March 2016. In the periods 30 March to 6 April and 8-15 April 2016, the team travelled to the Cordillera Administrative Region (CAR), Regions X (Northern Mindanao), VI (Western Visayas) and VIII (Eastern Visayas) to interact with project staff, local government officials and staff, service providers and rural community members and to visit project activities. In these four regions, eight provinces⁵ and 21 municipalities were visited. On some days, the team split into two and visited different regions or different areas within the same province. The field visits were mainly to cover two projects at an advanced stage of implementation (CHARMP2 and RaFPEP-IRPEP), also given that the PPE was conducted for RuMEPP prior to the CSPE mission. In Region X (Northern Mindanao), the team also visited some areas and communities that were covered in a project completed in 2009 (NMCIREMP).

⁵ Benguet, Mount Province and Kalinga in CAR, Antique in Region VI, Leyte and Samar in Region VIII, Bukidnon and Misamis Oriental in Region X.

19. On 7 April and during the week of 18 April 2016, the team had various meetings in Manila, including different government agencies, development partners, NGOs and international agricultural research institutions (regional grant recipients). Annex XIII presents a list of people met. The team presented emerging findings at a wrap-up meeting on 21 April 2016, which was chaired by NEDA Deputy Director-General and attended by representatives of relevant agencies.
20. Following the main mission, the team continued with a further documents review and analysis of primary and secondary data obtained, including data from field visits, programme M&E data as well as official statistical data. The resulting draft report was then peer reviewed within IOE. It was thereafter shared with IFAD's Asia and the Pacific Division and the Government of the Philippines. The comments by IFAD and the Government have been taken into account in the final report.
21. **Sources of evidence.** The evidence for this CSPE was derived from multiple sources: (i) loan project-related documentation and records (e.g. project design review records, project design documents, supervision mission reports, mid-term reviews (MTRs), project completion reports (PCRs), M&E data, baseline survey and impact assessment reports where available, project status reports, project-specific knowledge products, loan data); (ii) documentation on selected grant projects (e.g. design reports, supervision reports, grant completion reports); (iii) country programme related documents (e.g. COSOPs, COSOP MTR, annual country programme review workshop reports, knowledge products); (iv) relevant IOE reports (in particular, NMCIREMP project performance assessment, RuMEPP PPE report, but also other evaluations); (v) country background documentation and research studies on relevant issues; (vi) statistical data from the Philippines Statistics Authority or statistics offices of line government departments; (vii) self-assessments; and (viii) findings and observations obtained during field visits, stakeholder meetings and interviews. The data from various sources have been triangulated to inform the CSPE assessment.
22. **Limitations.** In general, the projects have kept fair records on use of funds, activities and outputs. However, the availability and/or the quality of data on outcomes and impacts were found to be weak. The CSPE analysis was hampered by missing data and inconsistent data. Even the data on some basic parameters such as the number of beneficiaries presented uncertainties on their accuracy in some cases and different sources provided inconsistent data. Similarly, where survey reports are available (e.g. baseline, outcome survey, impact assessment), their reliability was also questionable. For example, there were inconsistencies between the results of different surveys for the same project. The CSPE has drawn data and information from different sources to the extent possible (other available data, interviews and discussions and direct observations) to be triangulated with the survey findings to make an informed assessment. When available and accessible, the CSPE also revisited and reviewed the project database and original raw data sets.
23. As is often the case such evaluation, there was a limit to the extent field visits could be undertaken. The geographical areas covered by the projects are large and spread across different islands. Often the project sites are remote and not easily accessible. From the accounts of project staff, it is not uncommon that it requires a couple of hours of walk or even more, a ride in a tricycle, or a boat to get to the project sites, especially those in upland areas (covered in CHARMP2 and NMCIREMP). Furthermore, there were also security concerns, heightened even more just before the election on 9 May 2016. In some cases, the CSPE team had the opportunity to travel to somewhat less accessible areas, but it is acknowledged that there are many other much hard-to-reach places and it was not possible for the team to visit these places. Through discussions with project staff and stakeholders at LGUs, however, the team developed the appreciation about the challenges the project implementers face in day-to-day operations and the

difficulties faced by beneficiaries. In some places it was possible for the CSPE team to meet and interact with stakeholders from these areas in a different location.

Key points

- This is the first CSPE in the Philippines.
- The main purpose of this CSPE is to assess the results and performance of the IFAD-financed strategy and programme, and generate findings and recommendations for the future partnership between IFAD and the Government of the Philippines.
- The CSPE assesses the results and performance of the lending and non-lending activities, the performance of IFAD and the Government.
- Assessment was faced with the challenge of insufficient and inconsistent data, especially about outcomes and impacts. The CSPE team drew data from multiple sources, including revisiting project database and original raw data sets where possible, and triangulate them to inform the assessment.

II. Country context and IFAD's strategy and operations for the CSPE period

A. Country context

Geography, population, economy and political system

24. **Geography.** The Republic of the Philippines is an archipelago of over 7,100 islands with a total land area of 300,000 km², and is located 800 km from the Asian mainland between the islands of Taiwan and Borneo, surrounded by three seas - the Philippines Sea, the South China Sea, and the Celebes Sea. The climate is tropical, temperatures ranging between 21-32°C, with a northeast monsoon in November-April and a southwest monsoon in May-October.
25. Philippines' islands are classified into three main geographical areas – Luzon, Visayas, and Mindanao. With its topography consisting of mountainous terrains, dense forests, plains, and coastal areas, the Philippines is rich in biodiversity. It is considered as one of the mega biodiversity countries in the world with a high percentage of flora and fauna endemism⁶.
26. The country is significantly at risk and vulnerable to extreme weather events exacerbated by climate change. According to the report published in 2015 by the United Nations Economic and Social Commission for Asia and the Pacific⁷, the Philippines was ranked third⁸ on a list of countries most exposed to natural disasters for the past 45 years. About 27.3 per cent of the total land area (8.34 million hectares) is considered to be vulnerable to drought, alternating with floods and typhoons on an annual basis. The country is annually struck by some 10 to 15 typhoons. The super-typhoon Haiyan in November 2013 killed over 6,000 people and displaced approximately four million people.
27. Agriculture, the sector on which two thirds of the poor depend for income and sustenance, is most vulnerable to vagaries of climate and weather.⁹ The Government estimates that between 2006 and 2013 disasters damaged over 6 million hectares of crops, with the total damage and losses in the agriculture sector of US\$3.8 billion, caused by 78 natural disasters (2 droughts, 24 floods, 50 typhoons/tropical storms, 1 earthquake and 1 volcanic eruption).¹⁰
28. **Population.** The population of the Philippines was reported as 99.14 million in 2014, with 55 million living in rural areas (56 per cent of the total population)¹¹. The average annual population growth rate was around 1.6 per cent in 2014¹². According to population projections, the Philippines' population will be 111.78 million by 2020.¹³ Indigenous peoples, recognized by the Philippines Constitution and the Indigenous Peoples' Rights Act (IPRA) of 1997, constitute around 10-15 per cent of the total population of the Philippines and live in 65 of the country's 78 provinces.¹⁴

⁶ United Nations Development Programme (UNDP), *country pages*.

⁷ United Nations Economic and Social Commission for Asia and the Pacific. 2005. *Overview of Natural Disasters and their Impacts in Asia and the Pacific 1970-2014*.

⁸ After Vanuatu and Tonga.

⁹ ADB, *Country Diagnostics Studies Philippines: Critical Development Constraints Economics and Research Department*, 2007.

¹⁰ Food and Agriculture Organization (FAO), *The Impact of Natural Hazards and Disasters on Agriculture and Food Security and Nutrition: A Call for Action to Build Resilient Livelihoods*, May 2015.

¹¹ According to the World Bank (World Development Indicators), total population is based on the de facto definition of population, which counts all residents regardless of legal status or citizenship, except for refugees not permanently settled in the country of asylum, who are generally considered part of the population of their country of origin.

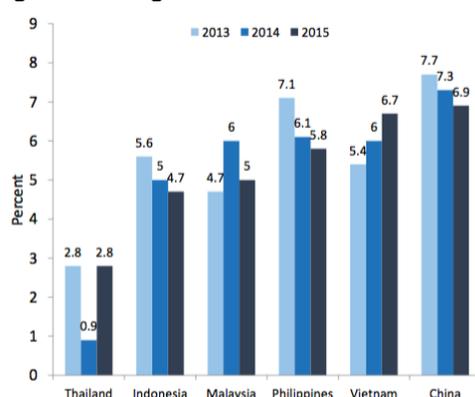
¹² World Bank (WB), World Development Indicators.

¹³ Philippines Statistics Authority population projections.

¹⁴ An unofficial survey conducted by the National Commission on Indigenous Peoples (NCIP) estimates the population of indigenous peoples in the Philippines to be between 12-15 million. Main indigenous groups are collectively known as *Igorot* (northern mountains of Luzon), *Lumad* (southern island of Mindanao) and *Mangyan* (central islands and Luzon). (IFAD, *Country Technical Note on Indigenous Peoples' Issues*, 2005).

29. Filipino is the national language of the Philippines. In addition, there are more than 150 distinct indigenous languages and dialects.¹⁵ The official languages are Filipino and English. The population is predominantly Christian with 82.9 per cent Catholics, 5.4 per cent Protestants and 4.6 per cent Muslim.¹⁶
30. **Economy.** The Philippines is among the fastest-growing economies in Southeast Asia. The country benefits from solid macroeconomic fundamentals, with strong growth, low and stable inflation, healthy current account surpluses, and more-than-adequate international reserves.¹⁷ The Gross Domestic Product (GDP) growth has been relatively strong and stable in recent years (figure 1 and table 3). The services sector has been the main engine of growth (table 3). Within South East Asia, the Philippines has the second value added in services as a percentage of GDP after Singapore.¹⁸ The GDP accounted for US\$284.6 billion in 2014. The GNI per capita in 2014 was US\$3,500,¹⁹ hence the Philippines is classified as a lower middle income country.

Figure 1

Regional GDP growth rates

Source: World Development Indicators (WDI) and Bloomberg

Table 3

Philippines macro-economic indicators between 2008 and 2014

Indicator	2008	2009	2010	2011	2012	2013	2014
GDP growth (annual %)	4.3	1.2	7.6	3.7	6.7	7.1	6.1
GNI per capita, Atlas method (current US\$)	2,240	2,490	2,750	2,640	3,000	3,340	3,500
Agriculture, value added (% of GDP)	13.2	13.1	12.3	12.7	11.8	11.2	11.3
Industry, value added (% of GDP)	32.9	31.7	32.6	31.4	31.3	31.2	31.4
Services, etc., value added (% of GDP)	53.9	55.2	55.1	55.9	56.9	57.6	57.3
Inflation, GDP deflator (annual %)	7.6	2.8	4.2	4.0	2.0	2.1	3.2

Source: World Bank. World Development Indicators.

31. Although the economy of the Philippines has grown at a fast pace over last years, challenges to achieving more inclusive growth remain. Poverty afflicts about a quarter of the population and high rates of structural poverty remain, especially among households depending on agriculture.²⁰

¹⁵ 2000 Census of Population and Housing, conducted by the National Statistics Office.¹⁶ Philippines Statistics Authority.¹⁷ WB, *Philippine Economic Update Moving Full Speed Ahead: Accelerating Reforms to Create More and Better Jobs*, April 2016.¹⁸ Organization for Economic Cooperation and Development (OECD), *OECD Investment Policy Reviews: Philippines 2016, Philippine reform environment: Successes and challenges*.¹⁹ World Bank, World Development Indicators.²⁰ World Bank 2016.

32. In terms of employment, the Philippines faces greater labour market challenges than its peers. The unemployment rate in the Philippines at around or above 7 per cent is higher than in the rest of ASEAN-5 countries.²¹
33. South-East Asia is the world's most dynamic and diverse remittance market, with almost 13 million migrants living abroad. The Philippines ranks as the third biggest recipient of remittances in the world, having received US\$24.3 billion (over 10 per cent of GDP) in 2012, and accounts for over half of all remittances to South-East Asia. Personal remittances represented 9.8 per cent of GDP in 2013.²² The Commission on Filipinos Overseas estimated that as of December 2012, there were 10.49 million Filipinos overseas.²³
34. **Public sector finance.** The fiscal health of the country has improved significantly over the past decade as a result of strong revenue collection, supported by the reforms of the value added tax and restrained spending. The main focus of public investment is on social services (e.g. health, education, social welfare). Agriculture and fisheries spending as part of total public increased more than twofold during 1998-2005, totalling PHP 47 billion in 2005.²⁴ A positive trend was also observed in recent years, with public expenditures for the sector increasing from 2.7 per cent in 2011 to 4.6 per cent in 2013.²⁵ In 2015, PHP 89.1 billion went towards boosting agricultural production projects under the Department of Agriculture (DA) and its attached agencies.
35. **Political system.** According to the 1987 constitution, the Philippines is a unitary presidential constitutional republic, with the President of the Philippines acting as the Head of State and the Head of Government, and functioning as the Commander-in-Chief of the Armed Forces. The President is elected by direct vote by people for a term of six years and may only serve for one term. The general elections were held on 9 May 2016 and the new administration took office on 1 July 2016.

Agriculture

36. Despite the declining share in GDP²⁶, agriculture remains important for the country. In 2014 it accounted for 11.3 per cent of the national GDP and nearly 30 per cent of employment.²⁷ The total agricultural land area constitutes 42.7 per cent of the country's total land area.²⁸ Three-quarters of the cultivated area is devoted to subsistence crops and one-quarter to commercial crops, mainly for export.
37. **Crop, livestock/poultry and fishery subsectors.** It was reported in 2014 that the crop subsector contributed 51.7 per cent of total agricultural production followed by fisheries (17.7 per cent), livestock (16.1 per cent) and poultry (14.5 per cent).²⁹ Main crops in order of value of production are: palay (paddy), banana, corn, coconut, sugarcane, mango, cassava, rubber and pineapple. The Philippines is among the top producers of tropical fruit products in the world.³⁰
38. Livestock production is undertaken mainly by subsistence or small-scale producers for domestic markets. The fishery sub-sector is largely export-oriented with

²¹ Indonesia, Malaysia, Singapore and Thailand. OECD, *Economic Outlook for Southeast Asia, China and India 2016: Enhancing Regional Ties*, 2016.

²² Ibid.

²³ According to the Commission on Filipinos Overseas (2014), 4.93 million or 47 per cent of which are permanent migrants, 4.22 million or 40 per cent are temporary migrants and 1.34 million or 13 per cent are irregular migrants.

²⁴ World Bank, *Technical Working Paper: Philippines: Agriculture Public Expenditure Review*, 2007.

²⁵ Department of Budget and Management of the Republic of the Philippines, *Sectoral distribution of Public Expenditures 2011-2013*.

²⁶ According to the World Bank, the share of agriculture GDP declined from 22 per cent in 1995 to 14 per cent in 2000.

²⁷ World Bank, World Development Indicators.

²⁸ Ibid.

²⁹ Philippines Department of Agriculture, *Annual Report 2014*.

³⁰ Its share of the world's banana production was about 8 per cent in 2004, following only Thailand (24 per cent) and Brazil (9 per cent). It also accounts for 11 per cent of world production of pineapples. World Bank, *Philippines Agriculture: Public Expenditure Review*, 2007

products such as tuna, shrimps and prawns being among the top ten agricultural exports. At the same time, there are also many Filipinos dependent on fishing as a source of food and livelihoods, and poverty persists among these small-scale/marginal fisher folks. The sector is faced with complex problems (e.g. low coastal productivity, habitat and watershed degradation, illegal fishing practices, overfishing, lack of access to basic services) that threaten its resource base.

39. **Forestry subsector.** Forest cover was estimated in 2003 at about 7.2 million ha, or only 41 per cent of the amount of classified forest land. With an average reforestation rate of just 18,000 ha per year, increasing the density of forest cover remains a concern.³¹ The continuing degradation of forests also contributes to low crop yields and the low rate of land utilization for agriculture, as it results in an inadequate water supply during the dry season and exacerbates damage to crops, fisheries, and rural infrastructure as a result of typhoons and increasing flooding during the wet season.
40. **Agricultural exports and imports.** Philippine agricultural exports used to play a prominent role in the economy by providing foreign exchange earnings and additional economic activities. However, with the increasing importance of non-traditional manufactured exports and the rapid growth of the service and industrial sectors, the share of agricultural exports to the country's GDP has reduced from 6 per cent in 1980 to 2 per cent in 2010, and from an exporter, the Philippines became a net importer of agricultural products. Top agriculture and fisheries exports include coconut oil (15 per cent), banana (14 per cent), tuna (11 per cent), pineapple and products (7 per cent).³² The trade integration in the Association of Southeast Asian Nation (ASEAN) will have important implication on Philippines agricultural sector, with increasing competition from other countries for certain commodities.
41. **Farms size.** Philippine agriculture is mainly characterized by growing traditional crops on small family-owned farms. The 2012 Census of Agriculture³³ reported 5.56 million farms/holdings covering 7.19 million hectares, hence an average area of 1.29 hectares per farm/holding. About 98 percent of the total farms/holdings in the country in 2012 had size of 7 hectares and below. Of these, three in every five farms/holdings were below 1 hectare with an average area of 0.28 hectare per farm/holding. The decrease in total farm area is attributed to gradual conversion of farmlands to residential and commercial use. The land distribution exercise undertaken under the Comprehensive Agrarian Reform Program (CARP) by the Government since 1993 also affected the decline in average farm size.

Poverty

42. It was estimated that 25.2 per cent of population lived below the national poverty line in 2012.³⁴ The same was reported as 26.6 per cent in 2006 and 26.3 per cent in 2009.³⁵ Although the proportion of poor families has been fairly constant between 2006 and 2012, due to the growing population, the number of poor families has risen from 3.8 million in 2006 to 4.2 million in 2012.³⁶ The proportion of Filipinos whose incomes fall below the food threshold (referred to as extreme poverty), was estimated at 10.5 per cent in the first semester of 2014.³⁷ It has been noted that economic growth in the recent years has not been translated into

³¹ Asian Development Bank (ADB), *Country Operations Business Plan: Philippines 2013-2015*.

³² 2013 national statistics, <http://countrystat.psa.gov.ph/?cont=3> (accessed February 2016).

³³ Philippines Statistics Authority, *Special Report - Highlights Of The 2012 Census Of Agriculture*, 2012.

³⁴ Philippines Development Plan 2011-2016, Mid-Term Update (2014)

³⁵ 2012 Full Year Official Poverty Statistics, National Statistical Coordination Board, 2013

³⁶ 2012 Full Year Official Poverty Statistics, National Statistical Coordination Board, 2013

³⁷ Philippines Statistics Authority website. Accessed in February 2016.

- poverty reduction in a significant way.³⁸ Relative to other countries in the region, the Philippines is considered to be lagging behind in poverty reduction efforts.³⁹
43. Furthermore, the most recent data on Gini coefficient (0.43) reveals high income inequality, suggesting that the economic growth has not been broad-based. This income disparity is one of the highest in Asia.⁴⁰ Inequality exists also within the country, with over 60 per cent of economic growth concentrated in only three administrative regions (National Capital Region, Central Luzon and Calabarzon).⁴¹
 44. Beyond income poverty, the rate of multidimensional poverty⁴² was estimated to be 28.2 per cent in 2008. Disaggregating this number, deprivation is mainly characterised by deprivation in services, followed by deprivation in health.⁴³
 45. Though a lower middle-income country, the Philippines has a food deficit, which is exacerbated by the combined effects of natural and man-made disasters and armed conflict. According to the 2015 Global Hunger Index, the food and nutrition situation in the Philippines is 'serious' despite steady improvements since the 1990s, positioning the country at 53 out of 104 countries. Prevalence of under-nutrition remains an issue of public concern.⁴⁴
 46. **Poverty in rural areas** is significantly higher (39.4 per cent) compared to urban areas (13.2 per cent), although urban poverty is also on the rise.⁴⁵ Proportion of people living in poverty among fishermen and farmers has been consistently much higher than the average.⁴⁶ Indigenous peoples, constituting 10-15 per cent of the country total population, are also considered to be among the poorest and most marginalised. In general, poverty is higher in regions where indigenous peoples are found or concentrated, in particular, Mindanao and Cordillera (in Luzon).⁴⁷
 47. The Philippines rural economy has been characterized by relatively poor performance of the agriculture sector. Factors include poorly developed infrastructure for transport⁴⁸, a decline in the productivity and profitability of farming, smaller farm sizes, and degradation of natural resources. Access to improved agricultural technologies has been constrained by a weak extension system and high costs of inputs. Value chains for many commodities are under-developed, while product standards and quality systems have been ineffectively regulated. The result has been an under-investment by the private sector in agriculture.
 48. Recurrent shocks and risks such as economic and frequent natural disasters, economic crisis and conflict are also factors for persistent poverty and inequality.

³⁸ ADB, *Poverty in the Philippines: Causes, Constraints, and Opportunities*, 2009. World Bank, *Country Partnership Strategy for the Republic of the Philippines (2015-2018)*, 2014.

³⁹ With reference to the Millennium Development Goal of halving the poverty rate between 1990 and 2015, the Philippines has achieved a reduction of 38 per cent, compared to China of 80 per cent, Indonesia of 66 per cent, and Viet Nam of 73 per cent.

⁴⁰ For example, 0.38 in Indonesia, 0.36 in Viet Nam, while 0.42 for China (UNDP, *Human Development Report 2014*).

⁴¹ *Ibid.*

⁴² The Multidimensional Policy Index (MPI) identifies poor and non-poor population based on the number of deprivations a person experiences with respect to education, health and living standards. The index, just like the Human Development Index (HDI), uses three broad dimensions of education, health and living standards.

⁴³ National Economic and Development Authority (NEDA), *Philippine Development Plan 2011-2016, Mid-Term Update*.

⁴⁴ World Food Programme (WFP), *Country Brief*, March 2016.

⁴⁵ WB 2014; ADB 2009.

⁴⁶ 39.2 per cent (fishermen) and 38.3 per cent (farmers) compared to the national average of 25.2 per cent in 2012.

National Statistical Coordination Board, press release "[Fishermen, Farmers and Children remain the poorest basic sectors](#)".

⁴⁷ IFAD, *Country Technical Note on Indigenous Peoples' Issues*, 2005.

⁴⁸ Particularly roads, port facilities and inter-island shipping. About half of rural villages in the country lack all-weather access to the main transport system. Out of the overall road network of 196,686 km, gravel roads make up about 52 per cent, while 31 per cent are earth roads. Only some 17 per cent of the 121,442 km local (*barangay*) road network is paved. According to the World Economic Forum, in 2010 the quality of the Philippines' infrastructure ranked at the lower end among the ASEAN-5, especially as regards transport.

49. A study by the World Bank published in 2009⁴⁹ pointed out that while agriculture had significant roles to play in rural poverty reduction, its relative importance had reduced substantially over the past few decades and the relative role of non-agricultural and non-farm sectors grew. It suggested that the 'pathways' out of rural poverty diversified and that agricultural growth might not always be the primary engine of rural poverty reduction in some areas.
50. Despite persistent poverty, the Philippines has fared relatively well in **Human Development Index** (HDI), particularly in comparison to other Southeast Asian nations. It is classified as medium-HDI country and was ranked 117th out of 187 countries and territories in 2013.⁵⁰ In general, the HDI for the Philippines registered steady increase over the years. The HDI of 0.660 in 2013 is above the average of 0.614 for countries in the medium human development group but below the average of 0.703 for countries in East Asia and the Pacific.
51. **Gender-related indicators** for the Philippines are overall favourable, although the ranking of the country varies greatly depending on the source and indicators. With regard to the Global Gender Gap, it was ranked 7th out of 145 countries (the region's highest).⁵¹ The 2014 Gender Development Index (GDI)⁵² gives the country a score of 0.977, indicating high equality in HDI achievements between women and men (0.649 and 0.664). The Social Institutions and Gender Index (SIGI)⁵³, which measures gender-based discrimination in social norms places the Philippines among countries with a medium level of discrimination in social institutions, ranked 58th out of 160 countries.
52. Despite relatively favourable situation and the gains achieved in the last years, women in the Philippines still face marginalization and situations of disadvantage, particularly in the world of work⁵⁴: female participation in the labour market in 2014 is 51.1 percent compared to 79.7 for men.⁵⁵

Policy, legislative and institutional framework

53. Over the past two decades, the Government of the Philippines has put poverty reduction as one of its highest priorities. The **Philippine Development Plan (PDP)** 2011-2016 (updated in 2014) adopts a framework of inclusive growth, with good governance and anticorruption as the overarching theme of each and every intervention. The strategic objectives of the PDP are: (i) attaining a sustained and high rate of economic growth that provides productive employment opportunities; (ii) equalizing access to development opportunities for all Filipinos; and (iii) implementing effective social safety nets to protect and enable those who do not have the capability to participate in the economic growth process.
54. The Plan sets out a strategy for the agriculture sector, with three distinct goals: (i) improved food security and increased rural incomes; (ii) increased sector resilience to climate change risks; and (iii) enhanced policy environment and governance. One of the priorities of the Government in the sector has been self-

⁴⁹ World Bank. 2009. Technical Working Paper: Land Reform, Rural Development and Poverty in the Philippines: Revising the Agenda.

⁵⁰ UNDP, *Human Development Report*, 2014.

⁵¹ The Global Gender Gap Index examines the gap between men and women in four fundamental categories: Economic Participation and Opportunity, Educational Attainment, Health and Survival and Political Empowerment. World Economic Forum, *Global Gender Gap Report*, 2015. The score is particularly high the categories of "educational attainment" and "health and survival". The country was found less performing in the "economic participation and opportunity" category (e.g. in terms of labour force participation and estimated earned income)

⁵² In the 2014 HDR, a new measure was introduced, the GDI, based on the sex-disaggregated HDI, defined as a ratio of the female to the male HDI. The GDI measures gender inequalities in achievement in three basic dimensions of human development: health, education; and command over economic resources. The closer the ratio is to 1, the smaller the gap between women and men.

⁵³ OECD, SIGI 2014. The SIGI covers five dimensions of discriminatory social institutions, spanning major socio-economic areas that affect women's lives: discriminatory family code, restricted physical integrity, son bias, restricted resources and assets, and restricted civil liberties. The SIGI's variables quantify discriminatory social institutions such as unequal inheritance rights, early marriage, violence against women, and unequal land and property rights.

⁵⁴ International Labour Organization, *Gender Equality in the Philippines*, 2014.

⁵⁵ UNDP, 2014.

sufficiency of food staples, in particular of rice.⁵⁶ Based on the sector under-performance in the period 2011-2013, the 2014 revised PDP strategies for the sector particularly focus on increasing productivity, forward linkage with the industry and services sectors, resilience to risks, including climate change.

55. Key sectoral policy framework include the following (see also annex VI):
- **Comprehensive Agrarian Reform Programme (CARP).** Initiated in 1988, the CARP aims to redistribute private and public agricultural lands to farmers and farmworkers who are landless for an equitable land ownership. Agrarian reform beneficiaries have been among the main target group for IFAD support.
 - **The Agriculture and Fisheries Modernisation Act** is a comprehensive legislation that provides blueprint for the sector's modernization and rural development.
 - **The Indigenous Peoples Rights Act (IPRA)** is a landmark legislation, which entered into force in 1997 to recognize, protect and promote the rights of indigenous peoples. The National Commission on Indigenous Peoples (NCIP) was created to establish implementing mechanisms and appropriate funds.
56. As an overarching umbrella, **the National Convergence Initiative (NCI)** aims to rationalise and improve the provision of agricultural services to farmers and provide a more broad-based approach to reduce rural poverty. The Government is pursuing the NCI to maximize resources available and synchronize the initiatives of the three departments engaged in rural development: Department of Agrarian Reform (DAR), DA and the Department of Environment and Natural Resources (DENR).
57. **The Local Government Code** was enacted in 1991 to "provide for a more responsive and accountable local government structure".⁵⁷ Administratively, the country is composed of local government units (LGUs) and one autonomous region, the Autonomous Region of Muslim Mindanao.⁵⁸ LGUs are divided into three levels: provinces, cities and municipalities, and barangays, the smallest political unit. Each level of LGU is headed by an elected chief executive (governor, mayor, or barangay captain) and has a legislative body or Sanggunian (composed of an elected vice-governor/vice-mayor and council members). As of June 2015 the Philippines is organised in 81 provinces, 144 cities, 1,490 municipalities and 42,029 barangays.⁵⁹
58. Under the Local Government Code, many functions in the agricultural sector have been devolved from the DA to LGUs, and similar devolution took place in other Government agencies. LGUs are responsible for expenditures which used to be those of the DA and other national agencies. For instance, the provision of extension services at the provincial and municipal level is currently under responsibility of LGUs.
59. The key **technical departments** involved in the agricultural and rural development are the DA (and its attached agencies⁶⁰), DAR, DENR, and the Department of Trade and Industry (DTI). The key **national oversight agencies** that IFAD has worked with are the National Economic Development Authority

⁵⁶ Around 70 per cent of the operating expenses of the Department of Agriculture was for the crop-sector (between 2010 and 2012), and about 60 per cent of the operating expenses for the crop sub-sector was for rice programmes. (Aquino et al. 2013)

⁵⁷ The Constitutions of the Republic of the Philippines.

⁵⁸ This is an autonomous region of the Philippines, located in the Mindanao island group, which comprises five predominantly Muslim provinces and cities: the provinces of Basilan, Lanao del Sur, Maguindanao, Sulu and Tawi-Tawi, and the cities of Marawi and Lamitan. It was created by virtue of the Republic Act No. 6734 which signed into Law by the Late President Cory C. Aquino in 1989.

⁵⁹ Philippines Statistics Authority.

⁶⁰ Attached agencies include: Agricultural Credit Policy Council, Bureau of Fisheries and Aquatic Resources, Cotton Development Administration, Fertilizer and Pesticide Authority, Philippine Fiber Industry Development Authority, Livestock Development Council, National Agricultural and Fishery Council, National Meat Inspection Service, Philippine Carabao Center, Philippine Center for Postharvest Development & Mechanization, Regional Offices.

(NEDA), the Department of Finance, the Department of Budget Management, the Commission of Audit, and the National Anti-Poverty Commission.

Governance and conflict

60. **Corruption and transparency.** Corruption is often cited as one of the major hindrances to development in the Philippines. The 2012 Conference of the States Parties to the United Nations Convention against Corruption indicated that the Philippines's regime is only partially in compliance with the standards and principles of the Convention. While a couple of laws have been adopted to implement the Convention, many areas still remain to be regulated in more detail. Enforcement of existing legislation was also found insufficient.⁶¹
61. In 2015, the Philippines ranked 95th among 168 countries in the Corruption Perceptions Index⁶² released by Berlin-based Transparency International. The country's ranking in 2015 declined from 2014 (85th) but notably improved from 2010 (134th). In fact, in the Southeast Asian region, the Philippines's ranking is better than the majority of the countries.⁶³
62. The Government has instituted reforms that are expected to allow for more transparency in its operations and in the use of public funds. Websites of Government agencies have been mandated to feature appropriated budget, public offerings, and project implementations status, for public access and scrutiny. The Department of Budget and Management has likewise built online infrastructure that provides citizens the opportunity to monitor the disbursement of public funds.
63. **Fragility and Conflict.** The Philippines has suffered ideological and territorial conflicts for the past 40 years, particularly from the Moro separatist movement in southern Philippines (Mindanao) and the communist insurgency more generalized throughout the country.
64. For over four decades, Mindanao has been the scene of armed conflict between the Philippine Government and the separatist groups known as the Moro National Liberation Front (MNLF) and the Moro Islamic Liberation Front (MILF). Overall, although religious differences have partly shaped the conflict, the roots of the conflict have been the clash of interests in land and other natural resources.⁶⁴ This long-running conflict has seen the destruction of private property and social infrastructure, resulting in the deterioration of living standards and the country's highest level of poverty. Between 2000 and 2010, over 40 percent of families in Mindanao were displaced at least once as a result of the conflict.⁶⁵
65. In 2012 the Government of the Philippines and MILF signed the Framework Agreement on the Bangsamoro⁶⁶, which outlines the process of transition from the Autonomous Region of Muslim Mindanao to a new Bangsamoro autonomous political entity. A peace agreement was further signed in 2014 (Comprehensive Agreement on the Bangsamoro), paving the way for the Bangsamoro autonomous political entity.
66. The Communist Party of the Philippines (CPP) and its New People's Army (NPA) launched their armed struggle against the Philippine Government in 1968. The insurgency waged by the NPA over the years is reported to be one of the deadliest in the Philippines. The group is listed on the Foreign Terrorist Organisation list of

⁶¹ *UN Convention Against Corruption Civil Society Review: Philippines, 2012.*

⁶² The index measures the perceived levels of public sector corruption around the world, scoring zero for most corrupt territories and 100 for least corrupt countries. It is a composite index, drawing on corruption-related data from expert and business surveys carried out by a variety of independent and reputable institutions.

⁶³ The countries in the region ranked higher than the Philippines are: Malaysia (54th), Thailand (76th) and Indonesia (88th). Transparency International, corruption by county. http://www.transparency.org/country/%20-%20PHL_DataResearch_SurveysIndices#TLS

⁶⁴ World Bank, *The Mindanao Conflict in the Philippines: Roots, Costs, and Potential Peace Dividend*, Paper 24, February 2005

⁶⁵ World Food Programme.

⁶⁶ Framework Agreement on the Bangsamoro.

the US State Department. Talks between the CPP's political arm and the Government have been sporadic over the years. The most recent high-profile formal talks between the Government and the CPP were in Oslo in 2011. However, an agreement has yet to be reached.

67. Apart from the MNLF and the MILF, and the NPA, the peace and security in Mindanao, particularly in the Southern part, is complicated by the emergence of non-ideological armed groups. Prominent of these groups is the Abu Sayyaf Group, with leaders who split from the MNLF in early 1990s, that has engaged in kidnappings for ransom, bombings, assassinations and extortions.

Official Development Assistance (ODA)

68. NEDA reported that the Philippines' ODA portfolio in 2015 totalled US\$15.71 billion (81 per cent in loans). The share of the agriculture, agrarian reform and natural resources sector in the ODA portfolio was 12 per cent for loans and 18 per cent in grants. IFAD share was 7.2 per cent of the loan portfolio in the agriculture, agrarian reform and natural resources sector and 5.3 per cent of the combined portfolio of loans and grants in the sector.

Table 4

ODA portfolio (loans and grants)

	<i>Number</i>	<i>Amount (US\$ mill)</i>	<i>Main development partners</i>	<i>Amount – AARNR sector (US\$ mill)</i>	<i>AARNR sector - % of total loan or grant</i>
Loans	73	12 661	Japan (43%), World Bank (27%), ADB (25%)	1 522	12
Grants	460	3 051	USA (42%), Australia (19%), UN (12%), EU (8%)	550	18
Total	--	15.71	Japan (35%), World Bank (22%), ADB (21%), USA (8%)	2 072	13

Source: NEDA, 2015. ODA Portfolio Review Report.

AARNR = Agriculture, agrarian reform and natural resource sector

69. In 2015, the Japan International Cooperation Agency (JICA) had the biggest share in the loans portfolio with US\$5.39 billion for 25 loans, followed by the World Bank (US\$3.38 billion) and the Asian Development Bank (ADB, US\$3.17 billion). Total assistance from the World Bank, JICA, and ADB constitutes 94.3 per cent (US\$11.94 billion) of the loans portfolio.
70. Infrastructure sector has the largest share of the loans portfolio, followed by the social reform and community development, governance and institution development, agriculture, natural resources and agrarian reform, and industry, trade and tourism.
71. In terms of regional distribution (2015), the largest share of ODA targeted Luzon (45 per cent share of loans and grants), followed by Visayas (33 per cent) and Mindanao (22 per cent).⁶⁷ The ODA share in Mindanao has seen an increase in the last years. Of the US\$4.1 billion country's ODA commitments in 2009 that were not nationwide or multiregional in coverage, Mindanao accounted for only 11 per cent. ODA commitment was then heavily skewed in favour of Luzon with its share of 81 per cent.⁶⁸
72. In 2013, the Government adopted a policy of reviewing and appraising development project proposals based on technical and financial merits first, separate from consideration of possible lenders/development partners. It is only when ODA is determined to be the appropriate source of financing that the Government (Department of Finance, NEDA, Department of Budget Management and relevant technical agency) are to lead exploratory discussions with potential development partners having the required foreign expertise/technology, while also

⁶⁷ NEDA, *ODA Portfolio Review Report*, 2015. Computed from table 2.11 on Regional Distribution.

⁶⁸ NEDA, *Mindanao Strategic Development Framework 2010-2020*.

taking into consideration the development partners' capacity to meet target implementation schedules, and the terms and conditions in financing the project.⁶⁹

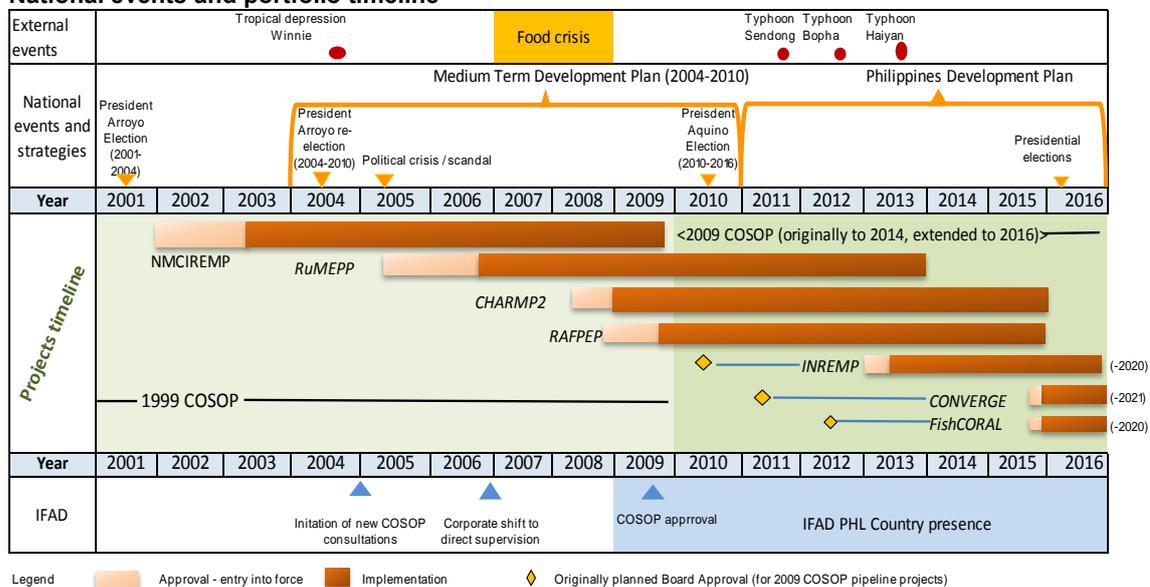
B. IFAD's strategy and operations for the CSPE period

Overview of IFAD operations

73. Figure below provides the timeline related to IFAD loans that are covered in this evaluation and key events.

Figure 2

National events and portfolio timeline



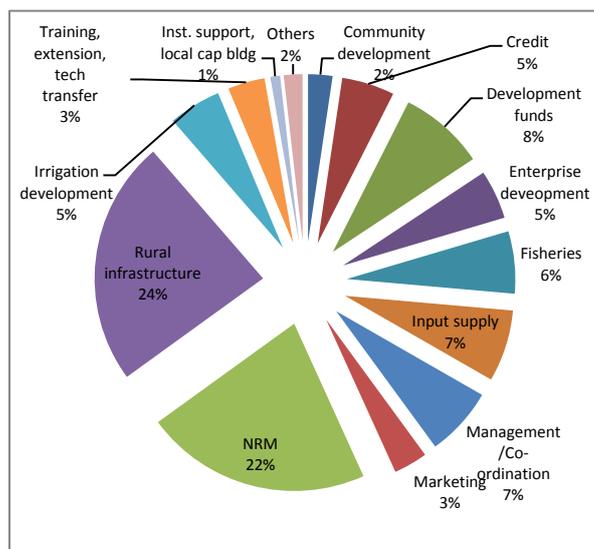
74. **Lending portfolio.** The main sub-sectors and focus of seven loan-financed projects covered in this CSPE include: community development, agriculture, natural resource management, micro/rural finance and enterprise, irrigation development, rural infrastructure, marketing and value chain development. The latest project (FishCORAL) is the first entry in the fisheries sub-sector, even though there were some earlier projects with fisheries and coastal management activities as part of community based natural resource management.
75. Figure 3 shows the total project costs (US\$401 million) by sub-component types⁷⁰ and figure 4 only the IFAD financing (US\$ 153 million) plus EU grant (for RaFPEP) by categories. A couple of points are noted. First, either as a total of project costs or IFAD financing, the proportion of cost for project management or recurrent costs is relatively small. Second, the large proportion of investment on NRM (figure 3) has been due to INREMP and especially the large co-financing by ADB.
76. Projects have been a mixture of area-based ones with multi-sectoral components to be driven by participatory development planning processes (in Cordillera and Mindanao), and those with wide geographical coverage with sectoral focus (e.g. microenterprise, rural finance, irrigation development).
77. According to the IFAD's performance-based allocation system, the resource envelope for the Philippines in the period 2016-2018 is US\$79 million, the 6th in the Asia and the Pacific region in terms of the volume, after China, India, Bangladesh, Pakistan and Viet Nam, and about 7.7 per cent of the total allocation for the region.

⁶⁹ Government of the Philippines. Memorandum dated 17 February 2013 by the Investment Coordination Committee titled "Proposed Revisions on Investment Coordination Committee Review/Evaluation Procedures and Parameters (Evaluating Proposals Separate from Source of Financing)".

⁷⁰ Based on the IFAD database – Grants and Investment Projects System (GRIPS). Sub-component types defined therein were further grouped by the CSPE team in order not to have too many types. For example, "irrigation infrastructure" and "irrigation management" were both labelled under "irrigation development".

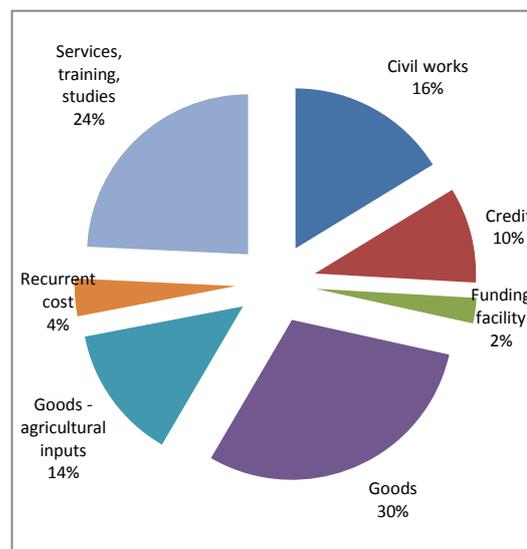
The financing amount in the active portfolio increased significantly in 2015 with the approval of two projects with the IFAD financing of US\$54 million.

Figure 3
Total project financing by sub-component types for seven projects covered in CSPE



Source: IFAD database

Figure 4
IFAD financing by category types for seven projects covered in CSPE



Source: Financing agreements and amendments
Note: Original loan/grant categories were grouped by the CSPE team

78. The IFAD portfolio in the Philippines in the initial period had a very high proportion of projects initiated by other major financiers (ADB or the World Bank⁷¹) compared to its portfolios in other countries in the region. Co-financing and supervision as cooperating institution by ADB or the World Bank used to be the predominant modality of IFAD operations up to around 2000, but since then IFAD has had more projects without co-financing by other international financial institutions and has also engaged in direct supervision, in line with the shift in the corporate policy on supervision. In the active portfolio, INREMP is the only project with significant co-financing by ADB, which is also responsible for supervision.
79. The diversity of government agency partners in the loan-financed projects is a notable point in the IFAD portfolio in the Philippines. They include: DA, DAR, DTI, National Irrigation Administration (NIA), National Food Authority, Bureau of Fisheries and Aquatic Resources, NCIP, National Anti-Poverty Commission, NEDA, Department of Budget Management, Department of Finance and Commission of Audit.
80. **Grants.** IFAD has provided grants to co-finance loans and financed country-specific and regional grants which include the Philippines as a benefiting country (see annex V for a list of grants under implementation after 2010). Among seven loan-financed projects approved after 2000, three included grants through IFAD as an integral part of the project design and financing agreements with the Government. Of these three, a sizable grant for RaFPEP came from the EU (US\$13 million) at the time of food crisis in 2008.
81. The country specific grants not associated with loans since 2010 included a particular case approved by the Executive Board in 2014 in response to Typhoon Haiyan with an exceptionally large amount over US\$4 million. Other country-

⁷¹ International Bank for Reconstruction and Development, IBRD. Out of six projects approved before 1995, only one was initiated by IFAD.

specific grants include those to Government agencies⁷² as well as non-governmental organizations and academic institutions.⁷³

82. Regional grants have included those with international agricultural research institutions (i.e. CIP, ICRAF, ICRISAT, IRRI⁷⁴) relating to particular types of agricultural commodities or agricultural technologies, involving research and development, as well as region-wide support to strengthening farmer organizations (covering the Philippines and also with the main grant recipient located in the Philippines), grants to non-governmental organizations with a focus on remittances.

IFAD country strategy in the Philippines

83. IFAD has prepared two COSOPs, the first one in 1999, and after an extended period, in 2009. The preparation of the 2009 COSOP was based on "a lengthy participatory process"⁷⁵, which started in 2004. The 2009 COSOP was supposed to cover the period 2010-2014, but its mid-term review (MTR) in 2012 proposed an extension up to 2016 in order to have a "greater chance of achieving the strategic objectives" given the slow progress in the portfolio, as well as to align the COSOP completion date with the end of the PDP period (2011-2016). At the MTR, revisions were also made in the results management framework (see annex VIII).
84. The strategic thrusts in both COSOPs largely remained similar, in terms of the main target group (i.e. upland dwellers/indigenous peoples, agrarian reform beneficiaries, fisher folks), intervention sub-sectors/areas (natural resource management, micro/rural finance, microenterprise and agri-business development community development, coastal management), as well as cross-cutting issues identified (i.e. local capacity building, decentralization, resilience to shocks, etc.). But the geographic focus was somewhat broadened. The formats of these two COSOPs are different but key elements of both documents can be discerned and summarized in table 5.
85. The 2009 COSOP proposed a geographic focus on the 20 poorest provinces, that was largely in line with past projects and the anticipated pipeline. But in fact it was an impractical approach. Poverty assessments have a high degree of statistical error and the list of provinces in the poorest cluster change from year to year. This point is examined in more detail under relevance of the country strategy and programme in section VI.A.

⁷² For example, a grant of US\$200,000 approved in 2010 to the National Economic and Development Authority for technical assistance on institutional strengthening of results-based monitoring and evaluation for Government agencies.

⁷³ Including a grant managed by the IFAD Strategy and Knowledge Department to a national university to conduct an ex-post impact evaluation of RuMEPP.

⁷⁴ CIP=International Potato Centre; ICRAF= World Agroforestry Centre; ICRISAT=International Crops Research Institute for the Semi-Arid Tropics; IRRI=International Rice Research Institute

⁷⁵ IFAD, Philippines 2009 COSOP.

Table 5
Key elements of 1999 and 2009 COSOPs

	COSOP 1999	COSOP 2009
Strategic objectives (SOs)	<p>"Key elements of IFAD strategy" (selected points)</p> <ul style="list-style-type: none"> • Focus on beneficiaries/areas which are jointly perceived by 'partners' as priorities. • Assess and prioritise the needs for 'asset control' by potential beneficiaries. • Monitor beneficiaries not only in terms of impact but susceptibility to external economic, social and environmental 'shock' both now and in the future. <ul style="list-style-type: none"> • Identify and include the stakeholders in any proposed initiative from initial stages, including the roles in implementation. Complementarity of resources and interventions of partners. • Focus on devolved/decentralised implementation <ul style="list-style-type: none"> • Strengthen the capabilities of both service delivery institutions at LGU level and the beneficiaries • Improving quality of life with comprehensive interventions 	<ol style="list-style-type: none"> 1) Upland poor households in the 20 poorest provinces – particularly those of indigenous peoples and agrarian reform beneficiaries – have improved access to land and water resources and gainfully use these sustainably 2) Entrepreneurial poor in selected rural areas, particularly in the Visayas, and northern and western, southern and eastern, and central Mindanao, have improved access to markets and rural financial services to improve the value chains of agribusiness systems benefiting poor farmers, livestock producers, fishers, marginalized groups, women and rural entrepreneurs⁷⁶ 3) Selected marginalized and poor communities dependent on coastal resources in Bicol, eastern Visayas, northern Mindanao and the Autonomous Region for Muslim Mindanao have sustainable access to fisheries and other productive coastal resources, use sustainable management practices and diversify livelihood opportunities to meet their basic needs, in particular food.
Geographic focus and coverage	Regions V (Bicol), VII (Panay Island); VIII (Samar and Leyte); X (Northern Mindanao) and XIII (Caraga) as specific regions for "future interventions within "Mindanao and Visayas"	20 poorest provinces: Abra, Agusan del Sur, Apayao, Kalinga, Lanao del Norte, Lanao del Sur, Maguindanao, Masbate, Misamis Occidental, Mt. Province, Nigros Oriental, Northern Samar, Occidental Mindoro, Oriental Mindoro, Sarangani, Sulu, Surigao del Norte, Surigao del Sur, Tawi-tawi and Zamboanga del Norte (Regions covered: ARMM, CAR, IV-B, V, VI, VII, VIII, IX, X, XII, XIII)
Opportunities for innovation	<p>Section on "Main opportunities for project interventions and innovation" discusses mainly the opportunities for interventions and not for innovation. For the former, the main elements include the following:</p> <ul style="list-style-type: none"> • Support to strengthen the capacity of community organizations and LGUs <ul style="list-style-type: none"> • Enterprise and marketing development, developing capacity of individuals and groups. Skills training for enterprise development, development of private sector approaches, development of saving facilities. • Community-based resource and environment management 	<ul style="list-style-type: none"> • Access to land for indigenous peoples (e.g. certificate of ancestral domains) (SO1) • Sustainable farming for upland areas (SO1) • Agri-business and value chains development for the poor, microfinance, microenterprise (SO2) • Coastal communities to be helped to identify ways of nurturing fragile environment maximise and diversify incomes. Coastal management (SO3) <ul style="list-style-type: none"> • Harness remittances for productive purposes • improving the coping strategies for climate change and natural or man-made calamities • Rural financial and weather insurance, community-based participatory dev't approaches
Target group	Findings of the consultation workshops identified "upland groups (including indigenous peoples and agrarian reform beneficiaries), coastal fisher folk and landless groups" as the IFAD target group.	<ul style="list-style-type: none"> • Indigenous peoples and other marginalized groups such as woman-headed households and upland settlers <ul style="list-style-type: none"> • Agrarian reform beneficiaries <ul style="list-style-type: none"> • Small farmers • Artisanal coastal fishers • Landless labourers/farm workers • Micro and small-scale entrepreneurs • Local Government Units of poor communities
Policy dialogue	<ul style="list-style-type: none"> • Policy reform in the financial sector • Roles of the private sector, state, local government and local communities, promoting the focus on rural empowerment, decentralization and good local governance • Rural "asset" control (including land tenure issues) 	<p>"Policy linkages":</p> <p>Land tenure issues for IPs and agrarian reform beneficiaries; policy/regulatory environment for microfinance and microenterprise promotion; decentralization; remuneration for (environmental) services provided by the IPs and others</p>

⁷⁶ The wording for SO2 changed slightly in the COSOP MTR report (see also section VI.A). The table contains the original wording.

	<i>COSOP 1999</i>	<i>COSOP 2009</i>
<i>Country programme management</i>		Country programme manager based in Rome supported by a country programme management facilitator/knowledge management officer, filled by a fixed-term consultant. NEDA to co-supervise all IFAD projects (may also lead some supervision missions). IFAD to be represented in each mission by staff or one or two internationally-recruited consultant.
<i>Partnerships</i>	Partnerships with NGOs mentioned under section "Outreach and Partnership Possibilities with NGO, National and Local Initiative". No mention of other partnership opportunities, except for local governments.	Government: NEDA, DoF, DA, DENR, DAR & DTI Donors: ADB, CIDA, EC, FAO, OFID, UNDP, USAID NGOs, academic, research organizations and the private sector (only in vague terms)
<i>Knowledge management</i>	No mention	Annual country programme review meetings; annual knowledge and learning markets; regular updating of PBAS scores; conducting studies and workshops/seminars Communicating knowledge products through a supportive infrastructure comprising a national website Promoting knowledge sharing and learning culture within and among IFAD projects and partners

Key points

- The Philippines is among the fastest growing economies in Southeast Asia. Economic growth has been relatively strong and stable in recent years. With the GNI per capita of US\$3,500 in 2014, the country is classified as a lower middle income country. However, the economic growth has not been translated into poverty reduction in a significant way. Poverty in rural areas is significantly higher than urban areas.
- Despite declining share in the GDP, the agriculture sector remains important to the country's economy and rural livelihoods. The agriculture sector accounted for 11.3 per cent of the national GDP and nearly 30 per cent of employment.
- The country is ranked relatively high for various gender-related indicators.
- The Philippines is highly prone to devastating typhoons.
- The country has faced conflict situations over four decades, especially in Mindanao with the Moro separatist movement, as well as the communist insurgency in different parts of the country.
- With the presence of development partners with large resource envelopes, IFAD financing is a very minor part in the ODA in the Philippines (about 5 per cent in the agricultural sector).
- IFAD has had COSOPs in 1999 and 2009. The coverage of the 2009 COSOP was extended to 2016 at the time of its MTR, in order to be aligned with the government's development plan (PDP 2011-2016). All three pipeline projects included in the 2009 COSOP have experienced a long gestation period.
- The Philippines portfolio has been a mixture of area-based ones with multi-sectoral components based on participatory approach, and those with wide geographical coverage with sectoral focus. The main target group has included upland farmers, indigenous peoples, agrarian reform beneficiaries and fisher folks. Geographical coverage has been extensive between different projects.

III. The lending portfolio

A. Project performance and rural poverty impact

86. This section provides assessment of the lending portfolio on the following evaluation criteria: relevance, effectiveness, efficiency, rural poverty impact and sustainability of benefits.

Relevance

87. Relevance looks at the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, institutional priorities and partner and donor policies. It also entails an assessment of project design and coherence in achieving its objectives.
88. **The projects are generally well aligned with the Philippines Medium Term Development Plan 2004-10 and are similarly coherent with the PDP 2011-16.** Project thrusts respond to all three goals of the PDP for the agricultural and fisheries sector, comprising food security and rural incomes, resilience to climate change and improvements to the policy environment and sector governance. In particular, the projects reflect IFAD's responsiveness to national policies under the Government's Comprehensive Agrarian Reform Programme (CARP 1988 & 2009), Indigenous People's Rights Act (IPRA-1997), and Agriculture and Fisheries Modernization Act (1997).
89. **The projects in general also fit well with the outcome objectives of IFAD's Strategic Frameworks (2007-10 and 2011-15),** specifically a focus on increased incomes and food security together with strengthened in-country capacities through provision for policy dialogue, decentralization of public sector institutions, strengthened organizations and institutions, and enhanced private sector capacity and investment. In some respects the projects predate new directions that emerged in the 2011-15 Strategic Framework, especially for integration of poor rural people within value chains and a more explicit emphasis promoting gender equality and women's empowerment as one of the principles of engagement, both of which are significant features of the portfolio. The one area highlighted in the 2011-15 framework that is absent from the projects in the Philippines is attention to creating viable opportunities for rural youth. In fact youth have been involved in projects and could have been more explicitly identified in planning documents.
90. **RaFPEP stands out in the portfolio in terms of strategic direction.** This "programme" was conceived and designed "outside" the both 1999 and 2009 COSOPs⁷⁷, in response to the food price crisis and in support of the Government's Rice Self-Sufficiency Plan 2009-2010 with two distinct and somewhat disconnected sub-projects: the *Rapid Seed Supply Financing Project (RaSSFIP)* for the emergency phase of one year (2009) followed by the *Irrigated Rice Production Enhancement Project (IRPEP)* for the developmental phase of 6 years. See box 1.

Box 1

RaFPEP – an ambitious exception

The programme was a hybrid combining emergency assistance with a development project. The following points are highlighted with respect to the design and the review process. First, it packaged a response to soaring food prices by supplying seeds rapidly to increase paddy production, with a medium-term irrigation rehabilitation effort. Second, the financial package was unusual: more than 85 per cent of the IFAD loan and the EU grant were allocated for RaSSFIP as "an urgent relief to fund a portion of the Government's seed acquisition and distribution programme for the dry season of 2009" (RaFPEP appraisal report). Third, IFAD and Government fast-tracked the processing in a manner that was unprecedented in the portfolio history.

⁷⁷ RaFPEP was designed and approved in 2008, i.e. before the later COSOP was approved in 2009. A nominal mention of possible support to emergency situation was added to the 2009 COSOP to retrofit the RaFPEP, rather than RaFPEP conceptualization having been driven by a country strategy.

Both RaSSFIP and IRPEP were in line with the government's priority: Rice Self-Sufficiency Plan, with improved inputs and irrigation as a means – but how about the alignment with IFAD's strategy? From a broad viewpoint, "increasing paddy production and productivity" would be considered to be in line with IFAD's strategy at corporate and country levels. But with regard to the RaSSFIP objective of "securing the supply of paddy seeds for communal irrigation systems (CIS) in Regions 5,6,8 and 10, specifically for the 2009 dry season cropping", the fit of such short-term emergency support with the IFAD's mandate, strategy and its business model is less clear. The only relevant reference in the 2009 COSOP indicates (in the section of "opportunities for innovation") that "while IFAD is not an emergency agency, it can, in case of need, offer some urgent assistance similar to the 2008 RaFPEP, which responded to the soaring food prices that year", but it is not clear how this is considered to be an opportunity for innovation.

According to the loan negotiation minutes, the Government would have been agreeable to IFAD's financing only RaSSFIP, but financing only short-term seed supply would have been difficult for IFAD to justify. The design envisaged that the IFAD financing for RaSSFIP would be "monetized" for a longer-term investment in CIS under IRPEP, which apparently was receiving less attention at the time than national irrigation systems.⁷⁸ Consequently, it was only a fraction (less than 10 per cent) of the IFAD financing allocated for IRPEP and the Government was to finance about 80 per cent of the IRPEP project cost. At the same time, despite the emphasis on IFAD's role and emphasis on providing "a bridge between an emergency response and medium- to long-term solutions that build the resilience of poor populations to such crises", the linkage between RaSSFIP and IRPEP was not clear.

In 2008, the world was alerted by the soaring food prices. The processing of RaFPEP at IFAD was rushed: 6 months from the inception (June 2008) to the board approval (December 2008) without a quality enhancement review. Such speedy process was based on the intention to disburse the bulk of funds by January 2009 to be in time for the planting season and reflected the sense of urgency in the international community. The record on the quality assurance review, conducted towards the end of the design process, shows that at that point, there were uncertainties about the quality of the proposed programme, especially the RaSSFIP part, but based on the sense of urgency, the quality assurance meeting concluded that the need to respond to the crisis urgently outweighed the concerns. It is worthwhile noting that the independent evaluation of the World Bank Group's response to the global food crisis⁷⁹ had a similar finding that fast processing had a cost in terms of design quality, implementation, and results in some cases. In the end, the RaSSFIP's intention of speedy disbursement, seed procurement and distribution did not materialize.

Reference: 1999 and 2009 COSOPs; RaFPEP design documents; RaFPEP quality assurance meeting minutes and reviewer's note; IFAD's response to the food price increases (REPL.VIII/3/R.4, July 2008)

91. The geographical coverage in the projects has tended to be wide spread.

The selection of project areas was driven by a mixture of the Government's priority on the "poorest provinces" (as also stated in the 2009 COSOP) and the nature of interventions (e.g. based on watersheds for INREMP, or bays for FishCORAL). Annex IX shows the provincial coverages by different projects against the lists of "20 poorest provinces" at different points in time. For example, RuMEPP covered 19 provinces in 5 regions for the core programme activities, and even beyond 19 provinces for the credit component. INREMP works in 9 provinces in 4 regions. Even in CHARMP2 with seemingly a more confined project area, the geographical coverage is quite large, across the whole CAR and mainly in upland remote areas. The inevitable consequences are: (i) relatively low intensity of investment per households and area⁸⁰; and (ii) possible challenges in implementation, management, monitoring and supervision of project activities.

⁷⁸ A study by Arlene Inocencio et al. indicated that public investment on irrigation seems to have fluctuated and there has been a resurgence of spending on CIS in late 2000.

⁷⁹ World Bank Independent Evaluation Group 2013. An Evaluation of the World Bank Group Response.

⁸⁰ For example, in RuMEPP, over 70 per cent of the project cost was for the credit funds. With the "reflows" of funds, 61 per cent was disbursed for the credit operations *outside* the core 19 provinces. In the case of RaFPEP-RaSSFIP, majority of the beneficiary households received only certified seeds. In CHARMP2 covering 170 barangays, an analysis of the available data on investment per barangay and population data indicates that for almost 40 per cent of the

92. **The target group, the needs, constraints and opportunities of different groups, and differentiated strategy for reaching them were not always clearly identified.** For example, "farmers on CIS" were treated the same way in RaFPEP-IRPEP design, without any discussion on the differentiation between land owners, tenants and sharecroppers on irrigation schemes. It would have been important to have clarity on the target group and intended beneficiaries, even if all "water users" on supported schemes would benefit. Also, different RaFPEP basic documents provide different descriptions of the target group.⁸¹ For RuMEPP, there was lack of clarity on the main target group in the project documents, whether the focus was to be more on poorer and lower end of the wide scale of those who are defined as "microenterprise", or on larger microenterprises, or both. Either case would have required tailored targeting strategies. In CHARMP2, the key approach to targeting was through selection of poor municipalities and then barangays. Most of the project activities were to be based on community-level participatory planning, and investments such as rural infrastructure would benefit the broad communities. At the same time, the consideration on how to ensure that planned activities and implementation (including working through groups) would be as inclusive as possible was not clearly reflected in the design.
93. **Nonetheless, there has been a strong focus on gender mainstreaming in the projects.** Even when there was little reflection on gender issues in design (e.g. RuMEPP, RaFPEP), the proposed project activities have been generally highly relevant to women with potential to contribute to their social and economic empowerment (e.g. microenterprise promotion in RuMEPP, with types of enterprises that are more in women's domains). In the RaFPEP design, the only reference in the design was on women's membership in irrigators associations and their management positions, but a gender strategy and relevant activities were developed by the implementers during the course of implementation.
94. **Attention on youth, increasingly recognized as important part of the target group of IFAD, can be seen only in recent project designs,** i.e. CONVERGE and FishCORAL, but not in previous projects. In part this may reflect the long lead time between initial project concept and subsequent preparation and appraisal vis-à-vis increased focus on this issue at IFAD in recent years as observed in the IFAD Strategic Framework 2011-2015 (see paragraph 89). For example, the CONVERGE design makes a specific reference to under-employed or unemployed rural youth who work as agricultural or other wage labourers, as a target group.
95. **The overall thrusts of project activities are judged to be relevant to the needs of the rural poor.** They have included strengthening of their institutions, enhancing livelihood opportunities through capacity building and access to funding, improving rural infrastructure, strengthening natural resource management and land tenure, providing agricultural advisory services, enhancing technical and business skills of beneficiaries, and access to finance and markets. NMCIREMP also supported social sector services, which included training of community health workers and education.
96. **Investment in rural infrastructure is considered particularly relevant by the beneficiary communities.** Sub-projects are identified mainly through participatory process and have included farm-to-market roads, footbridges, footpaths, potable water systems, community irrigation systems, day care centers

barangays covered, an average investment per household comes to less than PHP20,000, though it should be noted that the project is still ongoing (though reaching the completion soon) and the final figures are likely to change.

⁸¹ The financing agreement indicated the target group as "primarily farm families in the programme area". The president report to the Board stated "poor paddy farmers" and that they would be "selected based on their poverty levels, exposure to natural calamities, and the likelihood of them encountering seed deficit for the 2009 wet season". The appraisal report does not have any information on the target group nor targeting approach, except for specifying the regions.

and multi-purpose warehouses. In CHARMP2, from the design stage, a decision was made not to invest in any new roads in order to avoid negative environmental impact in fragile areas.⁸² Access to markets and services was to be supported also by non-road infrastructure. At the same time, there is also a view from some LGUs that a total avoidance of opening up of new roads made it difficult or impossible for them to direct CHARMP2 investments to remote and isolated barangays that are accessible only on foot.

97. **Most projects include support for formation or strengthening of organizations of beneficiaries, but their different roles and purposes are not always clarified.** These groups and organizations can be in broadly in two categories/levels: larger and more formal ones that may be generally termed as "people's organizations" (see box 2) many of which may have already existed, and smaller and informal ones that were to serve in most cases specifically for the respective projects. As for the latter, projects have promoted the formation of small groups for common enterprise activities: self-help groups (SHGs) in NMCIREMP or livelihood interest groups (LIGs) in CHARMP2. SHGs/LIGs typically have the membership of 20-25 and are provided with project funds for their members to undertake a range of income generating activities.

Box 2

Civil society organizations, people's organizations

The 1987 Constitution of the Philippines, following the 1986 People Power Revolution which ousted then President Ferdinand Marcos, clearly recognizes participation and empowerment, including the important role of civil society organizations. For example, its Article XIII, Section 15 provides "The State shall respect the role of independent people's organizations to enable the people to pursue and protect, within the democratic framework, their legitimate and collective interests and aspirations through peaceful and lawful means". People's organizations "are membership organizations representing marginalized groups and often organized based on sector, issue, or geographical area". In some cases, the term "people's organizations" can be used in a broad manner and may also include cooperatives, for example.

It is not mandatory for such organizations to register with the Government, but only registered organizations gain legal status that permits them to enter into contracts and open a bank account. There are four government agencies that provide primary registration, which gives a legal or juridical personality to a civil society organization: the Securities and Exchange Commission, the Cooperative Development Authority, the Department of Labour and Employment, and the Housing and Land Use Regulatory Board. In addition to their primary registration with these agencies, civil society organizations wishing to take on particular activities need secondary registration or licenses or permits from other government agencies.

Source: Asian Development Bank. 2013. Civil Society Briefs - Philippines

98. **The roles of groups like SHGs/LIGs and what should be expected from them have not been made clear.** SHGs/LIGs serve as a conduit to channel project support (finance and other services/training). Some of these small groups already existed, some are simply "sub-groups" within larger people's organizations, some are newly put together. In the project designs and/or during implementation, the expectation has been generated that these small groups would continue operating as (or should grow into) collective enterprises. While no doubt some of them may sustain collective enterprise activities beyond the project period, there has not been careful examination of the continued relevance of such groups established or supported initially mainly as a channel for project service delivery, once the project is completed. Nor is there any reflection or data on the likely or acceptable levels of attrition, which can lead to unrealistically high assumptions about potential benefits.

⁸² CHARMP2 appraisal report. June 2008.

99. **On the other hand, the relevance of organizations with clear roles, responsibilities and status is evident.** This is clearly a case with irrigators' associations (IAs) and the relevance of supporting them as a conduit for empowering the beneficiaries.
100. **Relevance of design and implementation arrangements for value chain development is still to be proven.** In one of the latest projects CONVERGE, agrarian reform community clusters are expected to prepare participatory value chain proposals to be managed by individuals or groups under the lead implementing agency DAR. There are some uncertainties on the capacity of public agencies (DAR as well as other collaborating agencies) to implement a project requiring commercial orientation such as CONVERGE and the capacity of peoples' organizations – existing, revitalized or new – to be effectively engaged with the private sector. On the other hand, DAR also has important roles and responsibilities to oversee and monitor private sector investment and contractual arrangements with agrarian reform communities to ensure transparency and accountability for welfare of beneficiaries. The CHARMP2 design included value chain support but there were some overlaps and confusion between components/sub-components and sequencing of activities.⁸³
101. **Support to rural/microfinance has been one of the key elements in the portfolio, but with weaknesses in design.** RuMEPP was designed with a bulk of project funds allocated for credit lines to MFIs through the wholesale lender (Small Business Corporation). There were a number of assumptions underlying the design which did not hold true, including the assumption that there would be MFIs in the project provinces with interest and capacity to channel credits to microenterprises utilizing the project-sponsored credit funds and that the main constraint for MFIs was the shortage of liquidity. There was insufficient situation analysis and rationale for allocating a large proportion of the project funds for credit lines in the design.
102. In both NMCIREMP and CHARMP2, the design included a small allocation for credit funds, but not much detail was provided in the design. The CHARMP2 design was not clear on the rationale of the proposed sub-component activities and was left vague on how it should be implemented.⁸⁴ In the first year of implementation, IFAD financed a study "to determine the credit status and needs of the target communities" intended "to determine how to proceed with the sub-component on micro-finance and income generating activities" as part of its implementation support. In the case of NMCIREMP, the design made it explicit that the allocation for a "credit reserve fund" was provisional and was to be confirmed for operations after the third year of the project, based on a review of the credit situation in the project area.⁸⁵
103. **The relevance of the project design elements supporting the management of common property resources is still to be demonstrated.** Two of the three recent projects have a strong emphasis on natural resource management: watershed (INREMP) and coastal areas (FishCORAL). The projects include support for sustainable livelihoods and infrastructure development which mirror designs from other projects and are likely to be of interest to the target group. But for the other components dealing with management of common property resources,

⁸³ CHARMP2 mid-term review report (2012).

⁸⁴ The CHARMP2 design envisaged that the project would follow a similar approach as RuMEPP in terms of disbursing the funds as wholesale loans through a government financial institution, but left the possible options of such financial institutions vague. There is also little indication that the design process undertook a basic situation analysis regarding the presence and profiles of potential MFIs.

⁸⁵ In NMCIREMP, the credit funds were converted to grants as the second level of "poverty alleviation fund" (PAF). PAF was set up in each project municipality to assist resource-poor households and indigenous people through SHGs with a small amount of grants disbursed to SHGs. The initial allocation for "credit reserve fund" was converted to what was termed as "PAF2" to make available larger amount of grants for commercial/enterprise activities. In CHARMP2, the funds were converted to a "livelihoods assistance fund" following the example of PAF under NMCIREMP.

design documents do not provide sufficient evidence of farmers' willingness to participate and the expected benefits.

104. **Project design supporting land titling for indigenous peoples needs a careful reflection, taking into consideration different contexts, as well as bearing in mind the challenges with coordination of different agencies⁸⁶ and harmonization of different legislations.** Working with indigenous peoples, including the issue of ancestral land rights has been an important element in IFAD's portfolio, specifically in NMCIREMP, the predecessor project of CHARMP2 (Cordillera Highland Agricultural Resource Management Project, CHARM1) and CHARMP2. As found in the previous project evaluations,⁸⁷ the support to the development of ancestral domain sustainable development and protection plan (ADSDPPs) and the issuance of certificate of ancestral domain title (CADTs) by both NMCIREMP and CHARM1 was considered to be a success, and consequently it was decided CHARMP2 would continue this in collaboration with NCIP.
105. The target set in the CHARMP2 design (18 CADTs) was overly ambitious. In addition, the CSPE team's discussion in CAR highlighted that some indigenous peoples feel that obtaining CADTs was unnecessary as there had been a general acceptance of domains between different groups. Attempts to draw formal delineation provoked pressures to claim disputed border areas and led to an impasse in some instances. Such sentiment emerging in CAR reflects different situations of indigenous peoples in different parts of the country. More than ninety per cent of the population in CAR is indigenous peoples and questions of land tenure often concern competing claims between different groups. In Northern Mindanao they are a minority, are clustered in smaller communities and face competition over land from external parties (e.g. mining companies).
106. Even within CAR, there are differences between different groups of indigenous peoples, for example, in terms of the extent of authority of tribal leaderships and traditional practices. The relevance of land tenure security to improving their well-being was not sufficiently analyzed in the CHARMP2 design even though the approach is of direct relevance to IPRA. The term "quality of life" was used in CHARMP2 project documents. Most likely this term was introduced based on the recommendation by the interim evaluation of CHARM1 and the technical review committee comments, but there was little elaboration on what it actually means and how to measure the progress.
107. **While IFAD's aspiration to provide support in emergency situations in the face of a call by the international community and governments is well-acknowledged, a question is raised on what IFAD is actually best-placed to do and how.** There were three emergency situations IFAD sought to respond to: the food crisis in 2008; typhoon Sendong in 2011; and typhoon Haiyan in 2013. RaFPEP-RaSSFIP was a response to the food crisis in 2008 (see box 1 earlier). After the typhoon Sendong, IFAD processed a top-up financing for RaFPEP-IRPEP, which was eventually cancelled.⁸⁸ Finally, as a response to typhoon Haiyan, IFAD provided a grant of over US\$4 million to finance seeds and fertilizer. This grant will be discussed in the section on non-lending activities.
108. As for RaFPEP-RaSSFIP, the whole sub-project was about distributing seeds (803,750 bags with the value of about US\$25 million with IFAD/EU funding). The IFAD corporate document on its response to the 2008 food crisis⁸⁹ indicated that

⁸⁶ In particular, DENR, NCIP, DAR and Land Registration Authority under the Department of Justice.

⁸⁷ IFAD 2007. Cordillera Highland Agricultural Resource Management Project completion evaluation; IFAD 2009. Northern Mindanao Community Initiative and Resource Management Project project performance assessment.

⁸⁸ The top-up financing consisted of SDR1.53 million in loan and SDR0.85 million in grant, approved by in November 2012. This was intended to finance the rehabilitation of key irrigation systems damaged by the typhoon in one of the RaFPEP-IRPEP provinces, but eventually this financing was cancelled in 2014 as the Government funded the activities (Communication by the Department of Agriculture to IFAD dated 31 July 2014).

⁸⁹ IFAD response to the food price increases (July 2008). REPL.VIII/3/R.4

IFAD was to "assist its target group in building resilience to food price increases" through short, medium and long-term support, thus emphasising the IFAD's role with a long-term perspective, rather than emergency relief.⁹⁰ However, the linkage between RaSSFIP (short-term) and IRPEP (long-term) was not clear or at best minimal: they were two largely unrelated projects financed by one loan put under a "programme".

109. **Some project designs were complex or under-designed and imposed challenges on the implementers in unpacking them.** At one level, there are multitude of small activities and sub-components, especially in NMCIREMP and CHARMP2,⁹¹ although the NMCIREMP PPA did not consider this as an issue. In area-based community development projects like NMCIREMP and CHARMP2 mainly implemented through LGUs, such multi-faceted activities could still be feasible, but in CHARMP2, there were a number of activities/sub-components that were mentioned in the design without adequate guidance, for example, agribusiness/value chain. INREMP design is considered to be technical and complex, and in addition, involves many financiers, which apparently puts challenges on the implementers, especially in terms of financial management.
110. **Relevance assessment summary.** Overall, the portfolio is assessed to be moderately satisfactory (4) for relevance. IFAD projects fit with national policies and IFAD strategy and focus, and are generally responsive to the needs of the rural poor. Gender mainstreaming in project has been strong, even when it was not pronounced in the design. On the other hand, there have been some weaknesses in design, including insufficient reflection on the target group and targeting approach, under-design and over-assumptions, as well as the response to emergency. The extensive use of group formation for enterprise activities requires further reflection.

Effectiveness

111. The effectiveness criterion assesses the extent to which the interventions have met (or are expected to meet) their objectives, taking into account their relative importance. The assessment in this section focuses on the immediate outcomes of the projects and the initial effects, whereas broader and longer-term effects will be discussed in a later section on rural poverty impact. Four projects (NMCIREMP, RuMEPP, RaFPEP and CHARMP2) are covered here and the assessment takes into consideration design issues, as well as changes in the overall context which affected or are likely to affect implementation and results.
112. Based on the stated project objectives, expected outcomes and interventions (see annex X), the objectives of the portfolio under review are clustered into eight areas (table 6). The analysis starts by looking at the data on outreach, or participation by targeted beneficiaries, then continues with the progress towards objectives.

⁹⁰ The document indicated that, as a short-term measures, its support is intended to "enable poor farmers to access essential inputs such as seeds and fertilizer, allowing them not only to prepare for the coming cropping season but also to establish a basis for sustained increases in production in subsequent seasons" and that such support should be "considered as distinct from emergency relief, food aid or social safety nets".

⁹¹ For example, one of the five project components of CHARMP2 on "agribusiness development, and promotion of income-generating activities" include numerous small activities including value chain development, organic farming, support services, microfinance, and income generating activities. The quality enhancement meeting at IFAD also commented on the complexity by pointing out numerous (16) sub-components, but the comparison of the formulation and appraisal reports does not seem to indicate much change, except that the term "sub-component" was dropped.

Table 6
Key areas of objectives of IFAD-supported interventions in the Philippines

	NMCIREMP	RuMEPP	RaFPEP- RaSSFIP	RaFPEP- IRPEP	CHARMP2
Enhanced participation of communities in development processes, strengthened community-level institutions	***			*	***
Improved security over land, territories and resources by indigenous peoples	***				***
Improved natural resource management practices	***			*	***
Access to and adoption of improved means and technologies for agricultural production	*		**	***	**
Better linkages with markets for agricultural produce	*			*	**
Increased opportunities for microenterprise development, livelihoods diversification and rural employment	***	***		*	***
Better access to financial services	*	***			*
Improved rural infrastructure for better access to markets and services	***			*	***

*** = key elements/focus with specific and direct mention in the project objectives, component objectives and/or outcomes; **= not direct and explicit, but related elements observed in project descriptions to a reasonable extent; *= not direct and explicit, but related elements observed in project descriptions only to a minor extent

113. **Outreach. An analysis of data on the number of beneficiaries or outreach has proved to be challenging.** There are inconsistencies in the figures between different reports⁹² due to a number of factors including: (i) double-counting of the same beneficiaries under different activities; (ii) difficulties in defining and recording direct or indirect beneficiaries (CHARMP2, RuMEPP); and (iii) differences in interpretation of how beneficiaries are to be calculated. Bearing in mind these limitations, table 7 is presented to give a sense of the outreach in the portfolio. Actual achievements could vary owing to inconsistent definitions and so would the intensity of support, even within the same project.
114. RaFPEP-RaSSFIP is an outlier in the sense that the beneficiaries under this sub-project are those who received certified rice seeds, hence, with minimum investments. The planned number of beneficiaries of over 1 million was based on the availability of funds.⁹³
115. It should be cautioned, however, that the discussion on the number of beneficiaries as such could be anyway rather superficial since the intensity of support varies greatly, ranging from only one-off access to certified seeds at subsidized price (50 per cent subsidy and 1.67 bags per beneficiary on average) under RaSSFIP to higher unit cost per beneficiary in the case of RaFPEP-IRPEP (estimated to be US\$1,146). RuMEPP "beneficiaries" also included those borrowers outside the core programme provinces.

⁹² For example, for CHARMP2, the design document for additional financing proposed in early 2016 indicated the number of beneficiaries/households reached 45,000 households directly, and about 96,166 households (or 0.48 million beneficiaries) indirectly. The March 2015 supervision mission reported that the project had reached "about 40,000 additional households in 2014" and a total of 70,000 households since project start.

⁹³ It was first estimated that with the funds available from IFAD/EU (a total of about US\$25 million), it was possible to purchase and distribute 803,750 bags of certified seeds. Subsequently, based on the average size of the paddy cultivation (about 0.72 ha) and the requirement of one seed bag (40 kg) per hectare, it was estimated that 1,116,319 persons would receive the seeds.

Table 7

Outreach: number of planned and actual number of beneficiaries

	<i>Planned number of beneficiaries</i>	<i>No of beneficiaries reported or estimated</i>	<i>Target group per design document [CSPE comment]</i>
Completed			
NMCIREMP	58,500 HH	47,131 HH (direct) 8,776 HH (indirect)	Indigenous peoples, marginal fishing families, agrarian reform beneficiary communities, upland dwellers and landless workers
RuMEPP	200,000 (direct and indirect)	Direct: 74,683 Indirect: not clear	New and expanding microenterprise with assets worth less than PHP 3 million and with one to nine employees ["Indirect" would include those who got job opportunities but inconsistencies in the data on jobs created]
RaFPEP-IRPEP	14,616	14,812	IAs working on not less than 5,000 ha of CISs*
RaFPEP-RaSSFIP	1,116,319	307,027**	Poor paddy farmers* [Very low investment per beneficiary (seed distribution).]
Not completed			
CHARMP2	12,530	45,000	Primarily poor indigenous peoples in the upland mountain areas

Source: Appraisal reports for the target figures; NMCIREMP PCR and PPA; RuMEPP PCR and PPE; progress reports, supervision mission reports; CHARMP2 additional financing design document

* The financing agreement for RaFPEP only indicated "primarily farm families in the programme area" as the target group, with no reference to poverty level.

** According to the Terminal Report on the Special Audit on RaSSFIP by the Commission of Audit (September 2011). The report "Assessment of RaSSFIP" prepared by the Department of Agriculture in March 2012 reported the number of farmer beneficiaries for each of the three planting seasons and these add up to 411,990, but the report did not make it clear whether the some farmer-beneficiaries were provided with seeds more than once.

116. **Targeting.** While gender-disaggregated data are well recorded across the projects, there has not been consistent attention to differences within the overall target group. For example, in RaFPEP-IRPEP has a relatively good record of the number of beneficiaries and gender, but there has been no discussion in design nor supervision on who are actually cultivating the land and who are benefiting to what extent from the improved production (e.g. owner-cultivators, tenants, or sharecroppers/ caretakers, often with different poverty status). This is despite the fact that most, if not all, IAs do have records on tenancy status. As for RuMEPP, the project had a record of the levels of microenterprises depending on the asset size, but the definition of "existing", "new" or "potential" microenterprises was not clear and the indicator such as "first time borrowers" was not tracked.
117. **According to the NMCIREMP PPA, the effective arrangement to reach the vulnerable was through inclusiveness by community institutions rather than by singling them out.** The PPA noted that overall the community institutions and SHGs effectively reached a majority of very poor households. In CHARMP2, beneficiaries and staff in the field the CSPE team interacted with seemed to hold a view that poverty was widespread in the whole community and it was appropriate that majority of community members benefit from various activities in the "menu". At the same time, there was an observation by a CHARMP2 supervision mission in 2015 that more project resources have been directed to relatively better-off provinces (e.g. Benguet) and municipalities (3rd, 4th and 5th class than 6th class)⁹⁴, even though the project design had indicated that 5th and 6th class municipalities would be priorities. The same supervision mission noted that the project was going to expand support, with additional/supplementary financing in mind, to other provinces which might have received less support up to that point.

⁹⁴ CHARMP2 supervision mission report, February-March 2015.

118. ***Community participation and institutions.*** The portfolio demonstrates good achievements in enhancing community participation. Based on the NMCIREMP PPA and based on the CSPE team's discussions in the field, this was achieved by the participatory approach strongly promoted by the projects, coupled with funds made available for investment activities.
119. **Enhanced representation of indigenous peoples in development processes was highlighted as one of the significant achievements in NMCIREMP.** In northern Mindanao where indigenous peoples are a minority unlike CAR, NMCIREMP effectively supported their representation and membership of tribal leaders in LGU development councils and special bodies.⁹⁵

Box 3

Participatory planning process in NMCIREMP and CHARMP2

Participatory approach is often an important element in IFAD-supported projects and has been so particularly in NMCIREMP and CHARMP2. Both projects were of multi-sectoral nature and their planning and implementation processes hinged on participatory processes and community-driven needs identification (while largely menu-based), working closely with respective LGUs. Considerable efforts and time were invested to make the participatory approach work, with contracted service providers/NGOs (NMCIREMP and initial stage of CHARMP2) and directly contracted field staff (later stage of CHARMP2). At barangay level, facilitators worked with community groups to prepare development plans. This approach was taken to a greater depth in CHARMP2 where community facilitators were resident at community level for up to two years to help develop Participatory Project Investment Plans (PPIPs) which defined the locations and nature of activities under the project. In CHARMP2, many of these facilitators were from the areas, with understanding of the local context and proficiency in the local language. The latter is important, especially in CAR where different groups of indigenous peoples speak different languages.

Source: NMCIREMP PPA, CSPE team interviews

120. **Often the projects have supported the strengthening or establishment of different types of groups of beneficiaries.** See table 8 for description of these groups and the outputs reported. "Community institutions" (in NMCIREMP) or "people's organizations" tend to be larger and more representative of community members in the area with legal status. They have also served as a conduit between LGUs and communities in participatory planning process. SHGs/LIGs in NMCIREMP and CHARMP2 are similar and small special interest groups, mostly informal. The functioning of these groups is discussed in relevant sections below.

⁹⁵ NMCIREMP PPA.

Table 8
Different types of community-level groups supported in IFAD portfolio

<i>Types of groups and roles/purposes in projects</i>	<i>Number of groups</i>	<i>Male</i>	<i>Female</i>	<i>Total members</i>	<i>Average membership</i>
NMCIREMP					
"Community institutions": Participate in planning, identify investments and undertake livelihood activities. Including cooperatives, IAs, tribal associations, among others.	226				
"Self-help groups (SHGs)", to undertake own development activities. Small grant funds channelled to SHGs. ⁹⁶	841	18,053	21,424	39,477	
CHARMP2				40,594	
People's organization – reforestation	150	5,445	4,100	9,545	63.3
Peoples' organization – agro-forestry	162	2,081	3,161	5,242	32.4
Livelihoods interest groups (LIGs): access project funds (Livelihoods Assistance Fund) to engage in productive activities	644	6,241	10,956	17,197	26.7
IAs: manage and maintain CIsSs	36	3,192	2,444	5,636	156.6
Barangay water and sanitation association (BAWASA): manage and maintain domestic water supply systems	41	2,057	917	2,974	72.5
RaFPEP-IRPEP					
IAs: manage and maintain CIsSs	112	3,523	8,624	12,147	108

121. ***Land tenure security for indigenous peoples. The performance in this regard in the portfolio has varied.*** The cornerstone of the support is the preparation of ADSDPPs, obtaining certificates of ancestral domain claims (CADCs) and the issuance of CADTs. ADSDPPs are seen as a tool for understanding indigenous management systems and expected to be used for further investment planning to be incorporated into LGU development plans and budgets.
122. In northern Mindanao, under NMCIREMP, 14 ADSDPPs were developed and 14 CADTs issued with a total land area of about 300,000 ha that benefitted 12,035 households. In CAR, CHARMP2 intended to follow and expand an initial successful pilot under CHARM1 (implemented between 1996 and 2004, not covered in this CSPE), but this has proved to be an overly challenging mission (see box 4).

Box 4

Planning for ancestral domain titles in CHARMP2

In 1997, the Philippine legislature passed a landmark legislation, the Indigenous People's Rights Act (IPRA) or Republic Act No. 8371, a law that recognized the rights of indigenous cultural communities in the country over their ancestral domains and to decide priorities for its development and use. The IPRA was a realization of one of the more progressive provision of the 1987 Philippine constitution recognizing the ownership rights of over 11 million indigenous peoples over their ancestral lands which that their they have occupied since "time immemorial".

Under IPRA, ancestral lands rights are considered 'private rights' of ownership by indigenous peoples and are issued certificated of ancestral domain titles (CADTs) for communal lands and certificates of ancestral land titles (CALTs) for individual ancestral lands. The issuance of these titles provides formal protection of ownership of indigenous peoples' ancestral lands. IPRA also recognizes their right to self-determination over their ancestral lands by giving them the right to decide on the utilisation and development of

⁹⁶ PPA reported that some SHGs were made up only of community institution members, others of poorer community members not members of a community institution, others a mix of community institution members and non-members. Involves regular meeting, savings, planning, decision-making and collective poverty reduction initiatives

the land and resources within their ancestral lands. No type of physical development or exploitation maybe initiated or conducted within ancestral land without obtaining the formal consent or *free prior informed consent* of the concerned indigenous peoples in the areas or *certificates of precondition** that proposed projects conform to the approved ancestral domain sustainable development and protection plan (ADSDPP).

CHARMP2 design had targets of 18 ADSDPPs, 18 CADTs and 3,740 CALTs. At CSPE, only one ADSDPP and one CADT (Kadaclan) was approved and issued because of administrative and institutional difficulties of the NCIP, boundary conflicts among different tribes, and, shifting policy interpretation of obtaining indigenous peoples' consent and land titling issuance processes. At MTR, the project dropped its target for individual ancestral titles or CALTs because of it was "unconstitutional" to issue more than one title over the same parcel of land, thus the issuance of CALTs within CADTs was not allowed (MTR, p.5). In the implementation of sub-projects, community stakeholders cited conflicting interpretations within the NCIP in the issuance of certificate of preconditions* for project-supported sub-activities as a "major cause" of project delay.

The problem in the issuance of ancestral titles and approvals of ADSDPP has been a continuing challenge. In 2007, a review by the World Bank on the implementation of the IPRA reported that the NCIP accomplishment in the issuance of ancestral domain titles were "quite small" considering the number of ancestral domain claims. The same was true for the approval of ADSDPP. The WB study cited among others the following reasons: lack of technical expertise, boundary conflicts between IPs and non-IPs and among IPs and lack of financial and logistical resources. These are the same key reasons cited in the CHARMP2 project.

* Certificate issued by the NCIP, signed by the Chairperson, attesting to the grant of free, prior and informed consent by the concerned indigenous cultural communities/indigenous peoples after appropriate compliance with the requirements provided for in these Guidelines

Source: CSPE team; Josefo B. Tuyor. et al. (2007). *Indigenous Peoples Rights Act: Legal and Institutional Frameworks, Implementation and Challenges in the Philippines: Discussion papers*, Washington D.C, World Bank

123. At the same time, it has also emerged that the absence of CADTs has not held back community developments under the project. Some argue that these rights are critical for the future and provide an important tool for sustainable development and protection of indigenous peoples' rights. The uneven success of projects in trying to secure land rights indicates that this is an area in which the overall policy framework needs further elaboration and that the skills required for successful negotiation may be beyond the scope of project interventions.
124. **Natural resource management. There were moderate achievements towards the objective relating to natural resource management (NRM).** NRM has been an important aspect in the portfolio, in particular in NMCIREMP and CHARMP2. The investment on NRM in the portfolio is significantly increasing as a result of INREMP, which is just initiating its activities, though its implementation is not assessed in the CSPE. More detailed assessment on NRM is provided in a dedicated sub-section later on "environment and natural resource management".
125. **Agricultural production. Support to irrigation development has been effective in improving agricultural production and productivity.** RaFPEP-IRPEP has had a principal focus on rehabilitation of CISs and institutional strengthening of IAs to manage and maintain the systems. In NMCIREMP and CHARMP2, support to irrigation (also CIS) emerged through local-level participatory development planning process, given that such investment was included in the "menu" for project support. RaFPEP-IRPEP alone has covered 109 CIS with 9,347 hectares of irrigation service areas.
126. **A combination of rehabilitation of the irrigation systems and effective institutional strengthening support for IAs has worked very well.** According to the RaFPEP-IRPEP PCR prepared in 2016, the project benefited 14,082 farmer beneficiaries through the rehabilitation and restoration of irrigation facilities of the 109 CIS covering 9,347 hectares of irrigated areas. Of these farmers, 12,239 or 87

per cent became members of 112 IAs⁹⁷ (30 per cent women). Many of them are tenants and sharecroppers, who are likely to be resource-poorer than owner-cultivators. CHARMP2 has supported 36 IAs (5,363 members, 43 per cent women). Rehabilitation of the schemes has contributed to improving the conveyance efficiency of the systems and the reliability of irrigation water. IAs had been formed when CISs were constructed decades ago, but with deterioration of the schemes, they were not functional. Consistently reported increases in the membership of IAs and collection rates of irrigation service fees in RaFPEP-IRPEP are among the clear indications of improved performance of irrigation systems, as well as organizational performance of IAs.⁹⁸ In general, there are evidences on the achievements made, for example, in terms of the increase in areas irrigated, cropping intensity, average yields reported. These will be discussed in more detail in a later section on rural poverty impact. The project trained 5,048 IA officers and members (33 per cent women) on irrigation operation and maintenance related activities.⁹⁹

127. **There are encouraging data on the adoption level of farmer training.** Under RaFPEP-IRPEP, 172 farmer field schools (FFS) were conducted by the Agriculture Training Institute on palay check¹⁰⁰ for CIS farmers. A cascade model was used to disseminate the training through Master Trainers, in which 5,295 farmers participated (125 per cent against the target of 5,000), with women constituting 48 per cent.¹⁰¹ The adoption rates of the different elements of the palay check training was reported to range between 60-90 per cent,¹⁰² based on available data from RaFPEP-IRPEP (Region VIII). During the CSPE team's discussion with the beneficiaries (FFS participants under RaFPEP-IRPEP), the training topics that were most frequently mentioned as useful included integrated pest management and organic fertilizer.
128. CHARMP2 also conducted 63 FFS with the participation of 5,200 farmers, including crop and livestock management, NRM, environmentally sustainable farming techniques and market information. Under CHARMP2, Provincial Agriculture Offices produced and broadcast School-on-Air programmes as a means of education and information dissemination on the project for target communities. NMCIREMP reported the establishment of 174 learning sites on farming systems/technologies (158 per cent achievement against the target), training of 14,000 farmers/fisher folks, as well as "trainers" (91 fishery technicians, 48 agricultural technicians and 145 farmer para-technicians), generally surpassing the output targets (including the achievement over 200 per cent).
129. **The expected and actual outcomes of a large investment on seed distribution in RaFPEP-RaSSFIP relative to agricultural production are not clear.** The provision of certified seeds was the only focus of this sub-project, which was conceived in response to the 2008 food crisis. The stated objective of this sub-project was "to secure the supply of paddy seeds for CIS in the RaSSFIP area for the year 2009/2010 cropping seasons". The seeds were in the end distributed over 3 cropping seasons (in different areas). There was no close linkage with the other

⁹⁷ The number of IAs (112) is more than the number of CISs rehabilitated (109) because some CISs can have more than IAs.

⁹⁸ The average collection rates for irrigation service fees for the 22 and 63 IAs in Regions X and VI were reported to be 129 and 85 per cent for the year 2014. Region VIII has the lowest average irrigation service fees collection efficiency rate at only 42 per cent due to the negative effects by typhoons ("Yolanda" in 2013 and "Glenda", "Ruby" and "Seniang" in 2014). (2015 RaFPEP supervision mission report)

⁹⁹ RaFPEP-IRPEP draft PCR. June-July 2016.

¹⁰⁰ Palay check is "a dynamic rice crop management system that: (i) presents the best key technology and management practices as Key Checks;(ii) compares farmer practices with the best practices; and (iii) earns through farmers' discussion group to sustain improvement in productivity, profitability, and environment safety" (<http://www.pinoyrice.com/palaycheck/>)

¹⁰¹ RaFPEP-IRPEP draft PCR June-July 2016.

¹⁰² The adoption rates were reported as follows: (a) 61 per cent for variety and seed selection; (b) 80 per cent for land preparation; (c) 87 per cent for crop establishment- synchronous planting; (d) 76 per cent for crop establishment - sufficient number of healthy seedling; (e) 62 per cent for nutrient establishment (f) 70 per cent for water management; (g) 65 per cent for pest management; (h) 90 per cent for harvest management. (RaFPEP supervision mission report, June 2015)

sub-project RaFPEP-IRPEP except that the RaFPEP-IRPEP beneficiaries were also covered by RaFPEP-RaSSFiP: for most of the farmers who received the seeds (reported as over 300,000 farmers), the project support was only one-off provision of seeds.

130. ***Access to markets. Some initial and modest progress has been recorded in terms of improving farmers' access to markets for agricultural produce.*** A key strategy has been on the one hand, improving physical access by investing in public infrastructure (e.g. roads, bridges), and on the other hand through value chain development, which has become an important facet of many IFAD-financed projects. Support to rural infrastructure is discussed later.
131. CHARMP2 had a component "agriculture and agribusiness development, and income-generating activities", which, in design, included value chain approach.¹⁰³ But at the start of CHARMP2, the concept and approach were not well understood by project staff and the guidance in the design and by supervision and implementation support missions were not adequate. The MTR noted that various production activities had been undertaken without a clear understanding of the market requirements and attributed this to lack of value chain analysis and expertise within the project.
132. Only through a fortuitous interaction with the IFAD grant-funded FoodStart project team (see section IV.D) has the project been able to make progress in this area. The project adopted a modified version of the FFS called Farmer Business School to train group members. Some 73 LIGs are reported to have participated in Farmer Business School. By 2015, CHARMP2 supported 69 marketing groups and 35 groups in the production of environmentally safe products.¹⁰⁴ However, most groups still have low sales and products have mainly been sold within the barangays. Common problems included seasonal and low volume of production (including losses from pests and diseases), lack of processing equipment and labour-saving technologies, limited skills in business and marketing and high production and transportation costs. To the extent that products were being sold locally, organic producers earn little, without reaching buyers willing to pay a premium for environmental, health or cultural stewardship.
133. ***Microenterprise development and livelihoods activities. The effectiveness of group-based approach to increasing livelihoods and enterprise opportunities has not been sufficiently demonstrated.*** NMCIREMP and CHARMP2 have taken similar approaches for this, through strengthening existing groups or establishing new groups, providing them training (technical and business/financial) and financial resources (small one time grant or "loan"). NMCIREMP financed 719 livelihoods activities and 44 community enterprises through the Poverty Alleviation Fund (PAF, at two levels). CHARMP2 has provided about PHP 60 million under the "Livelihoods Assistance Fund" to 644 LIGs (involving over 17,000 members).
134. The activities financed included crop and livestock production, processing and marketing and trading. In CHARMP2, the identification of activities was linked to market potential and priority commodities including coffee, sweet potatoes, heirloom rice and organic vegetables. However, there are also cases where the relevance of LIG enterprises to the project objectives is questionable.¹⁰⁵ For

¹⁰³ "The approach of this activity is to identify with potential private enterprise buyers the potential to improve the value added of crops grown in the existing, de facto organic, paddy and shifting cultivation farming systems and to build up the value chain of such products. No change in the indigenous farming systems or cropping techniques will be required. The value chain will aim at creating or penetrating domestic and/or export niche markets where high quality output will fetch premium prices." (CHARMP2 appraisal report).

¹⁰⁴ CHARMP2 supervision mission report (March 2015).

¹⁰⁵ The 2015 supervision mission also noted the observation as follows: "...there are too many newly organized LIGs not associated with priority commodities. As such, a majority have not received assistance before the livelihoods assistance fund support; and do not benefit from enterprise development plans to guide a more integrated, market-oriented approach for their products. To address this risk, the previous mission recommended assessing the LIGs and

example, the CSPE team met a number of LIGs which engage in buying and bringing products (e.g. poultry or rice) from outside to sell in the community, hence not linked to agricultural or enterprise activities of other community members.

135. Have these activities actually led to improved livelihoods opportunities, beyond one-off support by the projects? The available evidence suggests that there are indeed cases of success and with good prospect, but the extent is not known. It is also too early to be conclusive for most LIGs in CHARMP2 but interaction with the groups by the CSPE team suggested some uncertainties, due to external factors (e.g. pest and disease on crops), uncertain feasibility of supported enterprises or lack of entrepreneurial skills. Supervision missions have raised issues¹⁰⁶ about the sustainability of benefits generated or sustainability of such groups (i.e. continuation of collective enterprise activities), although, on the latter, what should be expected from such groups is another question to be reflected on (to be discussed later).
136. **RuMEPP had cases of significant contribution to development of microenterprises, but the extent of such successful cases among those who were reached by the programme, as well as the acceptable attrition rate, is not known with certainty,** in absence of comprehensive and reliable data. It was reported that 57,330 microenterprises were provided with credits and 32,318 persons with business development services, of whom 14,956 both credit and business development services (cases of "convergence"). The available data suggests that most of them were indeed the first level of microenterprises (with assets less than PHP 50,000) but that a majority of beneficiaries appear to have been existing microenterprises, not start-ups.
137. Implemented through DTI, unlike NMCIREMP/CHARMP2, RuMEPP did not have a group-based approach: some beneficiaries were part of groups (e.g. cooperatives) but many were individuals (existing or potential/new). The credit activities were implemented purely through established financial institutions according to their rules and procedures, unlike the cases of NMCIREMP and CHARMP2.
138. **Access to finance. In RuMEPP, the disbursement performance of credit funds was satisfactory, but there is little evidence that the project made a decisive difference in access to finance by the target group,** for example, for first-time borrowers or other microenterprises who would not have had access otherwise. The credit component was almost entirely about the injection of credit funds into the financial sector, which was not necessarily the most critical constraint for many MFIs to provide "better" financial services, e.g. for them to make financial services more responsive to the needs of microenterprises (e.g. new products or adjustments in terms and conditions).
139. **In both NMCIREMP and CHARMP2, there was little achievement in terms of improving access to finance/credits.** The design included credit sub-component and allocated some funds for credit lines, but they were eventually converted to grants or revolving funds operated by the community or loans to be converted to grants upon full repayment.
140. **Rural infrastructure. The investments in physical infrastructure are most valued by rural communities with notable outcomes and impact.** Outcomes of irrigation-related infrastructure were discussed above in relation to improved production and productivity; here, the discussion will be mainly focused on farm-

qualifying those to be provided with the livelihoods assistance fund. However this was not systematically undertaken prior to provision of the livelihoods assistance fund."

¹⁰⁶ For example, CHARMP2 supervision mission of 2015.

to-market roads, domestic water supplies and community-purpose buildings. Among these, investments in farm-to-market roads were the largest.

141. In both NMCIREMP and CHARMP2, approximately half of the project cost is for the construction or rehabilitation of rural infrastructure identified based on a detailed *barangay*-level demand driven planning process. In NMCIREMP, the achievement rate was between 77 and 117 per cent against the MTR targets for different types of rural infrastructure. In CHARMP2, after a slow start, the implementation of this component has been dramatically expedited. The implementation progress related to rural infrastructure development is therefore judged to be satisfactory at the time of CSPE. These investments are reported to have contributed to increased mobility, reduction in transport cost and travel time, increase access to basic needs like water, other social services and markets.
142. Limited financial capacity of many LGUs to provide their share of costs presented a severe constraint, but this has been largely addressed. The projects initially sought to align with the cost sharing formula of the Government.¹⁰⁷ There was considerable delay in the infrastructure sub-projects particularly CHARMP2 in poor municipalities with limited budgets and capacity to generate internal resources to provide their share. In CHARMP2 this problem was resolved only after the set formula was officially suspended in September 2011¹⁰⁸ as a result of advocacy by IFAD and the Department of Agriculture in view of the challenges in enforcing the Government formula with resource-poor LGUs.¹⁰⁹ Under RaFPEP-IRPEP, the provincial governments helped the LGUs to provide the 30 per cent required for CIS rehabilitation.
143. **Effectiveness assessment – summary.** The achievements have been most notable and visible in terms of support to irrigated agriculture (in particular, under RaFPEP-IRPEP), improved rural infrastructure (e.g. roads, footpaths, bridges, water, community-purpose buildings), improved participation of communities in development processes and strengthening their organizations (though with varied performance for different types of organizations), and to less extent, microenterprise development (RuMEPP). The evidence is mixed for other areas such as NRM and improved access to markets by the target group (through support to non-infrastructure activities), also given that a focused attention on the latter is a more recent phenomenon (especially in CHARMP2). While RuMEPP was successful in disbursing microcredits, there was little evidence that the project induced improvement in financial services for microentrepreneurs. The earlier success hailed as a pioneer initiative in earlier projects on supporting land tenure security for indigenous peoples has faced challenges in CHARMP2 with little achievement in this regard against the set objectives and targets, although the relevance of such support in the context of CAR would have deserved more careful reflection in conceptualization and planning stage (see paragraphs 104-106). The effectiveness of the portfolio is overall rated as moderately satisfactory (4).

Efficiency

144. Efficiency is a measure of how economically resources and inputs (funds, expertise, time, etc.) are converted into results. This criterion will be looked at in the following aspects: (i) time lapse between loan approval and effectiveness; (ii) disbursement performance; (iii) project implementation and management processes; (iv) mobilization of additional financing; (v) project management cost; and (iv) benefits generated. The assessment focuses on the four projects

¹⁰⁷ According to the National Government-LGU Cost Sharing Policy, 1st and 2nd class LGUs are required to finance 70 per cent of the costs, 3rd and 4th class LGUs 60 per cent, and 5th and 6th class LGUs 50 per cent.

¹⁰⁸ Memorandum Circular #24 of 19 September 2011, which reduced the LGUs' cost-sharing for road projects.

¹⁰⁹ IFAD financed a study looking into this issue in 2011, "National Government – Local Government Unit Cost Sharing Policy Study". See also para 338.

(NMCIREMP, RuMEPP, RaFPEP and CHARMP2. Some elements of efficiency have also been included for INREMP which became effective in April 2013.

145. **Timeline: design, entry into force and disbursement.** The data on the time it takes from the approval, signing, entry into force (effectiveness) and the first disbursement for five projects are provided in table 9. There are notable differences between the projects, with earlier projects (NMCIREMP and RuMEPP) with longer delays. The overall average of the portfolio for five projects is comparable to or better (time to first disbursement) than the average of APR.

Table 9

Timeline between approval to first disbursement (months)

<i>Project ID</i>	<i>Project name</i>	<i>Loan approval to signing</i>	<i>Loan signing to effectiveness</i>	<i>Loan approval to effectiveness</i>	<i>Loan effectiveness to first disbursement</i>	<i>Loan approval to first disbursement</i>
1137	NMCIREMP	4.1	11.9	16.0	3.3	19.3
1253	RuMEPP	6.9	11.8	18.7	4.2	22.9
1395	CHARMP2	1.4	5.4	6.8	8.5	15.3
1485	RaFPEP	8.6	2.3	10.9	2.4	13.3
1475	INREMP	4.0	0*	4.0*	9.3	13.3
Average		5	7.9**	13.1**	5.5	16.82
<i>APR average***</i>		<i>4.46</i>	<i>8.00</i>	<i>12.46</i>	<i>9.4</i>	<i>22.6</i>

* Since the General Conditions for Agricultural Development Financing was amended in 2009, financing agreements between IFAD and governments enter into force upon the signature by both parties (unless the respective financing agreement states that it is subject to ratification). Prior to this, financing agreements used to contain conditions for effectiveness, upon fulfilment of which the financing agreement was declared effective. Hence, for the financing agreements signed after this change, the date of effectiveness, or now called "entry into force" is the same day as the date of the financing agreement.

** In light of the point above, the average is computed without INREMP data.

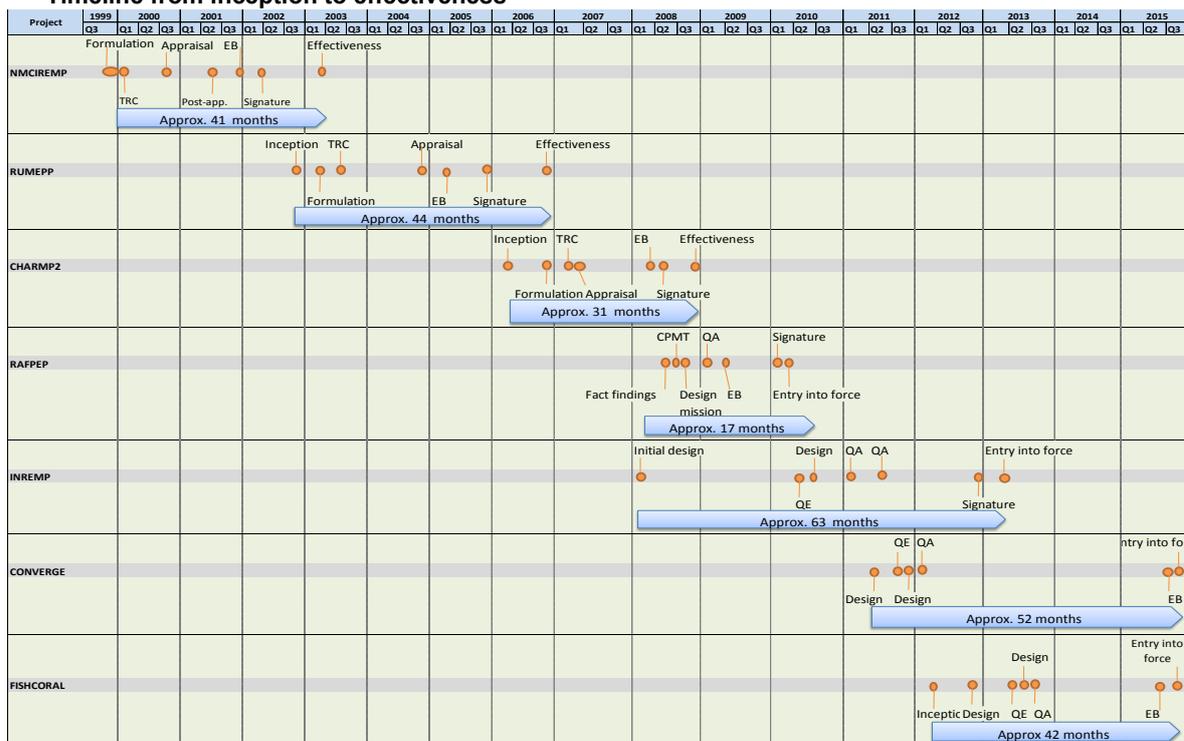
*** For projects in APR approved between 2000 and 2008

146. RaFPEP presents a peculiar case, with a long time lag between the approval and loan signing (8.6 months), especially considering that this project was conceived as an emergency response to the food crisis in 2008 and the design process was fast-tracked with the intention of disbursing the funds for seed acquisition 1-2 months after the board approval. The delay between the board approval and the signing was because of the discussion on the lending terms.¹¹⁰ The financing was approved in December 2008, but the first disbursement was in January 2010, more than a year after the approval.
147. While the timeline for the milestones after the approval is on average close to the overall regional performance, the portfolio is characterized by a long gestation period at design stage, from the inception/conceptualization up to the approval (figure 5). For the three latest projects (INREMP, CONVERGE and FishCORAL), this is largely because of the prudent review process by the government, in particular during the 2011-2016 administration. CONVERGE was originally scheduled for submission to the Executive Board in April 2012¹¹¹, and FishCORAL for the April 2014 session, but both were eventually approved in September 2015.

¹¹⁰ Initially it was proposed that the loan be provided on a highly concessional terms even if the country was then eligible for borrowing on an intermediate terms, but the Executive Board did not agree with this. The acceptance of the intermediate terms then had to be confirmed by the government, which caused the delay.

¹¹¹ As for CONVERGE, it should be noted that one project component (component A for value chain analysis and planning) was approved by the NEDA Board in November 2012 with the provision that it would be funded from the 2013 government budget (under the General Appropriation Act). Consequently, under this approved component, DAR updated Value Chain Investment Plans for 11 targeted Agrarian Reform Communities and submitted them to the NEDA Board for consideration and approval of the other project components. The NEDA Board confirmed the approval by the Investment Coordination Committee in October 2014.

Figure 5
Timeline from inception to effectiveness



EB: Executive Board; CPMT: country programme management team (meeting); QA: quality assurance; QE: quality enhancement; TRC: technical review committee (up to 2007). All of these are steps on the IFAD side.

148. A top-up financing for RaFPEP-IRPEP was approved in November 2012 by the Executive Board but a financing agreement was never signed and it was eventually cancelled in 2014 (see also paragraph 107).¹¹²
149. **Disbursement performance.** The Philippines portfolio follows a general pattern of slow disbursement in initial years which in many cases shows notable improvements later (in particular, RuMEPP and CHARMP2), whereas INREMP still lags far behind and rated "highly unsatisfactory" (1) in the latest PSR. The average ratings on "disbursement performance" in the PSRs have however been higher than the regional APR average (see annex XI).
150. The comparison of expected and actual disbursement and disbursement lag¹¹³ for RuMEPP and CHARMP2 are provided in tables below. The disbursement performance for CHARMP2 was rated "unsatisfactory" for three consecutive years (2011-2013) in PSRs, due to, among others, lack of progress in rural infrastructure over the cost-sharing policy between the national government and LGUs. The project has nevertheless dramatically expedited the disbursement since 2014.¹¹⁴ RuMEPP also had slow disbursement initially¹¹⁵, but in this case, the Small Business Corporation (wholesale lender) had already started financing the activities with its own funds and therefore, there is no evidence that the pace of the credit component implementation suffered.

¹¹² Based on the letter from DA dated 31 July 2014, informing IFAD that the activities were funded by the Government already

¹¹³ As part of annual portfolio exercise by the IFAD Programme Management Department, expected disbursement profiles are worked out for each type of project (such as credit, livestock, research, etc) based on the analysis of all historical loan disbursement performance. The disbursement lag is calculated as follows: [(expected disbursement amount) – (actual disbursement amount)]/expected disbursement amount. Negative figures mean faster disbursement than expected, and positive figures indicate slower disbursement.

¹¹⁴ Philippines Portfolio Review Report 2010-2014. October 2015. IFAD

¹¹⁵ Especially for the credit component, due to the delays in meeting the conditions precedent to withdrawal for the component (e.g. subsidiary loan agreement between the Government and SBC).

Figure 6-A
Expected and actual disbursement: RuMEPP

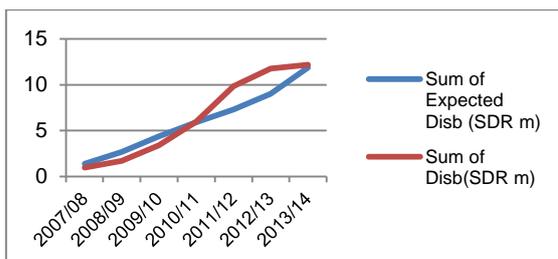


Figure 6-B
Disbursement lag: RuMEPP

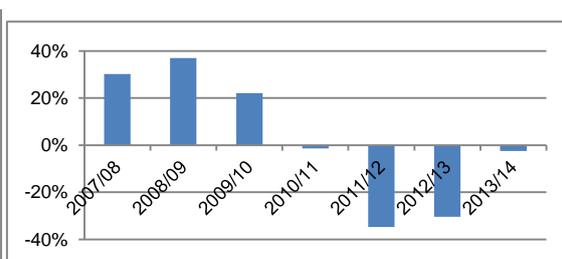


Figure 6-C
Expected and actual disbursement: CHARMP2

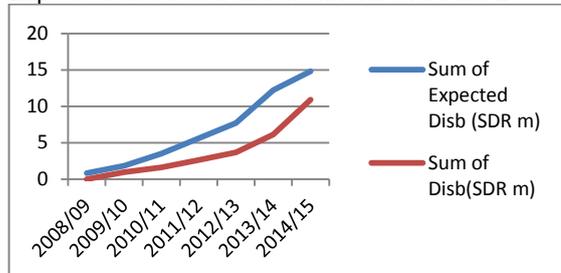
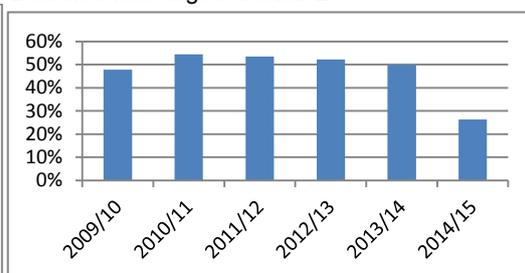
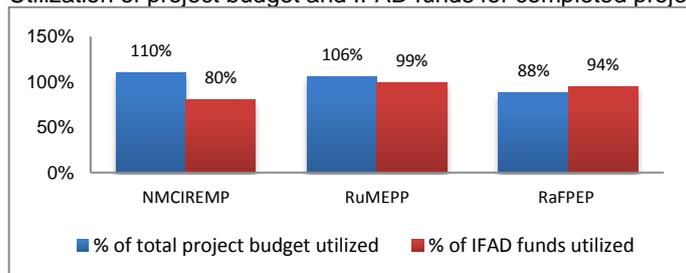


Figure 6-D
Disbursement lag: CHARMP2



151. In general, the concentration of fund utilization towards the end of the project leaves little time for proper utilization and many activities have to be expedited which can compromise the quality of investments that need relatively longer gestation periods such as institutional development.
152. The disbursement record of RaFPEP should be reviewed with caution as an outlier, which pushes up the average rating. First, a large share of the IFAD loan and the EU grant (in total approximately US\$23.8 million) was disbursed in one tranche as the first disbursement in January 2010 for seeds. Therefore, even though there were delays in in-country procurement and distribution of seeds and the actual expenditures occurred later and over a longer period, such peculiar disbursement practice distorts the average. Second, the IFAD financing for IRPEP (second sub-project of RaFPEP) is only 9 per cent of the total sub-project cost.
153. INREMP has only disbursed 5.6 per cent of the IFAD loan (as of June 2016) almost three years after entry into force. Aside from start-up delays, the project experienced turnover of staff, delays in procurement of consultants to implement the project, problems in dealing with the LGUs of Bukidnon and Lanao del Sur.
154. **Utilization of resources.** The Philippine portfolio has been good at utilizing most of the available resources despite some of the initial delays and variable disbursement rates (figure 7).

Figure 7
Utilization of project budget and IFAD funds for completed projects



Source: IFAD database, Oracle Business Intelligence. NMCIREMP PCR and PPA. RuMEPP PCR and PPE. RaFPEP supervision mission report. 21st September 2015.

155. **Mobilization of additional financing.** The level of additional resources from various partners was examined for the seven loans and eight projects (treating

RaSSFIP and IRPEP under separately). The analysis shows that, the co-financing was on average US\$2.66 for every dollar IFAD has invested. This is notably higher than the corporate target of 1:1.6 ratio. It should be noted, though, that INREMP, with US\$100 million co-financing by ADB, significantly pushes up the figure, and in this case, it would be more correct to say that ADB leveraged resources from IFAD rather than the other way around.

Table 10
Co-financing mobilization

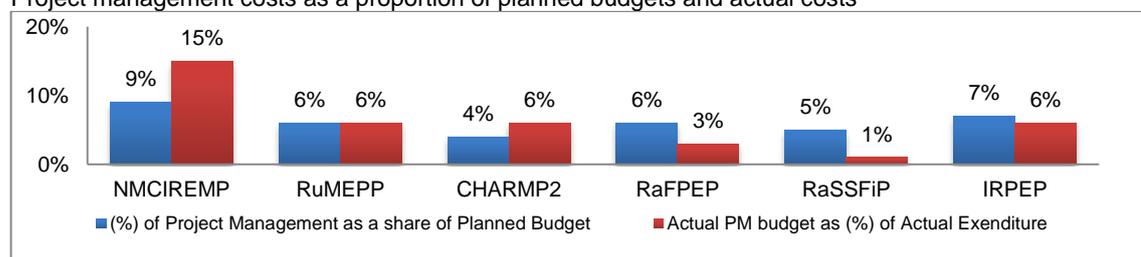
	Total project budget or actual costs (USD mn)	IFAD funding (USD mn)	Leverage ratio	Comment
NMCIREMP (actual, PPA)	23.6	13.9	1:1.7	
RuMEPP (actual, PPE/PCR)	25.2	18.9	1:1.3	Co-financing mainly by SBC and MFIs
CHARMP2 (budget)	56.4*	27.1	1:2.08	Co-financing mainly by OFID and LGUs for infrastructure
RaFPEP-RaSSFIP (budget)	25.25	14.5	1:1.74	Co-financing by EU grant (about US\$10 million)
RaFPEP-IRPEP (budget)	21.9	1.35	1:16	Very low IFAD financing. Co-financing by national government and LGUs
INREMP (budget)	154.1	20	1:7.7	ADB co-financing US\$100 mill
CONVERGE (budget)	52.5	25.0	1:2.1	
FishCORAL (budget)	43.5	30.65	1:1.42	
TOTAL	402.5	153.31	1:2.66	

* After deduction of US\$10 million of ADB co-financing which has been cancelled.

156. **Project management costs.** Most projects have generally kept their operating costs below the budgeted amount except in the case of NMCIREMP where this proportion exceeded the allocated amount and was 15 per cent of total actual cost. Overall the record of the Philippine country programme fares very well when compared to other countries.¹¹⁶

Figure 8

Project management costs as a proportion of planned budgets and actual costs



Source. All Appraisal documents, NMCIREMP PCR, RuMEPP PCR. CHARMP2 M&E records as of April 2016; RaFPEP supervision mission report (September 2015)

157. **Benefits.** Benefit cost ratios from different livelihood investments by the SHGs was reported by some of the projects such as NMCIREMP. The PCR for the project noted that aquaculture/fisheries, crop production and vegetable production all yielded positive benefits at 1.47, 1.14 and 1.1 respectively. The same report also indicated that, despite the high incomes from livestock production, the benefit-cost ratio for

¹¹⁶ The IFAD publication, "Effective project management arrangements for agricultural projects: A synthesis of selected case studies and quantitative analysis (IFAD 2014)" indicated that "IFAD's overall project management costs generally ranged between 8-24 per cent of programme costs". The Annual Report on Results and Impact 2014 by IOE included a learning theme of "project management" and indicated that "project management costs average approximately 10 per cent of total project costs in the projects reviewed

pig production was only 0.66 – which seems rather puzzling as this would have meant that the beneficiaries were losing. Nonetheless, the issue of high cost (especially for feed), low returns for pig production was also mentioned by some of the women interviewed by the CSPE. Processing as a means of value-addition had fared quite poorly indicating most likely low quality of products as well as low technology and weak market linkages.

158. Most IFAD projects undertake a financial and economic rate of return at appraisal which is sometimes recalculated at completion. Three of the four projects under review calculated an internal rate of return and estimated a net present value at design, although in the case of RuMEPP this was confined to fiscal impact and not a comprehensive economic and financial analysis. The discount rates used were 8 or 15 per cent. The internal rate of return was estimated in the range between 16 and 30 per cent. At project completion, the NMCIREMP PCR re-estimated it at 34 per cent, 7 percentage points higher than initial estimate. The RuMEPP PCR re-computed the net present value of the fiscal impact as PHP 789 million against the projection at appraisal stage of PHP 878 million, a lower figure initially due to the initial delays in the disbursement to the Small Business Corporation. However, given the early repayment of most of the loan by the Small Business Corporation to the government, the PCR recalculation would not be valid anymore and the figure would be much smaller.
159. While the costs of different partners are recorded, there has not been a reflection on the opportunity cost of participating communities. Many community members spend considerable time in participating in discussion and preparation of the Participatory Investment Plans and other meetings. Also, the returns from different components such as infrastructure, natural resource management, livelihood options, rural finance provision, etc. has not been carefully assessed to identify which of the components yield the greatest return. Projects tend to include a range of many small activities based on the assumption that everything has a comparable value.
160. **Efficiency assessment – summary.** The weakest area of portfolio performance with regard to efficiency has been considerable time lags between design, approval, and effectiveness, and delays in disbursement and implementation progress especially in initial years. On the other hand, there are also positive indications, such as the relatively low proportion of project management costs, the high level of funds utilization at completion despite initial delays. The portfolio is rated moderately satisfactory (4) for this criterion.

Rural poverty impact

161. This section provides an assessment of the projects' impact on rural poverty, specifically for the following impact domains: (i) household income and net assets; (ii) human and social capital and empowerment; (iii) food security and agricultural productivity; and (iv) institutions and policies.
162. The analysis on the poverty impact of projects is often challenging due to the paucity of data. Table 11 summarises the surveys undertaken in the four projects. More detailed description of some of these surveys is provided in annex XII. Even when impact surveys have been undertaken, often there are methodological issues, hence doubts on the reliability of data. In light of these limitations, the assessment is informed by triangulation of data and information from different sources.

Table 11
Overview of available data related to baseline data, outcomes and impact

	Baseline	Outcome/impact assessment surveys, other data and reports	Notes, additional information
NMCIREMP		Immediate impact assessment (2011, prior to PCR)	IOE PPA (2012)
RuMEPP	2010	RIMS survey (2012) Outcome surveys (2011 and 2012)	IOE PPE (2016)
RaFPEP		Inventory report 2015; functionality survey on IAs (annual)	
CHARMP2	2010	RIMS survey at mid-term (2012) BPMET results web (2015)	BPMET results web – piloted in one barangay

BPMET: Barangay Participatory Monitoring and Evaluation Team

163. ***Household income and net assets.*** There are indications of the projects' contribution to increased household incomes, even though it is difficult to be conclusive about the magnitude and extent. The available survey data are often not reliable and also inconsistent.
164. **The NMCIREMP PPA assessed the project impact on household income and assets as satisfactory.** The PPA noted that, while an increase of 19 per cent in real net incomes reported in the impact assessment and the PCR might be excessive, there was sufficient evidence from other sources indicating an increase in net income of at least 5 per cent. Productive activities by/through SHGs were thought to have played a role, although SHG activities always did not directly lead to increased household incomes. For example, animal husbandry activities or vegetable production may have contributed more to household food security and diversified food intake, but not necessarily incomes.
165. **In RuMEPP, the project contributed to increased incomes of participating microenterprises as well as job creation, but the extent is not known.** The available data are inconsistent between different surveys, all of which had some methodological issues. The 2016 impact evaluation indicated that none of business profits, sales, assets or employee counts showed significant improvements among beneficiaries compared to the control group, but that commercial land ownership improved. On the other hand, two outcome surveys administered by RuMEPP provided more positive pictures based on "before" and "after" situations with memory recalls. Nonetheless, there is some consistency in reported results from different sources and the PPE that increases in income and profitability of beneficiary microenterprise are likely to have occurred. It is also difficult to assess the level of project contribution, due to multiple factors, including other complementary support (e.g. provision of small equipment and machinery), varied intensity of RuMEPP support, readiness and maturity of microenterprise at the time of RuMEPP support.
166. Successful and growing microenterprises supported under RuMEPP led to job creation, full-time or part-time. Those jobs created, in particular for non-family members, have contributed to increased incomes for them – either in terms of better pay, more regularity in pay, new or diversified income sources.
167. **Investment in irrigation development has contributed to an increase in rice production, which would have improved incomes** either by being able to sell more, or in an indirect way, by saving part of the money which had to be spent on buying rice. Irrigation development was supported under NMCIREMP, CHARMP2 and RaFPEP-IRPEP.

168. **There is insufficient evidence of CHARMP2 impact on household incomes**, even though it is approaching the completion. Available survey reports¹¹⁷ do not provide any concrete evidence of impact in this regard. It should also be noted that the implementation of most activities which could directly impact on the household incomes (in particular, support to LIGs) got expedited only in 2014. According to the interviews by the CSPE team with more than 130 women and men from 9 LIGs of CHARMP2, 20 per cent of those interviewed indicated some increase in their incomes in the range of between 5 and 30 per cent. Only a few LIGs had been successful in increasing the income of their members.
169. **Improved rural infrastructure such as roads is most likely to have had positive impact on incomes**, as well as access to services. Although there has not been an attempt to assess this and there is no data, the testimonies from the field were quite consistent. In particular, NMCIREMP and CHARMP2 financed such investments. Farm-to-market roads, footpaths and footbridges are likely to have improved physical access to markets and reduced transportation costs and time.
170. **The data on household assets is limited**, but for many households, the first priority for use of additional incomes appears to be children's schooling and meeting the basic needs, over acquiring assets. This emerged as an almost unanimous view among many households through discussions in the field. In the case of RuMEPP, most of the microenterprises met by the PPE team reported increased business assets, but often this was due to other complementary initiatives (e.g. provision of small equipment for food processing).
171. ***Human and social capital and empowerment.*** The cornerstone of almost all projects in the portfolio has been capacity building of beneficiaries, both individual skills and supporting them to organize and strengthen their institutions. The efforts to strengthen collective/organizational capacity covered organizations such as cooperatives, SHGs, LIGs, IAs (see table 8 in earlier section).
172. **NMCIREMP, RaFPEP and CHARMP2 have successfully promoted a greater role of the communities in prioritizing community infrastructure needs and their operation and maintenance.** In NMCIREMP and CHARMP2, the communities also actively participated in the supervision and monitoring of schemes during their implementation, in the form of "Community-based Operation & Maintenance Monitoring and Evaluation Teams" in NMCIREMP (160 reported) or "Barangay Planning, Monitoring and Evaluation Teams" (known as BPMET) in CHARMP2.
173. The CSPE team noted in the field visits that communities continued to maintain the infrastructure which was key for their survival such as the domestic water supply schemes and irrigation facilities provided there was no major damage or substantial costs entailed in the process. IAs in the Philippines present an excellent model for participatory irrigation management with the concept of cost recovery well-embedded. The investment in rehabilitating CISs has served the purpose of further strengthening these IAs.
174. **The portfolio has been strong in supporting the rights of indigenous peoples, but with mixed achievements.** In NMCIREMP, the process of securing the titles empowered the communities to undertake culture-based resource management and resource-based income generating interventions. The success in Northern Mindanao has not been repeated in CAR, where different population patterns have led to prolonged boundary disputes while there were also challenges with institutional framework, inconsistent interpretation and application of policies

¹¹⁷ RIMS report at mid-term in 2012 and 2015 outcome survey. In any case, the 2012 RIMS report noted that "no significant movement in the wealth quintiles was expected to have resulted from the implementation of the project since implementation was only just starting in earnest. If there are differences or apparent movements, these may not be directly attributable to CHARMP2 project intervention." If this was a caveat, it is puzzling why the survey was undertaken at all.

and regulations (also see box 4). Nevertheless, CHARMP2 assisted communities in becoming more aware of their rights on the land and mechanisms of negotiating with the LGUs and the private sector in the exercise of those claims.¹¹⁸ Another notable achievement in NMCIREMP was increased representation of tribal leaders in local development councils, which "had a significant impact both on them and on the communities they serve."¹¹⁹

175. **With regard to impact on rural people's organizations and social capital, there is need to recognize distinct functions and constraints of different types of organizations** (e.g. community institutions, people's organizations, SHGs and LIGs, IAs), although some of these tend to be lumped together in the reporting. Even the groups carrying the same name like "SHGs" can vary in terms of how they are set up and function. Group formation may well be driven by the opportunities to access project services and funding, in particular in the case of SHGs and LIGs.
176. **The PPA of NMCIREMP reported that the level of both individual and broader social capital development through the SHGs was considerable** and that the majority of them were found to be still operational then. Discussion by the CSPE team with some of the NMCIREMP communities revealed that some SHGs and community institutions supported by the project, though the survival rate is unknown, still play a role in undertaking development activities. Some serve as entry points for another development project.
177. **SHGs/LIGs which had been mostly created by the projects for the delivery of training, inputs or financial resources are of variable quality**, especially if the expectation was for them to sustain the groups to engage in productive, enterprise and/or marketing activities collectively. Existing studies do not explore their distinct features sufficiently for lessons to be drawn about in which cases what kind of "group" form can serve well and can have positive impact, and what factors may support or hold back success. As for LIGs in CHARMP2, from the CSPE team's interaction and observations in the field, the sign of rushed implementation and "project-driven" group formation was evident.
178. As for "people's organizations" with legal status which are larger than SHGs/LIGs, the NMCIREMP PPA¹²⁰ noted that with limited capital and skills coupled with leadership conflicts, the path to organizational maturity did not seem to be accessible to many community institutions, and consequently there was a degree of dependency on external support agencies. These findings are in line with the CSPE team's observations in the field.
179. **Among the diverse types of organizations supported in the portfolio, IAs are the best performing.** The annual surveys on institutional strengths of IAs conducted in RaFPEP-IRPEP show improvement in the scores over years.¹²¹ A review by the CSPE mission of the records of 10 IAs supported by RaFPEP-IRPEP and CHARMP2 showed that they had a good system of governance and management with good participation of the members, good collection rates of irrigation service fee and maintenance of the channels. Some were also undertaking other philanthropic activities and social events in the communities. A

¹¹⁸ CSPE team discussion with community members in Bayyo Barangay in Mountain Province.

¹¹⁹ "As local development council members, they are directly involved in local decision-making and are able to advocate for their communities. This has meant that these leaders have been able to convince government agencies to invest in local infrastructure and programmes, thereby strengthening their governance capacity and confidence. The signing of 15 intra-tribal and three inter-tribal coalition agreements involved meetings between entire communities of tribes, which had a significant impact on all sectors of the community in terms of raising knowledge of indigenous people culture and of inter-tribal negotiation and action. The outcome of such forums has been agreements on land boundaries and, inter alia, on land titling and establishment of nature reserves." (NMCIREMP PPA)

¹²⁰ Northern Mindanao Community Initiatives and Resource Management Project. Project Performance Assessment November 2012. Report No. 2751-PH IFAD

¹²¹ In 2015, 97 of 109 IAs (88.9 per cent) were rated "satisfactory" or "outstanding", which was an improvement from the previous year and surpassed the IRPEP target of 60 per cent.

clear and well-recognized mandate, the existence of institutional home and ongoing support by the National Irrigation Administration (NIA), the centrality of irrigation systems to "survival" for cultivators may be among the key factors for their good performance.

180. **In summary**, the portfolio has achieved good impact on human and social capital and empowerment, especially in terms of individual skills and capacity for economic activities, as well as empowering the communities to effectively participate in local-level planning, implementing and monitoring of development activities, infrastructure maintenance, integration of tribal leaders in local development councils where indigenous peoples are minority (northern Mindanao under NMCIREMP), and strengthening of IAs. Impact on the capacity of beneficiaries' organizations to engage in productive, enterprise or marketing activities seems to be mixed, also depending upon various factors.
181. ***Food security and agricultural productivity. The NMCIREMP PPA concluded that overall project impact on food security and agricultural productivity was variable across different communities and tended to be modest***, even though there was positive impact especially through its irrigation and potable water subprojects, which increased water for crops and livestock.
182. **RaFPEP-IRPEP has had positive impact on agricultural productivity and food security.** All regions reported an increase in yields as a result of the irrigation investments in conjunction with (though not in all cases) the use of better seeds. The records on average yields in CIS supported by RaFPEP-IRPEP and general statistics are provided in table 12. The 2014 data from the project are comparable to or lower than the national data on average yield in irrigated areas. This is not surprising, as the national data include different types of irrigation systems (i.e. national irrigation systems, CIS, private) and hence, the average figures are expected to be relatively higher than the average of only CIS. Perhaps the important indicator is the change in the yield between 2011 and 2014 in RaFPEP-IRPEP supported CIS compared to the national average.

Table 12

Data on average yield: national data and RaFPEP-IRPEP data (tons/hectare)

	2011	2012	2013	2014	Change 2011-2014
Data on CIS performance supported by RaFPEP-IRPEP by region					
Region VI	3.75			4.28	+14%
Region VIII	3.43			4.00	+17%
Region X	3.15			4.64	+47%
Statistics - national					
Average: only irrigated areas	4.02	4.24	4.27	4.43	+10%
Average: rainfed and irrigated	3.68	3.84	3.89	4.00	+8.7%

Source: Mini Surveys. NIA as reported in the RaFPEP. Supervision Mission Report. June 2015. Selected Statistics on Agriculture 2015 (Philippines Statistics Authority)

183. While it is difficult to rigorously compare "with" and "without" project scenarios since the crop yields are affected by so many factors, the results of "mini-survey" and focus group discussions conducted by the RaFPEP-IRPEP supervision mission in June 2015¹²² indicate overall satisfaction of the beneficiaries. Seventy-one per cent of the respondents regarded yield increase "highly satisfactory" and 23 per cent "satisfactory". Ninety-two per cent reported diversified food consumption from two

¹²² It was noted that the participatory assessment was conducted in 3 IAs per region, each from those rated "outstanding/very satisfactory", "satisfactory" and "fair/poor". The PA covered 9 in 4 provinces only in the three regions. A total of 234 farmer beneficiaries (Region X – 49, Region VI – 93 and Region X – 92) out of 12,147 IA members, participated in the participatory assessment (144 women).

- types of food groups to three to four types.¹²³ The discussion during the CSPE's field visits largely corroborated such positive picture. No systematic data on benefits from irrigation development is available from CHARMP2, but the reports by beneficiaries of CIS rehabilitation met by the CSPE team also provided positive indications on the impact on agricultural productivity and food security¹²⁴, through increase in areas irrigated and increased cropping seasons.
184. There are project-level data available on food security from CHARMP2, namely from the baseline survey (2010), RIMS survey at mid-term (2012) and the outcome survey (2015)¹²⁵, however there are doubts on their reliability for various reasons.¹²⁶
 185. There is no data specifically on food security by RuMEPP. Outcome/impact indicators concerned mainly incomes, business profitability and job creations. Most of the microenterprises were off-farm, hence the issue of agricultural productivity was less relevant. But in a few selected cases, members of cooperatives engaged in cassava production were linked to marketing arrangements, and the participation in the value chain then led to increases in productivity.
 186. ***Institutions and policies.*** The IFAD portfolio has contributed to improved institutions and policies in various areas. Perhaps the most significant and consistent across the projects is **the contribution to enhancing the way government agencies and LGUs work on rural development initiatives and how they work with the rural poor.** This includes participatory approach for development planning, implementation and monitoring, in tandem with the efforts to strengthen organizations of the rural poor to be able to effectively participate in such process. All projects worked with and through LGUs, but this was done in the most comprehensive and integrated manner in NMCIREMP and CHARMP2. RuMEPP did not have an explicit focus on "community" based approach as such, but it contributed to DTI's increased focus on microenterprise development and led to launching of a number of major initiatives. One agency with an important role but was challenging to work and influence with was NCIP.
 187. Another important aspect has been how the projects have contributed to enhanced collaboration and "convergence" among different government agencies, LGUs and non-public actors, as shown in table 13. What could have complicated the implementation and processes with many agencies involved has worked well in the Philippines. From the interviews by the CSPE team, there was actually a general appreciation for collaborative working arrangements, with the projects serving as a platform for such opportunities.

¹²³ RaFPEP supervision mission report June 2015. Working paper.

¹²⁴ Farmers met by the CSPE in Barangay Bila who had benefitted from the Shalmekan and Patang Cayapas irrigation systems reported a doubling of their area under the rice crop as a result of which they were buying only 30 per cent of their rice requirements, significantly reduced from previous 70 per cent. Their vegetable production has also doubled. They sell most of the vegetables but they also kept some for home consumption. Members of the IA in Mabilong Barangay in Lubuagan Municipality in Kalinga Province reported that they could double crop rice due to increased availability of irrigation water and their rice yields had also increased. They did not have to buy rice to meet their consumption needs and some households even had a surplus. However, many of the LIGs had also invested in livestock production particularly, pigs, goats and poultry. These households reported an increase in their consumption of livestock products.

¹²⁵ Outcome Survey. CHARMP2. ASCEND 2015.

¹²⁶ The RIMS survey in 2012 for CHARMP2 indicated that the percentage of respondents who experienced the first hungry season increased from 8 per cent in 2009 to 13 per cent 2012, but reduced for the second hungry season from 4 per cent in 2009 to 2 per cent in 2012. In the 2015 outcome survey for CHARMP2, almost all respondents said that they were able to feed their families three square meals a day and the report noted that this was a progressive increase since the baseline study. However, it is not clear if the results from the two surveys are comparable, and in any case, it is doubtful that these changes can be attributed to CHARMP2 given the delay in its implementation.

Table 13

Collaborations among different partners in projects (not including oversight agencies)

<i>Project</i>	<i>Main lead agency</i>	<i>Main implementing partners</i>	<i>Other collaborating partners*</i>
NMCIREMP	DAR	LGUs, NGOs	NCIP, DA, DENR
RuMEPP	DTI	SBC, MFIs, BDS providers	LGUs, DOLE, DOST, DA, DENR
CHARMP2	DA (CAR Regional Office)	LGUs, NCIP	DENR, DTI, CIP, IRRI
RaFPEP-RaSSFIP	DA, NFA	BPI-NSQCS	LGUs
RaFPEP-IRPEP	DA, NIA	ATI, NFA, LGUs	CIP

ATI=Agricultural Training Institute; BPI-NSQCS=Bureau of Plant Industry- National Seed Quality and Control Services; CIP=International Potato Centre; DA=Department of Agriculture; DAR=Department of Agrarian Reform; DENR=Department of Environment and Natural Resources; DOLE=Department of Labour and Employment; DOST=Department of Science and Technology; DTI=Department of Trade and Industry; LGU=Local Government Unit; NCIP=National Commission on Indigenous Peoples; NFA=National Food Authority; NIA=National Irrigation Administration; SBC=Small Business Corporation

* Including those that were not initially planned for but linked up as opportunities emerged

188. **Another area of notable contribution, especially in earlier projects, relates to processes and policies around indigenous peoples.** First, NMCIREMP made contribution to improving the representation of tribal leaders in local development councils.¹²⁷ The IPRA of 1997 already included a clause that indigenous peoples should be represented in local government bodies but this had not been widely followed. NMCIREMP supported its implementation and the preparation of guidelines in this regard. These guidelines, prepared specifically for the project, reportedly later served as a basis for the national guidelines on mandatory representation of indigenous peoples prepared by NCIP in 2010¹²⁸ and also led to the issuance of memorandum circular by the Department of the Interior and Local Government in 2010 (1 seat for indigenous peoples).¹²⁹
189. Second important area of the work with indigenous peoples has been on land titling, with mixed results as noted earlier. The NMCIREMP PPA considered the project achievements in this area "of national significance", involving a series of innovations in both policies and implementation guidelines for land tenure processes in indigenous people areas. CHARMP2 attempted to follow this success but so far very little result due to numerous challenges. The project design proved to be unsuccessful in forging a working partnership with NCIP.
190. **The RuMEPP experience and the work under its policy component have contributed to improved public support for microenterprise development and some policy changes,** although the causality is difficult to establish. This includes the passing of the so-called "Go *Negosyo*" Act¹³⁰ in July 2014, as well as the "SME Roving Academy" operated by DTI on a module-based approach over a period of time, for which the network of private BDS providers and partnerships with other actors such as LGUs and chamber of commerce developed under RuMEPP are being utilized.

¹²⁷ The NMCIREMP PPA reported that to support coalition-building among tribal groups, the project facilitated the signing of 15 intra-tribal and three inter-tribal coalition agreements.

¹²⁸ NCIP Administrative Order No. 001, s. 2009 National Guidelines for the Mandatory Representation of Indigenous Peoples in Local Legislative Councils Date Filed: 04 March 2010

¹²⁹ Interviews by the CSPE team with NCIP and DILG representative in northern Mindanao.

¹³⁰ Republic Act 10644: An Act Promoting Job Generation and Inclusive Growth through the Development of Micro, Small and Medium Enterprises. The highlights of this Act include: the establishment of "*Negosyo* Centers" in all provinces, cities and municipalities to promote "ease of doing business and facilitate access to services for MSMEs within its jurisdiction; promotion of technology transfer, production and management training, and marketing assistance for MSMEs; establishment of a Philippine Business Registry Databank under DTI to serve as a database of all business enterprises in the country; establishment of a Start-up Fund for MSMEs "to provide financing for the development and promotion of MSMEs in priority sectors.

191. **On the other hand, opportunities for RuMEPP to influence the quality of MFIs' services were missed.** There is little evidence that the credit lines for micro-lending improved access to finance for first-time borrowers or for other microenterprises who would not have had access otherwise, or that the programme induced the introduction or improvement of financial services and products that better suit the needs of microenterprises, except for a few cases reported. On the former point, this is also due to lack of data, for example, on first-time borrowers or start-up or existing microenterprises.
192. ***Rural poverty impact - summary.*** The impact from some interventions has been notable in particular with regard to the "institutions and policies" and by "human and social capital and empowerment". The impact on agricultural productivity and food security is visible in particular from support to irrigation and but less clear from other interventions. As for household incomes, successful cases are certainly there, such as growing and new microenterprises, livelihoods and income generation activities, irrigation, better linkage with markets in some cases, but there is inadequate data to be conclusive about the extent and magnitude that was achieved. Given the general tendency of spread of project resources and low intensity of investment, it may be difficult to expect impact on poor rural households on any appreciable scale. Combined together, overall rating for rural poverty impact is moderately satisfactory (4).

Sustainability of benefits

193. This section assesses the likely continuation of benefits that were generated by the projects beyond the phase of external funding support. The main areas for which the sustainability of benefits is assessed are: (i) collective capacity of beneficiaries and their organizations; (ii) physical infrastructure; and (iii) pro-poor institutions and approaches of partners to work with the rural poor.
194. ***Beneficiary organizations.*** The discussion on the sustainability of collective capacity and activities of beneficiaries' organizations needs to distinguish different types of organizations. The assessment also makes a distinction between continuation of organizations/institutions and their enterprises activities.
195. **Organizations such as IAs with a clear mandate and legal status¹³¹ have high likelihoods of growth and sustainability.** Several factors work in favour: a clear institutional home (NIA), continuous supervision and support by NIA, regular incomes to support the operations and maintenance (irrigation service fees), and the centrality of irrigation systems for their livelihoods.
196. **The assessment of sustainability of community institutions and people's organizations is mixed.** The NMCIREMP PPA was overall favourable on this, especially water and irrigators' associations and tribal associations. The cooperatives were found to be still functional by the PPA, in some cases growing. But in PPA's view, it was not clear to what extent these cooperatives could go a step further and be engaged in more diverse and sophisticated enterprise activities, which would require different sets of skills and capacity, such as the ability to meet the market demand, negotiating with the private sector, requirement of machinery and equipment. The CSPE has made similar observations on people's organizations (including cooperatives) supported in CHARMP2. The growth and sustainability of cooperatives or other people's organizations would vary depending on various factors, but as long as there is assistance by the Government or other development

¹³¹ IAs have registered mostly with the Securities and Exchange Commission, although a few have registered with other agencies e.g. the Department of Labour and Employment. Securing a registration gives the associations a legal identity and enables it to officially levy an irrigation service fee from each member, acquire water permits, and enter into contracts with NIA and other agencies.

partners, for which often legal status is needed for eligibility,¹³² their activities may be sustained at certain level.

197. **The sustainability of SHGs and LIGs is less certain and more variable**, even though the lines between these groups and larger "people's organizations" are not always clear and some can be "hybrid". The form and extent of "collectivity" for economic activities vary: in some cases productive activities may be managed as a group, in other cases, groups only serve as a channel for funds disbursement, with productive activities managed by individuals, and sometimes, marketing efforts in groups. Without clear advantages of belonging to a group and undertaking economic activities as a group, their sustainability per se will be a challenging proposition.
198. NMCIREMP developed a tool called SIHIGA for assessing maturity of self-help groups and according to the assessment using this tool, PCR indicated that 91 per cent of SHGs assessed in 2009 was considered to be "mature", but there is no updated data, also because there is no institutional home for groups such as SHGs. The CSPE team's interaction with former project beneficiaries provided a mixed picture, with the groups having discontinued with the raising of poultry or goats or pig distributed to them (especially collective ones), due to a variety of reasons.¹³³ The NMCIREMP PCR has reported 10.3 percent of the 418 PAF-financed sub-projects sampled were economically viable,¹³⁴ although this seems inconsistent with the reported 91 per cent of "mature" SHGs.
199. The likelihoods of CHARMP2-supported LIGs' continuing with livelihoods/enterprise activities seem even less certain. Based on the records and the CSPE team's field visits, the sign of rushed implementation, presumably under pressure to meet the targets, was apparent: many groups have been formed in haste and often with the prospect of accessing funds, rather than out of shared appreciation for the value of groups for certain common purposes which should be much broader than the project. However, if the main purpose of groups was understood to be a temporary project service delivery channel, then, the debate on their continuity would become rather irrelevant. At present, there is little clarity on the purpose of directly providing project funds to groups as "grants" (or loans to be converted to grants) or what should be expected from groups like SHGs and LIGs.
200. Both NMCIREMP and CHARMP2 have devised tools and mechanisms to assess the maturity and viability of groups. In CHARMP2, such assessment informs the decision of converting (or not) the "loan" provided to the specific group to a "grant". While this may indicate some attention to the issue of sustainability, it is even more important to have a clarity of what is expected of these groups, and if they were to serve as a vehicle for economic and social empowerment of members, then, to have a strategy at the onset to lay the ground for better likelihoods of sustainability of such groups.
201. **Despite the above, benefits from supporting beneficiaries' organizations are accrued and will continue at different scales and level** (household or collective), ranging from skills learned from training, experience in income generating activities (individual or collective, success or failure), to develop into mature organizations that can play a greater role in their own development.
202. **Benefits from physical infrastructure. There is a very good prospect for the rehabilitated irrigation facilities to be maintained.** Under RaFPEP-IRPEP, the

¹³² For example, DTI's Shared Service Facility which provides small equipment and machinery to groups, or sub-projects identified under the Bottom-up Budgeting initiative.

¹³³ Including insufficient livestock production support, urgent need for cash (addressed by selling of animals), a disease outbreak (poultry), and inability to afford the high cost of feeding and low profitability for piggery.

¹³⁴ Issues mentioned included lack of availability of inputs; low quality of products; limited markets; lack of value addition; low technology usage and high labour input; and the limited financial resources of participants especially lack of working capital. The lack of easy opportunities, unwillingness and inexperience to borrow from the formal banking sector has curtailed the growth and diversification of off-farm livelihoods (NMCIREMP PCR).

collection rates of irrigation service fees in IAs have increased and their institutional and governance capacity has improved due to project support. The important risk, however, would be natural disasters that may cause damage beyond IAs' capacity and would require public support for repair.

203. **Also for other types of public infrastructure, the likelihoods of sustainability appear to be good.** These include roads, domestic water supply schemes, footbridge, footpath and community buildings. The positive factors include: (i) community ownership derived from the participatory process (needs identification and involvement in supervision of works¹³⁵), resulting in voluntarism for operations, maintenance and minor repairs; (ii) systems of fees collection where relevant (e.g. for domestic water supplies, with Barangay Waterworks and Sanitation Associations); and (iii) commitment by LGUs. As for the last point, the NMCIREMP PCR indicated that a majority of the LGUs had also taken steps to adopt resolutions to provide O&M funds for the schemes. The PPA reported that whenever a repair is beyond the capacity of the barangays, the municipal LGUs take care to ensure that the facilities are in good working order, mainly due to the policy of converting grant funds to loans if the facilities are not maintained properly. The continuing maintenance with support by LGUs was confirmed during the CSPE team's visit to NMCIREMP area, including physical inspection, although limited.
204. Despite a reasonable likelihood of sustainability of various infrastructures, questions have been raised about the quality and durability in some cases. The NMCIREMP PPA noted that LGUs suggested the use of more durable construction material, particularly for roads affected by heavy rain. In CHARMP2, due to the ceiling on unit cost imposed by the existing Government standards (PHP 2.75 million per km for farm-to-market roads), only spot improvements were undertaken through concreting, while intermittent road sections were provided with gravel courses. These gravel sections were observed to be prone to early deterioration and were not appropriate in CAR's steep and rolling terrain.¹³⁶ At the same time, it was also reported that, to mitigate this situation, some LGUs were using resources and drawing on programmes of other national agencies to improve the farm-to-market roads, which is a positive sign.¹³⁷ Given the country's vulnerability to natural disasters, it would be important to design infrastructure schemes and use materials which are appropriate and to institute a mechanism to set aside funds which can be used for the rehabilitation and repair of schemes for emergency purposes.
205. ***Pro-poor institutions and approaches.* In general, the prospect for sustainability of pro-poor institutions and approaches supported by the projects is favourable.** In the CSPE's team's view, this is mainly due to overall supportive policy, legislative and institutional framework in the country. The rural sector assessment scores conducted for the purpose of IFAD's performance-based allocation system have consistently relatively high (4th for 2012-2014) in the region, after Thailand, China and Vietnam.
206. The projects have tended to work through LGUs and strengthen the collaboration between many government line departments. This is fully in line with the government's National Convergence Initiative. The focus on LGUs is also likely to continue through the "Bottom-up Budgeting" process.¹³⁸ With this, aside from

¹³⁵ In NMCIREMP, 160 Community-based Operation & Maintenance Monitoring and Evaluation Teams (COMMET) were formed at barangay level. CHARMP2 follows the similar concept and has supported Barangay Planning, Monitoring and Evaluation Teams (BPMET). These names may be somewhat misleading, as these teams function mainly to supervise the infrastructure works, rather than participatory monitoring and evaluation of overall activities.

¹³⁶ "Due to these steep gradients, the onset of even the first rain washes away the binders and the gravel surface." Supervision Mission Report. March 2015. CHARMP 2. IFAD.

¹³⁷ CHARMP2 supervision mission report, March 2015.

¹³⁸ This was introduced as a participatory "bottom-up" approach to the preparation of national budgets, to identify local priorities for poverty reduction initiatives and basic public projects. (Budget and Management Secretary Florencio B. Abad. Official Gazette. 19 January 2012.)

delivering basic social services, the LGUs are expected to "also become income-generating hubs for growth that develop industries to provide jobs and livelihood for their people."¹³⁹ Since its introduction, the allocation for the Bottom-up Budgeting has been scaled up.¹⁴⁰

207. All IFAD-financed projects have spent considerable efforts on strengthening and institutionalizing participatory development processes. There seems to be a reasonable basis and conducive environment to sustain such approaches, also with increased Government funding through LGUs. The appreciation for the participatory development approach promoted by the projects was mentioned by many working in the field. In a barangay previously supported by NMCIREMP, the barangay development plan prepared under the project still served as a reference document. In CHARMP2, investments identified under participatory project investment plans have been taken up by Government via bottom up budgeting. The challenge would be the human and financial resources, technical skills and time to undertake the participatory planning processes, for example, to update the plans without external project support. The lengthy and extended approach taken under CHARMP2 may be difficult to be sustained and replicated in LGUs in normal settings.
208. The CSPE team's interviews indicates that one of the key factors for enhancing the sustainability of improved institutions and approaches after the project closure is the strategic use of external partners and consultants, while the driving force rests with the respective implementing public agencies and LGUs. Collaboration with NGOs under NMCIREMP (for community mobilization) and in initial phase of CHARMP2, have worked reasonably well, but in general, the preference seems to be in-sourcing to retain the improved capacity, or directly contracting individuals, who are also absorbed into the system after the project, as has been the case in RuMEPP.
209. ***Sustainability of benefits – summary.*** In view of generally positive indications for sustainability of benefits in various areas, the CSPE team rates this criterion as satisfactory (5). It should be noted that this rating is justified, particularly if one lowers the expectation that may have been inappropriately developed, i.e. that beneficiary groups such as SHGs/LIGs would/should continue with collective enterprise activities. It should also be recognized that it would not be reasonable to expect rural infrastructures to be managed only by communities (or LGUs).

B. Other performance criteria

Innovation and scaling up

210. **Innovation has benefitted ways of working on projects.** The IFAD country office has some claims to innovation in the portfolio, and these are put forward in a recent publication.¹⁴¹ Nine candidates, including those emerging in grants, are listed:
- Revitalizing indigenous leadership – a new initiative under NMCIREMP
 - The covenant approach to forest management - developed under CHARMP2
 - Poverty Alleviation Fund – originated in NMCIREMP, adapted in CHARMP2
 - School on air – adapted locally under CHARMP2
 - Local farmers as organizers of IAs adapted under IRPEP
 - Community based seed systems – adapted by IRRI-CURE grant
 - Payment for watershed services – ICRAF origin, tested under RUPES grant
 - Farmer Business school – CIP origin, adapted by FoodStart grant
 - Participatory 3-dimensional mapping - adapted for ancestral domain mapping

¹³⁹ Budget and Management Secretary Florencio B. Abad. <http://www.dbm.gov.ph/?p=12158>. March 2015.

¹⁴⁰ It is reported that BuB has expanded in 2016 to include 14,300 poverty-reduction projects to cover for different social services in 1,590 cities and municipalities nationwide in the 2015 National Budget. (Official Gazette. March 25, 2015).

¹⁴¹ IFAD 2014, Moving up innovations to scale. IFAD, Manila

211. Of these, the first three are new initiatives developed and also adapted under the projects. The others all consist of adapting an existing idea to local circumstances. Often this was a direct project to project transfer, but in three instances the development was initiated by one of IFAD's regional grants, an example of grant to loan project interaction described further in the next section.
212. **The innovations illustrate some progress along pathways to scaling up.**¹⁴² The country office claims some potential for scaling up in five of the examples (school on air, revitalizing indigenous leadership, the covenant approach, local farmers as organizers of irrigators' associations, and payment for watershed services). These examples are still in the learning phase of scaling up. Lessons have been developed and potential applications identified.
213. The other four are all said to have been scaled up, either by a government department or within an IFAD project. Analysis by the CSPE indicates that in two examples (poverty alleviation fund and farmer business school), IFAD helped create the institutional opportunity to scale up through LGUs working with projects or directly through CHARMP2, when the initiative came originally from CIP. In the other two examples, community-based seed systems and participatory 3-dimensional mapping, the innovations have been leveraged by the Department of Agriculture or by municipalities.
214. A report in 2010¹⁴³ argued that to increase impact from scaling up, would require a better-resourced commitment and greater attention to policy dialogue, knowledge management and dissemination. The examples listed illustrate what has been possible, mainly through the knowledge management mechanisms described later (in the section on non-lending activities), without additional funding and policy dialogue. All are fairly small-scale and technical in nature and reflect what IFAD describes as scaling up activities rather than scaling up results.
215. The projects have been encouraged to share lessons and learn from each other's experience. Whilst the examples are fairly modest, they demonstrate effective use of project financing and knowledge management. Linkage of innovations, scaling-up and policy dialogue or engagement has been less effective, an issue discussed in more detail later in the report. Innovation and scaling up is rated as moderately satisfactory (4)

Gender equality and women's empowerment

216. This section assesses the extent to which IFAD interventions contributed to better gender equality and women's empowerment in terms of women's access to and ownership of assets, resources and services, participation in decision making, as well as the workload balance between men and women.
217. **There have been visible efforts on promoting gender equality and women's empowerment at the project level, resulting in notable achievements.** This was the case even where the design documents were weak on gender issues (e.g. RuMEPP) and despite the fact that the situation of women in the Philippines is considered to be better than many other countries (see section II.A). For example, RaFPEP-IRPEP has been spearheading "Gender-Best Effectiveness Skills Training (G-BEST)" for staff involved in the projects and rolling out to beneficiary training provided to couples (husbands and wives). The country programme as a whole has been effective in highlighting the importance of gender issues also through what is called the IFAD Philippines Gender Network.

¹⁴² IFAD Post-2016 Implementation Brief 2: Scaling up results for impact on inclusive and sustainable rural transformation.

¹⁴³ Part of a study by the Brookings Institution, Scaling up the Fight Against Rural Poverty, An Institutional Review of IFAD's Approach, Global Economy and Development Working Paper 43, October 2010, reported in the COSOP MTR, para 137.

218. In addition, as observed from the CSPE's field visits, many staff of project offices, main government agencies in the field and LGUs are women. The RuMEPP PPE noted that according to the project record, at one time, 42 per cent of the 19 RuMEPP Provincial Officers of DTI were women.
219. Historical project status reports (regular self-assessment of project performance by IFAD) indicate that the portfolio performance has generally been rated very high. The average score of the country on Gender Focus was given a score of 5.06.¹⁴⁴ The average country programme score on gender has been consistently higher than the APR average, sometimes significantly so.¹⁴⁵
220. **The level of inclusion of women in project activities has been very high**, as shown by the sex-disaggregated data on beneficiaries. Women are often in majority in various groups of beneficiaries, in particular, SHGs and LIGs, as well as among existing and potential microenterprises who received business development services.

Table 14

Women beneficiaries in projects and different interventions

<i>Project</i>	<i>Reported number of beneficiaries</i>	<i>Number of female beneficiaries</i>	<i>% of female beneficiaries</i>
NMCIREMP	47,131	23,660	50%
RuMEPP (BDS beneficiaries)*	32,318	25,487	79%
CHARMP2	45,000	21,525	48%
RaFPEP-IRPEP: IA membership	14,812	4,115	29%
RaFPEP-IRPEP: training participants**	17,856	7,303	41%

* Not including beneficiaries who accessed only credits.

** All figures reported in the supervision mission report 2015, but the absolute numbers and the percentage do not tally.

221. Women's membership in IAs is relatively lower compared to other types of groups: 29 per cent of the total membership of 112 IAs supported by RaFPEP-IRPEP, while the monitoring data for CHARMP2 shows higher figure of 43 per cent. In RaFPEP-IRPEP, this figure has substantially increased from 12.8 per cent reported in 2012.¹⁴⁶ The project reports and the discussions in the field with the CSPE team indicate that this has also been the results of raising awareness that members of IAs should be those farmers/cultivators who can actually attend meetings.
222. **The projects provided men and women with opportunities to participate in and benefit from economic activities**, apart from RaFPEP-RaSSFIP which was confined to one-time distribution of seeds. Women were in majority in many groups such as SHGs, LIGs and among microenterprises covered by RuMEPP. In RuMEPP, many of the enterprise models supported by DTI tended to be more interesting to women than to men, such as light food processing and handcrafts, while there were also other enterprises that are more attracting to men such as blacksmith. For new female microentrepreneurs (start-ups) who were either housewives with no or little income generating opportunities or engaged in odd or low-paid jobs such as barangay health workers, the participation in the project provided them new and better sources of incomes.
223. **Women's participation in decision-making processes in different fora has improved**, whether membership organizations or community gathering, due to a combination of encouragement of more participation, exposure and awareness raising, and better knowledge and skills, for example, as noted in NMCIREMP PPA and the CSPE team's observations in the field.

¹⁴⁴ This is averaging the ratings of the four projects over the last five years from 2011 to 2015.

¹⁴⁵ Portfolio Review Report. 2010-2014. October 2015.

¹⁴⁶ RaFPEP 2012 supervision mission report.

224. The NMCIREMP PPA found that women who were formerly confined to tending children and doing routine household chores had assumed the role of becoming leaders of grass roots organizations, which in the past was the domain of men. The PPA found that there was a very strong, and growing, shift of women in leadership roles in the SHGs and community institutions, and in LGU leadership. Men interviewed by the PPA mission said that women were playing a greater role within their families and communities.
225. In IAs which used to be considered more as men's domain, along the increasing membership of women, there has also been a notable increase in women in leadership positions. In 2015, RaFPEP-IRPEP reported 32 per cent of those in leadership positions were women, surpassing the target of 30 per cent. Also, due to their reputation for reliability, often women have been selected as treasurers. Also in CHARMP2, high figures for women in leadership positions were reported for different types of groups: 45 per cent for community groups, 50 per cent for marketing groups, 49 per cent for infrastructure management groups.¹⁴⁷
226. **While no comprehensive data are available, women's increased involvement in productive activities has not brought up a concern about excessive workload for them**, based on the RuMEPP PPE and the CSPE team's field visits. Indeed, women were satisfied with improved opportunities to spend their time on income generating activities. The DTI publication on the project experience also put forward case stories where women microentrepreneurs are helped by husbands and/or engage in enterprise activities together. Most of the women micro-entrepreneurs met by the PPE team also indicated that their husbands were supportive of their business activities and some actively participate and provide labour.¹⁴⁸ RaFPEP-IRPEP promoted the approach of gender-related training taking husbands and wives together for the benefits of households.
227. **There were also social benefits.** NMCIREMP provided support to health and education. The PPA reported that school of indigenous knowledge, arts and traditions ("SIKAT") and literacy classes improved educational opportunities for girls.
228. **Gender equality and women's empowerment – summary.** Given the achievements, the CSPE rates this criterion as satisfactory (5).
- Environment and natural resources management, and adaptation to climate change**
229. This section the extent to which the lending programme has contributed to building resilient livelihoods and ecosystems, and the contribution of the projects to reducing the negative impacts of climate change through dedicated adaptation or risk reduction measures.
230. ***Environment and natural resource management.*** Among the four projects completed or at advanced stage of implementation, NMCIREMP and CHARMP2 have had particularly a strong focus on NRM. Activities and sub-projects included resource management planning (i.e. watershed, lakeshore, coastal and upland areas), sustainable farming and fishery technologies, soil and water conservation techniques, fish sanctuary establishment, erosion control and slope protection and drainage systems, reforestation and agro-forestry.
231. **In NMCIREMP, there were a number of achievements, but more could have been achieved had these activities been initiated earlier in the project**, according to the PPA. The implementation of NRM activities in NMCIREMP was slow owing to the difficulty in identifying suitable subprojects, staff turnover and, in many areas, lower priority accorded. Still, 249 community institutions based resource management plans (e.g. for watersheds, lakeshore and coastal

¹⁴⁷ CHARMP2 supervision mission report No. 3752-PH, June 2015.

¹⁴⁸ RuMEPP project performance evaluation report.

development) were formulated, which led to an increase in the lakeshore and marine protected areas and reforested mangrove sites. Resource assessment and improvement of the environmental management plan for Lake Mainit was reported to have contributed to improved management of the lake's resources.¹⁴⁹ There were some examples of concrete benefits on the ground (e.g. mangrove rehabilitation, fish sanctuaries). The PPA noted that the most effective work of NMCIREMP was at the strategic level, where the project supported detailed planning work for resource management. By supporting multi-stakeholder planning activities, the project encouraged the introduction of resources into fragile ecosystem areas and helped in investment planning for future activities.

232. **Concrete benefits from CHARMP2-supported NRM activities for households and communities are still to be realized.** Under the project, 8,539 hectares of communal watershed have been reforested (with 9,457 people) and 2,166 hectares have been placed under agro-forestry (with 5,237 people). A "green covenant" has been signed between the LGU and the local communities to highlight and build on the traditional practices of sustainable use of natural resources (box 5). It will still take some time for the regeneration of some grasses and other tree species to lead to better conserved watersheds, or for fruit trees to provide incomes.

Box 5

"Green covenant" approach

The 'green covenant' is a multi-party formal agreement among indigenous peoples' reforestation groups or people's organisations, barangay officials, municipal and provincial LGUs. It aims at fortifying commitments to continue and sustain watershed conservation, reforestation and forest protection activities beyond project life. It was part of the CHARMP2's institutional arrangement with provincial and municipal LGU partners in the provision of reforestation and agro-forestry sub-project activities for participating people's organizations from local barangays and communities in the project.

Before reforestation, people's organizations enter into a Comprehensive Site Development Covenant with the project and must complete the first training on nursery management and operation. Afterwards they prepare their respective work and financial plans as the basis for implementing their sub-project. People's organizations receive further training including financial management, forest management and other NRM topics such as adoption of 'traditional' forest protection, enforcement and rehabilitation practices of local indigenous peoples' groups. Maps were prepared for these reforestation sites. These arrangements were later presented to the municipal LGUs for integration and adoption to local plans and subsequently for support from the provincial LGUs.

The 'green covenant' outlines the "collective responsibilities" and commitment of different parties towards restoration of the communal watershed/ancestral lands within the identified barangay under the project's reforestation programme. The 'green covenant' triggered commitments from the 5 provincial governments (i.e. Abra, Benguet, Ifugao, Kalinga and Mt. Province) with the formulation of LGU agroforestry and reforestation sustainability plans that provided additional PHP 14.8 million funding support to sustain reforestation and watershed conservation activities by the indigenous peoples' reforestation groups in the area even after project support. The sustainability plans which serves as a continuation of their 'green covenants' with the local stakeholders will guide the Provincial LGU in sustaining the agroforestry and reforestation subprojects and replicate lessons learned in CHARMP2 implementation.

The innovative aspect of this 'green covenant' which is a precondition for the implementation of the project's reforestation sub-projects is that it facilitates the recognition of the ancestral lands/claims of indigenous peoples while implementing watershed conservation and forest protection activities, including indigenous forestry management systems, and securing the commitment and support of LGUs to the indigenous peoples' communities conservation initiatives. The 'green covenant' also showed the value of participatory governance in responding to priority local community needs and improving government delivery of basic services in the community.

¹⁴⁹ NMCIREMP PPA report (2010)

The 'green covenant' also ensured 'community and local ownership' under a 'co-management' arrangement between indigenous peoples' communities and LGUs of watershed management and conservation activities within ancestral lands. Through the formal and institutional engagement and long-term commitment of provincial and local LGUs in community-based forest management, the 'green covenant' elevated the 'co-management' approach in the community-based forest management strategy adopted by the country in 1995 under Executive Order 263 as the Philippines' national strategy for sustainable forest management.

As such, the 'green covenant' could be used as a template to improve the implementation of the DENR's national greening programme that was started in 2013 and which also relies on community participation and mobilization in implementing and managing watershed conservation, reforestation and forest protection to 1.0 million hectares of the country's denuded forestlands

233. Given the strong focus but modest achievements especially also in earlier projects (e.g. NMCIREMP), the performance in the area of environment and natural resource management is rated as moderately satisfactory (4).
234. ***Adaptation to climate change. The dimension of climate change adaptation was not explicitly identified in earlier projects, but a number of activities undertaken are relevant.*** Such activities have included training and capacity building of farmers on sustainable NRM practices, soil and water conservation techniques and disaster risk reduction. FFS organized under NMCIREMP, CHARMP2, and RaFPEP-IRPEP also covered as crop rotation, palay check, water control and management, etc. which were identified as part of climate adaptation measures for agriculture and food security under the Philippine's National Framework Strategy on Climate Change. The earlier projects were not explicit on climate change, also because IFAD developed a Climate Change Strategy in 2010.
235. Discussion of the CSPE mission with the engineering staff of CHARMP2 and LGUs indicated that for better adaptation to climate change, the design and construction of rural infrastructure sub-projects were strengthened through use of stronger concrete mix for roads, drainage and storm run-offs, retaining walls and ripraps, use of 'coconet' or bio-engineering for slope protection, concreting of outlet canals, etc. to minimize potential damages that might be caused by flash-flooding, rain-induced landslides and soil erosion brought about by droughts. However, given the budget ceilings established for the roads, this could not be undertaken in all cases. Discussions with the NIA staff and representatives of IAs in RaFPEP-IRPEP indicated that in the construction of some of the irrigation channels specific techniques for enhanced resilience to weather changes were also used where feasible such as grouted riprap scour protection works and planting of "mahogany" trees along the riverbanks. Adoption of bio-engineering methods like the use of "coconets" and planting of vitiver grass for erosion control along steep slopes was also used.
236. Projects have not systematically recorded the impact of their investments in making poor households more adept at dealing with climate change. The NMCIREMP PPA noted that with regard to climate change, there has been an increasing awareness in terms of its effects on the country. The CSPE mission found a similar awareness of the impact of droughts, typhoons, pest infestation in all project areas visited.
237. Based on some emerging efforts and practices, but given opportunities to address this issue more systematically, also by helping poor households cope with vulnerability and climate risk livelihoods diversification, this criterion is rated as moderately satisfactory (4).

C. Overall project portfolio

238. The project performance has been uneven: between different stages within the same project (e.g. CHARMP2), different time on the same theme (e.g. indigenous peoples' issues), and/or between projects. Areas where the projects consistently

performed relatively well are support to rural infrastructure, capacity building of rural poor and their organizations, participatory development processes and empowerment, support to pro-poor institutions and policies, and gender issues. The portfolio has also benefited from good collaboration with grant-funded projects. The prospect for sustainability of benefits is also generally good.

239. A number of factors have presented challenges to the project performance. Design weaknesses in some cases (e.g. under-design, wrong assumptions) resulted in slow implementation (with the need to improve implementers' understanding and elaborate specific actions), lost time in implementation (by requiring re-design later on) or missed opportunities to better address the issue (e.g. RuMEPP not paying sufficient attention to the quality of financial services beyond providing credit lines). Implementation delays at initial stage in some projects pushed many activities to a later stage of the project life, thus reducing what could have been achieved and reducing the level of efforts that would have needed over longer time. The project investments have been spread across geographical areas and with relatively low intensity of investment, it may be difficult to expect impact on poor rural households on any appreciable scale.
240. Taking into consideration the assessment for different evaluation criteria, the overall project portfolio achievement is rated as moderately satisfactory (4).

Table 15

Assessment of project portfolio achievement

<i>Criteria</i>	<i>CSPE rating</i>
Rural poverty impact	4
Project performance	4
Relevance	4
Effectiveness	4
Efficiency	4
Sustainability of benefits	5
Other performance criteria	
Gender equality and women's empowerment	5
Innovation and scaling up	4
Environment and natural resources management	4
Adaptation to climate change	4
Overall project portfolio achievement	4

Key points

- The project objectives and thrusts have been well aligned with the government and IFAD strategies. But there are some areas of weaknesses in design in some cases, for example, with wrong or uncertain assumptions, under-design, complex design, and lack of clarity in the target group and impact pathways.
- A question is raised as to whether IFAD is well-placed to respond to emergency situation in the way it has done in the Philippines, i.e. with short-term measures (agricultural input distribution) but with procurement challenges and eventual delays in what was meant to be "rapid". IFAD corporate guidance has emphasized its role in supporting long-term efforts.
- The achievements relative to the objectives have been most notable and visible in relation to support to irrigated agriculture, rural infrastructure, improved participation of communities in development planning and implementation and strengthening their organizations, though with varied performance for different types of organizations.
- The approach for and effectiveness of group-based approach to increasing livelihoods and enterprise opportunities has not been carefully examined.
- There are a number of positive indications for efficiency, including relatively low proportion of project management costs, high level of funds utilization despite initial delays. The weakest area with regard to efficiency has been considerable time lags between design, approval and effectiveness, and delays in disbursement and implementation, especially in initial years.
- The impact of the portfolio has been notable in particular with regard to institutions and policies, and human and social capital and empowerment. The performance on gender equality and women's empowerment has been strong. There are also positive indications on agricultural productivity and food security, especially through irrigation development. While there are certainly cases of significant contribution to household incomes (e.g. through microenterprise development, income generating activities), it is difficult to be conclusive on the extent and magnitude due to insufficient data.
- Prospect of sustainability of benefits is relatively good, in particular with regard to irrigators' associations, some people's organizations, physical infrastructure and impact on institutions and policies.

IV. Non-lending activities

241. Non-lending activities describes those actions supported by IFAD and the government that are not directly planned or organised under a loan project, but which nevertheless are instrumental in helping to enhance the programme's development effectiveness. The assessment covers knowledge management, policy dialogue, and partnership building. It also includes a review of a sample of global, regional and country-specific grants.
242. The importance of non-ending activities is evident in the country programme theory of change developed for this CSPE, which states: "*Direct investment in partnership with the GOP, supported by some selected regional grants would deliver innovative programmes targeted at different groups in poor rural communities. Structured annual programmes of knowledge management and joint programme reviews would provide substantive material for policy dialogue, with the aim of successful investments being scaled up by the government and/or development partners. It is a knowledge-driven partnership strategy with a discrete set of independent investments.*"
243. This theory gives rise to four key areas of enquiry for the CSPE: (i) to what extent has the loan programme successfully supported dialogue and discussion on the policy issues that affect the IFAD target group and delivered measurable outcomes; (ii) have the complementary grants generated useful findings to help improve implementation; (iii) has information been disseminated and taken up by development partners; and (iv) has experience gained in IFAD-financed projects influenced governments' policies and programmes?

A. Knowledge management

1. Knowledge management is an important part of IFAD's way of working. IFAD developed the Knowledge Management Strategy in 2007¹⁵⁰ and knowledge management received multiple mentions in the 2009 COSOP, as an element of IFAD's comparative advantage and as a cross-cutting issue.
2. **In the IFAD Philippines country programme, a comprehensive approach for knowledge management was established.** Firstly, by the appointment of a country programme management facilitator/knowledge management officer, a post later transformed to country programme officer; secondly, instituting Annual Country Programme Reviews (ACPoR) plus a mid-term and annual COSOP implementation progress report; and thirdly, contributions from the country programme management team. An additional innovative provision came in the form of a regional programme, Knowledge Networking for Rural Development in Asia/Pacific Region. This evolved into the Knowledge and Learning Market (KLM) and subsequently from 2014, termed as KLM–Policy Engagement (KLM-PE).
3. Eight ACPoR meetings have been held between 2008 and 2016. Two members of the CSPE attended two days of the 8th ACPoR in January 2016 and observed presentations and discussions. Records of the proceedings and participants provide a comprehensive and valuable picture of the way the country portfolio has been managed.
4. **ACPoR meetings have enabled cross-project learning and exchange of practices.** The meetings have provided a forum to: (i) share best practices and experiences for lessons learning and scaling up; and (ii) discuss about issues and constraints in the implementation of projects and agree on practical recommendations and follow up actions to improve the design and implementation. Specific examples are discussions at the 2009 ACPoR which were instrumental in the redesign of CHARMP2's credit programme into the Livelihood Assistance Fund

¹⁵⁰ The KM strategy highlighted the following elements: (i) strengthening knowledge-sharing and learning processes; (ii) equipping IFAD with a more supportive knowledge-sharing and learning infrastructure; (iii) fostering partnerships for broader knowledge-sharing and learning; and (iv) promoting a supportive knowledge-sharing and learning culture.

patterned after the Poverty Alleviation Fund of NMCIREMP¹⁵¹; In 2009-2010, CHARMP2 studied the experience of NMCIREMP on indigenous peoples, particularly on the process of processing CADCs into CADTs.

5. **ACPoR meetings have created linkages for grants to support loan projects.** A case study analysis of the ACPoR,¹⁵² identified a significant role of promoting complementarity between grant projects in support of loan projects, contributing directly to the latter's effectiveness in delivering outcomes. The main examples relate to work under CHARMP2, with CIP-FoodStart on Farmer Business School, IRRI-CURE on cataloguing and developing the value chain for heirloom rice varieties in the Cordillera region, and the introduction by ICRAF-RUPES of the "payment for environmental services" scheme. These are discussed further in a later section under grants.
6. Analysis of attendance in ACPoR meetings over the whole period shows a consistent pattern: (i) regular participation by representatives of currently active loans and selected grants¹⁵³; (ii) participation by Rome-based and country office IFAD staff; and (iii) some participation by Government departmental staff, primarily DA and DAR, less frequently NEDA and once recently by the Department of Budget Management. In 2011 and 2016, Under Secretaries from DA and DAR participated for some of the programme.
7. **The ACPoR meetings have not provided - and were not intended to provide - a setting for IFAD to convey policy-related issues to senior officials.** A review of attendance demonstrates clearly that the ACPoR is a tool to help improve implementation and share lessons among loan and grant projects. With the exception of the two widely-spaced visits by Under Secretaries there is no or very limited participation either by senior decision-makers or relevant other offices of government or departments (e.g. NCIP, DENR). The ACPoR is effective as a medium to share experience and results. It is not a means of initiating policy dialogue with a wider audience in government or among development partners.
8. Structure and design have remained relatively constant over the period. Reports have not, however, with changing format and level of details that has reduced comparability of information. Duration has stabilised at a typical two days most years, having started at four. Since 2014 a quarterly programme update meeting has been held to follow-up on issues from the review, though meetings have generally been less frequent than planned.
9. **Knowledge and Learning Markets (KLMs)** are annual, two-day public events that bring together IFAD stakeholders for the IFAD country programme in the Philippines (NGOs, private sector, research institutions, government, project staff) and the general public and showcase the activities, accomplishments and products of IFAD-supported projects and assisted communities. KLMs consist of exhibits, product displays, interactive workshops, testimonies, cultural performances, and press conferences. As the KLM was promoted as a means to introduce the projects to the general public, the annual event was for the most part held in shopping malls and hotels,¹⁵⁴ where "walk-in" participants were welcomed.
10. **KLMs have developed into meetings that discuss and make recommendations on policy-related issues.** KLMs have been held annually since 2007. Table 16 lists the hosts and themes for each year. From a simple knowledge-sharing event, the KLM has thus evolved into "a policy developing session."¹⁵⁵ Three of the nine KLMs organised so far produced resolutions or

¹⁵¹ Source: ACPoR 2016 Report

¹⁵² Antonio B. Quizon (2016) Case study of the PH Annual Country Portfolio Review (ACPoR)

¹⁵³ Namely, CIP FoodSTART, IRRI-CURE and ICRAF-RUPES/ClimateSmart, HARP, MTCP and Athika.

¹⁵⁴ All KLMs were held in metro Manila, with exception for 2011 (KLM held in Baguio City)

¹⁵⁵ IFAD. 2015. *A decade of sharing and learning: IFAD Knowledge and Learning Market in the Philippines.*

statements that were presented to representatives of policymakers for action. Thus the KLM evolved into the KLM-PE (where PE stands for "policy engagement").

Table 16

Knowledge and Learning Markets

<i>Year</i>	<i>Host secretariat</i>	<i>Theme</i>	<i>Policy products</i>
2007	Asia Council for People's Culture	Supporting Community Initiatives	-
2008	Asian Farmers' Alliance (AFA)	Sustaining community practices for food security	-
2009	Asian NGO Coalition (ANGOC)	The rural poor in times of crisis	-
2010	DAR and NEDA	Shared resources, Shared development	-
2011	Department of Agriculture, National Commission on the Role of Filipino women	Gender and Youth: Innovative waves in rural development	Manifesto of a collective call to action to further advance on gender equality and women empowerment alongside rural development signed
2012	IFAD-supported projects	A boost to rural productivity	-
2013	CHARMP2	The "I" of the Cordillera ("I" in the first two sessions represented the "indigenous communities" that brought out and nurtured the Indigenous Knowledge Systems and Practices	Policy sessions organised on (i) indigenous NRM practices in the Cordillera; (ii) climate change mitigation and adaptation in the Cordillera; (iii) green livelihood/enterprise options in the Cordillera; (iv) models for scaling-up
2014	FAO, DAR, DA, AFA/PAKISAMA, Philippine Farmers Forum (PhilFaFo), AsiaDHRAA/PhilDHRAA, ANGOC, AgriCORD PH Synergy Group	Strengthening resilient Family-Based Agricultural Enterprises	11 policy briefs related to the International Year of Family Farming (IYFF) Philippines Declaration of Support and Commitment to Family Farming
2015	FAO, DAR, DA, AFA/PAKISAMA, PhilFaFo, AsiaDHRAA/PhilDHRAA, ANGOC, AgriCORD, PH Synergy Group, We Effect	IYFF, Partnership for Food Security Nutrition and Climate change	-

11. In a similar way to the ACPoR, documentation of the events has been inconsistent, without a list of presenters/participants and there has been little direct participation by top-level officials. Unlike the ACPoR, which is funded directly by project budgets, the KLM has no continuity or assurance of budget support and has relied on *ad hoc* co-funding by several partners.¹⁵⁶
12. According to the IFAD Publication "*A decade of sharing and learning: IFAD Knowledge and Learning Market in the Philippines*" directors and senior staff of projects and agencies, pointed out that although interesting, KLMs seem mainly to be a promotion event. They suggested KLMs should maximise the presence of top-level officials and provide the opportunity for more serious interaction. Experience with both the ACPoR and KLM-PE indicates that they do not provide an effective forum for policy dialogue.
13. In addition to ACPoR and KLM-PE, **another notable example of a knowledge management platform is the IFAD Philippines Gender Network**. This is a network of gender focal points from IFAD-funded projects, civil society organizations, and implementing agencies in the Philippines created mainly to provide a forum where gender focal persons discuss and analyze gender issues and formulate recommendations; create a venue for gender sharing among peers and learning from gender experts and resource persons, listen to rural voices from the field to learn from their experiences and establish a support network group on

¹⁵⁶ Interview with country programme officer.

gender to help each other in mainstreaming gender equality in IFAD-assisted projects.¹⁵⁷

14. In support of knowledge management networks, fora and mechanisms are a range of on-line platforms and instruments:
 - IFAD Asia/Pacific Newsletter (<https://www.ifad.org/newsletter/pi/27.htm>)
 - Social reporting blog (<http://ifad-un.blogspot.it/search/label/apr09>)
 - IFAD Asia (<http://asia.ifad.org/>)
 - Facebook (https://www.facebook.com/seahubmanager?ref=br_rs; https://www.facebook.com/groups/ifadasia/?ref=br_rs)
 - Rural Poverty Portal
15. **On-line media have proved popular for communication and discussions but access problems and limitations in search facilities have reduced their usefulness.** The IFAD Asia portal and Facebook pages are regularly updated by communication products, photos, news and articles. Nonetheless, in the IFAD Asia Portal, while blogs and discussion sections are quite rich and dynamic, the number of documents is limited, and the portal search facility less efficient than just searching the title on the internet. It seems that documents related to projects and initiatives are not regularly uploaded. In some cases links bring up empty pages. The 2012 Country Programme Issues sheet on knowledge management mentions that the IFAD-Asia portal has not been vigorously used by projects and partners as they encountered problems in accessing the portal.
16. IFAD's internal reviews have highlighted two or three topics that have seen prominent knowledge products, including integration of the school of indigenous knowledge, arts and traditions ("SIKAT") curriculum into the Department of Education; the adoption of the NMCIREMP's poverty alleviation fund (PAF) within CHARMP2; the process of formulation of ADSDPP; and the RuMEPP's twin approach of combining micro-financing and provision of business development services to micro-entrepreneurs.¹⁵⁸ There is no evidence to indicate whether dissemination on line has been more effective or brought a wider audience than discussion at KLM or ACPoR.
17. **Assessment summary.** Knowledge management was well set out as an integrated part of the country programme. There were clear objectives, and structured mechanisms which IFAD used effectively. Programme reviews and KLM proved popular with implementers as a means of sharing experience and enabled cross fertilisation of ideas. The main missing element was a way of channelling findings to help inform policy discussions. If that had been achieved knowledge management would merit a highly satisfactory rating, but as it is the rating is satisfactory (5).

B. Policy dialogue

18. "Policy dialogue" has been an area of attention at IFAD, but recently there has been a shift to use the term "policy engagement". According to a recent publication¹⁵⁹, a policy engagement is "a process for IFAD to get involved with partner governments and other national stakeholders to influence or inform policy priorities, as well as the design and implementation of public policies that shape the economic opportunities for large numbers of rural people to move out of poverty. IFAD sometimes participates directly in policy dialogue; more often, it facilitates discussion among national stakeholders, strengthens their capacity, and brings evidence to the table that can inform discussion".

¹⁵⁷ IFAD Asia.

¹⁵⁸ Country Programme Issues sheet 2010 and 2013-2014

¹⁵⁹ IFAD. 2013. County-level policy engagement: opportunity and necessity.

<https://www.ifad.org/documents/10180/2f7ad2b7-e833-412a-aba3-8c0c94f2d99a>

19. **The need for policy dialogue was signalled in the 2009 COSOP.** Policy dialogue objectives are addressed twice in the 2009 COSOP. Firstly, quite ambitious objectives are set to focus on a number of policy linkages and dimensions that are directly related to loan projects:¹⁶⁰ (i) land tenure and titling; (ii) microenterprise promotion and microfinance delivery; (iii) devolution and decentralisation; and (iv) remuneration for environmental services
20. The intended mechanism is also well stated, that *'Through a series of participatory processes involving stakeholders, including small policy focus groups and annual stakeholder workshops, key policy issues and recommendations will be identified and channelled to the national level to facilitate their inclusion in national policy dialogue and the policymaking process.'* In current IFAD terminology this is policy engagement.
21. All four topics have remained relevant throughout the COSOP period. They are taken up in the 2014 International Year of Family Farming policy agenda that surfaced from the 2014 KLM-PE. The participatory processes were implemented primarily through the ACPoR/KLM-PE process and in the views of respondents have become a valuable medium of discussion. But there is little evidence that these mechanisms have led to the issues being included in national policy dialogue and the policymaking process, even though there are also cases where the projects - in the context of their implementation - contributed to influencing policy issues, for example, related to microenterprise development through RuMEPP.
22. The activities contributed to policy engagement, although of the four priority areas quoted above (paragraph 262), only one, contribution to devolution was mostly achieved and one, microenterprise promotion and microfinance partly achieved. Objectives related to land titling were over-ambitious in the light of subsequent performance of government agencies, NCIP and the Land Registry. Research was carried out on remuneration for environmental services but policy engagement has been less than expected, partly owing to protracted delays in start-up of INREMP.
23. A second set of objectives followed those in the COSOP as mentioned above, still in the section of "policy linkages". *'Underlying all these policy efforts is the need to facilitate the Government's continuing engagement in agricultural and rural sectors in the face of fiscal constraints that might otherwise force it to prioritize other sectors. To this end, efforts will address the possible consequences of: (i) restructuring and rationalizing of the Government; (ii) fiscal constraints leading to competition for limited government counterpart funding, thereby jeopardizing implementation of some rural sector projects; (iii) policy reversals by newly elected governments; and (iv) external shocks. To face these situations, a sufficient degree of flexibility will be built into the design of projects under the country programme.'*¹⁶¹ There is no discussion of context to support this agenda, nor explanation or interpretation of what 'efforts' refers to or what 'degree of flexibility' actually means.
24. In March 2012, IFAD co-sponsored a policy forum with DA on "Broad-based Strategies for Food Security and the Changing World Food Markets", to guide the government's a food staples sufficiency policy towards a responsive food policy that accounts for the welfare of local food producers and consumers while addressing changes in the world food markets. A large number of senior government staff and representatives from multilateral and bilateral development agencies participated in the forum. In the COSOP MTR 2012 the forum was reported to have provided new analysis and policy options for the government.
25. **Policy engagement has successfully brought forward issues from project experience.** Despite the limited progress on issues identified in advance in the

¹⁶⁰ EB 2009/97/R.12/Rev.1, para 43

¹⁶¹ Ibid para 44.

COSOP, other topics have been indicated in the IFAD's self-assessment as areas where policy engagement arising from practical project experience has been formative:¹⁶²

- Progress to improve NG/LGU cost sharing arrangements which unblocked constraints on rural infrastructure in CHARMP2 from a review commissioned by IFAD in 2011;
 - Management of buffer stocks of rice seeds by the Department of Agriculture arising from experience initially with a Disbursement Voucher System under RaFPEP. DA is reported at considering to replicate their rice seeds buffer stock to other crops;
 - Creation of a 10-point policy agenda in support of family farming, subsequently adopted by DA and DAR;
 - Effective cost recovery from IAs amortisation;
 - "Go Negosyo" support to micro-enterprise by DTI (arising from from RuMEPP);
 - A model mechanism for supervision at community level that started as Community-based Operation & Maintenance Monitoring and Evaluation Teams (COMMET) in NMCIREMP and has been adapted as Barangay Planning, Monitoring and Evaluation Teams (BPMET) in CHARMP2.
26. Furthermore, as a more recent example in relation to INREMP, IFAD has been working with ADB and the DENR to address implementation bottlenecks which include policy issues with implications beyond the project, such as safeguard procedures. The proactive role of IFAD in such problem-solving support is acknowledged also given that it is a minor co-financier and officially not a supervising institution.
27. CSPE was able to confirm the validity of the issues listed here. With the exception of the family farming policy agenda, they are characterized as lessons and good practices arising from interventions. They provide potential leverage for IFAD to engage with the Government on the design and implementation of relevant rural and agricultural development initiatives. But they reflect largely tools and techniques – evidence about activities rather than development results.
28. **IFAD has not identified or promoted opportunities for wider or structured dialogue on sectoral issues, while there have been cases of project interventions and support providing entry points to broad policy issues.** Senior officials in DA and DAR welcome the circulation of lessons from project experience but do not see a role for IFAD to engage in policy dialogue at a more strategic level. On the other hand, some other informants believe that IFAD should engage more in policy discussions as befits the relationship between a small donor with a distinctive focus on poor and vulnerable people, with a middle income country. Opportunities for policy leverage that IFAD could take advantage of are limited, but they have improved by a long-term engagement with the agricultural sector and by the establishment of a country office. The CSPE considers that the achievements of the ACPoR and KLM-PE have been enhanced by the support of the country office. But IFAD has not identified a channel or mechanism for wider dialogue on sectoral issues with government.
29. **There is no regular national forum at which IFAD can introduce policy-relevant information from project experience.** A rather wide ranging and diverse set of meetings take place involving government and donors each year. There is no fixed pattern of thematic or sector coordination meetings. The main channels for dialogue are:
- Periodic meetings with donors hosted by NEDA, linked to discussion on portfolio performance, pipeline planning etc. The country programme officer

¹⁶² Reported in CSPE Self-Assessment on non-lending activities and the COSOP.

based in Manila represents IFAD in those meetings and, for example, in the Joint Analytical Workshops. Most recently, at the occasion of the Philippines' participation in the conduct of the Global Partnership for Effective Development Cooperation 2nd Monitoring Round, data on IFAD assistance was submitted and incorporated.

- A Sustainable Rural Development Working Group (co-chaired by DA and GIZ) under the occasional 'Philippines Development Forum' (a successor to the Philippines Consultative Group) has met with declining frequency in recent years; four times in 2013; twice in 2013; and once in 2015. There is a testimony that IFAD was a regular and active participant in the working group including on the discussion on upland and land governance, but the 2013-2015 progress report on the working group¹⁶³ noted the diminishing participation of ADB, EU and IFAD for the year 2014. The PDF met in 2014 for a special session on the Bangsamoro; the previous formal meeting was in 2013 in Davao City. The last published record of a meeting of the SRDWG is 2009. IFAD did not attend.
 - Among development partners IFAD is a member of the UN Country Team and the country programme officer attends when time is available. There is a UN Mindanao working group, which the country programme officer does not attend. According to FAO an informal meeting of donors about Mindanao takes place from time to time.
 - Among the Rome-based agencies, FAO and WFP have a joint lead in a UN Agriculture and Food Security Cluster meeting in which IFAD does not participate.
30. The absence of a regular sector meeting is significant as it places greater emphasis on events that IFAD can directly manage such as ACPoR and KLM, and on the opportunities for the country programme officer (based in Manila) or country programme manager to interact directly with senior decision-makers and influential entities.
31. **Assessment summary.** The original objectives for policy dialogue set by IFAD were overambitious, both in terms of the scope and envisaged approach and process, and relied too much on the expectation that issues emerging from the ACPoR and KLM would be channelled into a higher level dialogue. In the absence of a regular national forum, IFAD needed to create opportunities. The only example of that was the 2012 policy forum on food security. Without a routine mechanism, the policy linkage objectives in the COSOP were unrealistic. The programme has successfully brought forward lessons from implementation experience, which the knowledge management process was effective at disseminating. They were useful but largely reflect tools and techniques. The performance is assessed as moderately satisfactory (4).

C. Partnership-building

32. Working in partnerships is featured prominently in the COSOP as an element of IFAD's comparative advantage and as a specific objective. The concept is used loosely to describe any entity that IFAD works or shares knowledge with. As an IFI with relatively small resources, leverage through other organisations is a logical strategy and the COSOP makes appropriate proposals for continuing relationships with government, multilateral and bilateral development partners and civil society organisations. The Philippines has recorded the highest average score of 5.5 in the 2014 Client Survey for country ownership, alignment and harmonization.¹⁶⁴ This continues a rising trend since 2010.

¹⁶³ 2013-2015 Progress Report: Philippine Development Forum - Working Group on Sustainable Rural Development.

¹⁶⁴ Client Survey 2014, report by IFAD.

33. **Extensive partnerships exist with government.** A wide range of partnerships has been pursued, corresponding to specific objectives in the portfolio. With Government the country programme has established partnerships with a large number of implementing partners based on its analysis that the poverty reduction challenge in the country required a combined effort of a range of Government agencies. The projects have tended to work through LGUs and strengthen the collaboration between many Government line departments in support of the National Convergence Initiative. NMCIREMP, CHARMP2 and RaFPEP enhanced the collaboration between DAR, DA, NCIP, DENR, Agricultural Training Institute and the provincial and local Governments. RuMEPP enhanced the collaboration between the Small Business Corporation and DTI. In addition to the agencies involved in implementation, supervision and follow-up missions for the ongoing projects are conducted in partnership with NEDA, which provides its M&E staff as mission members.¹⁶⁵
34. **Partnerships with civil society organizations have been generally good in particular through grants, ACPoR and KLM-PE.** A regional grant to support farmers' organizations in the region has been led from the Philippines (i.e. Asian Farmers' Alliance). Five of the nine KLM events held since 2008 have had NGOs partners as the secretariat or joint secretariat. The KLM platform created by IFAD enabled a consortium of farmer organizations and other civil society organizations promote a policy agenda to the Government for the International Year of Family Farming.
35. **Collaboration with international agricultural research institutions has been largely positive and brought benefits to the portfolio performance.** Three of the nine examples of innovations (discussed in section III.B.) were developed over several phases of grant support to CGIAR institutions with programmes in the Philippines (namely, CIP, IRRI and ICRISAT). Those same teams have become active participants in the annual ACPoR and KLM meetings and hosted the ACPoR in 2012. In-country presence of these institutions (for IRRI, the country hosts the headquarters) are likely to be the main factor for successful collaboration.
36. **Donor partnership development has been less than planned in the COSOP.** Partnership with donors was identified in the COSOP in connection with co-financing and leveraging of additional resources. Plans were set to work with ADB under COSOP strategic objective 1 (SO1), for CHARMP2 and INREMP; the German Technical Cooperation Agency (GIZ), USAID and CIDA for agribusiness support services to MSMEs under SO2; and UNDP and FAO, especially on fisheries and other natural resource management activities under SO3. There were also ideas to try and develop partnerships with JICA and WFP.
37. Of these items: IFAD is co-funding with ADB (as well as the Global Environmental Facility and the Climate Change Fund of ADB) on INREMP but at the time of the CSPE evaluation was still at an initial stage; there were no collaborations with GIZ, USAID and CIDA under SO2; there are no practical collaborations with UNDP or FAO and FishCORAL has in effect not started implementation. No new initiatives have been developed with JICA or WFP.
38. **Partnerships with the private sector have not materialized.** Despite the promotion of value chain development, interaction with the private sector has been limited to a few examples under CHARMP2. These have potential to improve marketing but are highly localized and interaction has not developed beyond specific project activities. Opportunities for partnerships with the private sector players have not been pursued in a strategic manner, while CONVERGE design envisages such partnerships.

¹⁶⁵ COSOP MTR Report, para 118

39. **Assessment.** Working in partnership is a core element in IFAD's approach and expectations were set high in the COSOP. The programme has worked widely and extensively with government but has not been able to forge and develop relationships with other development partners. This is evident in the limited involvement of other partners in the ACPoR or KLM processes. There is a danger such isolated working will reduce opportunities for cross-fertilisation of ideas and experience. The intentions were very relevant but implementation has not been so effective and the assessment is moderately satisfactory (4).

D. Grants

40. Since 2007, IFAD has financed 27 grants covering the Philippines with a value of US\$28.66 million since 2007. Of these, two were grants directly co-financing loans;¹⁶⁶ six were country specific grants of which five averaged \$250,000 plus one grant for rehabilitation after typhoon Haiyan for US\$4 million; and 19 global or regional grants which cover multiple countries including the Philippines. Of the 19, six appear as two phases and five were closely associated with loan projects. See Annex V for a complete list. Three country specific grants and three regional grants have been reviewed in more detail (table 17).

Table 17

List of six grants reviewed in detail

<i>Name</i>	<i>Grant (period)</i>	<i>Objectives</i>	<i>Linkages</i>
Regional grants			
Enabling Poor Rice Farmers to Improve Livelihoods and Overcome Poverty in South and Southeast Asia through the Consortium for Unfavourable Rice Environments (CURE 1&2)	US\$1.5m (2009-14)	Enable farmers in unfavourable rice environments, including IFAD-supported investment projects, to access rice technologies that sustainably improve productivity	CHARMP2 through an Heirloom Rice project in partnership with DA-PhilRICE.
	US\$1m (2014-18)		
Root and Tuber Crops Research and Development Programme for Food Security in Asia and Pacific Region (FoodStart; FoodStart+)	US\$1.45m (2011-15)	To promote the role of root and tuber crops (RTC) in the farming systems of the Asia-Pacific region in building a more diverse and robust regional food system in the face of possible shocks and climate change.	RTC in CHARMP2, plus advice and training on value chain development. RTC support to FishCORAL.
	US\$0.2m (2015-)		
Programme on Rewards for Use of and Shared Investment in Pro-poor Environmental Services (RUPES I & II)	US\$1.4 m (2003-06)	To develop new mechanisms for enhanced livelihood and resource security of poor upland communities in Asia through recognizing and rewarding the upland poor for environmental services.	Case study at Bakun watershed, Benguet Province, CAR under CHARMP2. Support to design of INREMP.
	US\$1.5m (2008-13)		
Country specific Grants			
Results-based Monitoring and Evaluation for NEDA	US\$0.2m (2010-13)	Strengthen capacities of selected GOP officials involved with project implementation, monitoring and evaluation (M&E) and reporting of results or outcomes of national development programs.	TA fits with IFAD and GOP MOU, signed in 2008 for the conduct of joint supervisions and implementation support missions.
Rapid Response to Post Typhoon Haiyan Agriculture Rehabilitation Programme (HARP)	US\$4m (2014-16)	To enable rice based smallholder farmers affected by Typhoon Haiyan in regions VI and VIII to jump start resumption of rice production in the cropping season of Apr-June 2014 and restore their livelihoods, by provision of good-quality seeds and fertilizer.	The grant was claimed to fit with IFAD <i>Policy on Crisis Prevention and Recovery</i> and <i>IFAD Guidelines for Disaster Early Recovery</i> .
Scaling up initiatives in Mobilizing Migrant Resources towards Agriculture Development in the Philippines ¹⁶⁷	US\$0.5m (2014-16)	To increase savings and investments of Overseas Filipino Workers originating from pilot provinces in agri-based social enterprises that would create jobs and economic opportunities.	Supportive of national policy on remittances.

¹⁶⁶ In addition, RaSSFIP received an EU grant of \$13.14 million which was channeled through IFAD.

¹⁶⁷ Originally funded by a Financing Facility for Remittances - FFR Window 3 for \$250,000.

41. The six grants have interesting characteristics related to IFAD's country programme. Of the three regional grants, none were planned as part of the country strategy but all bring a strong link to the country programme albeit in different ways. The country specific grants illustrate ways in which IFAD has tried to respond to national issues.
42. Opportunistic linkages were developed between two of the three regional grants and the loan projects, arising from interaction at ACPoR and KLM meetings. Both the CURE and FoodStart grants had an unexpectedly greater influence on projects, primarily CHARMP2. CURE helped CHARMP2 develop a strategy and technical support to Heirloom Rice, which was promoted as an income generating activity. The FoodStart team helped CHARMP2 build capacity and practical intervention models for value chain analysis and support at a time when the project was struggling to implement the approach.
43. RUPES I and II were directly relevant to NRM objectives and overlapped with the closing years of CHARM1. An action research case study in seven barangay of Bakun Municipality, where the first CADT was issued in the Cordillera, looked at ways to change the relationship of local communities with hydropower generating companies through recognition of the community role in stewardship of the environment and natural resources. The grant closed before a final agreement could be reached, but the findings helped inform the design of the INREMP project and the RUPES team was involved in drafting the Philippine Climate Change Act of 2008 and conducting a final review of the Sustainable Forest Management Act in 2008. The team also contributed to drafting the Executive Order on Rewards for Environmental Services (RES) with the National RES Technical Working Group, which solicited viable policy options for RES, such as a DENR's Administrative Order or Joint Orders of the different government offices. The full potential for linkage with INREMP was not realised owing to the delayed implementation of the project. A third phase of grant with a different name, "SmartTreeInvest" is currently under implementation and is still linked to INREMP.
44. **The country-specific grants illustrate both positive outcomes with good linkage with the country programme, and little direct linkage with the country programme.** The small grant to NEDA was directly linked to a capacity building objective of the MOU between IFAD and the Philippines when IFAD took on the role of direct supervision. Implementation was slow to start and better at targeting NEDA and regional and local implementation agencies than the intended government financial institutions.¹⁶⁸ The capacity building did contribute to the emergence of a new national results-based M&E system developed between NEDA and the Department of Budget Management.
45. The small grant to Atikha to provide financial literacy training to migrants (originally in Italy, then extended to UAE, Qatar and Singapore) followed by support for investment in agriculture in the Philippines has no direct link to the loan portfolio, but targets a key financial resource for the country (estimated at 10 per cent of GDP in 2014). The difficulty in linking with the loan portfolio is perhaps not surprising and is understandable given that the starting points of the grant is migrants and where the remittances are generated, rather than who the recipients of remittances are and where they are located in the Philippines.
46. **The country-specific grant modality was not efficient to provide short-term and emergency response.** The HARP grant was intended to provide a jump start to revive small holder rice production through the distribution of seeds and fertilizer in the recovery phase after Typhoon Haiyan. The project worked through farmers' organisations without any reference to their poverty or vulnerability.

¹⁶⁸ Grant supervision mission report (July 2012). According to the design, by "government financial institutions" included SBC and the Land Bank of the Philippines.

47. Most of the seeds were not distributed until the third or fourth cropping after the typhoon and over 80 per cent of the fertiliser came even later, not simultaneously. Delays arose from a combination of slow procurement and disruption to government services following the typhoon, even though the project did eventually reach the full target of beneficiaries.¹⁶⁹ One positive linkage is that initial seed supplies came from buffer stocks managed by DA that were developed following the experience of piloting in RaFPEP/IRPEP.
48. The grant was designed in response to a call for support following the typhoon and approved by the Board through correspondence. The CSPE team was not able to find the record of internal review of the proposal. Indeed, there is no evidence that the grant proposal was reviewed critically in terms of the fit with the IFAD policy framework, IFAD's comparative advantage or delivery capacity through proposed implementation arrangements. The document submitted to the Executive Board argued that this grant was in line with one of the key outputs of the IFAD policy on grant financing, since it would strengthen the capacity of the Government of the Philippines to deliver services to the rural poor: a debatable justification.
49. The PCR indicated that one of the main lessons is that IFAD's grant instrument with current implementation modalities is inefficient to be used as a short-term and emergency response tool. The 2011 Guidelines for Disaster Early Recovery include the principal that synergies with other agencies and specialized (relief) organizations should be maximized and duplication of efforts avoided.¹⁷⁰ In parallel with IFAD, FAO implemented multiple projects worth about \$40 million mobilized from 14 donors, and the question must be asked whether IFAD's funding would have been more effectively routed through a partner, Rome-based agency?

E. Overall assessment

50. Reflecting on the four areas of enquiry set out for the CSPE (paragraph 243), the assessment is that: (i) the loan programme has been effective in some cases in supporting dialogue and discussion on the policy issues that affect the IFAD target group; (ii) there are positive examples of complementary grants generating useful findings to help improve implementation; (iii) the flow of information through knowledge management has mainly been disseminated and taken up by close associates on IFAD projects but has had very little influence on a wider audience; and (iv) the experience gained in IFAD-financed projects has only influenced governments' policies and programmes in relatively small-scale and isolated ways. A contributing factor on the last point has been the inability to develop a platform from which to engage with senior decision-makers in the same way as has been achieved at an operational level. The IFAD country office has enabled exchange at an operational level but lacks the human and financial resources to initiate influence at a higher level. On balance, the overall assessment of non-lending activities is rated as moderately satisfactory (4)

Table 18

Assessment of non-lending activities

<i>Non-lending activities</i>	<i>Rating</i>
Knowledge management	5
Policy dialogue	4
Partnership building	4
Overall	4

¹⁶⁹ HARP Project Completion Report

¹⁷⁰ EB 2011/102/R.29 para 30.

Key points

- Knowledge management was well set out as an integrated part of the country programme, and platforms such as ACPoR, KLM-PE and the IFAD Philippines Gender Network have effectively contributed to experience sharing and cross fertilization. There have been cases of good linkages between the loan and grant financed projects, with the latter contributing to improving the effectiveness of the performance of the former.
- The original objectives for policy dialogue were overambitious and relied too much on the expectation that issues emerging from the ACPoR and KLM would be channelled into a higher level dialogue.
- Partnerships with government agencies and civil society organizations have been extensive and generally good, but collaboration and partnerships with other development partnerships or the private sector is less.

V. Performance of partners

A. IFAD

51. **One of the key features of the IFAD-Philippines partnerships has been attention and visible efforts on non-lending activities.** The areas of strong performance include knowledge management, as well as the way the loan-financed projects and non-lending activities such as ACPoR and KLM, as well as some grant financed projects fostered communication and collaboration between various government agencies, LGUs, civil society organizations, international research institutions (CGIAR grant recipients) around key rural development issues and challenges.
52. Of course, non-lending activities are pursued by collaboration and partnerships between IFAD and the Government, but IFAD can be given credit for actively promoting communication and networking, facilitating the organization of fora and platforms where exchange can take place, and closely working with various partners. In particular, the role of the country office and particularly that of country programme officer has been instrumental in planning and implementing these activities. This is well recognized by the CSPE team, as well as by the Government and other partners.
53. **IFAD effectively took up the responsibilities for direct supervision.** With respect to the projects covered in this evaluation, except for the first period of NMCIREMP which had initially been supervised by a cooperating institution (UNOPS), and INREMP which is supervised by ADB, IFAD performed direct supervision, regularly fielded supervision missions, usually once a year and sometimes twice, with a number of specialists. In fact, this contrasts with the assessment by evaluations on IFAD performance in earlier projects (not covered in this evaluation), which were critical on lack of its presence and inputs after the project approval.¹⁷¹ In the case of NMCIREMP, the PPA assessed that IFAD's direct supervision was more responsive to project needs, even though some delays in loan fund disbursements were experienced at the time of hand-over from UNOPS to IFAD. The review of the records of supervision missions shows that the country programme officer participated in almost all supervision missions and about half of them he led. The country programme officer also conducted follow-up visits between supervision missions as necessary.
54. **IFAD has decisively enhanced in-country presence by establishing its country office and in particular, it has enhanced implementation support to the lending portfolio, as well as collaboration with various partners,** although the partnership building with other development partners was somewhat limited compared to those with government agencies and other project (loans and grant) partners. In connection with INREMP, despite being a small co-financier of the project against ADB financing US\$100 million, joint efforts and follow-up between ADB and IFAD to address implementation issues have been much appreciated by ADB.
55. **On the other side, there are also a number of areas where IFAD could have performed better.** First, the COSOP document was not a coherent and strategic document that served to guide the country programme (see the analysis provided in section VI.A.). The COSOP development process was also protracted over 4-5 years (see also paragraph 341). This did not hold up the processing of new

¹⁷¹ The completion evaluation for the Cordillera Highlands Agricultural Resource Management Project (IFAD 2007) rated IFAD performance as moderately unsatisfactory (3). The interim evaluation for the Rural Micro-enterprise Finance Project (IFAD 2003) commented as follows: "after project approval, the role of IFAD in the project weakened considerably. No IFAD officer or consultant participated in ADB reviews and wrap-up missions in 1998, 2000 and 2001".

- projects, but it did mean there was a period when it was not clear what should serve as a strategic framework guiding the country programme.¹⁷²
56. Second, in some cases, there were shortcomings in project designs, for example, not fully supported by good quality contextual and institutional analysis and/or under-designed (e.g. RuMEPP, CHARMP2 for rural/micro finance). Project designs are joint efforts between IFAD and the Government, but with global experience on issues related to rural development and poverty reduction, IFAD could have provided more inputs and advice in the process of project design (and subsequent process of supervision and implementation support).
 57. Third, support for setting up and operationalizing M&E systems in projects from the beginning (design stage) and throughout the project implementation periods could have received more attention. The IFAD corporate framework, "Results and Impact Management System" (RIMS) for "measuring and reporting on the results and impact of IFAD-supported country programmes" introduced common indicators at different levels of results and a common methodology for assessing impact. According to the IFAD county team, these requirements associated with RIMS were not necessarily helpful and have complicated the M&E-related efforts by project teams.
 58. It is recognized that M&E is an area of challenge in many country programmes and projects, not specific to the Philippines. In the Philippines, there may be even more opportunities to support the efforts in this area, given the increasing and strong interest of the national government in M&E¹⁷³ and government staff with good capacity. In this regard, it is worthwhile noting that IFAD provided a small grant to NEDA for strengthening M&E capacity for selected government agencies (table 17, paragraph 287). Furthermore, it is also important to pay attention to supporting M&E capacity at field level, for example, by LGUs, people's organizations and local communities.
 59. Lastly, the relevance and adequacy of IFAD's support to help the Government respond to emergency situations (RaFPEP at the time of the food crisis in 2008 and HARP following the typhoon Haiyan) is questionable (see also box 1, paragraphs 107-108, 129, 289-292). Both of them were simply about distributing agricultural inputs although with different implementation modalities: in RaFPEP-RaSSFIP, the National Food Authority was responsible, whereas for HARP it was the Department of Agriculture. These projects were both processed quickly for approval as "emergency responses", but faced procurement challenges and implementation delays necessitating extensions of the implementation periods. While speedy processing by IFAD (and the Government) can certainly be positive in terms of its responsiveness to emerging situation, it is not clear how challenges with public procurement process/system experienced in earlier RaFPEP-RaSSFIP were expected to be addressed in HARP which came later (in 2013). Largely short-term nature of these projects (also with minimal linkage between two sub-projects of RaFPEP) was not in line with the corporate guidelines and strategies.
 60. Taking into consideration good progress and achievements in non-lending activities, in particular knowledge management and facilitating grants-loans linkage and direct supervision, but at the same time, some important shortcomings, IFAD's performance is rated as moderately satisfactory (4).

B. Government

61. **Performance of and collaboration by and among the Government agencies has been generally good.** The number of government agencies that have been

¹⁷² In fact, three projects (RuMEPP, CHARMP2 and RaFPEP) were approved after the consultation began in 2004 and before it was eventually approved in 2009. Of these, RuMEPP and RaFPEP have no mention of linkage with the country strategy; CHARMP2 approved in 2008 has a nominal reference to "COSOP", presumably the one from 1999.

¹⁷³ NEDA and the Department of Budget Management Joint Memorandum Circular 2015-01 (15 July 2015): *National Evaluation Policy Framework of the Philippines*.

involved in the country programme is very high (see also table 13), and in addition, there are LGUs. Furthermore, oversight agencies are also important partners in project processing, implementation and monitoring, and the collaboration with them has been reported as good.¹⁷⁴ One may expect challenges and complexity in working with such high number of government agencies, but this does not seem to have presented a major problem in the Philippines, even if there were some instances where supervision missions pointed the need for better coordination by involved agencies (e.g. DTI and the Small Business Corporation in RuMEPP). The involved agencies are generally found to have been highly collaborative and amenable to recommendations. But there were also issues: the project records and the CSPE interviews indicated challenges in working with NCIP – not only in relation to IFAD-financed projects but in general. This has affected the implementation of activities related to ADSDPPs and CADTs.

62. **NEDA's participation in practically all supervision missions is found to be a good practice and indicates strong ownership by the Government.** In most, if not all, cases, NEDA staff (often two members, and mainly from its M&E section) take on specific responsibilities in the team, such as M&E, institutional issues and procurement. It is noteworthy that IFAD and NEDA signed a general memorandum of understanding on 12 March 2008 to promote collaboration in areas such as policy dialogue, knowledge sharing and learning events, supervision and implementation support and M&E.
63. **The average PSR rating on project management has generally been comparable to the average APR regional scores** (annex XI). The country average was brought down in 2012 and 2013 by the "unsatisfactory" rating for CHARMP2 – the only project that was rated as "unsatisfactory" for this indicator since 2011. However, this was followed by improvement with the rating "moderately satisfactory" in 2014 and "satisfactory" in 2015. The average score on the M&E performance has also been very close to the regional average, most projects in most years rated as "moderately satisfactory". This, however, may have been overrating, in light of the challenges by the CSPE in finding reliable set of data.
64. **The availability of counterpart funding has also been generally good,** including "highly satisfactory" ratings in some years for RuMEPP (due to high co-financing by DTI and the Small Business Corporation) and CHARMP2 after having received the rating of "highly unsatisfactory" in one year (2013). For CHARMP2, the challenge faced was mostly in relation to counterpart funding by LGUs for rural infrastructure sub-projects in early years (see also paragraphs 142 and 150), but there were also reports of delays in releasing the funds by the project to match the counterpart funding¹⁷⁵ or underreporting of counterpart funding by LGUs and beneficiaries as these were not recorded properly.
65. **The available data indicate moderate to reasonable performance of the fiduciary aspects overall.** The PSR scores on the quality of financial management have been generally higher than the APR average score. Although no project had been rated lower than 3, the latest PSR for INREMP provided 3 for this criteria and brought down the average for the country portfolio. Quality and timeliness of audit, procurement and compliance with loan covenants are among the indicators where the performance has fluctuated. The average score on quality and timeliness of audit was the lowest at 3 in 2012 and significantly lower than the regional average, but this has improved. One project (RaFPEP) has been consistently rated at 3 for this indicator: delays in the submission of audit reports seem to be one of the

¹⁷⁴ In the 2014-2015 portfolio review report of the IFAD Asia and the Pacific Division, it was noted that the country programme strengthened partnership with oversight agencies (NEDA, Department of Finance, Department of Budget Management and the Office of the President) in the government review and approval process of CONVERGE and FishCORAL.

¹⁷⁵ CHARMP2 supervision mission report, February 2014.

recurring issues. All audits for investment projects in the Philippines are conducted by the government/national audit institution (Commission on Audit), and their performance has been rated mostly 5 or 4 for three selected projects in the past 3-4 years.¹⁷⁶ The ratings on compliance with procurement guidelines and loan covenants have fluctuated, affected by a rating of 3 for one project in both cases, but overall close to the APR regional average and mostly rated at 4. Delays in procurement affecting the pace of implementation have been one of the issues.

66. **The key challenge met in the country programme was lengthy review processes by the Investment Coordination Committee¹⁷⁷ for new project proposals.** Scrutiny and careful review process are in principle positive, but according to the testimonies obtained from interviews, these processes became lengthier in recent years and this has been a challenge most, if not all, development partners have experienced. For example, it has not been rare to see the lag of 3-5 years from the concept development to approval. In fact, with specific reference to the IFAD country programme, these delays are one of the principal factors for little implementation results and achievements under three pipeline projects proposed in the 2009 COSOP.
67. On balance, the performance of the Government is rated satisfactory (5). The significance of the issue of delays is well noted and so are some other issues, but all in all, support and the performance in other areas have been very good and the Government has proved to be a valuable partner.

Key points

- IFAD has been particularly strong with regard to actively supporting non-lending activities, networking with government agencies and project partners and direct supervision and implementation support, and the IFAD country office and the role of country programme officer have been instrumental. However, there were a number of important shortcomings, including the failure to develop a coherent and useful strategic guidance for the country programme (COSOP), some design weaknesses, inadequate attention to supporting project M&E, and questions on its response to emergency situation.
- A diverse range of government agencies and LGUs has been involved in the country programme and they have mostly proved to be valuable partners. NEDA's participation in all supervision missions is an exemplary practice indicating strong ownership by the Government. The key challenge in the country programme has been lengthy review process for new project proposals.

¹⁷⁶ IFAD records.

¹⁷⁷ The Investment Coordination Committee consists of the Secretary of Finance, as chair, the NEDA Director-General, as co-chairperson, secretaries of some government departments, and the Governor of the Central Bank.

VI. Synthesis of the country strategy and programme performance

68. This section will synthesize the assessments on the lending portfolio, non-lending activities and performance of partners in the previous sections and provide consolidated overall assessment of the country strategy and programme. The assessment will be presented in relation to relevance and effectiveness.

A. Relevance

The strategy

69. **There is no clear articulation of a strategy for the country programme in the 2009 COSOP.** Following the 2006 RB-COSOP Guidelines, the programme puts forward strategic objectives framed around the lending portfolio and describes implementation modalities involving participation, targeting, partnerships, knowledge management, policy dialogue and cross-cutting issues; but does not explain how they fit together in a strategy. Such strategy as there was is implicit in the description of these elements. For the purposes of the CSPE a theory of change was developed and that creates the following retrofitted strategy.
70. **The implicit theory of change in the COSOP** is that 'direct investment in loan-financed projects in partnership with the GOP, supported by some selected regional grants would deliver innovative programmes targeted at different target groups in poor rural communities. Structured annual programmes of knowledge management and joint programme reviews would provide substantive material for policy dialogue, with the aim of successful investments being scaled up by the government and/or development partners. It is a knowledge-driven partnership strategy with a discrete set of independent investments.' Nowhere is this clearly stated in the document and as a result, neither the strategic objectives nor the performance indicators draw attention to the added value of the strategy over and above project objectives. Yet the implicit strategy was coherent and fits well with IFAD's strategic frameworks.

Policy and strategy alignment

71. **The country programme strategy has operated under two sets of policy and strategic frameworks.** Firstly, the Philippines Medium-Term Development Plan (MTDP) 2006-10 and Philippines Development Plan (PDP) 2011-16. Secondly, IFAD's Strategic Frameworks 2007-10 and 2011-15. The programme was a good fit with both sets of national development plans. The loan projects and IFAD's implementation modalities taken together provide support to all three goals of the 2011-16 PDP: Goal 1 Food Security Improved and Incomes Increased; Goal 2 Sector Resilience to Climate Change Risks Increased; Goal 3 Policy Environment and Governance Enhanced.
72. The intervention strategies under the PDP have a direct bearing on IFAD's support to the rural sector, *inter alia*, by tackling productivity and incomes of households and enterprises in the rural sector; increasing investments and employment across the value chain; transforming agrarian reform beneficiaries into viable entrepreneurs; explicit attention to marginalized groups including "farmers and landless rural workers; artisanal fisher folk; urban poor; indigenous people; workers in the informal sector; migrant workers; women; children; youth; senior citizens; and persons with disabilities"; support to the issuance of certificate of ancestral domain titles for indigenous peoples; and increasing the resilience of agriculture communities through the development of climate change-sensitive technologies, and systems. The areas of support reflected in the COSOP have the potential to contribute to diversification of incomes and livelihoods for the rural poor engaged in agriculture and fisheries. Livelihoods diversification has also been pointed out as one of the strategies for rural poverty reduction in broader terms.

73. IFAD's operational outcomes in the 2007-10 Strategic Framework mirror the three goals of PDP, pursuing increased incomes and enhanced food security for the immediate target group of IFAD-supported projects, providing a basis for evidence-based institutional and policy reform; and strengthened in-country capacities for rural poverty reduction. In fact, the Philippines programme included ways of working that pre-date the new thematic focus and principles of engagement that appear in IFAD's 2011-15 framework, especially through integration of poor rural people within value chains and promoting gender equality and women's empowerment. So in some respects the programme was in advance of IFAD's emerging policy environment.

Strategic objectives

74. Given the good fit with both national and IFAD strategies it is interesting that the three strategic objectives of the COSOP are so limited in scope, for example, combining a thematic focus (e.g. value chains, agribusiness for SO2) and geographic focus (e.g. "particularly in the Visayas and Mindanao" for SO2). See table 5 for the full presentation of SOs. Indeed, these are closely matched to the then current and pipeline loan projects: SO1 to CHARMP2 and INREMP; SO2 to RuMEPP and CONVERGE; and SO3 to FishCORAL.
75. **The structure of these objectives is unusual among IFAD programmes.** Other contemporary COSOPs in the Asia and Pacific region¹⁷⁸ have strategic objectives structured around principles or themes such as access to resources and services, or empowerment and capacity building. The SOs in the Philippines COSOP are narrowly aligned both to targeted geographical areas and to the specific sub-sector or intervention model of individual projects. As a result, judged from the perspective of the strategic objectives and their indicators, there is no added value over and above individual loans (in other words, no programme dimension) and where implementation has been severely delayed as in the case of project FishCORAL, which aligns uniquely with SO3, no progress has been made towards the strategic objective.

Coherence

76. Two pipeline projects were designed out of direct experience in the portfolio: INREMP, building on watershed development experience from CHARM1 (and lessons from grants support to ICRAF); CONVERGE building on NMCIREMP with geographical emphasis in Mindanao and the Visayas. FishCORAL was acknowledged to be a sectoral departure for IFAD but would target very poor communities and was to be preceded by a pilot grant to be implemented between 2011 and 2013, before the main project was designed.¹⁷⁹
77. Into this framework was introduced implementation of RaFPEP, approved in 2008 the year before the COSOP as a rapid response to the food price crisis of 2007 and 2008. The fit or linkage with the COSOP is not obvious. The RaFPEP appraisal document does not make references to the COSOP, presumably because the bulk of the planning for the COSOP had been done before RaFPEP emerged as a rapid response. The RaFPEP-IRPEP activities were taken into account after the MTR by a slight rewording of the second strategic objective in the COSOP.¹⁸⁰
78. **The most coherent elements of the strategy were the intended targeting of the rural poor in the 20 poorest provinces and the mainstreaming of value**

¹⁷⁸ The CSPE reviewed COSOPs in Pakistan 2009; India 2011; China 2011; Bangladesh 2012; Vietnam 2012; Nepal 2013; Myanmar 2014.

¹⁷⁹ This pilot grant was never processed and did not materialize owing to lack of interest by the Bureau of Fisheries and Aquatic Resources.

¹⁸⁰ Strategic objective (SO) 2 at MTR was "the entrepreneurial poor in selected rural areas, particularly in the Visayas, and northern and western, southern and eastern, and central Mindanao, have improved access to markets and rural financial and **other services (seeds and irrigation)** to improve the value chains of agribusiness systems benefiting poor farmers, fisher folk, marginalized groups, women and rural entrepreneurs. The wording "other services (seeds and irrigation)" was not in the COSOP but appears in the results framework presented in the COSOP MTR report, presumably to better retrofit RaFPEP in the COSOP

chain development as a modality. This fits with both IFAD and the Government policies. In other respects there is little to associate the projects. From a strategic point of view there was an interesting element in the association between a few regional grants and the loan projects, but the grants are not discussed in the COSOP. According to APR/IFAD,¹⁸¹ diversification of partnerships with multiple agencies and support in various sub-sectors was deliberate, in pursuit of rural development solutions to address the needs of different target groups and that therefore, "interlinkage of operations" would be contrary to the IFAD strategy in the Philippines. This argument may be inconsistent with the 2006 Results-Based COSOP guidelines which emphasized a shift to "coherent country programmes, comprised of mutually reinforcing instruments and activities that support a limited number of key strategic objectives" and the synergy between delivery instruments. In fact, relatively weak coherence and synergy among the projects as well as non-lending activities suggests that it would be harder to develop convincing evidence about lessons from implementation to contribute to policy dialogue.

Targeting

79. **Presentation of targeting in the 2009 COSOP is confused in the text and the intended approach was not followed in all projects.** The programme was to focus on the 20 poorest provinces 'as defined by the government in any given year' (suggesting a broad and changeable geographic focus), with appropriate diagnostic tools and techniques (e.g. participatory wealth ranking) used to target those segments of poor and food insecure people in these areas that are also able to take advantage of the opportunities to be offered.
80. Inspection of the outturn of projects and province concentration reveals mixed findings on geographical poverty targeting. Taking the 20 provinces with highest poverty rates in 2009, 14 of the 20 provinces have received activities from projects under implementation (see annex IX), but a large proportion of these were through RuMEPP only, which mainly involved self-targeting of active and potential entrepreneurs. Taking NMCIREMP, CHARMP2 and RaFPEP/IRPEP, the coverage was 8 of the 20 provinces, much less than indicated in the COSOP. Part of the problem lies in the protracted delays to INREMP, CONVERGE and FishCORAL which themselves were to cover 14 of the 20. The intention in the COSOP pipeline description for INREMP to focus on the 20 poorest provinces never passed design stage, with only 9 provinces targeted and of these only 4 were in the poorest 20 in 2009. The oft-repeated claim that the programme would focus on the 20 poorest provinces is in fact misleading.
81. Setting aside the discussion on comparison between actual record and the geographical targeting indicated in the COSOP, a more fundamental issue is that the intention of "working in the poorest provinces" is in fact both impractical and problematical. Published data from the National Statistical Coordination Board¹⁸² show that measurement of poverty is subject to a high degree of statistical error; hence estimates of provincial poverty rates have wide confidence intervals. Over three years 2006, 2009 and 2012, only 7 provinces were consistently in the 'bottom poorest cluster' of 16 provinces. Thus the claim in the COSOP to work with the '20 poorest provinces in any given year' is impractical as the ranking of provinces in the list changes so much.
82. Targeting projects towards poorer provinces could be one of the practical ways of directing the broad thrust of operations. But more attention would have been required to diagnostics of poverty situation when proposing strategic directions in the COSOP and designing activities and approaches to increase the likelihoods that they reach the intended beneficiaries, also in line with IFAD's policy on targeting.¹⁸³

¹⁸¹ APR comments on the draft CSPE approach paper and the draft CSPE report.

¹⁸² 2012 Full Year Poverty Statistics, National Statistical Coordination Board.

¹⁸³ 2006 IFAD Policy on Targeting (EB 2006/88/R.2/Rev.1)

83. Both CHARMP2 and NMCIREMP approached diagnostic work by selecting poor municipalities within poor provinces, reviewing poverty level and municipality classification, working mainly with Classes 4, 5 and 6, meaning those with the lowest capacity. In both projects, some type of participatory planning was used to develop implementation plans for project activities. In neither project were tools such as wealth ranking used to identify the poorer households. Whilst this might not have had a bearing on project activities it is relevant for being able to assess impact on the target group of different poverty profiles, as well as income and food security, a point developed further below. It is also noted that the comparison of PSR scores across APR shows that the Philippines scored at or below average for food security in 3 of the past 5 years (annex XI).
84. Respondents interviewed for the CSPE have argued that IFAD's focus on the poor and vulnerable is a distinctive feature and distinguishes IFAD from other development partners. Yet that targeting was relatively underdeveloped in the Philippines. The targeting also failed to bring continuity of support for communities in post-conflict fragile situations, especially in Northern Mindanao, where IFAD had been an influential presence in previous interventions. In fact, CONVERGE would have contributed to these vulnerable populations had it not been so delayed.
85. In fact, the COSOP does not really reflect on how IFAD may integrate or address the issues of conflict or post-conflict tensions, even in Mindanao, despite political instability and civil conflict being identified as reasons for slow and weak project performance later in the document. The 2009 COSOP claims (paragraph 35) its comparative advantage including "*conflict prevention and peace-building through re-settlement of ex-combatants*" but there is no examination of these issues anywhere in the document, except for references to work by other development partners.¹⁸⁴
86. **Assessment summary.** The overall direction of the country programme responded well to both national plans and IFAD's strategic frameworks. There is some clear continuity from previous loan projects. The intention was to work in poorer locations with targeted beneficiaries, but the emphasis on poorest provinces was misleading and more attention should have been given to targeting beneficiaries. The programme of lending and non-lending activities was not well articulated in the COSOP. The component parts in fact combine to make an effective country design, but the importance of learning and bringing lessons to help the Government programmes and initiatives to be more effective was not recognized and underlined sufficiently. The country strategy was relevant to the country's needs but in view of the lack of clarity over IFAD's potential contribution, is assessed as moderately satisfactory (4).

B. Effectiveness

87. **Assessing results against the COSOP indicators.** Original and post-MTR outcome indicators associated with the COSOP SOs are shown in table 19. Of the three SOs, most surveys have failed to provide reliable, convincing evidence. The most consistent findings are for SO2, from RuMEPP and RaFPEP/IRPEP.

¹⁸⁴ IFAD. 2015. Corporate level evaluation: IFAD's engagement with fragile and conflict-affected states and situations.

Table 19
Results against the COSOP results framework indicators

Strategic objectives	Original outcome indicators	Outcome indicators revised at MTR 2012	Result over COSOP Period
SO1 Upland poor households	<ul style="list-style-type: none"> •About 20% of upland poor HHs possess appropriate land tenure instruments, of whom 50% have increased their income by 15%, and 50% utilize one or more environmentally-sustainable practice •20% of upland poor HHs report a secure source of water for irrigation and household use 	<p>In CAR target areas and compared with 2010:</p> <ul style="list-style-type: none"> - Reduction in the number of HHs with annual average income (in real terms) of less than PHP 60,000 to 23% in line with the PDP national target. 	<p>The CHARMP2 RIMS Report at MTR (2012) and the Outcome Survey conducted in 2015 for CHARMP2 do not provide any concrete evidence of impact.</p> <p>According to the field visits and interviews by the CSPE team with more than 130 women and men from 9 LIGs of CHARMP2 there had been a modest increase in the income for about 20 per cent of those interviewed. These increases were reported to be in the range of between 5% and 30% of their current income.</p>
		<p>In INREMP targeted upper river basins:</p> <ul style="list-style-type: none"> - 25% of the land is under science based land use systems¹⁸⁵. 	<p>Delayed implementation, no results.</p>
SO2 Entrepreneurial poor	<ul style="list-style-type: none"> •20% of targeted entrepreneurial poor have access to rural credit/micro-finance facilities sustainable practice •20% of upland poor HHs report a secure source and markets •20% of entrepreneurial poor have diversified/expanded their economic undertakings •20% of beneficiaries engaged in agri-based and environment-friendly livelihood endeavors possess improved capacities 	<p>In RuMEPP target areas:</p> <ul style="list-style-type: none"> -50,000 new jobs generated. - 10,000 of the assisted micro enterprises (MEs) increase their profitability and are operational after three years. 	<p>The PCR reported that 74,683 jobs were generated, but this is considered to be overstated. The PPE found inconsistencies in data in various sources and could not estimate it, but it would be much less the figure reported in PCR and also lower than the target of 50,000.</p> <p>Despite the shortcomings in data, there is an indication that increases in income and profitability of beneficiaries are likely to have occurred, and so are increases in resulting job opportunities. The extent is not known, however.</p> <p>DTI reported a 74% achievement rate (7,379 MEs) against the target of "10,000 MEs still operational after three years" but the PPE pointed that this was not confined to start-ups and included those who were already operating 3 years earlier.</p>
		<p>In the 11 areas targeted by CONVERGE:</p> <ul style="list-style-type: none"> - Average income of 32,000 participating smallholders increased by 10%. 	<p>Delayed implementation, no results.</p>
SO3 Selected marginalized and poor coastal communities	(See annex VIII)	<p>In RaSSFIP and IRPEP target areas:</p> <ul style="list-style-type: none"> - Minimum of 10% increase in overall rice production compared with the baselines on 803,750 ha for RaSSFIP areas and 11,150 ha for IRPEP irrigation schemes. 	<p>RaFPEP-IRPEP reached 14,189 farmer beneficiaries.</p> <p>The investments in the irrigation system led to an improvement in the conveyance efficiency of the system and also had an immediate impact of enhancing production as a result of the increased availability of water. Under RaFPEP, significant yield increases were reported in the project reports. From a baseline of 3.06MT, the yield increased to 4.01MT. Due to increased availability of water, some areas had also grown a third or fourth or even a fifth crop.</p>
		(See annex VIII)	<p>Delayed implementation, no results.</p>

¹⁸⁵ It is not clear what is meant by "science based land use systems". No explanation is provided in the COSOP MTR and no such term appears in the INREMP design document either.

88. Like SOs themselves the outcome indicators have some limitations. They are simplistically structured around the outcomes of the loan projects rather than a country programme as a whole.
89. The COSOP MTR reviewed the results framework and concluded that the three COSOP SOs remain relevant and appropriate for the country programme and there was no need for any major changes, with only some modification to the wording to take account of work under RaFPEP. Some changes were proposed to the outcome and output indicators for both SO1 and SO2. Not least, the dominant objective of securing improved land tenure under SO1 was already being questioned owing to implementation difficulties. For SO3, which relates only to coastal communities and is not related to any of the ongoing or already designed projects, the existing outcome and output indicators were retained, with the intention of updating them when the project design was completed.
90. To a large extent, the performance judgment made at mid-term still applies today: *'The achievement of SO1 would seem to be doubtful, because of the delays with the implementation of CHARMP2 and the delays in approving INREMP, which are the two projects that relate to SO1. The approaches used by RuMEPP and RaFPEP help the programme to achieve SO2, but CONVERGE will not contribute anything. Owing to delays in FishCORAL there will be no progress towards SO3.'* (COSOP MTR report 2012).
91. Apart from the ACPoR meetings, described alter in the report, only one 'annual' review of the COSOP was produced. The Post MTR Progress Review report for 2014, published in March 2015, does not present any new data or assessment of outcomes and impact, basing its findings on coverage of households, loan utilization rate and output delivery. In the Country Programme Review presented at the 8th ACPoR in January 2016, the authors concluded the COSOP had underperformed, based mainly on the extensive delays to INREMP, CONVERGE and FishCORAL.¹⁸⁶
92. **Such a narrow assessment fails to convey the real achievements made under the country programme and highlights the limitations in the COSOP results framework.** Three key weaknesses are apparent. Firstly, the strong focus on production, profitability and income measures for SO1 and SO2 is one-dimensional. The indicators fail to reflect objectives linked to food security (which are present in both the PDP 2011-16 and IFAD's 2011-15 strategic framework) and hence, overlook issues of targeting and equity. That is relevant for participation in LIG, irrigation and agroforestry investments under CHARMP2 and for beneficiaries of RaFPEP, especially investment in irrigation under IRPEP where farmers have a range of land tenure arrangements that affect their returns from farming. Moreover, usable indicators about food security are arguably less demanding statistically than household income. Food security does feature as an indicator in FishCORAL under SO3, which has not been implemented.
93. Secondly, the indicators ignore innovative elements in the strategy and fail to stimulate data collection that will generate lessons for other projects and to contribute to policy engagement. Examples are many and include: the sustainability of SHGs/LIGs under NMCIREMP and CHARMP2; community support for common property resources through environmental management of reforestation under CHARMP2; financial gains through value chain enterprise development; and access to credit. Some of these issues call for qualitative enquiry such as case studies to accompany household surveys. Implementation approaches such as participatory community planning or application for enterprise finance and training bring opportunities for low-cost record keeping that can provide baseline data for evaluation. The outcome survey approaches used in the Philippines neglect these valuable resources. In contrast, concerns to try and capture the

¹⁸⁶ IFAD Philippines Country Programme review, Antonio Quizon and Peter Situ

multidimensional nature of change in CHARMP2 led to exploratory work with Outcome Web analysis that provides illustrative descriptive material of little analytical value.

94. Thirdly, the outcome surveys themselves have failed to deliver accurate, reliable results. A mixture of flawed sampling methods, ineffective statistical designs, a lack of focus on underlying change mechanisms and weak data collection have limited the utility of these surveys. Because they are commissioned and funded project by project there has been no coherence in designs and approaches and piecemeal contracting has resulted in one-off engagements without continuity of collection and analysis.
95. **Influence on partners.** Some examples of policy engagement have already been given earlier in the report. Direct interaction tends to happen mostly at a departmental level with IFAD's implementing partners, who consistently say they welcome lessons from IFAD-supported projects. The most effective example is IFAD's support to review the national government: LGU cost-sharing policy in 2011 which contributed to a 'temporary' suspension that is still in force and adoption of ad hoc arrangements such as LGU 20 per cent share for farm-to-market road.
96. In comparison, CHARMP2's attempts to support the ADSDPP process and issuance of CADTs in collaboration with NCIP have been ineffective. This experience might have the benefit of challenging the efficacy of NCIP, questioning the certification modality and indeed rethinking assumptions about the need for ancestral domain titles to provide tenure security.
97. The logic of using lessons from implementation experience before scaling up is also evident. DAR reported to the CSPE that CONVERGE is regarded as scaling up lessons from NMCIREMP, directed towards agrarian reform community (ARC) clusters and with a new value chain approach. The processing of CONVERGE preceded another major project proposal, the Inclusive Partnerships for Agricultural Competitiveness project (IPAC), expected to be financed by the World Bank.¹⁸⁷ IPAC also works with ARCs smallholder farmers and landless farmers in the targeted ARC clusters in 44 provinces. Whereas CONVERGE works with pre-identified commodities, IPAC will respond to proposals from cooperatives then give a matching grant. CONVERGE is more narrowly targeted than IPAC. While the two projects do not quite follow the same approaches, had CONVERGE been implemented to the original schedule, lessons from that experience might have informed DAR's planning with IPAC.
98. **Time delays.** Figure 3 and 6 in earlier section illustrated the planned and actual timing of events under the COSOP. **Delays have set back progress under the country programme and disrupted continuity of learning and implementation.** The whole programme and pipeline projects were subject to long delays. Initially, when consultation for the new COSOP started in 2004 it was suspended for: (i) the country programme management team to deal with the aftermath of the Indian Ocean Tsunami in Sri Lanka and Maldives; and (ii) during a domestic political crisis in the Philippines related to attempts to impeach President Arroyo. Introduction of the RB-COSOP format in 2007 necessitated further consultations with the Government to align with the MTDP. Next, efforts were reprioritised to support a call by UN Secretary General to assist countries affected by the 2007-8 food price crisis (which led to RaFPEP).¹⁸⁸ By this time the MTDP was in its last stages just as the new COSOP was being approved. As it happens, the preparation and processing of CHARMP2 went ahead on schedule in 2008. The approval of INREMP and processing of CONVERGE and FishCORAL were then held up by the newly instituted Investment Coordination Committee process. The

¹⁸⁷ The proposal for IPAC was approved by NEDA Board in September 2016, at its first board meeting under the new administration.

¹⁸⁸ COSOP Maturity Assessment Template June 2009,

COSOP finalization was delayed by about three years and the three projects by three to four years each. These delays are principal factors behind the underperformance of the programme.

99. **Effectiveness assessment.** The COSOP strategic objectives as set out in SO1, 2 and 3 have not been met. Consequently, from an objective-based assessment, this would lead to the rating of moderately unsatisfactory for effectiveness. However, as noted above, the CSPE considers that the way the strategic objectives and directions of the programme was described in the COSOP document was unsatisfactory, comprising of no more than a summary of results from the project portfolio. In particular, it takes no account of the programme dimension, which brings in non-lending services: grants, knowledge management and working with partners. The performance of the programme viewed from this wider perspective, as encapsulated in the theory of change developed by the CSPE is somewhat better. Much of this improvement arises from the committed support from the IFAD country office, specifically, the country programme officer and assistant, who have fostered a stimulating environment of learning and cross-project mutual support. The effectiveness of the country strategy (broader than the COSOP document) and programme is therefore assessed as moderately satisfactory (4).

C. Overall assessment: country strategy and programme performance

100. The country programme was designed with an orientation to appropriate policy and strategy frameworks and built on previous experience to a fair degree. The approach to targeting was not well thought through, mainly driven by geographical targeting and with the stated intention of directing investment to the 20 poorest provinces being not practical. The interaction between lending and non-lending services was relatively good, but the opportunities and potential had not been well reflected, in the COSOP and this may have contributed to knowledge management and policy dialogue being focused on aspects of implementation process rather than development results. Ultimately, effectiveness is poorly reflected in survey results and was compromised by delays both to the COSOP and to project implementation.
101. If the country strategy and programme performance was to be assessed solely based on the COSOP document, it would not be rated better than moderately unsatisfactory. But the performance viewed from a wider perspective, taking into consideration the efforts and advances made, especially outside and between each individual project, overall, it is assessed as moderately satisfactory (4).

Table 20

Country strategy and programme performance assessment

Relevance	4
Effectiveness	4
Overall	4

Key points

- Presentation of the country strategy underplays the added value of the programme through not explaining the linkages between lending and non-lending services.
- The programme was well aligned to Government and IFAD's plans and strategies, but targeting was poorly designed and to some extent impractical.
- The programme strategic objectives were narrowly focused on project outcomes, with indicators that overlook aspects of food security, and innovative features with potential for lesson-learning.
- Some progress was made towards SO2, but results for SO1 have been delayed and there is no progress at all towards SO3.
- Long delays in COSOP development and its pipeline project processing are principal factors behind the underperformance of the programme.

VII. Conclusions and recommendations

A. Conclusions

102. **Over the period of the evaluation, IFAD's support to the Philippines changed mainly in two ways.** Firstly, a shift in emphasis from predominantly area-based interventions with participatory planning, towards a more mixed portfolio with sectoral focus across a wide geographical area and with more prominence of value-chain and micro-entrepreneur interventions. This responded well to national development objectives that emphasised economic growth and employment. The coverage of rather wide geographical areas in some projects was also a response to the Government's priority on "the poorest provinces".
103. Secondly, adoption of a more knowledge-driven partnership strategy under which direct investment in loan-financed projects in partnership with the Government, supported by some selected regional grants, would deliver innovative programmes targeted at different groups in poor rural communities. Structured annual programmes of knowledge management and joint programme reviews were to provide substantive material for policy dialogue, with the aim of successful investments being scaled up by the government and/or development partners.
104. During the period covered by the evaluation, the Philippines has experienced steady economic growth. The IFAD lending term changed from highly concessional to intermediate terms in 2008, and then to ordinary terms for the most recent loans. The Philippines is now classified as a lower middle-income country. However, it is a shared view that poverty – in particular in rural areas – has persisted, and that further efforts are needed for a broader-based and inclusive growth.
105. **The country programme presents a contrasting tale of innovation and delay; process has prevailed over progress.** The country presence with competent staff enabled close follow-up on the country programme and excellent networking with partners in certain sections, which brought success to knowledge management. The attention to the value added beyond financing investment projects has become even more relevant as IFAD seeks to find ways to engage with middle-income countries, given that the Philippines is not short of financial resources (domestic or external). But substantial delays in both implementation and the entry of new projects to the portfolio, combined with poor understanding about project results, diminished the learning to be fed into policy engagement processes and scaling-up from IFAD's support. With the belated start-up of pipeline projects, the portfolio is only now settling into the new investments foreseen in the 2009 COSOP.
106. **The country programme was a good fit with national plans and IFAD's strategic frameworks, with a strong orientation towards alleviating rural poverty. But design details did not always match strategic intentions.** Targeting relied heavily on the Government's list of "the poorest provinces", an aim that was in fact not practicable. Identification and/or monitoring of beneficiaries lacked clarity, whether of farmers on irrigation schemes (i.e. owner-cultivators, tenants or sharecroppers), the nature of micro-entrepreneurs to be supported, or quite how job creation would occur. NMCIREMP and CHARMP2 both relied on working through groups in a participatory manner, but their relative roles and potential, as an organising conduit or to sustain a viable enterprise, were not always clear. Irrigators' associations are a notable exception. In CHARMP2, the project interventions intended to improve access to finance had to be re-structured during implementation. Widely spread geographical coverage, multitude of activities and the low intensity of investment creates potential challenges to demonstrate how poverty can be alleviated and generate lessons for policy and scaling up.

107. **There are a range of noteworthy and visible achievements, despite imperfect or poor evidence about the contribution to outcomes.** Highlights are in support to irrigated agriculture (in particular, under RaFPEP-IRPEP), improved rural infrastructure (roads, footbridges, footpaths, water, community-purpose buildings), improved participation of communities in development planning and implementation and strengthening their organizations (though with varied performance for different types of organizations), and to a lesser extent, microenterprise development (RuMEPP). A significant achievement was the greater involvement of indigenous peoples in development processes and local governance.
108. The evidence is mixed for other areas such as natural resource management or improved linkages to markets. While RuMEPP was, from the viewpoint of outputs, successful in disbursing microcredits, there was little confirmation that the project induced improvement in financial services and products for them to be more responsive to the needs of the target group. The earlier success on supporting the development of ADSDPPs and the issuance of CADTs for indigenous peoples, hailed as a pioneer initiative in CHARM1 and NMCIREMP, has faced challenges in CHARMP2, holding back implementation of this specific activity. It should also be noted that the objectives and design of support in this area would warrant careful reflection in each different specific context.
109. A combination of a long gestation period, delayed implementation and weak generation of evidence means that the country programme has not moved forward from the pioneering work in Northern Mindanao and the Cordillera to develop effective policy lessons from participatory, community-based initiatives that recognise the importance of land tenure security as an important facet of development. There is little new evidence to update the rationale in the 2009 COSOP to tackle issues of indigenous people, control over land and water resources, and marginalised and poor communities in coastal locations.
110. **Good performance and good practices have arisen across and between projects.** Strengths are evident particularly in the performance of knowledge management, collaboration between the loans and the grants, the promotion of gender equality and women's empowerment, the projects' support to empowerment of beneficiaries and their organizations, support to "convergence" and collaboration of different initiatives and government partners. Knowledge management was an integrated part of the country programme. There were clear objectives, and structured mechanisms, which IFAD, with a critical role of the country programme officer, used to good effect.
111. **Non-lending activities played to strengths in Philippines society.** Close interaction and sharing of implementation experiences reflect a relatively strong civil society sector, good communications and well educated middle managers. The presence and role of the IFAD county office has been instrumental in facilitating these activities.
112. **The original objectives for policy dialogue were overambitious** and relied too much on the expectation that issues emerging from the ACPoR and KLM would be channelled into a higher level dialogue. In the absence of a regular national forum, IFAD needed to create opportunities but few examples have been found. Without a routine mechanism, the policy linkage objectives in the COSOP were unrealistic. Country programme management was rather inward-looking. Policy discussions were more about tools and techniques than higher-level strategic issues. There was little engagement with other multilateral agencies except for co-financing with the Asian Development Bank, or bilateral donors and little leverage over government systems. IFAD emerges as a small but trusted implementation partner for government but not an animated advocate to a middle income country.
113. **Both monitoring and evaluation have under-performed.** Monitoring has generated data about implementation, but in too many projects there are

inconsistencies even over basic information such as numbers of beneficiaries. Evaluation studies have failed to deliver reliable findings about outcomes. Reports display a mixture of poor conceptualisation, weak or inappropriate survey designs and inattention by management to fundamental issues such as incomes, equity and food security. Countless opportunities have been missed to use participatory planning as baseline data and to develop case studies of complex issues such as livelihood group experience and natural resource management. More substantive findings could have changed the nature and scope of IFAD's policy engagement with higher levels of government and other development partners.

B. Recommendations

114. Provided below are key recommendations for consideration by IFAD and the Government of the Philippines. All these recommendations are to be considered in the following contextual issues: the new Government in place as of July 2016 and its emerging new policy direction; the country's status as a MIC; post-conflict situation in Mindanao; and the exposure to disaster risks.
115. **Recommendation 1: Carefully reflect on IFAD's comparative advantage relative to the country's needs in the new country strategy.** The process for strategy development should take into consideration the following: (i) given the size of IFAD, the country is not particularly in need of external financing, but rather looks for knowledge; and (ii) in presence of other partners with larger resource envelopes for the agriculture and rural sector, it is important to identify and agree on strategic issues and areas where IFAD's support and expertise could add value. The new country strategy should reflect IFAD's specificity and comparative advantage, in terms of the target group (e.g. indigenous peoples, fisher folks) and/or thematic areas with a clear pro-poor orientation, with a view to generating knowledge and lessons to inform investments by the Government and other partners for scaling-up.
116. Engagement with indigenous peoples in a proactive manner has been clearly one of the areas where IFAD has accumulated experience and comparative advantage, not only in the Philippines but at corporate level. Taking into consideration earlier achievements and with prevailing institutional challenges, there is an opportunity to revisit and strategically reflect on future support in this area. Land tenure remains a potential source of conflict and a key issue for the rural poor, and the new country strategy needs to consider ways to upgrade IFAD's support in this area - at ground level, as well as at policy level in collaboration with other partners.
117. The IFAD model of learning from project results and using information to support government policy should be an explicit element of the strategy. The strategy should discuss the opportunities for diverse types of support, apart from investment financing, for example, e.g. reimbursable technical assistance, facilitating knowledge-sharing with other countries. IFAD's programme of regional grants can support this and should be included in the strategy.
118. Furthermore, given the exposure of the country and the rural poor to natural disasters, the country strategy should include a vulnerability and risk assessment and a disaster preparedness country brief, relative to its strategic objectives and foreseen support.
119. **Recommendation 2: Enhance diagnostic analysis of the potential target group and targeting.** The new COSOP will be partly defined by the delayed entries to the portfolio of CONVERGE and FishCORAL. Within their target locations there is scope to improve the identification of potential beneficiaries and how to reach them. First, there should be good quality diagnosis of different groups within the potential target population, a differentiated approach to reach them, and monitoring on the outreach, beneficiary profiles and the targeting performance. Issues of food security and inclusiveness should be more strongly built into targeting. Second, a more strategic approach to increase intensity of investment

(either under a specific project or by creating synergies between projects) in targeted locations should be pursued where possible, to enhance the likelihoods of palpable impact. The latter might involve an agreement on some geographic focus in confined areas (building on experience in Mindanao, Visayas and CAR).

120. **Recommendation 3: Strengthen leverage for policy engagement by improving the quality of knowledge and evidence.** Building on generally good performance in knowledge management, an implementation strategy should be developed to improve the quality of evidence from monitoring and evaluation across the portfolio as a whole. This could include working more closely with NEDA and the Department of Budget Management in support of the national results-based M&E initiative, and supporting M&E by the implementing line departments as well as LGUs and other stakeholders at local level. Project designs should be accompanied by clear theories of change and should plan for analytical work and self-assessments. Consideration could be given to identifying and working with an organisation to manage monitoring, evaluation and learning across the portfolio and bring consistency and rigour to evaluation design.
121. The established ACPoR and KLM-PE processes should bring in other development partners and commission comparative analysis of implementation issues and performance beyond IFAD-supported projects. In addition, the IFAD country office should be resourced to increase support to national policy and strategy issues.
122. **Recommendation 4: Strengthen partnerships with other development partners to support the new Government.** Good performance to date in working with government agencies, research organizations and civil society should be consolidated and expanded to other development partners. Relationships with some of the grant recipients with clear potential for value addition and linkage should be brought into the mainstream of the country strategy and programme.
123. Closer links can be established with multilateral and bilateral agencies. This does not necessarily have to be in the form of cofinancing, also given the Government's recent policy on reviewing project proposals separately from possible financing sources (see paragraph 72). Working through the country office, IFAD should work with other development partners in the rural sector to strengthen the exchange of information with the Government with a focus on the areas of its comparative advantage and the Government's priorities. There are also opportunities for IFAD to work with other Rome-based agencies to provide advisory support on issues such as food production and food security, gender equality and women's empowerment in agriculture and rural development, and contingency planning for disaster risk reduction. The new COSOP provides an opportunity to initiate this process.
124. The close association with civil society should continue, maintaining their interaction through the ACPoR and KLM-PE. Opportunities should be sought to develop schemes with the private sector to help support value chain investments by farmers.

Definition of the evaluation criteria used by IOE

Criteria	Definition *	Mandatory	To be rated
Rural poverty impact	Impact is defined as the changes that have occurred or are expected to occur in the lives of the rural poor (whether positive or negative, direct or indirect, intended or unintended) as a result of development interventions.	X	Yes
	<i>Four impact domains</i>		
	<ul style="list-style-type: none"> Household income and net assets: Household income provides a means of assessing the flow of economic benefits accruing to an individual or group, whereas assets relate to a stock of accumulated items of economic value. The analysis must include an assessment of trends in equality over time. 		No
	<ul style="list-style-type: none"> Human and social capital and empowerment: Human and social capital and empowerment include an assessment of the changes that have occurred in the empowerment of individuals, the quality of grass-roots organizations and institutions, the poor's individual and collective capacity, and in particular, the extent to which specific groups such as youth are included or excluded from the development process. 		No
	<ul style="list-style-type: none"> Food security and agricultural productivity: Changes in food security relate to availability, stability, affordability and access to food and stability of access, whereas changes in agricultural productivity are measured in terms of yields; nutrition relates to the nutritional value of food and child malnutrition. 		No
	<ul style="list-style-type: none"> Institutions and policies: The criterion relating to institutions and policies is designed to assess changes in the quality and performance of institutions, policies and the regulatory framework that influence the lives of the poor. 		No
Project performance	Project performance is an average of the ratings for relevance, effectiveness, efficiency and sustainability of benefits.	X	Yes
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, institutional priorities and partner and donor policies. It also entails an assessment of project design and coherence in achieving its objectives. An assessment should also be made of whether objectives and design address inequality, for example, by assessing the relevance of targeting strategies adopted.	X	Yes
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.	X	Yes
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.	X	Yes
Sustainability of benefits	The likely continuation of net benefits from a development intervention beyond the phase of external funding support. It also includes an assessment of the likelihood that actual and anticipated results will be resilient to risks beyond the project's life.	X	Yes
Other performance criteria			
Gender equality and women's empowerment	The extent to which IFAD interventions have contributed to better gender equality and women's empowerment, for example, in terms of women's access to and ownership of assets, resources and services; participation in decision making; work load balance and impact on women's incomes, nutrition and livelihoods.	X	Yes
Innovation and scaling up	The extent to which IFAD development interventions: <ul style="list-style-type: none"> (i) have introduced innovative approaches to rural poverty reduction; and (ii) have been (or are likely to be) scaled up by government authorities, donor organizations, the private sector and others agencies. 	X	Yes
Environment and natural resources management	The extent to which IFAD development interventions contribute to resilient livelihoods and ecosystems. The focus is on the use and management of the natural environment, including natural resources defined as raw materials used for socio-economic and cultural purposes, and ecosystems and biodiversity - with the goods and services they provide.	X	Yes
Adaptation to climate change	The contribution of the project to reducing the negative impacts of climate change through dedicated adaptation or risk reduction measures	X	Yes

<i>Criteria</i>	<i>Definition</i> *	<i>Mandatory</i>	<i>To be rated</i>
Overall project achievement	This provides an overarching assessment of the intervention, drawing upon the analysis and ratings for rural poverty impact, relevance, effectiveness, efficiency, sustainability of benefits, gender equality and women's empowerment, innovation and scaling up, as well as environment and natural resources management, and adaptation to climate change.	X	Yes
Performance of partners			
• IFAD	This criterion assesses the contribution of partners to project design, execution, monitoring and reporting, supervision and implementation support, and evaluation. The performance of each partner will be assessed on an individual basis with a view to the partner's expected role and responsibility in the project life cycle.	X	Yes
• Government		X	Yes

* These definitions build on the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) Glossary of Key Terms in Evaluation and Results-Based Management; the Methodological Framework for Project Evaluation agreed with the Evaluation Committee in September 2003; the first edition of the Evaluation Manual discussed with the Evaluation Committee in December 2008; and further discussions with the Evaluation Committee in November 2010 on IOE's evaluation criteria and key questions.

Ratings of IFAD lending portfolio in the Republic of the Philippines^a

Criteria	NMCIREMP	RuMEPP	CHARMP2	RaFPEP- RaSSFiP*	RaFPEP- IRPEP*	RaFPEP*	INREMP	CONVERGE	FishCORAL	Overall portfolio
Rural poverty impact	5	4	4	(n.a.)	(5)	5	n.p.	n.p.	n.p.	4
Project performance										
Relevance	5	4	4	(3)	(5)	4	4	5	4	4
Effectiveness	5	4	4	(3)	(5)	4	n.p.	n.p.	n.p.	4
Efficiency	4	4	4	(3)	(5)	4	n.p.	n.p.	n.p.	4
Sustainability of benefits	5	4	4	(n.a.)	(5)	5	n.p.	n.p.	n.p.	5
Project performance^b	5	4	4	(3)	(5)	4	n.p.	n.p.	n.p.	4
Other performance criteria										
Gender equality and women's empowerment	6	5	5	(3)	(6)	5	n.p.	n.p.	n.p.	5
Innovation and scaling up	4	4	4	(n.a.)	(4)	4	n.p.	n.p.	n.p.	4
Environment and natural resources management	4	3	4	(n.a.)	(4)	4	n.p.	n.p.	n.p.	4
Adaptation to climate change	4	n.p.	4	(n.a.)	(4)	4	n.p.	n.p.	n.p.	4
Overall project portfolio achievement^c	5	4	4				n.p.	n.p.	n.p.	4

* Two sub-projects under RaFPEP (RaSSFiP and IRPEP) were rated separately to provide combined ratings for RaFPEP, given that this was financed by one IFAD loan.

^a Rating scale: 1 = highly unsatisfactory; 2 = unsatisfactory; 3 = moderately unsatisfactory; 4 = moderately satisfactory; 5 = satisfactory; 6 = highly satisfactory; n.p. = not provided; n.a. = not applicable.

^b Arithmetic average of ratings for relevance, effectiveness, efficiency and sustainability of benefits.

^c This is not an average of ratings of individual evaluation criteria but an overarching assessment of the project, drawing upon the rating for rural poverty impact, relevance, effectiveness, efficiency, sustainability of benefits, gender, innovation and scaling up, environment and natural resources management and adaptation to climate change.

Ratings of the country strategy and programme: Republic of the Philippines

	<i>Rating</i>
Overall project portfolio achievement	4
Non-lending activities	
Policy dialogue	4
Knowledge management	5
Partnership-building	4
Overall non-lending activities	4
Performance of partners	
IFAD	4
Government	5
Country strategy and programme performance	
Relevance	4
Effectiveness	4
Overall – country strategy and programme performance	4

List of IFAD-supported lending operations approved since 1978

Proj ID	Project name	Project sector	Total project cost (US\$)	IFAD Financing (US\$)	Co-financer Amount (US\$)	Government (US\$)	Coop Institution	Approval Date	Signing Date	Entry into Force	Current Completion Date	Closing Date
008	Magat River Multipurpose Project II	IRRIG	62 000 000	10 000 000	21 000 000	31 000 000	IBRD	12/12/1978	26/01/1979	25/04/1979	31/12/1984	30/06/1985
084	Smallholder Livestock Development Project	LIVST	12 700 000	2 612 000	2 640 000	2 046 000	AsDB	17/12/1981	22/06/1982	01/10/1982	31/03/1989	30/09/1989
108	Communal Irrigation Development Project	IRRIG	121 800 000	7 720 000	71 100 000	38 700 000	IBRD	15/09/1982	16/11/1982	29/03/1983	31/12/1990	30/06/1991
196	Highland Agriculture Development Project	AGRIC	26 900 000	3 567 000	18 800 000	3 500 000	AsDB	03/12/1986	22/01/1987	21/08/1987	30/06/1993	31/12/1993
302	Visayas Communal Irrigation and Participatory Project	IRRIG	21 700 000	15 141 600	UNDP 0.62m DISOP 0.8m	4 466 400	UNOPS	14/04/1992	18/05/1992	25/08/1992	30/06/1999	31/12/1999
486	Cordillera Highland Agricultural Resource Management Project	AGRIC	9 200 000	9 240 000	19 060 000	11680000	AsDB	06/12/1995	06/03/1996	04/12/1996	31/12/2004	30/06/2005
505	Rural Micro-Enterprise Finance Project	CREDI	64 800 000	14 720 000	20 010 000	25 000 000	AsDB	18/04/1996	08/05/1996	04/12/1996	01/08/2002	31/12/2002
1066	Western Mindanao Community Initiatives Project	RURAL	18 200 000	15 500 000	-	2 306 300	UNOPS	23/04/1998	29/04/1998	25/03/1999	30/06/2007	31/12/2007
1137	Northern Mindanao Community Initiatives and Resource Management Project (NMCIREMP)	RURAL	21 600 000	14 805 000	-	3 007 000	-IFAD	06/12/2001	08/04/2002	01/04/2003	30/06/2009	31/12/2009
1253	Rural Microenterprise Promotion Programme (RuMEPP)	CREDI	27 500 000	19 129 788	-	654 672	IFAD	19/04/2005	11/11/2005	31/10/2006	31/12/2013	30/06/2014
1395	Second Cordillera Highland Agricultural Resource Management Project (CHARMP2)	RURAL	66 400 000	27 119 766	AsDB 10 mill (not materialized), OFID 10 mill	14 286 935	IFAD	24/04/2008	04/06/2008	14/11/2008	31/12/2016	30/06/2017
1475	Integrated Natural Resources and Environmental Management Project (INREMP)	AGRIC	148 600 000	20 000 235	AsDB 100 mill CCF of ADB 1.41 mill, GEF 25 mill	18 282 554	AsDB	13/12/2012	12/04/2013	12/04/2013	30/06/2020	31/12/2020
1485	Rapid Food Production Enhancement Programme (RaFPEP)	AGRIC	42 200 000	15 900 459	EC 13 mill, FAO 500 000	13 620 000	IFAD	17/12/2008	02/09/2009	09/11/2009	31/12/2016	30/06/2017
1547	Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project (CONVERGE)	RURAL	52 530 000	25 010 000	-	9 590 000	IFAD	15/09/2015	26/10/2015	26/10/2015	30/04/2023	30/06/2023
1548	Fisheries, Coastal Resources and Livelihood Project (FishCORAL)	FISH	43 000 000	29 956 000	-	11 761 000	IFAD	15/09/2015	26/10/2015	26/10/2015	31/12/2020	30/06/2021

List of IFAD-supported grants in or covering the Philippines under implementation after 2010

A. Grants directly co-financing loans

<i>Grant Number</i>	<i>Related loan-financed projects</i>	<i>Signing date</i>	<i>Completion date (loan-financed projects)</i>	<i>Financing amount</i>
1000002577	Rural Microenterprise Promotion Programme	11/11/2005	31/12/2013	500 000
1000003084	Second Cordillera Highland Agricultural Resource Management Project (CHARMP2)	04/06/2008	31/12/2016	561 000
1000003084 (EC)	Rapid Food Production Enhancement Project (RaFPEP) – Rapid Seed Supply Financing Project (RaSSFIP)	02/09/2009	31/12/2016	13 140 000 (Euro 9 596 210)

B. Country-specific grants

<i>Grant Number</i>	<i>Grant title</i>	<i>Grant recipient</i>	<i>Signing date</i>	<i>Completion date</i>	<i>Financing amount (US\$)</i>
1000002848	AIMS: an area-based information management system, Northern Mindanao, Philippines	Saturnino Urios University	14/06/2007	31/03/2009	107 992
1000003277	Effects of biofuels on agricultural development, food security, poverty and the environment: Philippines	Southeast Asian Regional Centre for Graduate Study and Research in Agriculture (SEARCA)	05/02/2009	31/03/2011	200 000
1000003851	Technical Assistance on Institutional Strengthening of Results-based Monitoring and Evaluation for the National Economic and Development Authority and Implementing Agencies of the Philippines	National Economic and Development Authority (NEDA)	19/11/2010	30/06/2013	200 000
2000000382	Rapid Response to Post Typhoon Haiyan Agriculture Rehabilitation Programme (HARP)	DOF - PHL	27/01/2014	30/06/2015	4 050 000
2000000854	Technical Support to the Ex-post Impact evaluations using mixed methods approaches of the Rural Microenterprise Promotion Programme (RuMEPP)	De La Salle University	14/12/2014	31/12/2015	240 000
2000000159	Scaling up initiatives in Mobilizing Migrant Resources towards Agriculture Development In the Philippines	Atikha Overseas Workers and Communities Initiative Inc.	04/12/2014	31/12/2016	500 000

c. Global/regional grants that cover the Philippines

Grant Number	Grant title	Grant recipient	Signing date	Closing date	IFAD Financing (US\$)	Countries involved
1000000099	Medium Term Cooperation Programme with Farmers Organizations in the Asia and the Pacific Region: Southeast Asia sub-programme (MTC I)	Self Employed Women's Association (SEWA)	17/06/2009	31/12/2012	1 083 000	Cambodia, China, India, Indonesia, Lao PDR, Myanmar, Nepal, Philippines, Sri Lanka and Viet Nam
1000001711	Program for Accelerating the Financial Empowerment of Poor Rural Communities in Asia and the Pacific through Rural Finance Innovations	APRACA	11/01/2007	30/09/2012	1 200 000	Most countries in the Asia region
1000002830	Programme for Knowledge Networking for Rural Development Asia/Pacific (ENRAP II)	IDRC	14/04/2007	31/03/2011	1 085 000	Most countries in the Asia region
1000002907	Programme for linking the poor to Global Regional markets: pro-poor development of biofuel supply chains	ICRISAT	03/12/2007	30/06/2011	1 500 000	China, Colombia, India, Mali, the Philippines and Viet Nam
1000003086	Programme on Rewards for Use of and Shared Investment in Pro-poor Environmental Services (RUPES II)	ICRAF	15/10/2008	31/03/2013	1 500 000	Nepal, India, Philippines, Indonesia, Viet Nam, China, Cambodia, Mongolia, Thailand
1000003087	Regional capacity building and knowledge management for gender equality	FAO	09/01/2009	31/12/2011	1 500 000	24 countries (divided into Year 1 and Year 2) in all regions (Asia, Africa, Latin America, Central Europe, etc.)
1000003253	Empowering smallholder farmers in the market (ESFIM)	IFAP	04/05/2009	31/12/2012	1 000 000	10 countries in Africa, Latin America and Asia including Philippines
1000003375	Enabling Poor Rice Farmers to Improve Livelihoods and Overcome Poverty in South and Southeast Asia through the Consortium for Unfavourable Rice Environments (CURE I)	IRRI	28/07/2009	31/03/2014	1 500 000	Bangladesh, Nepal, India, Philippines, Indonesia, Viet Nam, Laos, Cambodia, Myanmar and Thailand
1000003615	Advancing the international land coalition's strategic framework: putting a pro-poor land agenda into practice at the national, regional and global levels	ILC	26/02/2010	30/06/2011	1 070 000	Kenya, Malawi, Zimbabwe, India, Philippines, Dominican Republic (then changed for Bolivia)
1000003832	Improving Livelihoods and Overcoming Poverty in the Drought-Prone Lowlands of South-East Asia	IRRI	16/12/2010	31/12/2014	1 200 000	Cambodia, Indonesia, Myanmar, Philippines, Thailand
1000003895	Root and Tuber Crops Research and Development Programme for Food Security in Asia and Pacific Region	International Potato Center (CIP)	22/03/2011	30/09/2015	1 450 000	Bangladesh, China, Philippines, Indonesia, India
1000004001	Indigenous Peoples Assistance Facility (IPAF) – Asia and the Pacific	TEBTEBBA	27/07/2011	31/12/2014	466 620	In Asia, Bangladesh, India Laos, Nepal, PNG, Solomon Islands, Philippines. Also Latin America and the Caribbean and Africa

Grant Number	Grant title	Grant recipient	Signing date	Closing date	IFAD Financing (US\$)	Countries involved
1000004046	Catalysing commitment to pro-poor land governance	ILC	07/09/2011	31/03/2013	1 000 000	Bangladesh, Bolivia, Colombia and Philippines
1000004067	Disseminating CGIAR challenge programme on water and food innovations (CPWF) and adoption process for water and food, and piloting their mainstreaming in the IFAD portfolio	International Water Management Institute-Challenge Programme on water and food (IWMI-CP)	07/05/2012	31/12/2014	1 000 000	Bangladesh, Bhutan, Bolivia, Brazil, Burkina Faso, Cambodia, China, Colombia, Ecuador, Ethiopia, Ghana, India, Iran, Kenya, Laos, Nepal, Nicaragua, Niger, Peru, Philippines, South Africa, Tanzania, Thailand, Uganda, Vietnam and Zimbabwe
2000000074	Medium Term Cooperation Programme with farmers' organizations in Asia and the Pacific, phase II (MTCP 2)	Asian Farmers' Association for Sustainable Rural Development (AFA)	04/09/2013	30/09/2018	2 000 000	Selected countries in Asia and the Pacific (Philippines in phase 1 2009-2012 AFA Phil as recipient)
2000000094	Enabling Poor Rice Farmers to Improve Livelihoods and Overcome Poverty in South and Southeast Asia through the Consortium for Unfavourable Rice Environments (CURE 2)	IRRI	13/03/2014	31/03/2018	1 500 000	Nepal, India, Bangladesh, Philippines, Indonesia, Vietnam, Laos, Cambodia, Myanmar and Thailand
2000000099	Climate-smart, tree-based, co-investment in adaptation and mitigation in Asia	ICRAF	13/03/2014	30/09/2017	1 500 000	Indonesia, Philippines, Vietnam
2000000493	Indigenous Peoples Assistance Facility (IPAF)	TEBTEBBA	14/10/2014	30/06/2018	525 600	Countries in Africa, Asia and the Pacific, and Latin America and the Caribbean
2000000511	Regional Programme on Remittances and Diaspora Investment for Rural development	Planet Finance Technical Advisory Services (PFTAS)	18/02/2015	31/03/2018	900 000	Pakistan, Philippines, Nepal, Sri Lanka

Key policy and legislative framework

Comprehensive Agrarian Reform Programme (CARP)

Initiated in 1988 the CARP has been one of the most important elements in the Philippines agricultural policies. CARP aims to redistribute private and public agricultural lands to farmers and farmworkers who are landless for an equitable land ownership. The Department of Agrarian Reform (DAR) has been in charge of acquiring and redistributing an estimated 7.8 million hectares of land. CARPER, or the Comprehensive Agrarian Reform Program *Extension with Reforms*, is the 2009 amendatory law that extended the deadline of distributing agricultural lands to farmers for five years. As of December 31, 2013, the Government acquired and distributed 6.9 million hectares of land, equivalent to 88 per cent of the total land subject to CARP.¹⁸⁹ Agrarian reform beneficiaries (ARBs) have been among the main target group for IFAD support.

One of the issues raised with the CARP implementation is that a majority of the certificate of land ownership award (CLOA) has been titles in a collective form (so-called "collective CLOA" versus individual CLOA), mostly CLOA in the name of all beneficiaries. Such form of collective titles was intended to be a transition mechanism to expedite the land acquisition process, to be followed by subdivision survey and generation of individual titles. The report by the World Bank (2009) indicated that about 71 per cent of all lands distributed under CLOA were collective. With slow progress in individualizing the titles, weak tenure security has been identified as one of the hindrances for farmers to access credit.

Revised Forestry Code (1975)

This is the primary forest law in effect, presiding over the protection, development and rehabilitation of forestlands. It stipulates that all lands with 18% or higher gradient are considered inalienable and indispensable and shall be reserved as forests. Executive Order 263 (1995) defines community-based forestry management as the national strategy to achieve sustainable forestry and social justice.

Agriculture and Fisheries Modernisation Act (Republic Act No.8435 of 1997)

A comprehensive legislation that provides blueprint for the sector's modernization and rural development. It focuses on food security, poverty alleviation, income enhancement, global competitiveness and sustainability. It was implemented through the Agriculture and Fisheries Modernization Programme (AFMP) (2001-2004).

Indigenous Peoples Rights Act (IPRA)

IPRA is a landmark legislation, which entered into force in 1997 to recognize, protect and promote the rights of indigenous peoples (IPs). The National Commission on Indigenous Peoples (NCIP) was created to establish implementing mechanisms and appropriate funds. With IPRA, the state shall recognize and promote all the rights of IPs within the framework of the 1987 Constitution, including: (a) right to ancestral domains/ancestral lands; (b) rights to self-governance and empowerment; (c) social justice and human rights; and (d) cultural integrity.

Promotion and Development of Organic Agriculture in the Philippines

The executive order no. 481 (2005) declared the policy of the state to promote agriculture development and organic agriculture nation wide. The Order aims to promote organic agriculture as a farming scheme especially in rural farming communities.

Climate Change and Disaster Management

The Philippines passed the Climate Change Act of 2009 (Republic Act (RA) 9729) to incorporate climate change in Government policy formulation and establish the

¹⁸⁹ Department of Agrarian Reform website. Accessed February 2016.

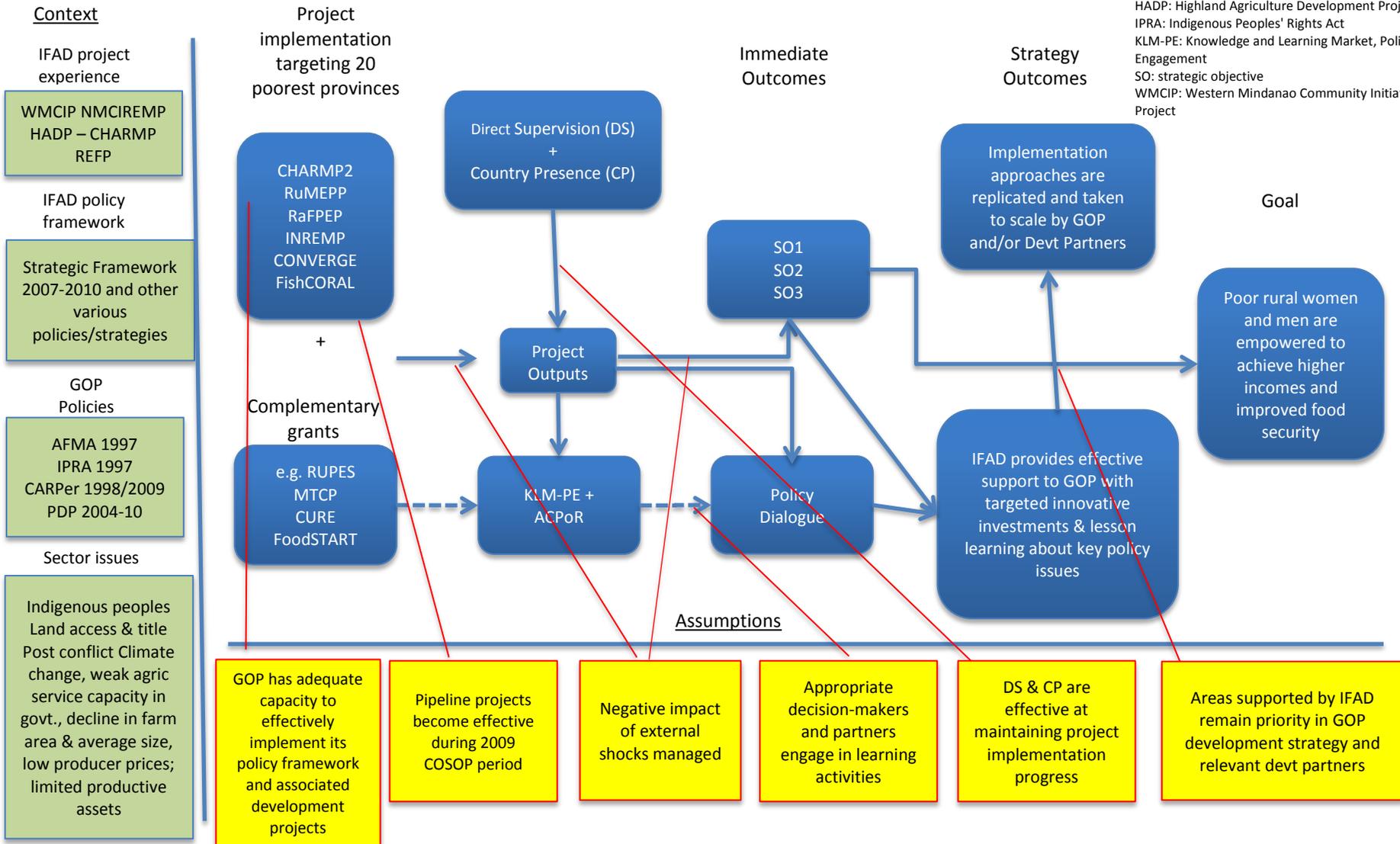
framework strategy for climate change. The National Framework Strategy on Climate Change was formulated in 2010 to ensure and strengthen the adaptation of the country's natural ecosystems and human communities to climate change, charting a cleaner development path for the country in the process. This is reinforced by the enactment of RA 10121, the Philippine Disaster Risk Reduction and Management Act of 2010.

The National Convergence Initiative (NCI)

The NCI aims to rationalise and improve the provision of agricultural services to farmers and provide a more broad-based approach to reduce rural poverty. The Government is pursuing the NCI to maximize resources available and synchronize the initiatives of the three departments engaged in rural development: DAR, DA and the Department of Environment and Natural Resources (DENR). The objectives are to: (i) accelerate the completion of the CARPER; (ii) rationalize land use policies and strengthen the system of land property rights; (iii) promote sustainable agriculture and preserve the land resource base; (iv) enhance the investment climate for agribusiness; (v) promote sustainable upland development and forest management; and (vi) initiate adaptation and mitigation measures.

2009 COSOP Theory of Change

AFMA: Agriculture and Fisheries Modernization Act
 CARP: Comprehensive Agrarian Reform Programme
 HADP: Highland Agriculture Development Project
 IPRA: Indigenous Peoples' Rights Act
 KLM-PE: Knowledge and Learning Market, Policy Engagement
 SO: strategic objective
 WMCIP: Western Mindanao Community Initiatives Project



2009 COSOP Results Management Framework

Strategic objectives	Original			Revised at MTR (2012)		
	Outcome indicators (gender disaggregated)	Outputs indicators (gender disaggregated)	Policy dialogue agenda	Outcome indicators (gender disaggregated)	Output indicators (gender disaggregated)	Institutional/policy objectives
SO1. Upland poor households (HHs) in the 20 poorest provinces – particularly those with indigenous peoples and agrarian reform beneficiaries – have improved access to land and water resources and services and gainfully use these sustainably.	<ul style="list-style-type: none"> About 20% of upland poor HHs possess appropriate land tenure instruments, of whom 50% have increased their income by 15%, and 50% utilize one or more environmentally-sustainable practice 20% of upland poor HHs report a secure source of water for irrigation and household use 	<ul style="list-style-type: none"> No. of people trained in environmentally sustainable and gender-sensitive farming and climate change impacts No. of land tenure instruments facilitated and issued Coverage and availability of portable water for home use No. of small-scale infrastructure, e.g. km of access or farmer to market roads development 	<ul style="list-style-type: none"> Resolution of resource use conflicts in existing laws Climate change implications of upland farming practices Policies/issues not included in current convergence framework of the rural development sector 	In CAR target areas and compared with 2010: - <i>Reduction in the number of HHs with annual average income (in real terms) of less than PHP 60,000 to 23% in line with the PDP national target.</i>	In CAR target areas: - 8 Ancestral Domain Titles secured for IPs. - 170 POs sustainably manage subprojects. - Forest cover successfully increased by 10,000 ha. - 20% increase in produce sales and 10% increase in real unit prices reported by project beneficiaries after interventions. - 30% increase in the traffic counts on project improved roads.	<ul style="list-style-type: none"> Climate change implications for upland farming practices. Emerging policy issues related to the NCI. NG: LGU cost sharing policy.
				In INREMP targeted upper river basins: - 25% of the land is under science based land use systems.	In INREMP targeted upper river basins: - 10% increase in revenue of LGUs and POs from watershed-based activities through PES. - 15% increased incomes from livelihood investments for beneficiaries	
SO2. The entrepreneurial poor in selected rural areas, particularly in the Visayas, and northern and western, southern and eastern, and central Mindanao, <u>have improved access to markets and rural financial and other services (seeds and irrigation) to improve the value chains of agribusiness systems benefiting poor farmers, fisher folk, marginalized groups, women and rural</u>	<ul style="list-style-type: none"> 20% of targeted entrepreneurial poor have access to rural credit/micro-finance facilities sustainable practice 20% of upland poor HHs report a secure source and markets 20% of entrepreneurial poor have diversified/expanded their economic undertakings 20% of beneficiaries engaged in agri-based and environment-friendly 	<ul style="list-style-type: none"> No. of entrepreneurial poor famrers and women provided with microcredit No. of viable microenterprises established or strengthened Adaption rate of improved technologies No. & ha of communal irrigation systems constructed/rehabilitated No. of post-harvest facilities constructed/rehabilitated & 	<ul style="list-style-type: none"> Terms and conditions of credit delivery Restrictions on microenterprises (e.g. prohibitive minimum capital requirements and collateral loan loss provision) There is SMEs agenda but no microenterprise agenda 	In RuMEPP target areas: -50,000 new jobs generated. - 10,000 of the assisted micro enterprises increase their profitability and are operational after three years.	In RuMEPP target areas: - 75 MFIs have lent to 35,000 new micro enterprise borrowers. - 80% of micro-entrepreneurs trained use the training provided.	<ul style="list-style-type: none"> Conditions under which MFIs operate e.g. minimum capital requirements, collateral, loan loss provision etc. Policies affecting the establishment and operation of micro-enterprises.
				In the 11 areas targeted by Project CONVERGE: - <i>Average income of</i>	In the 11 areas targeted by Project CONVERGE: - <i>Participating businesses</i>	

Strategic objectives	Original			Revised at MTR (2012)		
	Outcome indicators (gender disaggregated)	Outputs indicators (gender disaggregated)	Policy dialogue agenda	Outcome indicators (gender disaggregated)	Output indicators (gender disaggregated)	Institutional/policy objectives
<u>entrepreneurs.</u> [The above wording in the COSOP MTR report was revised somewhat from the original SO2, which only indicated "... <i>pursue, maintain and enhance farm related, off-farm/non-farm and/or microenterprise undertakings</i> " in place of the parts underlined above.]	livelihood endeavors possess improved capacities	no. of farmers benefiting <ul style="list-style-type: none"> • No. of relevant national or local policies and/or regulations updated 		<i>32,000 participating smallholders increased in (constant 2000 prices) by 10%.</i>	<i>have created new jobs for 1,000 HHs.</i> <i>- 10,000 target group HHs have improved access to rural infrastructure and production/ processing facilities.</i> <i>- > 30% of the members of the management committees (POs etc.) are women and >15% IPs.</i>	- Emerging policy issues related to the NCI.
				In RaSSFIP and IRPEP target areas: - Minimum of 10% increase in overall rice production compared with the baselines on 803,750 ha for RaSSFIP areas and 11,150 ha for IRPEP irrigation schemes.	In RaSSFIP target areas: - 803,000 bags of certified rice seed distributed. In IRPEP target areas: - At least 80% irrigation service fee collection by IAs in CISs, and 90% by IAs in NISs. - Women account for at least 30% of IA leaders. - 100% of rehabilitated and restored areas are receiving irrigation water and are double cropped annually - 50% of farmer members' rice production are sold through the IAs.	- Buffer stocks for rice seed. - Availability and accessibility of quality seeds to paddy farmers. - Climate change implications for irrigation schemes. - CIS rationalized amortization scheme.

Strategic objectives	Original			Revised at MTR (2012)		
	Outcome indicators (gender disaggregated)	Outputs indicators (gender disaggregated)	Policy dialogue agenda	Outcome indicators (gender disaggregated)	Output indicators (gender disaggregated)	Institutional/policy objectives
SO3 ¹⁹⁰ . Selected marginalized and poor communities dependent on coastal resources in Bicol, Eastern Visayas, Northern Mindanao, and ARMM have Sustainable access to fisheries and other productive resources in coastal areas, and utilize sustainable coastal resource management practices and diversify livelihood opportunities to meet their basic needs, particularly, food.	<ul style="list-style-type: none"> • 5% increase in local fish stock in targeted coastal areas • Fish catch per unit of effort increased by 20% • 20% of target beneficiaries, including women headed HHs, feed their families three meals a day • 20% of fisherman adapt sustainable and environment-friendly fishing techniques 	<ul style="list-style-type: none"> • Municipal waters delineated as sanctuaries • No. of ha of degraded areas restored • No. of fish farms established & fishers trained in improved fishing techniques • No. of approved Coastal Resource Management (CRM) plans implemented • No. of small-scale infrastructure constructed • No. of sustainable enterprise and livelihoods developed to reduce reliance on fishing 	<ul style="list-style-type: none"> • Ensure budget allocation for CRM activities • Full implementation of the Fishery Code • Encroachment on fishing grounds • Access rights to inland water bodies and municipal waters • Review of policy on foreshore lease and development 	<ul style="list-style-type: none"> - 5% increase in local fish stock in targeted coastal areas; - Fish catch per unit of effort increased by 25%; - 50% of target beneficiaries, including women headed HHs, feed their families three meals a day; - 50% drop in apprehensions due to increased compliance with regulations on resource management; - 25% of project targeted fishermen adopt sustainable and environment friendly fishing techniques. 	<ul style="list-style-type: none"> - Municipal waters delineated as sanctuaries; - No. of ha of degraded areas restored; - No. of fish farms established and fisher folk trained in improved fishing techniques; - No. of approved Coastal Resource Management plans implemented; - No. of small-scale infrastructure constructed (e.g. rock causeways); - No. of sustainable enterprises and livelihoods developed to reduce reliance on fishing. 	<ul style="list-style-type: none"> - Ensure budget allocation for coastal resource management activities. - Full implementation of the Fishery Code. - Encroachment on fishing grounds. - Access rights to municipal waters. - Review of policy on foreshore lease and development -Ridge to reef natural resources management framework and operationalization.

¹⁹⁰ The 2009 COSOP indicated that all indicators for SO3 would be revised following the design of CoRFIP which is the only project that will contribute to SO3.

Analysis of IFAD investments in the 20 poorest provinces

COSOP April 2009 draft (poverty ranking) ¹⁹¹	COSOP Sep 2009 to Executive Board ¹⁹²	NSCB Rank 2009	Province	Region	NMCIREMP	RuMEPP	CHARMP2	RaFPEP RaSSFIP	RaFPEP IRPEP	INREMP	CONVERGE	FishCORAL
	Ranking not available. 20 provinces indicated "X")							Regions V, VI, VIII, X	VI, VIII & X	River basins: Chico; Wahig-Inabanga; Lake Lanao; Upper Bukidnon		
19	X	1	Zamboanga del Norte,	IX								X
13	X	2	Agusan del Sur	Caraga	X	X				X		
17	X	3	Eastern Samar	VIII			X					X
		4	Surigao del Norte	Caraga			X					X
7	X	5	Lanao del Sur	ARMM						X		X
16	X	6	Saranggani	XII			X					
		7	Zamboanga Sibugay	IX								X
2	X	8	Masbate	V			X					X
		9	Davao Oriental	XI								
		10	Surigao del Sur	Caraga	X	X						X
6		11	Maguindanao	ARMM								X
		12	Northern Samar	VIII			X		X			
8	X	13	Sultan Kudarai	XII								
		14	Apayao	CAR				X				
		15	Camarines sur	V			X					X
12	X	16	Lanao del Norte	X					X			

¹⁹¹ COSOP full version, April 2009 draft (only draft available). Appendix VII – National Statistical Coordination Board (NSCB, document not detailed)

¹⁹² COSOP Executive Board version, September 2009.

14	X	17	Mt. Province	CAR			X			X	
15	X	18	Abra	CAR		X	X				
		19	Misamis Occidental		X						
		20	Agusan del Norte	Caraga	X	X				X	X
		21	Bukidnon		X			X		X	X
		22	Aklan	VI					X		
18	X	23	Bohol	VII						X	
1	X	24	Sulu	ARMM							X
		25	Western Samar	VIII		X		X			X
		26	Antique	VI				X	X		
5	X	27	Romblon	IV-B							
10	X	28	Camarines Norte	V							
		29	Biliran	VIII		X					
		31	Albay	V		X					X
		32	Southern Leyte	VIII							
		34	Sorsogon	V		X					X
		35	Leyte	VIII		X		X			X
3	X	36	Tawi-Tawi	ARMM							
		38	Basilan	ARMM							X
20	X	40	Marinduque	IV-B							
		43	Zamboanga del Sur	IX							X
		44	South Cotabato	XII		X					
		47	Misamis Oriental		X	X				X	X
		49	Kalinga	CAR		X	X			X	
4	X	50	Ifugao	CAR		X	X				
11	X	52	Capiz	VI					X		

		53	Negros occidental	VI					X
		55	Catanduanes	V		X			
9	X	61	Camiguin	X					
		62	Iloilo	VI					X
		69	Guimaras	VI					X
		80	Benguet	CAR			X		

Region numbers/acronyms and names by island group

Island Group: Luzon		Island Group: Visayas		Island Group: Mindanao	
NCR	National Capital Region	VI	Western Visayas	IX	Zamboanga Peninsula
I	Ilocos Region	NIR/XVIII	Negros Island Region	X	Northern Mindanao
CAR	Cordillera Administrative Region	VII	Central Visayas	XI	Davao Region
II	Cagayan Valley	VIII	Eastern Visayas	XII	Soccsksargen
III	Central Luzon			XIII	Caraga
IV-A	Calabarzon			ARMM	Autonomous Region in Muslim Mindanao
IV-B	Mimaropa				
V	Bicol Region				

Overview of loan-financed projects basic information: target group, objectives and components

AR: appraisal report

DD: design document (what used to be called appraisal report)

EB: report submitted to the Executive Board

FA: financing agreement

LF: logical framework – normally in both the EB document and AR/DD

Target group, expected beneficiaries	Objectives and outcomes	Components and sub-components	Project areas
NMCIREMP	CSPE comment: The goal statement focuses on reducing the vulnerability and food security, but not increased incomes as such, although one of the objectives in AR mentions "increased incomes". It is interesting to see the reference to "providing models of replication" in one of the objectives. The EB document stated "special emphasis will be given to replicable systems of improved agriculture and natural resource management" and LF (EB document) also had what was called "replication indicator", i.e. "Government and NGOs adopt at least two successful models piloted by the project for replication on a wider scale by 2007."		
<p>FA: "The poor and disenfranchised segments of communities resident in the Project Area including (but not limited to) indigenous peoples, marginal fishing families, ARB communities, upland dwellers and landless workers."</p> <p>EB: "The poor and disenfranchised communities including indigenous peoples, marginal fisher families, agrarian reform beneficiaries, landless workers, upland dwellers and women"</p>	<p>FA: Goal: "reduction of vulnerability and the enhancement of food security among the Target Group." Purposes: "enabling the Community Institutions in approximately 270 barangays in the Project Area to plan, execute and monitor diverse activities for sustainable productivity enhancement of their natural resource endowment and for expanding livelihoods opportunities"</p> <p>EB: Overall goal: "to reduce the vulnerability and enhance the food security of about 58 500 low-income households (310 000 people) living in the project area. This will be achieved by: (i) promoting/strengthening community institutions of indigenous people, poor upland farmers, agrarian reform beneficiaries, poor fisher families and women's SHGs, making them self-reliant and capable of undertaking their own development activities; (ii) promoting the conservation and improvement of their natural resource base; (iii) improving village infrastructure; (iv) facilitating the representation of indigenous peoples in local councils and the issuance of certificates of ancestral land titles/domain titles to them; and (v) enhancing the responsiveness of LGUs and other service providers to the diversified needs of the community institutions."</p> <p>(AR) Strategic goal: "the vulnerability of the targeted households (IPs, coastal and lake fishermen, agrarian reform beneficiaries and upland farmers) in the project area is reduced and their food security enhanced."</p> <p>Objectives: (i) poor households in the project area are able to sustain increased food production and household incomes from all sources; (ii) community institutions in all the <i>sitios</i> of the 270 priority barangays, including those in 21 CADC areas, are able to improve the productivity of their natural resources in ways that are sustainable and expand their livelihood opportunities so as to achieve food security, increased incomes and provide models for replication; and (iii) security of tenure by legitimate IPs over their ancestral domains is obtained and requisite processes are conducted to mainstream IP communities in the local and national economy in a manner consistent with the IPRA.</p>	<p>Six components</p> <ol style="list-style-type: none"> 1. Community institutions and participatory development 2. Community investments (small rural infrastructure and a reserve fund for micro-finance operations) 3. NRM 4. Support services and studies (provision of socio-economic services, marketing and enterprise development, focused studies that will contribute to reducing the incidence of poverty and increasing HH food and income security in the longer-term, and institutional support to national agencies working in the project area) 5. Support for indigenous people (IPs representation, CADTs/CALTs, ADSPPs) 6. Project management 	<p>270 <i>barangays</i> in Regions X (Caraga) and XIII (Northern Mindanao)</p>

Target group, expected beneficiaries	Objectives and outcomes	Components and sub-components	Project areas
RuMEPP	CSPE comment: The descriptions of goal and objectives are fairly consistent across the documents, apart from the number of expected beneficiaries. While FA and EB indicates 200,000 poor households as part of the goal statement, AR had the number 150,000 (although not very clearly).		
(FA, EB) "New and expanding microenterprise with assets worth less than PHP 3 million and with one-to-nine employees or as agreed between the Borrower and the Fund" (AR) "total number of beneficiaries including both entrepreneurs and workers would be over 150 000" (para 145)	(FA, EB) Goal: "rural poverty reduction through increased economic development, job creation and rural incomes for approximately 200,000 poor households, achieved through increasing numbers of new and existing MEs expanding and operating profitably and sustainably" (the latter called as "objective" in AR). "Outcomes: (i) SBGFC and MFIs are better able to provide financial services to MEs; (ii) MEs receive effective and responsive business development services; and (iii) MEs benefit from the programme-promoted improved policy environment"	Three components 1. Microfinance Credit and Support: (a) Microenterprises Credit Facility; (b) Institutional strengthening of MFIs; (c) Strengthening of SBGFC's MF capacity 2. Microenterprise Promotion and Development 3. Programme and Policy Coordination	(FA) Primarily in 19 target provinces in five target regions, CAR, Regions 5 (Bicol), 8 (Eastern Visayas), 12 (SOCKSARGEN), and 13 (CARAGA)
CHARMP2	CSPE comment: It is interesting to note the wording "quality of life" in some project documents. AR discusses that rural poverty may not be captured by farm family income only and notes that the project aims to enhance 'quality of life'. But the issue of how to measure "quality of life" is not well reflected upon. It is possible that the wording was used based on the CHARMP1 evaluation, which recommended to "broaden the definition of poverty" for the follow-on phase. It is also interesting to note the definition of target group in FA (with reference to indigenous farming systems and conversion into vegetable farming systems) – which has not been really mentioned subsequently.		
(FA) "Primarily poor indigenous peoples in the upland mountainous area of each Target Province, in particular: (i) households applying indigenous farming systems; and (ii) households whose rice farming systems have been converted into intensive vegetable farming systems" (EB) "The target group is made up mostly of indigenous peoples, consisting of many tribes, who live in mountainous areas and whose main economic activity is agriculture."	(FA, EB, AR) Goal: "reduce poverty and improve livelihoods of poor rural women and men in indigenous communities in the upland areas of CAR." The project purposes: " <i>(i) increase farm family income of the rural poor through sustainable agricultural development, and (ii) enhance quality of life of the rural poor through improving land tenure security, food security and watershed conservation.</i> " Component objectives: (a) empower communities through strengthening management capacity of target IP" communities and stakeholders including LGU officers, traditional organisations and traditional leaders; (b) promote rehabilitation of watersheds in the target areas to enhance conservation of watershed cradles of the CAR and to provide community members with opportunities to improve their socio-economic well-being; (c) improve sustainable agricultural production, promote agri-business through improvement of value chains, and to introduce or improve non-farm rural small enterprises and income generating activities; (d) support communities and LGUs in improving rural infrastructure essential for the promotion of agricultural production and rural-based livelihood enterprises through the mobilisation of beneficiary communities	Five Components 1. Social mobilization, participatory investment planning and land titling 2. Community watershed conservation, forest management and agro-forestry 3. Agriculture and agri-business development and IGAs 4. Rural infrastructure 5. Project management and coordination	Approximately 37 participating municipalities within the provinces of Abra, Apayao, Benguet, Ifugao, Kalinga and Mountain Province in CAR. (170 barangays)
RaFPEP	CSPE comment: Somewhat different descriptions across the documents. For the target group, FA specifies only "farm families", whereas EB refers to "poor paddy farmers" for RaSSFIP and for IRPEP only about reference to the size of CIS. Interesting to note that EB indicated the RaSSFIP objective as "increased paddy production...during the 2009/2010 cropping seasons", whereas FA indicated "secure the supply of paddy seeds for CISs".		
(FA) "Primarily farm families in the programme area" (DD) No description of the target	(FA) Overall goal: to increase food production by farmers on clustered irrigation rice production systems on a sustainable basis, thus contributing to rural poverty production.	<u>RaSSFIP</u> 1. Acquisition of certified inbred seeds 2. Coordination and management of	RaSSFIP: 5 (Bicol), 6 (Western Visayas), 8 (Eastern Visayas) and 10

Target group, expected beneficiaries	Objectives and outcomes	Components and sub-components	Project areas
group (EB) (a) "RaSSFIP "poor paddy farmers in regions 5, 6, 8 and 10, which will otherwise have a deficit in certified inbred seeds for the dry season of 2009"; (b) IRPEP: "target irrigators' associations working on not less than 5,000 ha of CISs selected from the focus provinces of the 2009-2013 Rice Self-Sufficiency Plan, including but not limited to regions 8 and 10, that requested system rehabilitation and mobilized counterpart funds."	RaSSFIP objective: to secure the supply of paddy seeds for CISs in the RaSSFIP Area for the year 2009/2010 cropping seasons. IRPEP objective: to improve productivity and production of irrigated paddy on selected CISs in the IRPEP Area, by strengthening IAs, the rehabilitation of CISs, the provision of farm inputs, marketing and processing facilities. (EB) Overall goal: sustainable food security for paddy farming households in targeted provinces. RaSSFIP objective: increased paddy production in targeted provinces of regions 5, 6, 8 and 10, and other provinces under the 2009-2013 Rice Self-Sufficiency Plan, during the 2009/2010 cropping seasons. IRPEP objective: to improve irrigated paddy productivity and production on selected CISs in the focus provinces under the Rice Self-Sufficiency Plan. (LF/EB) Purpose: to increase production of paddy farmers in CISs and surrounding rain fed areas in targeted provinces" (logframe). (Separate "key objectives" were set for each sub-project)	RaFPEP <u>IRPEP</u> 1. Strengthening irrigators' associations (IAs) 2. Provision of production inputs and related services 3. Rural infrastructure improvement 4. Provision of marketing and processing facilities 5. Programme management	(Northern Mindanao) (<i>in reality, RaSSFIP seems to have covered 12-13 regions?</i>); IRPEP: "Including but not limited to Regions 8 and 10" (design report) – criteria were there but they were to be firmed up in PIM.
INREMP			
(EB) "will benefit approximately 220,000 people, the majority from vulnerable and marginalized sectors. The project will also have a particular focus on indigenous peoples and resource-poor communities" (FA) referring to the ADB financing agreement, neither IFAD nor ADB FA with description of target group "Will benefit approximately 220,000 people"	Project objective (EB): improved condition of watersheds in the four targeted URBs thereby generating livelihood benefits. The expected outcome: increased rural household incomes and LGU revenues in selected watersheds.	1. River basin/watershed management and investment plans 2. Smallholder and institutional investments in conservation and economic productivity enhancement in the forestry, agriculture and rural development sectors 3. Strengthening of river basin and watershed management capacity and related governance mechanisms 4. Project management and support services In addition, activities mainstreaming climate change mitigation to be financed by CCF and GEF.	4 priority river basins, selected on the basis of their biophysical condition, socioeconomic and conservation values, and state of degradation: (i) Chiko River Basin in CAR; (ii) Wahig-Inabanga River Basin on Bohol Island; (iii) Lake Lanao River Basin in ARMM; and (iv) Upper Bukidnon River Basin in Bukidnon.
CONVERGE			
(EB) "ARBs, other smallholders, under- or unemployed rural youth, indigenous peoples, women, and business development partners, including eligible peoples' organizations" (FA) "will directly benefit 300,512 farmer beneficiaries composed of 38,724 ARBs and 261,788	(EB) Overall goal: contribute to the reduction of poverty incidence in the 10 target provinces of Regions IX, X and Caraga. (FA) Overall goal: contribute to the reduction of poverty incidence in 10 provinces of Regions IX, X and CARAGA through the promotion of sustainable livelihoods activities based on key commodities, e.g. rice, rubber, coffee, cassava and coco, sugar, that are deemed competitive in the Project Area.	Four components 1. Participatory value chain analysis and planning 2. Integrated smallholder agricultural and rural enterprise development 3. Subdivision of collective certificates of landownership award and facilitation of land transfer programme	10 provinces in Region IX (Zamboanga del Norte, Zamboanga del Sur and Zamboanga Sibugay), Region X (Misamis Oriental, Camiguin and Bukidnon) and CARAGA (Agusan del Norte, Agusan del Sur, Surigao

Target group, expected beneficiaries	Objectives and outcomes	Components and sub-components	Project areas
other rural workers in 11 ARC clusters in 10 provinces in Regions IX, X and CARAGA." (LF/EB) "35,000 households and 100 POs in 112 ARCs"	(EB) Development objective: to enable ARBs and other smallholder farmers in the 10 target provinces of Regions IX, X and Caraga to become highly productive and competitive entrepreneurs and contribute to the achievement of broad-based rural economic growth. (FA) Objectives: enable ARBs and other smallholders in 10 provinces of Regions IX, X and CARAGA to become highly productive and competitive entrepreneurs and contribute to the achievement of broad-based rural economic growth.	4. Project management M&E and KM <i>[there are discrepancies in the component description: FA and EB include component 3., but not in the design document nor LF attached to EB document. It is possible that the design document dated March 2015 was not updated].</i>	del Sur and Surigao del Norte) Project will target 91 ARCs and 50 municipalities in 10 provinces
FishCORAL			
(FA): "The project to contribute to reducing the incidence of poverty of approximately 724,000 people or 188,000 households" (LF/EB) "60% of the targeted 90,596 poor households in the Project area: (a) Increased ownership of household assets by 20% of baseline ¹⁹³ , and (b) decreased child malnutrition (ages 0-5 years) by 4% from baseline of 24.4% ¹⁹⁴ ."	(EB, FA, DD) Goal: to contribute to reduction of poverty in the target coastal communities of the targeted bays/ecosystems by 5 per cent from the mean poverty incidence of 42 per cent. (EB, FA, DD) Development objectives are to realize (a) annual income of participating fishing community households increase by 10 per cent from baseline; and (b) employment of women engaged in IGAs increased to 40 per cent from the baseline of 20 per cent. (FA in line)	Three components: 1. Coastal resource management 2. Livelihood development 3. Project management and coordination	11 bays/gulfs from Regions 5, 8 and 13 in Luzon and Visayas, and ARMM. The targeted bays are located in 14 provinces with 103 municipalities or cities bordering the bays/gulfs and 1,098 coastal villages/barangays.

¹⁹³ The household asset index is used as an indicator of relative poverty (or wealth) in the project area. Malnutrition is an indicator of hunger. It is worth emphasizing that an IFAD project does not need to have explicit "nutrition interventions" (such as nutrition education or the prevention of micronutrient deficiencies) to influence nutrition status. The factors determining nutrition status are multi-sectoral. Any project activities that increase household income or improve household conditions related to food, health, or caring practices have the potential to decrease chronic malnutrition.

¹⁹⁴ Reduction of incidence of child malnutrition and poverty are Results and Impact Management System (RIMS) indicators of IFAD. They are the mandatory anchor indicators that should be included in all IFAD assisted projects regardless of project type. The RIMS anchor indicators of impact are linked to the Millennium Development Goals (which have been recognized by 189 countries and all of the United Nations agencies) and form a basis for donor harmonization on impact assessment.

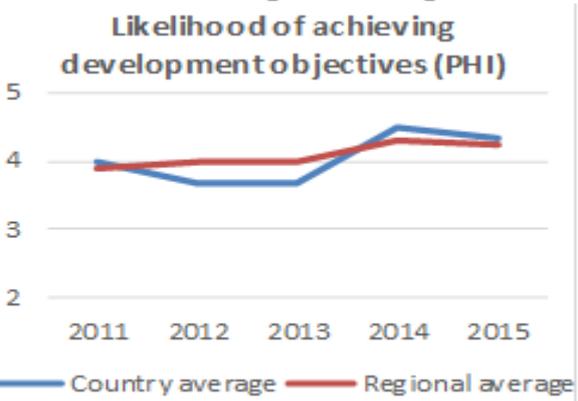
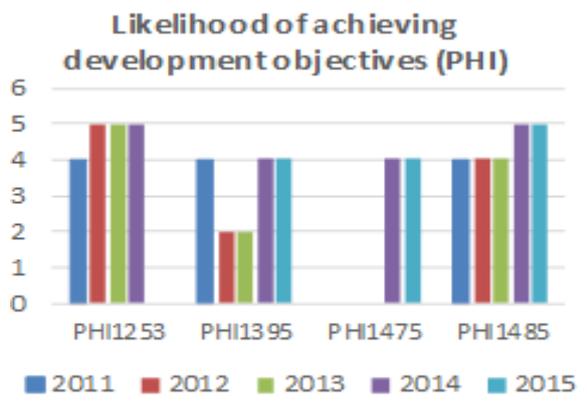
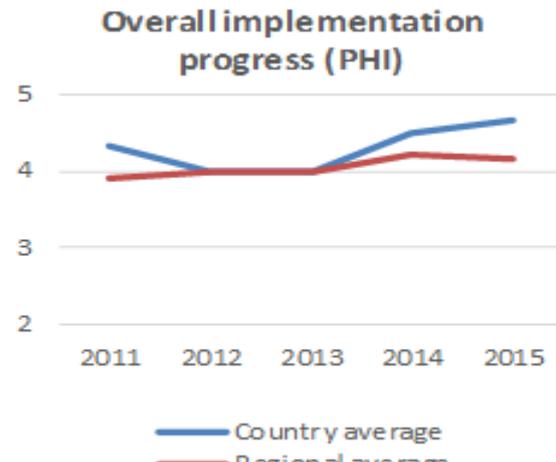
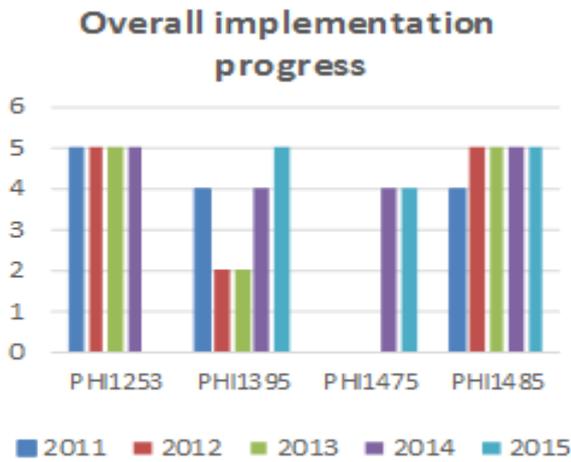
Project status report ratings for selected projects 2011-2015¹⁹⁵

1) Quality of project management

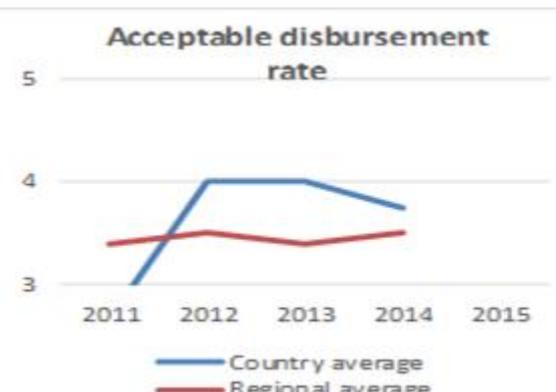
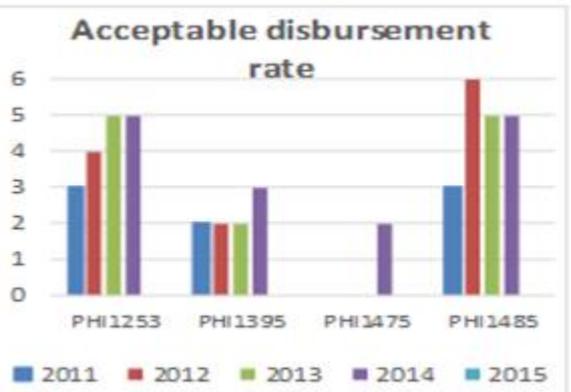
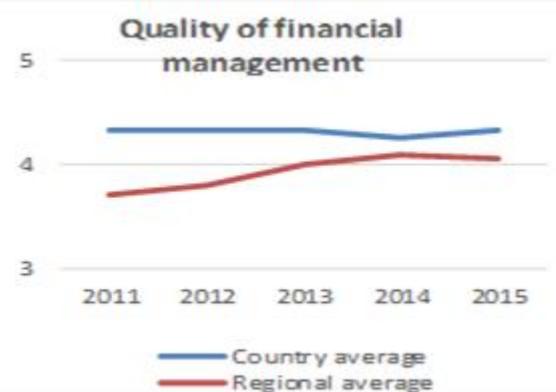
1253 = NMCIREMP; 1395 = CHARMP2; 1475 = INREMP; 1485 = RaFPEP

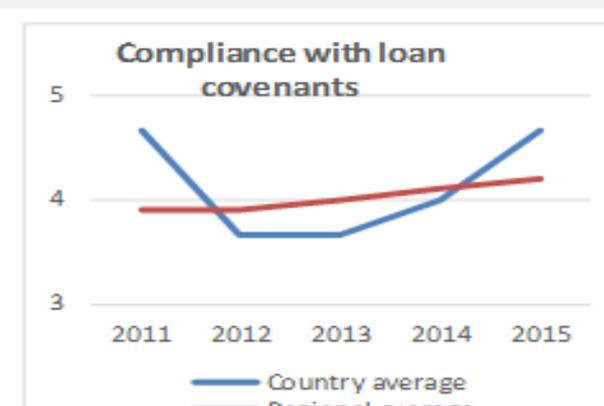
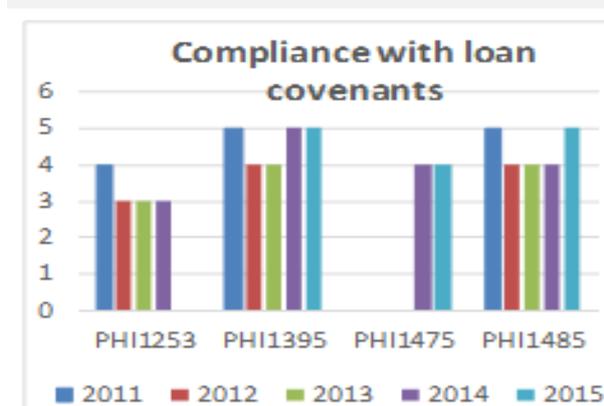
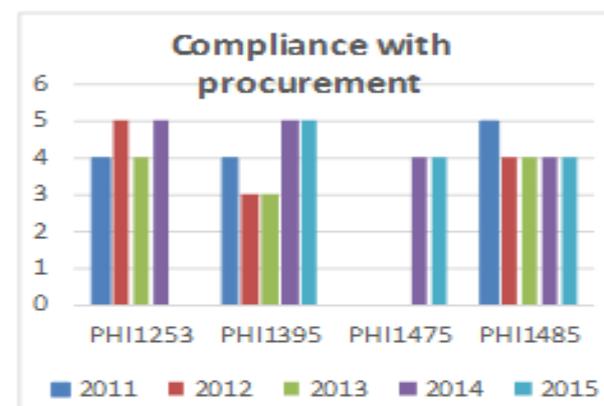
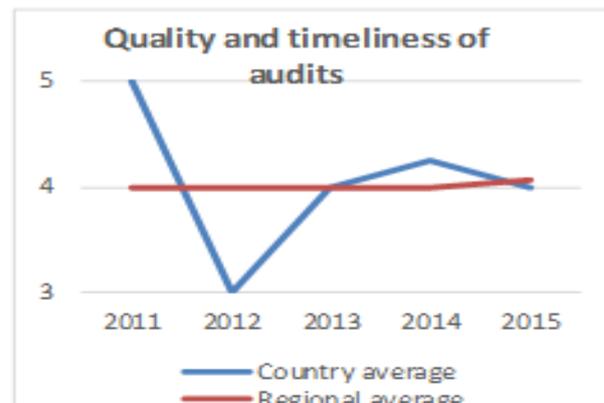
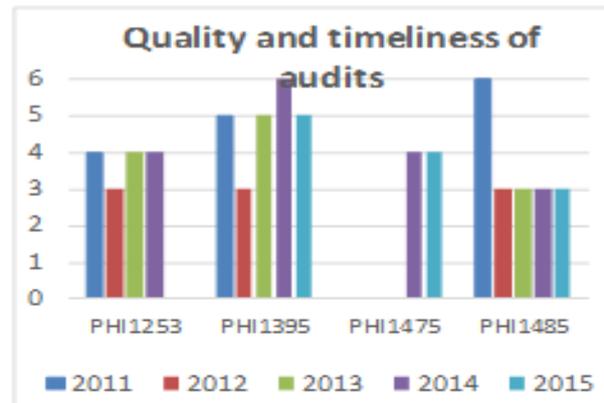
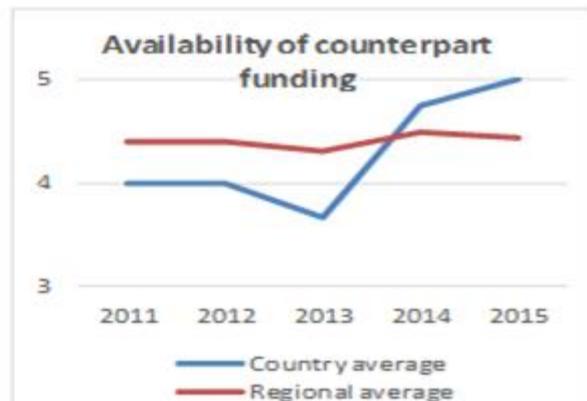
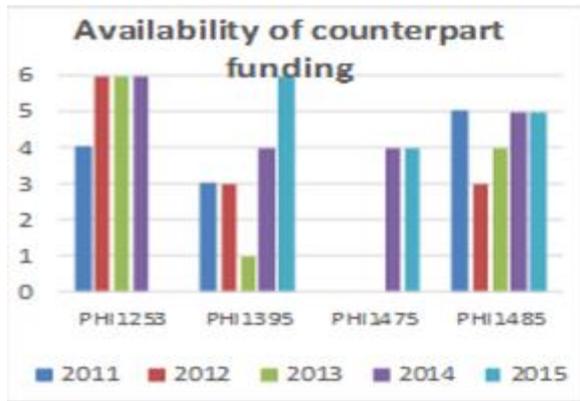


¹⁹⁵ Prepared by APR in October 2015 for the report on the Philippines Portfolio Review 2010-2014.

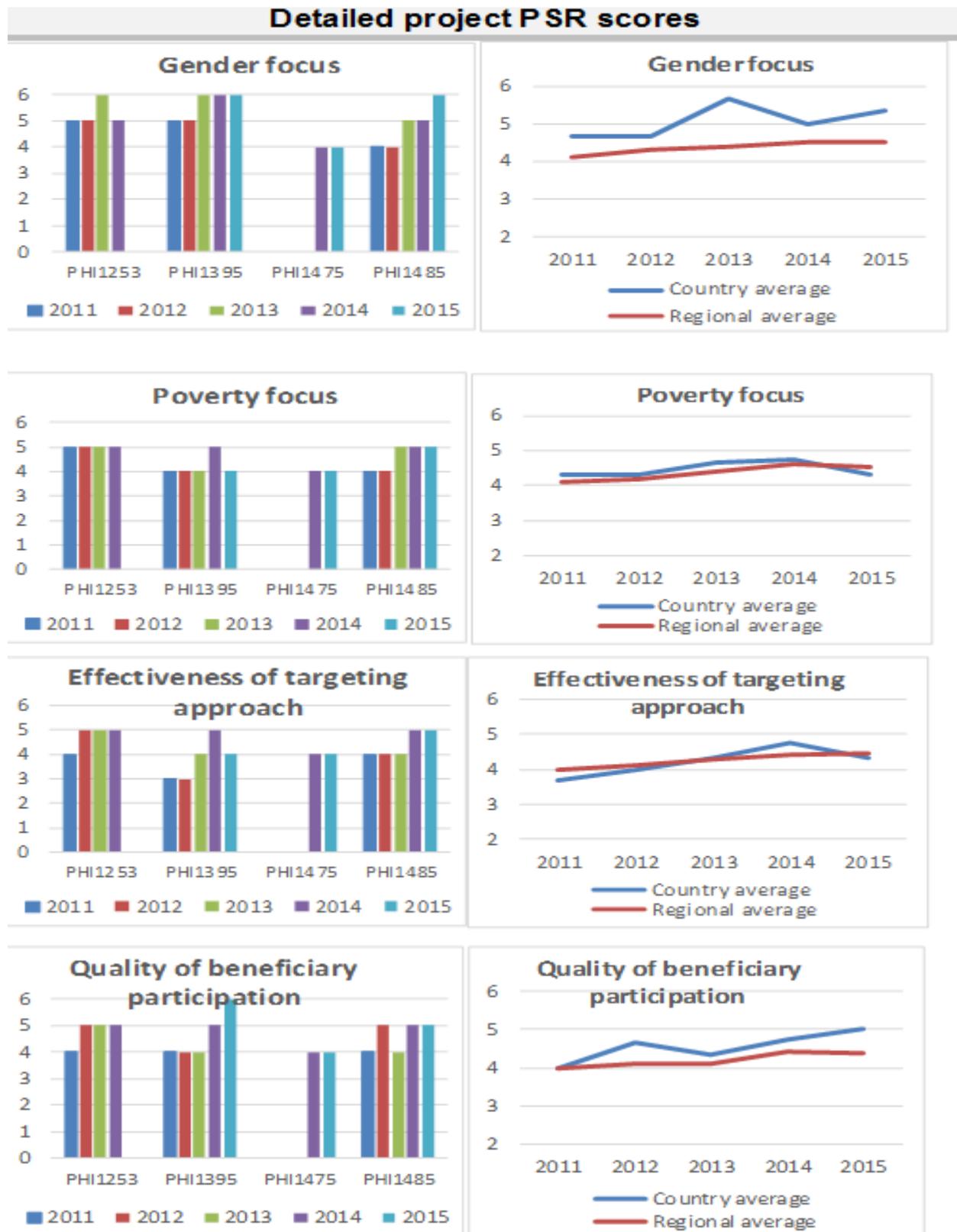


2) Quality of financial management

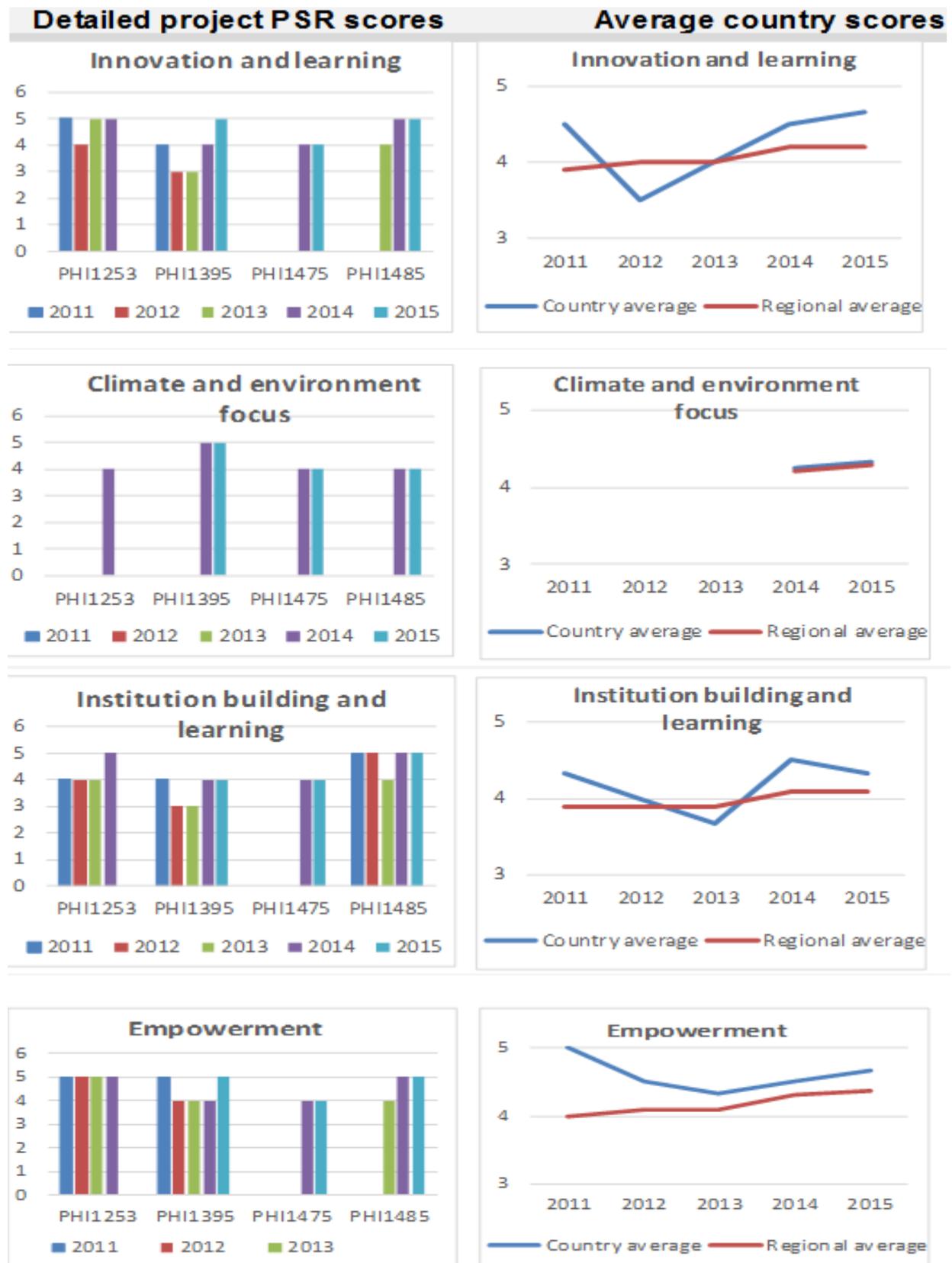




3) Targeting



4) Quality of results



Philippines – loan-financed projects baseline studies, surveys and impact assessments

Document Type	Date	Prepared by	Survey Methodology	Sample size	Sampling approach	Areas/themes
CHARMP2						
RIMS baseline study	Sept. 2010	Multi-Sectoral Management and Development Corporation	<ul style="list-style-type: none"> Data was gathered through the use of the RIMS questionnaire (structured questionnaire); <i>Team.</i> 49 including the encoders. The Team was divided into two groups consisting of a Research Associate, 3 Research Supervisors, 3 Research Assistants and enumerators; <i>Training.</i> One-day orientation of the enumerators on the use of the survey questionnaire was conducted in each province; <i>Data collection:</i> 2 Survey Teams were organized to handle 3 provinces each; <i>Data entry and analysis.</i> Before data entry, the questionnaires passed through rounds of checking and cleaning to ensure completeness and consistencies of the information in all parts of the questionnaire. The data generated was then entered into the IFAD-RIMs prescribed program. 	900 households (HHs); 4,780 HHs' members (2,448 males and 2,332 females)	<ul style="list-style-type: none"> Sampling universe: project area of CHARMP 2, which covers 37 municipalities and 170 barangays; The sampling technique in the IFAD RIMS Practical Guidance for Impact Surveys was adopted. This involved a two-stage sampling methodology in which the first stage is the selection of the 30 sample barangays¹⁹⁶ and the second stage is the random selection of the 30 farm HHs for every barangay¹⁹⁷; 	<p>The RIMS questionnaire covers the following items:</p> <p>I. HH socio-economic information;</p> <p>II. Survey questions (type of housing; drinking water supply; sanitation, food security; other asset-related questions);</p> <p>III. Anthropometry.</p> <p>It was used to gather and analyse information/data on the following:</p> <ul style="list-style-type: none"> Asset index (Relative Poverty/Wealth) (HH wealth distribution, type of assets owned; type of animals owned); Child Malnutrition; Food Security (hungry seasons); Other Socio – Economic indicators (source of drinking water; type of sanitation; fuel used for cooking; literacy)
Mid-Term RIMS Study	Feb. 2012	The Planning Monitoring and Evaluation (PME) Unit was responsible for the overall supervision and coordination of the study	<ul style="list-style-type: none"> Use of RIMS questionnaire and organisation of Focus Group Discussions (FGD) for outcome survey; <i>Team:</i> consisting of four consultants and 85 Community Mobilization Officers (CMOs) deployed in CHARMP 2 areas; <i>Training</i> for CHARMP2 Programme Coordination Office (PCO), Provincial supervisors, CMOs and the survey lead team including: (a) orientation on RIMS, (b) review and leveling off on the RIMS instrument, and (c) role playing on 	900 HHs	<ul style="list-style-type: none"> In defining the sample, the procedure stipulated in the IFAD RIMS: Practical Guidance for Impact Surveys of January 2005 was followed; As such, the first step started with the establishment of the sampling universe, which is the overall coverage area of the CHARMP 2²⁰⁰; 	<p>The survey enabled to gather and analyse information/data on the following:</p> <ul style="list-style-type: none"> Asset index (Relative Poverty/Wealth) (HH wealth distribution; HHs involved in cultivating farmland and tools used; assets owned by HH; type of animals owned; floor material and number of sleeping rooms; fuel used for cooking);

¹⁹⁶ The barangay population in the 2007 National Census and Statistics Office (NCSO) Population was used in the construction of the sampling frame.

¹⁹⁷ The selection of the sample HHs in the sampled barangays followed the following procedures: (i) Get from the barangay officials the total number of HHs in the sample barangay; (ii) Calculate the sampling interval using the formula: total number of HH/30; (iii) Get the sum of the first two digits of the serial number of any peso bill. The sum of the two digits should be smaller than the sampling interval. If higher, get another peso bill. The sum of first two digits shall be the random start.

Document Type	Date	Prepared by	Survey Methodology	Sample size	Sampling approach	Areas/themes
		which was implemented by a team of consultants ¹⁹⁸	the administration of the instrument ¹⁹⁹ . <ul style="list-style-type: none"> • <i>Data collection.</i> The capacity/willingness of the enumerators were optimized to conduct the survey in their respective community assignments. Daily debriefing was done to monitor flow of activities and identify constraints. Upon the completion of the required number of HH respondents, the accomplished questionnaires were secured and transmitted to the Lead Team; • <i>Data entry and analysis.</i> Accomplished questionnaires were subjected to data /cleaning. Few “call-backs” were undertaken to verify answers. 		<ul style="list-style-type: none"> • The second involved a two-stage sampling technique wherein (a) 30 clusters were selected and (b) from these clusters, 30 sample HHs were randomly selected²⁰¹. 	<ul style="list-style-type: none"> • Child Malnutrition and Relationships of Malnutrition with: gender of HH heads; literacy of HH heads; wealth index of HHs ; HHs exposed to hungry season; <ul style="list-style-type: none"> • Food Security; • Other Socio – Economic indicators (female/male literacy; access to safe water; adequate sanitation)

²⁰⁰ The updated population of the 170 barangays (sampling universe) based on the latest Philippine census on population and HH (as of 1 May 2010) was used as sampling frame. The data, nevertheless, was eventually synchronized with population data at the barangay level. The sample clusters and barangays were derived from the sampling frame.

¹⁹⁸ The PME Unit prepared the survey design/instruments and schedule of activities. It identified sample barangays for the Project Outcome Survey and coordinated with Provincial Coordinators for the identification of key informants. The consultants oriented the enumerators on the RIMS instrument, facilitated FGD for the outcome survey, analyzed RIMS data and prepared the report. The CMOs served as enumerators.

¹⁹⁹ Strategically, the CMOs acted as enumerators; thus, they were not trained on the basics of entry to the community, community mobilization and integration.

²⁰¹ The Random Walk (RW) was found as the most appropriate technique to be used in the selection of HHs within the cluster.

Document Type	Date	Prepared by	Survey Methodology	Sample size	Sampling approach	Areas/themes
Outcomes survey report	2015	Consultancy (The All-Asian Centre For Enterprise Development (ASCEND Inc.))	<ul style="list-style-type: none"> The Study had two evaluation phases: (1) Survey Instrument development ; and (2) Conduct of the Quantitative Survey; <i>Development of the survey.</i> The initially developed instrument was presented to the Department of Agriculture (DA) for comments and suggestions; Pre-test results were also used to fine-tune the instrument and revise for further improvement; <i>Training.</i> A session with the enumerators was conducted to train them on how to use the instrument; Enumerators were required to do a mock interview with test respondents to validate efficiency and their understanding of the instrument; The final version of the instrument was approved by DA prior to releasing the field team for the official start of data gathering; <i>Data encoding</i> was done using a Computer-Aided Personal Interviewing device to ensure that basic inter-question logic is screened and properly encoded. 	1250 HHs; 5330 members (2630 males, 2700 females)	A multi-stage probability disproportionate sampling was used ²⁰² . Stages included the following: (i) random selection of 25 barangays among the 170; (ii) from each barangay, a systematic random sampling method was employed to choose the HHs to participate in the survey); (iii) eligible respondent selection.	Information gathered for CHARMP2 outcomes covered the following items: <ul style="list-style-type: none"> Poverty indicators like income, educational attainment, and/or house and car ownership; <ul style="list-style-type: none"> Land tenure; Water supply system constructed; <ul style="list-style-type: none"> Gender and age issues in community activities, leadership, and recipients of the intervention; Level of HH and local institution participation; Agricultural practices and economic activities; <ul style="list-style-type: none"> Marketing practices; Availability and reliability of infrastructure support; Feedback on trainings and seminars in terms of relevance, effectiveness of knowledge management and dissemination

²⁰² Disproportionate because the sample size used is not determined by the size of the population being observed. This allows equal representation for every barangay. Probability because randomness had to be ensured for every sampling stage.

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NMCIREMP						
Immediate impact assessment (IIA)	March 2011		<ul style="list-style-type: none"> The study is divided into two major parts: the HH survey and the case studies. The HH survey entailed the gathering of information from three classes of respondents, namely, CADC, non-CADC and control areas. The data was categorized into “before and after” project (as applicable) as well as “with or without” project intervention. The latter consist of data coming from the non-CADC and control groups. The second part is the case studies which used the key informant interview (KII) and FGD methods. Both were designed to gather information on five specific cases where the different project components were implemented; Three sets of <i>primary data</i> were used for the study at the HH level. The first set is the 2004 baseline survey while the second set is the 2006 Mid Term RIMS survey. Considering the inherent statistical deficiencies of the baseline survey, the analysis relied more on the 2010 IIA data which covered 1,125 HH respondents. Data were gathered using a pre-tested structured interview schedule incorporating the appropriate information obtained in the baseline and mid-term surveys; The Monitoring and Evaluation Specialist of DAR-Foreign Assisted Projects Office (FAPSO) made adjustments in the baseline HH income data. The adjustments were done by randomly selecting 30 respondents per Agrarian Reform Community (ARC) from the baseline questionnaires. This is in order to come up with a total of 411 respondents which became the basis for the ‘before’ situation in the estimation of HH income and poverty incidence. 	1125 HHs	<p>The study is a re-survey of the sample areas in the baseline survey and RIMS.</p> <p>A total sample size of 1125 HH respondents was re-surveyed. This size was arrived at by fixing the recipient group to 900, allocated to the non-CADC and CADC areas at 675 (75%) to 225 (25%) proportions. Then another 225 is allotted to the control group or a total of 1,125 to meet the 3% margin of error.</p>	<p>Through the study, impact was determined in the following main impact areas:</p> <ul style="list-style-type: none"> poverty incidence reduction, reduction in child malnutrition, reduction in the incidence of mortality due to water borne diseases, increase in attendance (boys and girls) in primary education, improved/acquisition of HH assets, sustained food production from sources e.g. crop, livestock and fisheries production, and off-farm activities, improvement in the management and utilization of natural resources in a sustained manner, expansion of livelihood opportunities to achieve food security and increased incomes, improved participation of women and Indigenous Peoples (IPs) in the planning and implementation of development projects, and security of land tenure by legitimate IPs over their ancestral domain and mainstreaming IP communities in the local and national economy.
RaFPEP						
Baseline Report	2011	NIA Consult. Consultant team composed of 6 experts ²⁰³	<ul style="list-style-type: none"> Four types of questionnaires used in the survey, namely: a) RIMS Questionnaires in Waray and Visaya Versions (954 respondents); b) Part2- Farm Management survey (184 respondents); c) Part 3 – RaFPEP/IRPEP baseline survey (184 respondents); and, d) Focal Group discussions in 26 sites for the 30 communal irrigation system (CIS). All the results of the three other surveys complements the RIMS 	<p>RIMS: 30 sample CIS and 954 HHs (3,503 members);</p> <p>Parts 2&3: 184</p>	<ul style="list-style-type: none"> RIMS. Following the IFAD/RIMS, some 30 sample CIS were selected in two stages: (i) selection of 30 CIS out of the 51 CIS to be rehabilitated under the Project, or survey 	<p>The RIMS Baseline Survey enabled to gather data on the following items: (i) HH Demographics; (ii) Survey Questions (type of housing, drinking water supply, sanitation, food security, other asset-related questions), (iii) Anthropometry.</p>

²⁰³ Team leader, Irrigation and Post Harvest Engineer, Institutional Development Specialist, Seed Specialist, Gender Specialist and Econometrician/Statistician

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			baseline output ²⁰⁴ ; <ul style="list-style-type: none"> • A combination of sample farm HH survey, FGDs and KIIs were undertaken to generate the primary data requirements of the study; • The use of a variety of methodologies served to validate and confirm data sets which help to affirm the veracity and consistency of information gathered and data consolidated; • Data were analyzed and presented in tabular forms and charts/graphs. Moreover, correlation and/or regression analysis were performed to establish statistical association/relations among key variables. 	respondents; 26 FGDs / 456 participants	areas/clusters ²⁰⁵ ; and (ii) random selection of 954 farmers to be interviewed ²⁰⁶ ; <ul style="list-style-type: none"> • The sample farmer HHs covered by the RaFPEP Baseline Survey were a subset of the 954 sample respondents of the RIMS Baseline Survey. 	<p><i>The RaFPEP baseline</i> enabled to gather data on the following items: (i) Rice and farming operations (average farm size, tenure status, crops planted, production and productivity); (ii) Marketing of farm produce (volume of palay sold, buying prices of palay, buyers of produce, problems related to marketing); (iii) HH incomes and expenditures; (iv) Membership in irrigators association; (v) Access and use of infrastructure/facilities; (vi) Access to extension support services; (vii) Access to information; (viii) Concerns in relation to palay farming.</p> <p><i>FGD</i> enabled to gather info/data on: farm system, paddy production, palay seeds situation, rice production support system, IA situation, CIS situation, gender and food security, participation of poor HH).</p>
Mid-Term Report	2013	Coordinated by RaFPEP-PCO	<ul style="list-style-type: none"> • The conduct of surveys was among the activities carried out in the context of the Project Mid-Term Review. It included: (i) One-on-one interview – HH Level Survey; and (ii) FGD; • <i>HH level survey</i>. The survey focused on the 24 irrigation systems with completed rehabilitation works as of March 2012. This includes IAs with trainings already provided and has cropped for at least 2 seasons following the completion of CIS rehabilitation. Enumerators and supervisors were hired, guided by a survey questionnaire and manual. Prior to the enumeration, training was conducted to ensure enumerators/supervisors understand the 	Survey: 97 respondents FGD: 5. 100 participants	The selection of respondents focused on the farmer respondents on the HH and farm management survey conducted in the baseline study on RaFPEP. The list was further narrowed down to the farmer beneficiaries in the CISs which rehabilitation was already completed as of March 2012. This was intended to yield extremely specific information on the changes in project	<p><i>HHs Survey</i> – items covered: Demographic (age, literacy); Food Security (hungry periods); Malnutrition; HH Assets.</p> <p><i>FGD</i> generated indicators: Increase in income from paddy farming; Support Services, Extent of Participation and Satisfaction.</p>

²⁰⁴ The Part 2 and Part 3 surveys were designed to generate primary and first-hand (farmer HH) information as basis in evaluating the progress of the RaFPEP in terms of outputs, outcomes and impacts as indicated in the updated Programme Logical Framework and appropriate indicators in IFAD's RIMS with reference also to the Project's Detailed Design; and to determine the current socio-economic situation of target beneficiary farmers (women and men) of RaSSFIP and IRPEP and their HHs including their capacity and needs that can be addressed by the projects.

²⁰⁵ At stage 1, the 30 sample CIS was allocated to the five study provinces (Northern Leyte, Northern Samar, Western Samar, Bukidnon and Lanao Norte) in Regions 8 and 10 in proportion to the total number of CIS situated within the covered province. Before selecting the CIS to be surveyed, all CIS in each province were first classified into 'small' or 'large' systems according to the number of farmers listed within the CIS. The CIS to be surveyed was identified based on the information on the peace and order situation in the CIS, and accessibility as gathered from the pretest.

²⁰⁶ At stage 2, sample farmer HHs were drawn for each selected CIS using stratified random sampling. Farmers were classified first based on their membership/non membership in IAs, and then according to location within the CIS (upstream, midstream, downstream). Based on constructed listings following the stratification, sample farmers were drawn at random for each subcategory within the selected CIS. The size of the sample for each category was proportionate to the share of total number of farmers in the subcategory to the total allocated sample size in the CIS.

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			concepts/procedures for the conduct of the survey; <ul style="list-style-type: none"> 5 FGD tools²⁰⁷. To validate results of the FGDs gather additional on implementation, interviews with field implementers were also conducted (KII). 		beneficiaries (HH level) after interventions/assistance were provided and identify reason for said change.	
RuMEPP						
Baseline study	April 2010		<ul style="list-style-type: none"> Anchored on the Logical Framework developed by the Programme and the IFAD RIMS; Multi-pronged data gathering approach within the Participatory Resource System Appraisal (PRSA) framework to generate primary baseline information supplemented by secondary data available cutting across concerned stakeholders - HHs, Micro Enterprises (MEs), microfinance institutions (MFIs) and Business Development Service (BDS) providers. These included the HH Surveys using structured questionnaire and FGD, KII and Secondary Data Survey (SDS) for the MEs, MFIs, and BDS providers; Use of simple analytical tools putting emphasis on triangulation/iteration and establishing relationship of various data sets in consonance with the analytical framework; The entire Baseline Study although undertaken by stages was iterative in terms of process. 	1057 HHs; 5,273 HHs' members (2,622 males and 2,651 females). Five priority regions covering 19 provinces ²⁰⁸ .	The sampling design was finalized after impact municipalities and industry clusters had been fully identified (Bamboo, Processed Food, GHD, Coffee, Marine and IP Crafts). The HHs were randomly chosen and surveyed by doing the RW method, though a slight modification was introduced ²⁰⁹ .	Main areas covered; <ul style="list-style-type: none"> Literacy; Housing (dwelling floor; average number of sleeping rooms); Drinking Water Supply and Sanitation (Main source of drinking water; Toilet facility of HHs); Food security (experienced 1st and 2nd hungry seasons; duration of each hungry season; average duration of hungry seasons); HH Assets (Electricity and ownership of common appliances; Ownership of vehicle/transportation; Ownership of poultry/livestock; Average number of poultry/livestock; Type of fuel used for cooking; Involvement in farming and tools for cultivating); Anthropometric measurements of children to assess the level of nutrition of children in the family;
Analysis of RUMEPP Mid-Term Outcome Survey Results	Nov. 2011	Larry N. Digal, Consultant	<ul style="list-style-type: none"> Survey conducted using a questionnaire. Methods used in the paper to analyze effects on performance indicators before and after RUMEPP implementation at midterm include: (i) Comparison of frequency counts and means/averages; (ii) Test on significance of means (differences in means/averages eg t-test); (iii) Relating factors affecting performance through cross tabulations, correlation and regression analysis 	Survey conducted among 550 recipients from the six regions and 19 provinces.	In identifying survey respondents for MCS, MEs who have availed of microfinance loans from SBC accredited MFI for at least two cycles of borrowing were given the highest priority. For MEPD, the highest priority was given to MEs who have participated in at least two BDS	Main items covered in the questionnaire: <ul style="list-style-type: none"> General Information (sector; nature of business; level of development; date when the business was established; business registration details); <ul style="list-style-type: none"> Measures of Business Activity (Average annual sales; Average annual costs of sales; Average annual operating/overhead costs; Business

²⁰⁷ Community situation and rice production, marketing situation, rice production support systems, irrigation associations (IA) situation, communal irrigation systems situationer

²⁰⁸ CAR (Abra, Kalinga, Ifugao); Bicol (Albay, Camarines Sur, Catanduanes, Masbate and Sorsogon); Eastern Visayas (Biliran, Eastern Samar, Leyte, Northern Samar and Samar); Caraga (Agusan del Norte, Agusan del Sur, Surigao del Norte and Surigao del Sur) and SOCCSKSARGEN (Sarangani and South Cotabato).

²⁰⁹ Instead of taking adjacent HHs as members of the sample, a few houses were skipped in sampling, by say two or three houses. The choice was arbitrary, but skipping two houses when the sample size needed is only 10 would have already required an enumerator to walk an entire stretch of 30 houses. The modification was introduced to avoid having respondents that all come from the same family.

Document Type	Date	Prepared by	Survey Methodology	Sample size	Sampling approach	Areas/themes
					activities/trainings. Convergence respondents who have borrowed for two cycles and participated in at least 2 BDS activities/trainings were given the highest priority.	assets size; Market for products; No of women employed); <ul style="list-style-type: none"> • <i>BDS Particulars</i>; • <i>Extent of BDS Adoption</i> (reasons or constraints for the non – adoption, or low level of adoption of the BDS concepts/technologies acquired from trainings); • <i>Effects of BDS on Firm's Business</i>; • <i>General Evaluation of the Conduct of BDS</i>; • <i>Training/Activities by the Providers</i> <ul style="list-style-type: none"> • <i>Credit Particulars</i> • <i>Credit affordability, effect on business</i> <ul style="list-style-type: none"> • <i>General Credit Awareness</i>
Analysis of End-of-Program Outcome Survey Results	March 2013	Enrique E. Lozari, Consultant	<ul style="list-style-type: none"> • Using a modified pre-test/post-test evaluation design²¹⁰, the survey was undertaken to determine whether RuMEPP made a difference in the lives of its target MEs by comparing the state of some of their known attributes before they obtained assistance from the programme against their current status; • The survey design was meant to assess specific outcomes identified in the RuMEPP logical framework matrix; • While there was no control groups to be examined, findings from a supplementary qualitative survey to be administered to RuMEPP's client MEs were used to understand the extent to which RuMEPP contributed to changes in the outcome indicators affecting its target groups (see Annex 1). • The survey did not cover all outcome statements included in the RuMEPP logical framework matrix. The excluded parts were to be assessed at some later time using statistics obtained from public records or from internal records maintained by the RuMEPP PMO²¹¹. 	A sample of 597 MEs were selected from the list of RuMEPP's ME clients (which totalled 45,873 MEs)	<p>The survey was administered to MEs that have received MCS, MEPD and both MCS and MEPD services from RuMEPP since the start of the programme.</p> <p>A sample MEs were selected from the list of RuMEPP's ME clients using a two-stage stratified random sampling method.</p> <p>The stratifications were done on the basis the MEs' location (RuMEPP reaches 19 provinces all of the country) and type of services received, i.e. MCS, MEPD or both MCS and MEPD.</p>	<ul style="list-style-type: none"> • The survey instrument included questions meant to elicit the respondents' opinion as to the degree by which changes in their operations can be attributed to the assistance by RuMEPP. These questions, which the author believed could generate more effective measures of attribution, were analysed in lieu of the econometric approach used in previous studies. The outcome study measured changes vis-à-vis the baseline situation in key indicators of the Programme logical framework and of the RIMS (see attachment); • The standard questionnaire covered the following main areas/themes: (i) General Information; (ii) Measure of Business Activity (e.g. average annual sales; volume and sales value; average annual direct cost of sales;

²¹⁰ A typical pretest-posttest survey is done at two periods: (i) before the start of intervention, where respondents are assessed for baseline information, and (ii) after the intervention, where program recipients are assessed for outcomes. In this current survey, the respondents were asked to recall their baseline information at the same time they were asked to provide their current status. The process was guided, supervised and validated by RuMEPP provincial coordinators to mitigate recall bias.

²¹¹ For example, outcome statements such as "10% annual increase in the number of new, registered MEs in the Programme areas" are better assessed using actual records available from local governments as not all MEs are covered by RuMEPP. An annual increase of total MEs could not be measured in this survey, therefore. Nevertheless, this issue was taken into account in the methodology. Using an abbreviated version of the questionnaire-experiment method, the study randomly selected 120 non-registered MEs from the sample and added questions in their survey forms to elicit the respondents' possible motivating factors for registering their businesses. The set of 120 MEs was divided into four subsets representing one control and three

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Impact evaluation	2016 IFAD, strategy and Knowledge Department, based upon the econometric analysis of primary HH survey data from project and control enterprise owners, collected by De La Salle University in 2015	<p>The analysis of data collected by DLSU was re-elaborated by adopting a different methodology compared to the previous study. In particular, the following criticalities were found in the methodology by the DLSU:</p> <ul style="list-style-type: none"> • The sampling strategy involved randomly selecting districts from within each region stratum, and randomly selecting municipalities from within each district stratum. From within each municipality, barangays (villages) were selected with probability proportional to their number of registered MEs; <ul style="list-style-type: none"> • With regard to the project participants, these were only selected from those registered as participating in both project components; • There were a large amount of project beneficiaries that did not engage with both of the project components, meaning that this sample is not fully representative of the project population; <ul style="list-style-type: none"> • Few control HHs could be found that had owned a ME during the baseline period but did not own one at the time of data collection. This meant that no appropriate counterfactual are available for similar HHs whose business had ceased during the project's lifetime, leading to 214 of the sampled project HHs being dropped from analysis and only current business owners being retained for comparison. This leaves a final sample of 1303. 	Based on the sampling design, 775 RuMEPP beneficiaries (treatment group) were randomly selected and 742 for non-RuMEPP respondents (control group). The survey was conducted in 4 regions covering 14 provinces ²¹² .	The sampling of the survey used the program beneficiary list as the frame for selecting the respondents. A complex stratified multi-stage design was used for sampling ²¹³ .	<p>average annual indirect costs; asset size; marketing outlets or branches);</p> <p>(iii) BDS particulars (e.g. evaluation of BDS; reasons or constraints for non-adoption or low level of adoption of the concepts or technologies imparted by the RuMEPP BDS events ; effects of adopting them to firm's business?)</p> <p>(iv) Credit Particulars (e.g. the effect of RuMEPP's credit on business)</p>	

experiment groups. The MEs were given a set of possible reasons why they would apply for a business permit and asked to force-rank them based on the reasons' relevance to them.

²¹² Due to the devastating effect of super typhoon Yolanda, Region 8 was excluded from the survey

²¹³ Detailed information on the development of the sampling method is specified in the document (pages 7-10).

RuMEPP supplementary qualitative survey

Outcome	Question
Programme-level outcomes and targets	
10,000 MEs demonstrate increased profitability and sustained operations 3 years after receiving initial support.	<ul style="list-style-type: none"> • What % share of the respondents reported increased profitability from their baseline levels? <ul style="list-style-type: none"> ○ What % share of these respondents attributed the improvement to their having availed of services from RuMEPP? • What % share of the respondents believed that their business lifespan have increased from their baseline levels? <ul style="list-style-type: none"> ○ What % share of these respondents attributed the improvement to their having availed of services from RuMEPP?
10,000 MEs generate 50,000 new jobs	<ul style="list-style-type: none"> • What % share of the respondents reported increased levels of employment from their baseline levels? <ul style="list-style-type: none"> ○ What % share of these respondents attributed the improvement to their having availed of services from RuMEPP?
15,000 MEs graduate from their current levels to the next higher level	<ul style="list-style-type: none"> • What % share of the respondents reported increased level of development from their baseline levels? • What % share of the respondents reported increased asset sizes from their baseline levels? <ul style="list-style-type: none"> ○ What % share of these respondents attributed the improvement to their having availed of services from RuMEPP?
Component-level outcomes and targets: Micro Enterprise Promotion and Development (MEPD)	
10% annual increase in the number of new, registered MEs in the Programme areas	<ul style="list-style-type: none"> • Not included in this survey / assessment
At least 80% of MEs trained adopt the BDS knowledge, skill, technology imparted to them	<ul style="list-style-type: none"> • What % share of the respondents who availed of MEPD services reported that they have adopted the BDS knowledge, skill, technology imparted to them?
MEs increase their sales by 5% annually through expanded markets and diversified product lines	<ul style="list-style-type: none"> • What % share of the respondents reported increased level of annual sales from their baseline levels? • What % share of these respondents attributed the improvement to their having availed of services from
	RuMEPP? <ul style="list-style-type: none"> • What % share of the respondents reported increased number of marketing outlets from their baseline levels? • What % share of these respondents attributed the improvement to their having availed of services from RuMEPP?
Component-level outcomes and targets: Microfinance Credit and Support (MCS)	
40 MFIs improve their performance and/or their operational efficiency	Not included in this survey / assessment.
10 MFIs improve their productivity level and lending performance after 7 years	Not included in this survey / assessment
75 MFIs servicing MEs in Programme areas with 10 setting up branches in target provinces after 7 years	Not included in this survey / assessment
SBGFC's microfinance operations become profitable	Not included in this survey / assessment
Component-level outcomes and targets: MEPD-MCS Convergence	
15,000 MEs provided with BDS able to avail of the credit services of MFIs	Data is already available

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Ella M. Calao-AN, Kapya LIG

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Valentina A. Jacinto, Kapya LIG

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Kabayan (Municipality), Benguet Province (2 April 2016)

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Johnny Todiano, Kabayan Federation of Farmers Association Inc. (KFFAI)

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Ambrosio Aquisan, KFFAI
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 Evita Lorenzo, Morning Shinner LIG Liza Mangurnong, Nanang's Touch Group
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Gusaran Multi-purpose Cooperative, Gusaran, Kabayan, Benguet (2 April 2016)

Vilma Torren Josefa Kising
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Sadsadan (Barangay), Bauko (Municipality), Mount Province (3 April 2016)

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 Rufina Madon-AN, SASDO Dorothy Habado, SASDO
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Agusta Akkang, Bayyo

Joshua Backong, Bayyo

Jonafe Damayan, Bayyo

Nelly Amsiwan, Bayyo

Marion Gun-Ed, Bayyo

Rossana Kor-Oyen, Bayyo

Concepci Binukodon, Bayyo

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Marcia Basilan, Bayyo

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Pia Banooy, Bayyo

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Renato Falag-Ey, Bayyo

Carmelita Lengwa, Bayyo

Ruben Ullay, Bayyo

Gaspar Banoog, Bayyo

Lorna Comising, Bayyo

Emy Dammit, Bayyo

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Kadaclan (ancestral domain), Barling (Municipality), Mount Province (4 April 2016)

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Bontoc Provincial Management Group (4 April 2016)

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Belong-Manubal (Barangay), Tinglayan (Municipality), Kalinga Province (5 April 2016)

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Irrigators' Associations met

LASSCIA / Sawaga-Simaya communal irrigation system (CIS), Malaybalay

BARFIA / Pangantukan CIS, Pangantukan

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 Jenet C. Duma, Secretary, Sta. Elena Irrigators Service Association
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Fisher folks and BFAR Meeting, Bislig Barangay, Tanauan (municipality), Leyte Province
 Susan Miranda, AT-Fisheries, LGU-Tanauan
 Maria Luz Caonte, President, Bislig Aqualeaders Servants Association (BALSA)
 Merlyn Nueva, VP, BALSA
 Iris Estrada, SEC, BALSA
 Juanita Lerios, BOD, BALSA
 Sin Forosa-Casilan, Auditor, BALSA
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Bibliography

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