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الاستثمار في السكان الريفيين

جمهورية الهند

تقييم البرنامج القطري

مذكرة إلى السادة ممثلي الدول الأعضاء في المجلس التنفيذي

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المجلس التنفيذي – الدورة الرابعة والعشرون بعد المائة
روما، 11–13 سبتمبر/أيلول 2018

للاستعراض

المحتويات

شكر وتقدير

أُعد تقييم البرنامج القطري هذا تحت مسؤولية Fabrizio Felloni، الموظف الرئيسي المسؤول عن التقييم في مكتب التقييم المستقل في الصندوق، مع مساهمات من Nurul Alam (كبير المستشارين بشأن القضايا الاستراتيجية وغير الإقراضية)، وBrahm Prakash (كبير المستشارين بشأن تقدير حافظة القروض)، وGovindan Nair (كبير أخصائيي التسيير)، وRanjani Murthy (كبير أخصائيي التمايز بين الجنسين والتنمية المجتمعية والشعوب القبلية)، وPrashanth Kotturi (الاستعراض المكتبي، أداء المنح والرصد والتقييم وقضايا التمويل الريفي)، وقد وفّرت Paola Nacamulli، الاستشارية، دعما حاسما في الاستعراض المكتبي الأولي. في حين قدّمت Cristina Spagnolo، مساعدة التقييم، الدعم الإداري.

واستفاد التقرير من استعراض الأقران الذي أجري داخل مكتب التقييم. إضافة إلى ذلك، فقد وفّر Benjamin Graham، من دائرة التقييم المستقل في مصرف التنمية الآسيوي، تعليقات على مسودة هذا التقرير.

ويود مكتب التقييم المستقل في الصندوق أن يعبر عن امتنانه لدائرة إدارة البرامج في الصندوق، وشعبة آسيا والمحيط الهادي، وعلى وجه الخصوص لمديرة الشعبة Hoonae Kim؛ ومديرة البرنامج القطري، رشا عمر؛ والمدير السابق للبرنامج القطري، Nigel Brett؛ ومنسقة البرنامج القطري للهند، Meera Mishra؛ وموظف البرنامج القطري للهند، Vincent Darlong؛ والموظف القطري المساعد للهند، Sriram Subramanium. وكذلك يرغب المكتب أيضا في شكر حكومة جمهورية الهند، وعلى وجه الخصوص، دائرة الشؤون الاقتصادية في وزارة المالية، علاوة على حكومات الولايات المعنية، وفريق إدارة المشروعات التي يموّلها الصندوق على تعاونهم المستمر والبنّاء، وعلى المشاركة في تنظيم حلقة عمل المائدة المستديرة الوطنية في نيودلهي في مايو/أيار 2016.

استعراض

1- هذا هو التقييم الثاني للبرنامج القطري للهند يُجريه مكتب التقييم المستقل في الصندوق. حيث أُجري التقييم الأول عام 2009، ونُشر تقريره عام 2010. وبالتركيز على الإطار الزمني 2010-2015، يقدر التقييم الحالي ما يلي: (1) أداء وأثر حافظة المشروعات التي تدعمها قروض الصندوق (تم استعراض 13 مشروعا منها تسعة مشروعات جارية)؛ (2) أداء ونتائج الأنشطة غير الإقراضية (حوار السياسات، وإدارة المعرفة وإرساء الشراكات)؛ (3) أداء برنامج الفرص الاستراتيجية القطرية.

2- تعتبر الهند أكبر حافظة للعمليات التي يدعمها الصندوق. ومنذ عام 1979 موّل الصندوق 27 مشروعا من خلال 31 قرضا (928.6 مليون دولار أمريكي) لحافظة تقدّر قيمتها الإجمالية بحدود 2.6 مليار دولار أمريكي. أما التمويل الوطني النظير فكان بحدود 711.4 مليون دولار أمريكي (27.4 في المائة من إجمالي تكلفة الحافظة). وشاركت جهات مموّلة خارجية حتى عام 2012 بمبلغ قدره 364 مليون دولار أمريكي، أي 14 في المائة من إجمالي تكلفة الحافظة (أساسا من البنك الدولي ومن وزارة التنمية الدولية في المملكة المتحدة). وأما ما تبقّى من تمويل (وقدره حوالي 596 مليون دولار أمريكي) فقد جاء من مصادر وطنية (الصناديق والمؤسسات المالية الوطنية)، ومن مساهمات المستفيدين. وأنشأ الصندوق مكتبا قطريا في نيودلهي عام 2001 في البناء الذي يشغله برنامج الأغذية العالمي. وفي عام 2011، تقدّم الصندوق بطلب إلى الحكومة الهندية لندب مدير للبرنامج القطري. وتمّ التوصل إلى الاتفاقية النهائية بهذا الشأن في يونيو/حزيران 2015.

3- وأما الدلائل التي يستند إليها هذا التقييم، فتأتي من التحليل ومن تثليث البيانات من مصادر مختلفة: (1) استعراض مكتبي للوثائق المتاحة، بما في ذلك التقييمات المستقلة السابقة؛ (2) التقييم الذاتي الذي أجرته شعبة آسيا والمحيط الهادي في الصندوق؛ (3) مسوحات مخرجات سنوية، أجرتها مشروعات عديدة (عيّنة من 200 إلى 400 أسرة من الأسر الداخلة في المشروعات وأسر المقارنة)؛ (4) مقابلات في مقر الصندوق وفي نيودلهي مع أصحاب المصلحة من الحكومة الوطنية وأصحاب المصلحة الدوليين وغير الحكوميين؛ (5) زيارات ميدانية ومقابلات إفرادية ومناقشات مجموعات تركيز مع المستفيدين؛ (6) مقابلات مع صناع السياسة على مستوى الولاية، ومع موظفي المشروعات، وممثلي الحكومات المحلية (على مستوى المقاطعة، والتكتّل، والتقسيم الإداري المعروف في الهند باسم Gram Panchayat).

4- **السياق القطري**. تعتبر الهند سابع أكبر بلد في العالم والثانية من حيث تعداد السكان الذي يصل إلى 1.3 مليار شخص (منتصف عام 2014). وفي العقد بين عامي 2004 و2013، نما الناتج المحلي الإجمالي بمعدل وسطي سنوي قدره 7.5 بالمائة. أما الدخل الوطني الإجمالي (بطريقة أطلس) للفرد الواحد في عام 2014 فكان بحدود 1570 دولار أمريكي، مما يضع الهند في مرتبة البلدان متوسطة الدخل من الشريحة الدنيا (حسب تصنيفات البنك الدولي). ويعتبر 72 بالمائة من السكان في الهند ريفيون. أما حصة القطاع الزراعي من الناتج المحلي الإجمالي فقد تراجعت من 19.4 بالمائة عام 1991 إلى 17 بالمائة عام 2014 ولكنها بقيت هامة بالنسبة لقضايا الأمن الغذائي القومي، وللضغوطات التضخمية التي تقودها أسعار الأغذية، وفرص توليد العمالة.

5- وصل تعداد السكان الفقراء في الهند في الفترة 2011-2012 إلى ما يقدّر بحدود 25.7 بالمائة في المناطق الريفية و21.9 بالمائة في البلد ككل (حوالي 217 مليون في المناطق الريفية و270 مليون على المستوى الوطني). وتراجع انتشار الفقر بصورة كبيرة منذ الفترة 2004–2005 عندما كانت هاتان النسبتان بحدود 41.8 و37.2 على التوالي، إلا أنه يبقى أعلى من المستوى الوطني في أوساط القبائل المصنفة (45.3 بالمائة في المناطق الريفية في الفترة 2011–2012)، والطوائف المصنّفة (31.5 بالمائة). وتمتلك الهند مخططات كبيرة للغاية ومتعددة للتنمية الريفية، وبخاصة برنامج المهاتما غاندي لضمان العمالة الريفية، والمهمة الوطنية لسبل العيش الريفية. وتؤكد الحكومة على التفويض بأموال وسلطات أكبر لحكومات الولايات والحكومات على المستوى المحلي في خياراتها وتنفيذها لمخططات إنمائية مختلفة.

6- تمتلك الهند أكبر مساحة تُزرع زراعة بعلية في العالم. ويُزرع 42 بالمائة من الأرز بعلا؛ و77 بالمائة بالنسبة للبقول؛ و66 بالمائة بالنسبة للبذور الزيتية؛ و85 بالمائة بالنسبة للحبوب الخشنة. إلا أن السياسات الخاصة بالتطرق للإنتاجية في ظل الزراعة البعلية تحظى باهتمام أقل مما تستحقه. إذ يصل نصيب الرّي بالمياه الجوفية إلى 70 بالمائة من احتياجات الرّي في البلاد، مما يؤدي إلى استنزاف حادّ لاحتياطيات المياه الجوفية وزيادة تملّح التربة. ومن شأن ردم الفجوة الإنتاجية بين المناطق البعلية والمروية أن تساعد على التطرق لعدد من المشاكل الإنمائية القطاعية الأخرى، بالإضافة إلى تخفيف الضغط على نظم الرّي.

الاستنتاجات المنبثقة عن مشروعات الحافظة

7- **الصلة.** قُدّرت الصلة على أنها مرضية. وفيما يتعلّق بالاستهداف الاجتماعي–الاقتصادي: تركّز المشروعات التي يموّلها الصندوق على المجموعات المحرومة على وجه الخصوص بين فقراء الريف، بما في ذلك القبائل المصنّفة، والطوائف المصنّفة، والنساء والمعدمين. وتشكّل المناطق التي تسكنها القبائل المصنّفة تحديات تشغيلية نظرا لبعدها ولظروف المعيشة الرديئة فيها ولخصائصها الثقافية. وتتطرّق المشروعات على وجه الخصوص لأربع قضايا هيكلية، وهي: (1) الحرمان المادي؛ (2) الإقصاء الاجتماعي–الثقافي؛ (3) زيادة صعوبة الوصول إلى الموارد الطبيعية والأراضي الزراعية؛ (4) محدودية وجود مؤسسات عامة.

8- تمّ تخصيص حصّة معتبرة من الاستثمارات للأنشطة الزراعية. وفي الماضي، لم يكن المحتوى التقني للتدخلات الزراعية مستندا على الدوام على تحليل سليم لنظم الزراعة المحلية والفرص التسويقية، كما أنه لم يقم بتعظيم الفرص المتاحة للتعاون مع مراكز البحوث والإرشاد الزراعي المحلية. إلا أنه تمّ التطرّق لهذه القضايا بصورة أفضل في تصاميم المشروعات الحديثة.

9- ومقارنة بالوضع الذي كان قائما عند إجراء تقييم البرنامج القطري عام 2010، فقد جرّبت المشروعات الحديثة البناء على "التداخل" ضمن مخطّطات التنمية الريفية الوطنية، وبخاصة برنامج المهاتما غاندي لضمان العمالة الزراعية، والمهمة الوطنية لسبل العيش الريفية. وعلاوة على ذلك، فقد تضمّنت تصاميم المشروعات الحديثة تنسيقا مع الكيانات الحكومية المحلية (مؤسسات Panchayat Raj).

10- **الفعالية.** قُدّرت الفعالية على أنها مرضية إلى حد ما، وإن كان الانتشار مشجّعا. وبتاريخ أواخر عام 2015 (آخر البيانات المتاحة)، وصلت المشروعات إلى 1.9 مليون أسرة، أي أنها تجاوزت الأهداف الموضوعة بصورة طفيفة (102 بالمائة). وكانت نتائج المشروعات أكثر تعزيزا في مجالات التعبئة المجتمعية والبنى

التحتية التي تُخدّم الاحتياجات الأساسية، وبدأت تبرز في مجالين رئيسيين آخرين، وهما: الترويج للإنتاج الزراعي وسبل العيش الريفية، وتمكين الوصول إلى الخدمات المالية والائتمان. وعلى الرغم من أن مشروعات الصندوق قد أرست أساسا تشغيليا صلبا لتوسيع الائتمان في المناطق الريفية، إلا أن الاستجابة من مصارف القطاع العام لتوسيع الدعم الائتماني لم تكن مشجعة. ولعلّ استجابة المصارف في القطاع العام قد كبحتها الخبرات السابقة للإعفاء من السداد الذي تدفعه التوجهات السياساتية.

11- **الكفاءة.** والتي صنّفت على أنها غير مرضية إلى حد ما. ومن أهم المشاكل انخفاض كفاءة العمليات الإدارية، كما يشار إليها: (1) التأخيرات في الدخول حيّز النفاذ؛ (2) التأخيرات في التنفيذ، التي تنعكس في التأخيرات في الصروفات من القروض. وأما وسطي الوقت المستغرق من الموافقة على القروض التي نظر فيها هذا التقييم إلى دخولها حيّز التنفيذ فبلغ 16 شهرا، أي حوالي ضعف الوسطي الإقليمي تقريبا (8 أشهر). ومن أهم العوامل التي تسببت في هذه التأخيرات وفي المستويات المتباطئة للتنفيذ، التحديات الزراعية الإيكولوجية، والظروف الاجتماعية–الاقتصادية في مناطق المشروعات من جهة. ومن جهة أخرى محدودية القدرة التنفيذية على مستوى الولاية، بسبب ما يلي: (1) التدوير العالي لموظفي المشروعات وبخاصة على مستوى كبار الموظفين؛ (2) الإجراءات المعقّدة والطويلة للحصول على الموظفين من خلال ندبهم من الخدمات والوكالات العامة الأخرى؛ (3) عدم وجود حزم تعويضية تنافسية لموظفي المشروعات؛ (4) الترتيبات التعاقدية غير المواتية وإجراءات التوريد المعقّدة على مستوى الولاية، والمقاطعة والتكتّل.

12- **الأثر على الفقر الريفي** الذي قُدّر على أنه مرضٍ في مجالات الأصول الأسرية والدخول ورأس المال البشري والاجتماعي، ومرضٍ إلى حد ما في مجالات الأمن الغذائي وإدارة الموارد الطبيعية وتغيّر المناخ والمؤسسات والسياسات. وتعرض الوثائق المتاحة أمثلة متعدّدة أسهمت فيها مشروعات الصندوق في زيادة الدخول وتنويع مصادرها، كما ساعدت أيضا في بناء الأصول لصالح الأسر المستهدفة. وقد جرى ذلك بصورة رئيسية من خلال: (1) الزيادات التي طرأت على الإنتاجية الزراعية أو فرص العمالة؛ (2) الوصول الآمن إلى الأراضي والغابات والبحيرات والأشجار؛ (3) التنوّع وإنشاء المشروعات الصغرى؛ (4) تحسين قطعان الحيوانات الزراعية.

13- كانت معظم المشروعات ناجحة في إنشاء عدد كبير من المنظمات المجتمعية (مثل مجموعات العون الذاتي، ولجان تنمية القرى، ولجان إدارة الموارد الطبيعية). وغدا الناس أكثر وعيا بالفرص المتاحة لتحسين حياتهم، وهم حريصون على تعلّم المهارات الجديدة واتخاذ المبادرات الجماعية. كذلك استفادت الأسر التي ساعدتها المشروعات لجهة الإنتاجية الزراعية وإدارة المخاطر، على الرغم من أن ذلك يتفاوت عبر المحاصيل والمشروعات والأسر المختلفة.

14- تنفّذ المشروعات التي يموّلها الصندوق في المناطق النائية الأقل إنتاجية، وهي تتضمن تدخلات لتحسين إدارة التربة والمياه، والحدّ من الاعتماد على المدخلات غير العضوية، والترويج لصون الغابات، وعلى وجه العموم، فهي تجعل من المزارعين مشاركين نشطين في تحسين بيئتهم الإيكولوجية. وفي حالات عديدة، كان بزوغ النتائج بطيئا بسبب التأخيرات في استهلال المشروعات.

15- وفي العادة، لا يتمتع فقراء الريف والمعدمون والسكان الذين يعانون من الإقصاء الاجتماعي إلا بصوت محدود في صياغة المؤسسات والسياسات التي تتحكم بهم. وقد حرّكت المبادرات بموجب بعض المشروعات

من عملية التغيير. فعلى سبيل المثال، وفي ولاية أوديشا، كانت المشروعات أداة هامة في تشغيل وتنفيذ القواعد الناظمة الخاصة بحقوق الأراضي والغابات لصالح المجموعات القبلية. وفي مادهيا براديش ومهاراشترا، استخدمت التدخلات التي موّلتها المشروعات للسيطرة على العنف ضد النساء كمدخل في إعداد سياسات الولاية المكرّسة لهذا الغرض.

16- **الاستدامة.** قُدّرت استدامة الفوائد على وجه العموم على أنها مرضية إلى حد ما. وذلك نظرا لتضافر كل من الدعم السياسي، والدعم المجتمعي للمبادرات والدعم الإيجابي (وإن كان متفاوتا) من الجهات الرئيسية للاستدامة الاقتصادية والتقنية. وفيما يتعلّق بالاستدامة الاجتماعية، وفي معظم المشروعات فإن من شأن انخراط المجتمعات (وبخاصة المجموعات النسوية) في الإجراءات المشتركة، والإحساس بالتحرر والسعي للوصول إلى سبل عيش أفضل أن يستمر حتى في غياب الدعم الخارجي. وأما قدرات المنظمات المجتمعية على الاستمرار في العمليات فتتفاوت بين مشروع وآخر وضمن المشروعات.

17- في الماضي، اقتصر اهتمام التصميمات بـ"الاستدامة" على خلق الاتحادات أو مجموعات العون الذاتي، إلا أن الاهتمام بالجدوى الاقتصادية وبالروابط مع مؤسسات Panchayat Raj والمخططات العامة لم يكن يحتل موقع الصدارة. وفي المشروعات الأحدث، هنالك اعتراف أفضل في مرحلة التصميم بالحاجة للدعم طويل الأمد للمؤسسات والقدرات البشرية ولروابط السوق.

18- **الابتكارات المناصرة للفقراء وتوسيع النطاق** قد حظيا بتقدير مرضٍ. إذ حدّد برنامج الفرص الاستراتيجية القطرية لعام 2011 المجالات التالية للابتكار، وهي: (1) الطاقة المتجددة؛ (2) الصمود في وجه تغيّر المناخ؛ (3) التحويلات والتأمين الصغري؛ (4) سلاسل القيمة العادلة والفعالة؛ (5) تكنولوجيا الاتصالات والمعلومات للجمع بين المعرفة المحلية والحديثة. وطرأ تقدّم على إدخال التكنولوجيات والتقنيات الزراعية المحسّنة، والتي كانت ذات أهمية في التأقلم مع تغيّر المناخ. وهنالك بعض المبادرات الحديثة الأخرى بشأن تكنولوجيا الاتصالات والمعلومات وسلاسل القيم السلعية ومنتجات التأمين (على المحاصيل والحياة). وقد تركّزت الاستثمارات التي تنطوي على الطاقة المتجددة في مشروع واحد فقط. وهنالك القليل من البراهين على الأنشطة التي تشمل التحويلات.

19- وهنالك أمثلة عديدة عن توسيع النطاق (منها ما جرى بالفعل أو ما هو مخطّط له بالتأكيد)، بعضها يعدّ مثالا يُحتذى. ففي أوديشا، تموّل حكومة الولاية الحصة الأكبر من متابعة مشروع تنمية المجتمعات القبلية (85 مليون دولار أمريكي من التكلفة الإجمالية وقدرها 100 مليون دولار أمريكي) لتوسيع الانتشار والوصول إلى 90 ألف أسرة في 1500 قرية موزّعة على 525 مستجمع مياه صغير. وبالإضافة إلى ذلك، يتم السعي للتداخل مع مخططات الحكومة المركزية مثل برنامج المهاتما غاندي لضمان العمالة الريفية، والمهمة الوطنية لسبل العيش الريفية، وغيرها من المبادرات الوطنية وعلى مستوى الولاية. وفي الإقليم الشمالي الشرقي، هنالك مثال آخر على مرحلة ثالثة من مشروع تنمية المجتمعات القبلية، تموّله الحكومة المركزية للهند بصورة كاملة ويهدف إلى تغطية مقاطعات جديدة.

20- على وجه العموم، حظيت **المساواة بين الجنسين وتمكين المرأة** بتصنيف مرضٍ. وتحاول المشروعات التي يموّلها الصندوق أن تخلق البيئة الممكنة للنساء لكي يلعبن دورا في المجالس القروية، ويطالبن بحقوقهن في الأراضي الزراعية والوصول إلى الموارد الطبيعية والخدمات المالية. وفي الماضي، كانت المشروعات نمطيا

تحاول تخصيص حصّة بحدّ أدنى لمشاركة النساء (مثلا، على الأقل 50 بالمائة من الأعضاء من النساء) كما أنها كانت توفّر الخدمات الأساسية (مثل الوصول إلى المياه) للتخفيف من عبء العمل المضني عليهن. أما في وقت أقرب، وكنتيجة للتطوّر الذي طرأ على تفكير الصندوق، غدت تصميمات المشروعات تطالب بإعداد استراتيجية للتمايز بين الجنسين، وتؤكد على تحليل الأدوار المنوطة بالجنسين، وعلى رفع وعي الرجال والنساء بأهمية التوازن بين الجنسين بين موظفي المشروعات.

21- كما تبنّت معظم المشروعات نهج مجموعات العون الذاتي، وكانت عضوية هذه المجموعات محصورة بالنساء فقط. والغرض من ذلك هو تزويد العضوات بفرص الوصول إلى الموارد المالية على شكل ادخارات وقروض صغيرة. وهنالك دلائل كيفيّة على أن عملية صنع القرارات داخل الأسر الزراعية قد غدت الآن أكثر تشاركية عوضا عن كونها في يد الزوج حصرا أو في يد البالغين من الذكور. وهنالك عدد متزايد من النساء اللواتي يترشّحن للانتخابات المحلية. وفي مهاراشترا، تمّ انتخاب 3 بالمائة من عضوات مجموعات العون الذاتي التي شكّلتها المشروعات المموّلة من الصندوق في مؤسسات مختلفة من مؤسسات Panchayat Raj.

22- تتعرّض النساء لمعاناة مضنية إلى حدّ كبير، وبخاصة في المناطق الجبلية والنائية، وتركّز المشروعات على الحدّ من عبء العمل المضني ذي الصلة بالأسرة وسبل العيش معا. وتتضمّن المبادرات التي تصيغها المشروعات، إدخال المواقد التي لا ينبعث منها الدخان، والوصول إلى مياه الشرب، والتصحاح والطرقات، وزيادة تغطية الغابات والحصول على العلف. وتتضمّن بعض المشروعات أيضا الأدوات والمعدات الزراعية التي تعتبر ملائمة للنساء من الناحية الجسدية وكذلك الأمر بالنسبة لمعدات التصنيع بعد الحصاد.

23- أما في مادهيا براديش، فقد تعاون برنامج تمكين النساء الريفيات مع مبادرة الولاية لإدخال ما يعرف بـ"فرقة الشجاعة" (وهي لجنة على المستوى القروي مكوّنة من خمسة إلى ثمانية أعضاء). والغرض الأساسي من هذه المبادرة هو تعبئة المجتمعات ضدّ المقامرة، والإدمان على الكحول والعنف الأسري، الذي يؤثر بصورة مباشرة على رفاهية النساء وعائلاتهن. وتخطّط حكومة مادهيا براديش لتوسيع هذه الاستراتيجية لتشمل الولاية بأسرها.

الأنشطة غير الإقراضية

24- أدرج برنامج الفرص الاستراتيجية القطرية للهند لعام 2010 تقاسم المعرفة والتعلم كهدف شامل. وأدخلت المشروعات الإفرادية والمكتب القطري مبادرات للتعلم وتقاسم المعرفة، تتجه في المقام الأول نحو تشجيع عمليتي تقاسم المعرفة والتعلم والاتصالات (المواقع على شبكة الإنترنت، الفيديوهات، المدونات، الرسائل الإخبارية والكتيبات). إلا أن معظم هذه المعرفة المتولّدة عن البرنامج لم تحظ بالتوثيق ولا بالتحليل. ويتمّ توليد المعرفة من برنامج الصندوق من خلال اللمحات الثاقبة والفهم والخبرات العملية التي يمتلكها ويطبّقها المهنيون في المشروعات. ومع مرور الوقت، تولّد هذه المشروعات كمّية كبيرة من المعرفة حول جملة من القضايا المتعلّقة بالفقر والتنمية الريفية الناجمة عن خبرات مراحل المشروع. ولم يحظ هذا النمط من المعرفة الناجمة عن الخبرات بما يكفي من التوثيق، أو تحويله إلى منتجات معرفية صريحة لاستخدامها بصورة أوسع من قبل القطاع العام وممارسي التنمية في الهند (وبخاصة، في المبادئ التوجيهية عن "ما يتوجّب عمله وما يتوجّب تجنّبه" بموجب أنماط التدخلات المخصوصة).

25- لاحظ التقييم أنه وفي الهند هنالك مستوى أعلى من التوقعات من دور الصندوق كوسيط للمعرفة للمساعدة على التطرق لجملة من القضايا التي تواجهها محاولات التخفيف من الفقر الريفي. إلا أن قدرة البرنامج القطري والشركاء الأساسيين على توليد المنتجات المعرفية لاستخدامها على المستوى الأعلى من السياسات، أو للتطرق للمتطلبات الناشئة محدودة، وذلك بسبب الافتقار إلى الموارد التقنية والمالية. وفي الوقت الحاضر، فإن الصندوق لا يمتلك "راعٍ مؤسسي" قوي (على سبيل المثال مؤسسة فكرية كبيرة) لإجراء العمل التحليلي والفكري الأساسي أو للإشراف عليه.

26- **إرساء الشراكات** وهو أمر حاسم لتمكين استثمارات الصندوق المحدودة من تحقيق قدر أكبر من الانتشار ولتخليف أثر أعمق على الحد من الفقر الريفي في الهند. وخلال فترة التقييم، كانت العلاقة مع وكالة التنسيق الرئيسية (دائرة الشؤون الاقتصادية في وزارة المالية) علاقة ودّية تتسم بالاحترام المتبادل. إلا أن الصندوق لم يكن ينخرط إلا بقدر محدود مع الوزارات التقنية ذات الصلة في الحكومة المركزية (مثلا الشؤون القبلية، والتنمية الريفية، والزراعة).

27- على وجه العموم، هنالك إحساس جيد بالملكية على مستوى الولاية: إذ أن الحكومات في الولايات مسؤولة عن تنفيذ المشروعات التي يموّلها الصندوق، وتمّ تكرار بعض المشروعات وبعض المكونات الفرعية في بعض المشروعات الأخرى بتمويل من الولاية (مثلا في أوديشا ومادهيا براديش). ويبزغ حاليا تقدير لأهمية العلاقة المستدامة مع مؤسسات Panchayat Raj. أما بالنسبة للشراكة مع المنظمات غير الحكومية المجتمعية لتنفيذ المشروعات على المستوى القاعدي، فتشكّل نقطة من نقاط القوة المتأصلة في نموذج عمل الصندوق.

28- ينخرط الصندوق في جهود تعاونية ترعاها الأمم المتحدة (الفريق القطري للأمم المتحدة وفرق مهام إطار عمل الأمم المتحدة للمساعدة الإنمائية) إلا أنه لم يتم حتى الآن بلورة شراكات برامجية متكاملة مع وكالات الأمم المتحدة الأخرى. وبناء على استعراضات تقييم البرامج القطري، تعترف الجهات المانحة متعددة الأطراف مثل البنك الدولي ومصرف التنمية الآسيوي بالميزة النسبية للصندوق، وبتميّزه في مجال تدخلات التخفيف من وطأة الفقر الريفي، وبخاصة تلك التي تشمل مدقعي الفقر. إلا أن المستوى الحالي من التفاعل مع الصندوق لا يتعدّى مجرد التشاور خلال صياغة المشروعات. وقد كانت هنالك خطوات قليلة استباقية لجهة إرساء شراكات عميقة سواء بالنسبة للمشروعات أو الأنشطة غير الإقراضية. وفي الماضي، كانت الحكومة المحلية محبّذة لفصل التمويل الذي تقدّمه الجهات المانحة متعددة الأطراف عوضا عن اللجوء إلى التمويل المشترك. إلا أن الشراكات لا تحتاج فقط إلى أن تكون على شكل مشاركة في التمويل. ويؤدي المزيد من التنسيق المنتظم وتبادل الخبرات والدروس المستفادة من الأنشطة ذات الصلة، إلى صيغ متينة للشراكة، وقد تؤدي إلى اهتمام المؤسسات المالية الدولية بتوسيع نطاق الخبرات والنتائج الواعدة.

29- تمثّل الشراكة مع النظام الوطني للبحوث الزراعية، بما في ذلك مراكز البحوث المحلية وعلى مستوى الولاية، فرصا للمشروعات للاستفادة من البحوث الشاملة ولتطبيق الحلول الزراعية الملائمة. إلا أن المشروعات التي يموّلها الصندوق لم تستفد بصورة كاملة من هذا المورد القيّم. وأما الاستثناء الوحيد المرحّب به فهو مشروع دعم سبل العيش المتكاملة، والذي بنى شراكة تعاونية في أوتراخند حول إنتاج الفواكه والخضروات والحليب.

30- وقد أُشير إلى الشراكات مع القطاع الخاص كمظهر هام من مظاهر استراتيجية الصندوق، إلا أنه ومن الناحية العملية، فإن هذا المجال ما زال مجالا جديدا ناشئا. وهنالك إضافة جديدة للقانون الخاص بالشركات الهندية ينصّ على وجوب أن تخصّص الشركات حصّة من أرباحها لأنشطة المسؤولية الاجتماعية التعاونية، مما يمثّل فرصا جديدة لاستقطاب دعم القطاع الخاص. وقد تمّ تجربة بعض التدابير مع شركات القطاع الخاص (Tata، وTesco، وEast West Seeds، وFieldFresh Foods، وUnilever) في مهاراشترا، كما تمّ اختبار بعض أشكال التعاون الأخرى في أوتراخند. وبالمضي قدما، سيكون تحليل هذه الخبرات والتقدّم المحرز في تحقيقها والمعوّقات التي واجهتها محلّ اهتمام كبير لكل من السلطات الوطنية وعلى مستوى الولاية، كذلك الأمر بالنسبة للشركاء الدوليين الذين تعهدوا بدعم الشراكات بين المنتجين والقطاعين العام والخاص.

31- وبالنسبة للصندوق، وفي الوقت الذي جرى فيه إعداد برنامج الفرص الاستراتيجية القطرية لعام 2011، لم تكن الحكومة مهتمة بالانخراط في حوار سياساتي مع الصندوق. وقد يعود ذلك لبعض أشكال سوء الفهم لشروطه ولتبعاته. وتبدو البيئة الحالية أكثر مواتاة للإعداد لعمل تحليلي يتعلّق بالسياسات. إذ أن التفاعل على المستوى السياساتي والمدخلات التي يقدّمها الصندوق غدت أكثر إتاحة وعملية على مستوى الولاية. وأعاقت الجهود الرامية إلى ربط المدخلات السياساتية على المستوى المركزي بُعد المسافة عن صناع القرار.

32- وعلى مستوى الولاية، هنالك بعض المشروعات التي أسهمت وبصورة مفيدة في مدخلات ذات صلة بالسياسات. ففي أوديشا، يسّر مشروع موّله الصندوق من تنفيذ القوانين الخاصة بوصول المجموعات إلى الغابات، بما في ذلك القانون (الذي سنّ عام 2006) بشأن حقوق الغابات. وهدفت هذه القوانين لإعادة إثبات الحقوق التقليدية في الاستيطان في الغابات واستخدامها التي تحداها تشريع سابق. وكما وفّرت المشروعات في مهاراشترا ومادهيا براديش مدخلا لسياسة النساء في مهاراشترا لعام 2013 ورؤية مادهيا براديش لعام 2018. وكانت هنالك أيضا بعض الفرص الضائعة: ففي جهارخند وشهاتيسجار لم يجرِ إلا قدر ضئيل من الحوار السياساتي حول الخيارات المتداخلة مع البرامج العامة في الولايات، وعلى المستوى المركزي، كان الوعي محدودا بهذا المشروع في وزارة الشؤون القبلية، وفي وزارة التنمية الريفية.

33- ولمدخل سياساتي يهدف إلى الوصول إلى منبر على المستوى المركزي، هنالك حاجة لقدر أكبر بكثير من العمل التمهيدي: ويتوجّب تحديد قادة للقيام بهذا العمل وإعداد عروض عالية الجودة وطرحها على المنابر المناسبة. علاوة على ذلك، ولكي يكون المدخل السياساتي مقبولا على المستوى المركزي، لا بد من التثبت من صحته بصورة أكبر عبر الولايات. فالانخراط السياساتي إنما هو عملية حساسة، ولكي تكون فعالة، فهي تستوجب قدرا كبيرا من الإعداد، أي براهين موثّقة معتبرة، وقضايا معرفة سياقية، وفهم للحساسيات والعمليات الوطنية، وقادة ميسّرين معترف بهم وطنيا.

أداء برنامج الفرص الاستراتيجية القطرية

34- قدّرت **صلة** برنامج الفرص الاستراتيجية القطرية على أنها مرضية. إذ اتّسم برنامج عام 2011 بالمواءمة مع الاستراتيجيات والأولويات الوطنية للتنمية الزراعية والريفية. كذلك انعكست التوصيات والاستنتاجات التي خرج بها تقييم البرنامج القطري السابق وبصورة جيدة في الاستراتيجية وفي إعداد ذخيرة المشروعات الاستثمارية المنبثقة. وبالتأكيد مجددا على الصلة الإجمالية للبرنامجين السابقين للفرص الاستراتيجية القطرية

(2001، 2005) أبقى برنامج عام 2011 على تركيز الصندوق على شرائح الفقر الأعمق، بزخم للتداخل مع المخططات العامة. كما اعترف برنامج عام 2011 وبصورة أكثر صراحة بالجانب "التقني" لتنمية الزراعة البعلية وللروابط مع الأسواق والتجهيز. وقد اتّسم بهدفين استراتيجيين رئيسيين، وهما: (1) زيادة الوصول إلى التكنولوجيات الزراعية والموارد الطبيعية؛ (2) زيادة الوصول إلى الخدمات المالية وسلاسل القيمة. وهذان الهدفان ليسا ذي صلة استراتيجية فحسب بحافظة الصندوق، وإنما أيضا يعتبران أمرا واجبا لتحقيق التنمية الزراعية والريفية، على المستوى الوطني. وقد أدخل برنامج الفرص الاستراتيجية القطرية لعام 2011، ولأول مرة، الهدف الشامل المتمثّل في تقاسم المعرفة والتعلّم بشأن الحدّ من الفقر والأمن التغذوي والتعلّم.

35- وفي أعقاب التوصيات التي انبثق عنها تقييم البرنامج القطري لعام 2011، فإن وسطي حجم الإقراض لكل مشروع على حدة في الحافظة ازداد، ولم تتوسّع الحافظة إلى ولايات لم تغطها سابقا تدخلات موّلها الصندوق. إلا أنه، ومن المنظور القطري، فإن الانتشار الجغرافي للحافظة ما زال كبيرا، مما يُؤدّي إلى استنزاف الموارد المحدودة للمكتب القطري.

36- قدّرت **فعالية** برنامج الفرص الاستراتيجية القطرية، مع الأخذ بعين الاعتبار الهدفين الاستراتيجيين الرئيسيين والهدف الشامل المتمثل في إدارة المعرفة. وبالنسبة للهدف الاستراتيجي الأول، فقد أسهم البرنامج بصورة إجمالية في زيادة الإنتاجية وإدارة المخاطر المحيطة بالزراعة البعلية، على الرغم من وجود تفاوتات كبيرة بين المشروعات. وأسهمت أغلب تدخلات المشروعات في زيادة المردودات وتعزيز إدارة المخاطر من خلال الترويج للممارسات الزراعية المستدامة، ومنها حفظ المياه في الموقع، والزراعة المختلطة بالحراجة، وإدارة خصوبة التربة، وحملات تطعيم، وسلالات الحيوانات المختارة. وهنالك تقدّم ملحوظ في الحافظة بأسرها على الرغم من التأخيرات في التنفيذ. أما في مجموعة المشروعات الأقدم فلم تكن استراتيجيات التدخل الزراعية محدّدة بصورة دقيقة بما فيه الكفاية كما لم تتطرّق للروابط المباشرة مع الأسواق (الروابط السابقة واللاحقة)، ومع التجهيز وإضافة القيمة. وتُظهر تصميمات المشروعات الأحدث وعيا أفضل بهذه القضايا، على الرغم من أن النتائج لن تكون مرئية إلا في السنوات القادمة.

37- وفيما يتعلّق بالهدف الاستراتيجي الثاني المتمثّل في المدّخرات النقدية والروابط الائتمانية – والذي تسيّره مجموعات العون الذاتي – فقد ساعد المستفيدين في الاستثمار في رأس المال الدوّار، وفي بعض الأحيان أيضا في رأس المال الثابت. وعلى الرغم من السجل الجيد لمجموعات العون الذاتي، وللمقترضين ذوي العلاقة، والأساس التشغيلي الصلب لتوسيع الائتمان الذي أرسته مشروعات الصندوق في المناطق الريفية، إلا أنه، وفي أغلب الحالات، كانت مصارف القطاع الخاص حذرة للغاية في توسيع دعمها الائتماني للمنظمات المجتمعية. ويبقى الافتقار إلى الائتمان المصرفي المعوّق الرئيسي لأعضاء مجموعات العون الذاتي في انخراطهم في أي مشروع إنتاجي، سواء كان في المزرعة أو خارجها. وبغض النظر عن توفير الخدمات المالية الأساسية، وإن تكن المفيدة، من خلال هذه المجموعات فقد حاول البرنامج أيضا تجربة منتجات التأمين وغيرها من المنتجات المالية ذات الصلة بالحد من المخاطر، وخاصة ضمن مشروعين اثنين (في مهاراشترا وتميل نادو). وقد كانت هنالك أيضا بعض التجارب الريادية المبدئية للمعاملات المصرفية الجوالة استنادا إلى الرسائل القصيرة. ولم يكن هناك إلا قدر ضئيل من التقدم المحرز الذي يمكن الإبلاغ عنه في مجال التحويلات.

38- تمّ جزئيا تحقيق الهدف الشامل المتمثل في التعلم وتقاسم المعرفة بشأن الحد من الفقر والأمن الغذائي. وعلى الرغم من الجهود المبذولة على مستوى المشروعات للإعداد لمنتجات الاتصالات، ثمة فجوة بين الخبرات الغنية على أرض الواقع والقدرة على تحليلها وتنظيمها بأسلوب يجعلها ملائمة لمناقشات سياساتية على مستوى أعلى.

39- وعلى وجه العموم، قدّرت فعالية البرنامج على أنها مرضية إلى حدّ ما. ويأخذ ذلك بعين الحسبان الوصول الواسع للأسر المستهدفة والتقدم المحرز في تحقيق أهداف برنامج الفرص الاستراتيجية القطرية، على الرغم من التفاوتات بين المشروعات وضمنها. ويعدّ توفير الخدمات المالية والزراعية الأساسية راسخا بصورة جيدة، في حين أن بعض الخدمات والمنتجات والتحالفات الأكثر تنميقا بدأت بالبزوغ. وتوجد فجوات في القدرة على إدارة المعرفة، والموارد المخصصة لها. وقد تمّ تقدير أداء البرنامج على وجه العموم على أنه مرض إلى حد ما، مع منح وزن ترجيحي مخصوص لتحقيق النتائج.

الجدول 1

تقييم أداء الشراكة بين الحكومة والصندوق

	التصنيف *
أداء الحافظة	4
الأنشطة غير الإقراضية	4
أداء برنامج الفرص الاستراتيجية القطرية	4
الشراكة بين الحكومة والصندوق	**4**

*سلمّ التصنيف: 6= مرض للغاية؛ 5= مرضٍ؛ 4= مرضٍ إلى حد ما؛ 3= غير مرضٍ إلى حد ما؛ 2= غير مرضٍ؛ 1= غير مرضٍ للغاية.

الاستنتاجات

40- يعدّ نموذج تدخل الصندوق التقليدي نموذجا راسخا بالنسبة للمناطق المحرومة إلى حدّ كبير والمجموعات المهمّشة والنساء ضمن هذه المجموعات. ويستجيب نموذج التدخلات متعدد الأبعاد الذي تتبّعه الحافظة الممولة من الصندوق (والذي يجمع بين رأس المال الاجتماعي، والتنمية الزراعية، وسبل العيش غير الزراعية، والخدمات المالية، والاحتياجات الأساسية) للقضايا الهيكلية في المناطق المستهدفة. وقد أثبت نموذج مجموعات العون الذاتي فعاليته في حثّ المستفيدين (وبخاصة النساء منهم) وعلى رفع الوعي بالذات، والانخراط المجتمعي، والوصول إلى الخدمات المالية الأساسية، وإن تكن هامة. إلا أنه، ومع تحسّن رفاهية الأسر والمجتمعات، فإن الاحتياجات تتطور، وبالتالي تتطلّب نهجا أكثر تخصصا، وبخاصة في الزراعة.

41- كانت النهج التقليدية في التنمية الزراعية أداة حاسمة في تحسين ظروف زراعة الكفاف الأساسية. إلا أن هنالك ثلاثة مظاهر لم تكن بارزة في تصميمات المشروعات في الماضي، وهي: (1) تحليل المعوّقات والفرص لتنمية الزراعة البعلية؛ (2) تنظيم التدخلات حول المجموعات الإقليمية ومجموعات المنتجات،

والتي من شأنها أن تيسّر الارتباط مع الأسواق وسلاسل القيمة؛ (3) التعاون مع مراكز البحوث والإرشاد الزراعي على المستوى المحلي وعلى مستوى الولاية لتسريع تبنّي التكنولوجيا في الزراعة البعلية. ويعترف المزيد من تصميمات المشروعات الأخيرة ببعض هذه الفجوات.

42- يعدّ أداء الحافظة الإجمالية متين بصورة عامة. وهنالك العديد من الحالات التي كان الأداء فيها قويا على الرغم من أن النتائج قد بدت خامدة بسبب التأخيرات في التنفيذ. وهنالك نوعان من العوامل وراء ذلك. فمن جهة، هنالك تحدّيات متأصلة تتعلق بظروف مناطق المشروعات والمجموعات المستهدفة، وأضاف تركيز اتخاذ القرارات المتعددة والتدخلات متعددة الشعب إلى هذا التحدي. ومن جهة أخرى، هنالك قضايا تتعلق بالقدرة على التنفيذ في وكالات الولايات المسؤولة عن المشروعات، ومشاكل تدوير الموظفين. وتواجه الوكالات الإنمائية الدولية الأخرى في البلاد مشاكل مشابهة أيضا.

43- في بلد شاسع متوسط الدخل كالهند، يستمر الأداء الجيد للمشروعات بكونه هاما وإن يكن غير كاف. إذ يبرز الطلب على تقاسم المعرفة وتحليلها لكي تستنير بها السياسات والبرامج. وتسود حالة من انعدام التوازن بين غنى الخبرات على مستوى المشروعات ومحدودية التحليل والتنظيم على مستوى من النشاط يعدّ مناسبا للمناقشات على المستوى السياساتي.

44- ومن بين التوقعات الرئيسية للحكومة الهندية، الانخراط النشط للوكالات الدولية في تبادل المعارف وأفضل الممارسات والخبرات التقنية، من الهند ومن خارجها. علاوة على ذلك، فإن المساهمة في حوار السياسات هام لدعم تعديل السياسات ولتيسير توسيع نطاق التدخلات الواعدة ونتائجها.

45- هنالك طلب على تدخلات الصندوق في الهند وحاجة لها. ويتمتّع الصندوق بخبرات ودراية بالمناطق غير المخدّمة والمجموعات الاجتماعية والاقتصادية والزراعة البعلية. وتشكّل هذه العوامل، مع إضفاء الطابع التجاري على زراعة أصحاب الحيازات الصغيرة، التحديات الوطنية الأساسية للزراعة والقطاع الريفي. إلا أن الصندوق بحاجة لتعزيز قدرته على تحليل الخبرات والدروس التي تعلّمها ونقلها إلى صناع السياسة على المستوى الوطني ومستوى الولاية.

التوصيات

46- **التوصية 1. الاستمرار في إيلاء الأولوية للمناطق والمجموعة المحرومة، في الوقت الذي يتم فيه تحرّي نهج متمايزة.** لا بد للتدخلات التي يموّلها الصندوق من أن تستمر في استهداف المناطق المحرومة، وبخاصة في الولايات التي تتّسم بوجود مساحات بعلية كبيرة فيها تتطلّب إيجاد نهج فعالة قابلة للتكرار في المستقبل ولتوسيع نطاق النتائج. وعلى المستوى الوطني، سيكون من الهام تجنّب أي انتشار جغرافي مبالغ فيه للحافظة: نظرا لمحدودية الموارد البشرية المتاحة في المكتب القطري للصندوق، إذ أن هنالك حد لعدد الولايات والمشروعات التي يمكن الإشراف عليها بصورة فعالة.

47- لا بد للبرنامج المستقبلي من أن يستمر في استهداف المجتمعات المحرومة مع إيلاء اهتمام مخصوص للنساء وللقبائل المصنّفة. إلا أنه، وفي سياقات اجتماعية واقتصادية وإيكولوجية زراعية مختلفة، لا بد من مواءمة نهج التصميم وتوليفة المكونات ومستوى التخصص. وسيستمر نموذج مجموعات العون الذاتي التقليدي بكونه ذي صلة بالمناطق والمجموعات التي ما زالت الاحتياجات الأساسية وبناء المنظمات

القاعدية وزراعة الكفاف تحتلّ فيها أولوية حتى الآن. وعوضا عن ذلك، وفي المناطق حيث المجتمعات أكثر انتظاما، وحيث توجد إمكانية لتسويق الفائض، لا بد لتصميم المشروعات من أن يستمر في تحرّي النهج الإضافية لبناء المجتمعات والمجموعات بتركيز على الربط المشترك بينها وبين الأسواق وإضفاء الطابع التجاري.

48- **التوصية 2. تحتاج مكونات التنمية الزراعية في المشروعات لمزيد من التركيز بصورة أكثر بروزا على الحلول التقنية للزراعة البعلية، والبحوث التطبيقية الوطنية والمحلية، وإضفاء الطابع التجاري على زراعة أصحاب الحيازات الصغيرة.** من المنظور التقني، لا بد للتدخلات من أن تركّز بصورة أكثر مباشرة على الحد من التفاوتات الكبيرة بين المردودات عبر المقاطعات، وعلى تحليل أفضل للمعوقات والمخاطر والفرص المتاحة أمام النظم الزراعية. وهنالك حاجة للمزيد من الشراكات المنتظمة المستندة إلى البرامج مع المنظمات البحثية والإرشادية العامة على المستوى المحلي ومستوى الولاية بشأن الحزم التقنية لتحسين إنتاجية المحاصيل والعلف والأشجار المثمرة والثروة الحيوانية، وللتخفيف من الخسائر المتأتية من الأحوال الجوية.

49- تحتاج الاستثمارات في الزراعة لأن تتشكل بصورة أكثر استراتيجية حول التجمعات السلعية والإقليمية، وأن تركز على الكتلة الحاسمة وعلى مسارات المبادرات. ومن شأن ذلك أيضا أن ييسّر من الروابط مع الأسواق ومع الفرص المتاحة لإضافة القيمة.

50- ويعني التركيز على الوصول إلى الأسواق وسلاسل القيمة ضمنا: (1) تشخيص أفضل مباشر لتحديد الحواجز التي يواجهها المزارعون أصحاب الحيازات الصغيرة؛ (2) تحديد تعريف أوضح للدور المتصوّر للمشروعات؛ (3) تحرّي اهتمام مشغلي القطاع الخاص في مرحلة التصميم. وهنالك تشريع حديث حول إعادة استثمار نسبة مئوية من أرباح الشركات في الأنشطة المؤسسية للمسؤولية الاجتماعية مما يوفّر فرصا جديدة.

51- **التوصية 3. لا بد من السعي لتدخلات تكميلية في الأنشطة غير الزراعية** لا بغرض تنويع مصادر الدخول الريفية فقط وإنما أيضا لتنمية التجهيز وإضافة القيمة في سلاسل قيم السلع الزراعية. وعلى وجه الخصوص، هنالك مجال لربط أفضل لهذه الأنشطة بالاستثمارات الزراعية للمشروعات (مثلا في مجالات تجهيز وتعليب المنتجات، ودكاكين إصلاح الأدوات الزراعية، وتسويق المدخلات الزراعية، والسياحة البيئية).

52- **التوصية 4. هنالك ضرورة للتطرق لكفاءة تنفيذ الحافظة كأولوية قصوى.** وأما المجال الأول من الإجراءات فيكمن في تبسيط تصميم المشروعات إلى أقصى حدّ ممكن. وقد ينطوي ذلك على تخطيط أكثر تحفّظا لتغطية المشروعات (أي تغطيتها لعدد أقل من المقاطعات والتكتّلات، باتباع نهج الإشباع). وإضافة إلى ذلك، وعلى وجه الخصوص في المجتمعات المحرومة (مثلا، القبائل المصنفة)، يمكن للمشروعات أن تتبع نهجا أكثر برامجية. ويمكن أن يركّز أول قرض على بناء رأس المال البشري والاجتماعي، وأن يدعم نهجا للاكتفاء الذاتي من الأغذية وسبل العيش المستدامة. أما قرض المتابعة فيمكنه عندئذ أن يركز على روابط الأسواق ودعم التعاون مع البرامج العامة والحكومات المحلية.

53- لا بد للحكومة المركزية، وحكومات الولايات والصندوق من أن تستعرض القضايا التي تؤدّي إلى تأخيرات في تعيين فرق المشروعات، وتدوير الموظفين، وإجراءات التوريد المطوّلة، ومنها على سبيل المثال: (1) إجراءات تعيين موظفي المشروعات، وبخاصة كبار الموظفين، نظرا لصعوبة تعيين موظفين بالندب من وكالات الدولة؛ (2) إجراءات التوريد والترتيبات التعاقدية التي أثبتت عدم كونها مواتية؛ (3) حزم التعويضات الممنوحة لموظفي المشروعات لضمان معاملة عادلة لهم مساوية للبرامج العامة الأخرى؛ (4) المهام المتزامنة التي يضطلع بها مدراء المشروعات والتي تتزاحم على وقتهم وتركيزهم. ويمكن للصندوق أيضا أن يعدّ مبادئ توجيهية تستند إلى خبرات التنفيذ السابقة ومناهج التدريب على الإدارة المالية والتوريد وغيرها من المظاهر الائتمانية.

54- **التوصية 5. تعزيز الشراكات والأنشطة غير الإقراضية على أربعة مستويات.** أولا، على مستوى الولاية، إذ يمكن دعم إرساء شراكات وخبرات المشروعات على مستوى الولاية من خلال العمل التحليلي لتوفير المدخلات لتصميم المشروعات ومراجعتها. ثانيا، على المستوى المركزي، وبالبناء على الخبرات السابقة على مستوى الولايات، يمكن إدخال الدروس والعمليات والخبرات المكتسبة عندئذ على مستوى أعلى وتقاسمها مع السلطات على المستوى المركزي ومع الشركاء الإنمائيين الدوليين، بما في ذلك الوكالات التي تتخذ من روما مقرا لها والمؤسسات المالية الدولية.

55- ثالثا، هنالك حاجة لإشراك القطاع الخاص بصورة أكثر بروزا عند إعداد برنامج الفرص الاستراتيجية القطرية الجديد وعند تصميم المشروعات. كما لا بد من تحليل الخبرات الريادية مع المشغلين من القطاع الخاص بأسلوب أكثر تفصيلا، وذلك لاقتناص الدروس والنهج. رابعا، لا بد من تشاطر الخبرات مع البلدان الأخرى في شبه الإقليم (وبما يتعداها). وبالفعل، فإن الولاية شبه الإقليمية المنوطة بالمكتب القطري للصندوق في الهند تخلق أرضية خصبة لتبادل المعارف بين بلدان الجنوب.

56- **التوصية 6. تعزيز القدرات والموارد المخصصة للأنشطة غير الإقراضية.** تُعيق الأنشطة غير الإقراضية محدودية الخبرات التقنية في المنظمة والميزانية المخصصة لها. وضمن مظروف الموارد الحالية، هنالك بعض التحسينات التي يمكن إدخالها من خلال تحرّي الخيارات التالية: (1) تأصيل مكونات إدارة المعرفة وحوار السياسات في تمويل مشروعات القروض الإفرادية؛ (2) استخدام الاجتماعات الثلاثية الموجودة بالفعل لمناقشة بعض القضايا المواضيعية/القطاعية المختارة؛ (3) تعبئة تمويل إضافي من الموارد الخارجية (الصناديق الدولية والوطنية). ويمكن أن ينظر الصندوق في إنشاء منبر للانخراط يتألف من الباحثين والدارسين والممارسين، وأن يعقد مع الحكومة أحداث رفيعة المستوى على أساس سنوي أو مرة كل سنتين.

Agreement at Completion Point

A. Introduction

1. This is the second country programme evaluation (CPE) by the Independent Office of Evaluation of IFAD (IOE) in the Republic of India since the Fund started its operations in the country in 1979. The first CPE was completed in 2009 and the report published in 2010. The current CPE had two main objectives: (i) assess the overall partnership between India and IFAD in reducing rural poverty; and (ii) generate a series of findings and recommendations that will inform the definition of future cooperation between the Government of the Republic of India and IFAD, as well as to assist in the implementation of ongoing operations and in the design of future IFAD-funded projects in the country.

2. Based on the analysis of the cooperation during the period 2010-2015, the CPE aims at providing an overarching assessment of: (i) the performance and impact of programmes and projects supported by IFAD operations; (ii) the performance and results of IFAD's non-lending activities in India: policy dialogue, knowledge management and partnership building; (iii) the relevance and effectiveness of IFAD's country strategic opportunities programme (COSOPs) of 2011. This Agreement at Completion Point (ACP) contains a summary of the main findings from the CPE (see section B below).

3. The ACP has been reached between the Government of India (represented by the Department of Economic Affairs, Ministry of Finance) and the IFAD management (represented by the Programme Management Department) and reflects their understanding of the main findings from the CPE as well as their commitment to adopt and implement the recommendations contained in section C, within specified timeframes.

4. It is noted that IOE does not sign the ACP, although it facilitates the process leading up to its conclusion. 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.

5. This ACP will be included as an annex of the new COSOP for India. In line with the decision of the Executive Board in 2013, the India CPE will be discussed in the IFAD Executive Board at the same time when the new India COSOP is considered by the Board. IOE will prepare written comments on the new COSOP for consideration at the same Board session, focusing on the extent to which the main findings and recommendations from the India CPE have been internalized in the new COSOP.

B. Main evaluation findings

Portfolio Performance

6. Portfolio relevance is assessed as satisfactory. IFAD-funded projects focused on particularly disadvantaged groups, including the scheduled tribes, scheduled castes, women and the landless. A considerable portion of the investments were for agricultural activities. In the past, the technical contents of agricultural interventions were not always built upon a sound analysis of local farming systems and did not optimise opportunities to collaborate with local agricultural research and extension centres. These issues are better acknowledged in recent project designs. Recent projects have tried to build "convergence" with national rural development schemes, notably with NRLM and MNREGS and to coordinate with local government entities (Panchayat Raj Institutions).

7. Effectiveness is assessed as moderately satisfactory. Results are better consolidated in community mobilization and infrastructure serving basic needs, while emerging in two

key areas: promoting agricultural production and rural livelihoods and enabling access to credit and financial services.

8. Efficiency has been rated moderately unsatisfactory. The main problems have been: delays in entry into force and in project implementation, reflected in loan disbursement lags. Looking at the factors that explain delays and sluggish implementation, on the one side there are the challenging agro-ecologic and socio-economic conditions of the project areas. On the other hand, there are gaps in the implementation capacity of state level agencies responsible for the projects.

9. Rural poverty impact is assessed as satisfactory under the domains of household assets and income, human and social capital, while moderately satisfactory in food security, natural resource management and climate change, and institutions and policies. In several instances, IFAD-funded projects have contributed to raise income and diversify income sources and helped build assets for the targeted households. Most projects have been successful at establishing high numbers of community-based organizations. People are better aware of opportunities to improve their lives and undertake collective initiatives.

10. Sustainability of benefits is overall assessed as moderately satisfactory due to the combination of political support, community-based support to the initiatives, and positive (albeit variable) support from the technical and economic fundamentals. In the past, design attention to "sustainability" was mostly confined to creating federations of self-help groups. More recent projects have better acknowledged at the design stage the need to support in the long-run institutions, human capacities as well as linkages to markets.

11. Pro-poor innovation and scaling up is assessed as satisfactory. There has been progress in introducing improved agricultural technologies and techniques which are also pertinent to climate change adaptation. There are some recent initiatives on ICT and commodity value chains and insurance products.

12. There are several examples of scaling up. In Odisha, the state government is funding the largest share of tribal community development project to expand outreach to 90,000 households in 1,500 villages. In addition, convergence with central government schemes is being pursued with MNREGS, NRLM and other national and state initiatives. In the North Eastern Region, there is an example of a third phase of a community development project, entirely funded by the central Government of India, so as to cover new districts.

13. Gender equality and women's empowerment is assessed as satisfactory. IFAD-funded projects try to create an enabling environment for women to take part in village councils, claim rights to agricultural land, access natural resources and financial services. There is qualitative evidence that intra-family household decision making now happens in a more participatory form. An increasing number of women are running for local elections.

14. Projects have also focused on reducing both household and livelihood related drudgery. Initiatives include the introduction of smokeless stoves, strengthening access to drinking water, sanitation and roads, increasing forest cover and access to fodder. In Madhya Pradesh, the Tejaswini project cooperated with a state initiative to introduce initiatives against gambling, alcoholism, domestic violence which directly affect the welfare of women and their families. The Madhya Pradesh government plans to scale up this strategy to the entire state.

Non-lending activities

15. Individual projects and the IFAD country office ran knowledge sharing and learning initiatives and products (websites, videos, blogs, newsletters, and booklets). Yet, much of the knowledge from the programme has not been documented or

analysed. In India there is a higher level of expectation from IFAD as a knowledge broker to help address an expanded range of issues confronting rural poverty.

16. During the evaluation period, the relationship with the central coordinating ministry (DEA, Ministry of Finance) was cordial and characterized by mutual respect. However, IFAD has had little engagement with key related technical ministries in the central government (e.g., Tribal Affairs, Rural Development, and Agriculture).

17. Overall, there is good ownership at the state level: state governments are responsible for the implementation of IFAD-funded projects and there are cases of replication of projects or project sub-components funded by state resources (e.g., in Odisha and in Madhya Pradesh). The appreciation of the importance of a sustained relationship with the Panchayat Raj Institutions is emerging. Partnership with the NGO community for project implementation at the grass roots level has been an intrinsic strength of the IFAD business model.

18. IFAD has been involved in UN sponsored cooperative efforts (UN Country team, UNDAF Task Teams) but fully-fledged programmatic partnerships with UN agencies are yet to emerge. According to the CPE interviews, multilateral donors such as the World Bank and Asian Development Bank recognize IFAD's comparative advantage and niche in rural poverty alleviation interventions, especially involving the extreme poor. However, the present level of interaction with IFAD is only one of consultation during project formulation.

19. Partnership with the National Agriculture Research System, including state and local research centres, presents opportunities for availing of the fruit of cutting-edge research and applying appropriate farming solutions. IFAD-funded projects do not make adequate use of this resource. An exception is the Integrated Livelihood Support Project, building cooperative partnerships in Uttarakhand on fruit, vegetable, milk production. Private sector partnerships are flagged as an important aspect of IFAD's strategy and this has been only an emerging area, with some pilot experiences in Maharashtra and in Uttarakhand.

20. At the state level, some projects usefully contributed to policy-related inputs. For example, projects in Maharashtra and Madhya Pradesh have provided an input into the Maharashtra Women's Policy 2013 and the Madhya Pradesh Vision 2018. There have also been missed opportunities, as in Jharkhand and Chhattisgarh where little policy dialogue happened on convergence options with public programmes in the two states.

Strategic (COSOP) performance

21. COSOP relevance is assessed as satisfactory. The COSOP 2011 reflected well the previous CPE's findings and recommendations. It maintained IFAD's focus on the deeper poverty segments, with a thrust on convergence with public schemes. It had more explicit recognition for the "technical" side of rain-fed agriculture development, linkages to markets and processing. It stated two key objectives: (i) increased access to agricultural technologies and natural resources; and (ii) increased access to financial services and value chains. These are not only strategically relevant to the IFAD portfolio but imperatives for agricultural and rural development, nationally. The 2011 COSOP brought in for the first time the cross-cutting objective of sharing knowledge and learning on poverty reduction and nutritional security.

22. COSOP **effectiveness** is assessed as moderately satisfactory. As for the first strategic objective, the programme contributed to productivity increase and risk management for rain-fed agriculture, albeit with variations between projects. Most project interventions contributed to increase yields and enhanced risk management by promoting sustainable agricultural practices, water conservation, agroforestry, soil fertility management, selected livestock breeds, vaccination campaigns. Progress is visible across the portfolio, although with implementation delays.

23. With reference to the second strategic objective, propelled by self-help group, monetary savings and credit linkages have helped beneficiaries invest in circulating capital, sometimes also fixed capital. Despite good track record of SHGs and associated borrowers, public sector banks have been extremely cautious before extending credit support to community-based organizations.

24. The cross-cutting objective of knowledge and learning on poverty reduction and nutritional security has been partly achieved. In spite of the efforts at project-level to prepare communication products, there is a gap between the rich experiences on the ground and the capacity to analyse and systematize them in a way that is suitable for higher-level policy discussion.

C. Recommendations

25. The following recommendations are geared towards the preparation of the next COSOP, through a consultation between the Government of India, IFAD and other key partners. It is assumed that the future lending envelope for India will remain at the same level as at present: US$130-140 million per triennium.

26. **Recommendation 1. Keep priority to disadvantaged areas and groups but explore differentiated approaches.** Disadvantaged areas will continue to be a priority in the national rural development context and IFAD has recognized comparative advantages in disadvantaged areas in India. IFAD-funded interventions should continue to target disadvantaged areas, particularly in states with large rain-fed areas, where they can establish effective and innovative approaches for future replication and scaling up of results. At the national level, it will be important to avoid excessive geographic spread-out of the portfolio. Given the human resources available in the IFAD country office, there is a limit to the number of states and projects that can be effectively supervised. Key recommendations of the previous CPE continue to be well-grounded such as the general principle of "one state one loan" and the "saturation" approach (maximizing coverage of a block/district before moving to the next one).

27. **Differentiating the approaches according to the target groups.** The future programme should continue to target disadvantaged communities and groups, with special attention to women and scheduled tribes. Attention to building and strengthening social capital should continue. However, in different agro-ecological and socio-economic contexts, IFAD will face different challenges. The design approach, component-mix and level of specialisation will need to be adapted.

28. The traditional self-help group paradigm will continue to be relevant for areas and groups where basic needs, building of grassroots organizations and subsistence agriculture are still the priority. These are interventions requiring several years of investments, starting from low economic base and human development conditions. Instead, in areas where communities are already organized and there is potential for marketing of surplus production, project designs, in addition to SHGs, should continue to explore additional approaches to community and group building with focus on collectively linking to markets and commercialisation (e.g., producers' groups, mutually-aided cooperative societies and producers' companies).

Proposed follow-up by the Government and IFAD

29. The new country strategy for India will retain the focus on improving the incomes and nutrition of the rural poor households whose livelihoods rely on rainfed agriculture. The country programme will continue to pursue one loan – one state and the saturation approach. It is worth noting here that the current country programme demonstrated effective one loan-multiple state operations (such as NERCORMP II). Under the new country strategy, one loan multiple states operations would be considered on an exceptional basis particularly for the North East Region where implementation through a regional agency (NEC) proved satisfactory. The

Government of India invites IFAD to expand the size of the country office in India in order to increase the geographic reach and effectiveness of its programme.

30. With regard to the sub-recommendation related to the differentiated approaches which is more relevant to new projects, the design of IFAD-funded operations will be informed by poverty and gender analysis studies (current practice) and value chain studies. The information derived from these studies would help define the problem/ opportunity statement and therefore the component/ activity mix required and arrive at approaches that would add value to Government's on-going efforts to reduce rural poverty, increase agricultural productivity, and improve farmers' welfare. Attention will be given to ensure that the projects do not have an unduly long tenure and that all projects have a well-defined exit strategy.

31. Building social capital will continue to be a key feature of the country programme and the new strategy. Experience has shown that the Self-Help Group methodology with its key feature of poverty targeting, thrift and credit activities and women empowerment, is an effective entry point to building socially cohesive and autonomous higher-tier organizations. Experience shows that the higher-tier organizations are now playing an important role in financial intermediation and development of agricultural services to farmers (input supply, machinery/equipment hiring centers, and produce aggregation and processing). The legal entity for the higher-tier organizations will be explored on a case by case basis to determine the most appropriate set-up in view of the nature of services to be provided to farmers.

Responsible partners: IFAD, GOI.

Timeline: New RB-COSOP covering the period 2017-2021.

32. **Recommendation 2. Projects' agricultural development components need to focus more prominently on technical solutions for rain-fed agriculture, especially in light of the climate change, collaborate more with local and national applied research and extension, and commercialisation of smallholder agriculture.** From a technical perspective, interventions need more direct emphasis on reducing the large intra-district yield differentials, better analyse constraints, risks and opportunities of farming systems. There is also a need for more systematic programme-based partnerships with state and local public research and extension organizations (e.g., district-level *Krishi Vigyan Kendras* and higher research organizations) on technical packages to improve productivity of crops, fodder, fruit trees and livestock and mitigate weather-related losses.

33. Investments in agriculture need to be crafted more strategically around territorial and commodity clusters, to better coordinate interventions and concentrate on a critical mass and streams of initiatives. This will also put projects in a better position to support linkages to markets and opportunities for value addition. To improve farmers' access to information on markets and reduce risks, attention needs to be paid to expose them to information technology and insurance products.

34. Emphasis on market access and value chains also implies: (i) better market access and value chain diagnostics upfront to identify the barriers that smallholder farmers face; (ii) clearer identification of the envisaged role of a project (e.g., enhancing access to market information; facilitating access to wholesale markets; investing on improved processing capacity); and (iii) exploring the interest of private sector operators at the design stage. Recent legislation on reinvesting a percentage of corporate profits on corporate social responsibility provides new opportunities.

Proposed follow-up by the Government and IFAD

35. The design of new operations will pay more attention to defining clear farming system and packages of practices (POP) to improve the crop and livestock production systems and their integration. The supervision and implementation support of on-going projects will share tested packages of practices that reduce production costs, promote

sustainable methods of agricultural production, and improve productivity. Expanding the partnership with national applied research and extension organizations will be pursued more vigorously building on the lessons learned from the on-going country programme. The successful results from the IFAD grant programme will be mainstreamed into new or on-going operations taking into consideration the agro-ecological and socio-economic contexts. With the development of IT and Communication tools geared to agriculture, the new and on-going operations will strive to link farmers with knowledge resource centers, low cost extension/communication services through IEC and will strive to document success stories & case studies. The new and on-going projects will also collaborate with the flagship government programs for water and soil conservation, soil health management, crop insurance and e-marketing.

36. With regards the sub-recommendations related to the territorial and commodity clusters and market access, these are well noted. As indicated under the first recommendation, the detailed component/activity mix and approach will be based on the conclusions of the value chain studies and the definition of the problem/opportunity statement.

Responsible partners: IFAD, GOI.

Timeline: On-going. Recommendation already implemented for the design of the Drought Mitigation Project in Andhra Pradesh.

37. **Recommendation 3. Complementary interventions in non-agricultural activities are important** not only as a measure to diversify rural incomes (primary production will absorb only a part of the burgeoning youth labour supply in rural areas) but, equally important, to develop processing and value addition in agricultural commodity supply chain. In particular, there is scope to better connect these activities with projects' agricultural investments (e.g., in the areas of processing and packaging of products, agricultural tool repair shops, marketing of agricultural inputs, eco-tourism).

Proposed follow-up by the Government and IFAD

38. It is important to note that smallholders and marginal farmers currently derive less than 60 per cent of their incomes from agriculture. Non-agricultural income is therefore an important complement to the income of rural households. We take note of the CPE recommendations of connecting the non-farm agricultural activities with the development of value chains and the services linked with improving the effectiveness of the forward and backward linkages in the value chain; as well as targeting youth in such activities. Such activities are already on-going and we will pursue these efforts both in on-going and future projects, and build on achievements and lessons learned to date.

Responsible partners: IFAD, GOI.

Timeline: on-going projects; design of new projects under COSOP 2017-2021.

39. **Recommendation 4. Portfolio implementation efficiency needs to be addressed aggressively.** A first area of thrust is to simplify project design. This may entail more conservative plans for project coverage (e.g., fewer blocks or districts, following a saturation approach). In addition, in particularly disadvantaged communities (e.g., scheduled tribes), projects could follow a modular approach: rather than concentrate numerous components and sub-components in a single project, the intervention could be sequenced in a modular fashion. For example, a first loan could focus on human and social capital building, support to food self-sufficiency and sustainable livelihood approach. A follow-up loan could then emphasise market linkages and support and scaling up in collaboration with public programmes and local governments (PRIs).

40. The central government, state governments and IFAD should review issues that cause delays in recruiting the project team, staff turn-over and lengthy procurement, affecting the pace of implementation, for example: (i) project personnel recruitment procedures, particularly for senior staff, given the difficulty to hire staff on deputation from state agencies and programmes; (ii) procurement procedures and contractual arrangements that have proven to be non-conducive (e.g., the output-based payment schemes for NGOs); (iii) compensation packages for project staff, to ensure equal treatment with other public programmes; (iv) concurrent charges of project directors that compete for their time and focus. IFAD could further support by preparing guidelines based on previous implementation experience and training modules on financial management, procurement and other fiduciary aspects.

Proposed follow-up by the Government and IFAD

41. The efficiency of Portfolio implementation is indeed an area where additional improvements are required and yet it is also important to take stock of what has been achieved so far. IFAD and the Government of India have been addressing efficiency in implementation in a vigorous manner over the last 5 years and the main results achieved to date are (and reported in the CPE): (i) the time from approval to first disbursement has decreased from 16.2 months to 9.5 months for the last 5 projects; (iii) the volume of disbursement has doubled from approx. 11 million USD in 2010 to 23 million USD in 2015; (iv) the number of problem projects has reduced from 5 to 2 over the period 2010-2015. We plan to build on these results to further improve the programme implementation efficiency with special focus on: (i) ensuring that the project design process further meets the DEA and IFAD readiness conditions for start-up in order to reduce the period from board approval to first disbursement ; (ii) ensuring that experienced candidates are designated as project directors as their competency, their personality and their full time responsibility for the project are a determining factor for project efficiency and effectiveness; (iii) streamlining project management in terms of delegation of authority and staffing; (iv) working on effective mechanisms for the release of loan proceeds by State Governments.

42. Based on the consultation with programme stakeholders at the CPE roundtable, it was agreed that additional measures to improve efficiency would cover: (i) simplify project design in line with recommendations 1 and 2 above; (ii) provide hands-on and systematic capacity building to project management units on project planning, M&E, financial management and procurement especially in the start-up phase; (iii) plan start-up workshops in such a manner so as to facilitate sharing knowledge between design and implementation teams on project rationale and modalities of implementation; (iv) allow for sufficient time during the first year for detailed planning of implementation, undertaking required staffing and procurement, setting up the financial management and M&E systems; (v) ensure that appropriate delegation of authority is provided to PMU and that employment conditions are competitive so that qualified staff are attracted to the job, motivated and retained. It is also agreed that all new and on-going operations will have a computerized financial management system.

43. It is worth noting that despite issues in implementation efficiency, the projects are effectively reaching their objectives : once the implementation systems are in place, the projects quickly achieve very good coverage of the beneficiaries and become very good at mobilizing community participation, bank financing and convergence with Government programs and this somewhat compensates for delayed disbursement of IFAD funds. The projects are subsequently scaled up by the State Government.

Responsible partners: IFAD, GOI.

Timeline: On-going.

44. **Recommendation 5. Strengthen partnerships and non-lending activities at four levels: state government, central government, private actors and the rural finance sub-sector and south-south cooperation.** There are four main levels of action, each requiring slightly different partners and skills. First, at the state level, project partnerships and experiences could be supported by analytical work to provide inputs into policy design and revision and pave the way for benefits to reach a larger number of people.

45. Second, at the central level, building on previous state-level experiences, lessons of processes and experiences could be distilled at a higher level and shared with central-level authorities and international development partners, including Rome-based agencies and International Financial Institutions in a number of fora.

46. Third, the private sector needs to be involved more prominently at the time of the new COSOP preparation and project design. Pilot experiences of CAIM and ILSP with private operators need to be analysed more in detail to extract lessons and approaches. The rural finance sub-sector needs more attention given the so far limited responsiveness in financing village groups. In addition to working with private microfinance entities, the experience of MPOWER with publicly-owned banks deserves dissemination.

47. Fourth, experiences need to be shared with other countries in the sub-region (and beyond). The sub-regional mandate of the IFAD country office in India creates fertile ground for south-south knowledge exchanges. Beyond the sub-region, there should be central-level efforts from IFAD headquarters to facilitate strategic initiatives of South-South cooperation from a global perspective.

Proposed follow-up by the Government and IFAD

48. The country programme is already active at state level in disseminating successful experiences to state authorities which in turn scale these up and the CPE has confirmed the policy impact and scaling up at state level. Knowledge and policy related activities at national level are addressed under the sixth recommendation. Private sector is increasingly consulted at project design and supervision and as recommended by the CPE, IFAD is in the process of documenting the successful private sector and bank linkage activities of the portfolio. With regard to the sub-regional mandate of the country office in India, a work plan was already developed for knowledge sharing and is under implementation. IFAD has just provided a grant to a regional organization, SAWTEE, to define the engagement with the SAARC community and this is likely to strengthen cooperation within this sub-region. The Government of India is also in the process of developing its South-South cooperation strategy and IFAD will contribute to the key areas of relevance to its mandate and competencies, within the available resources.

Responsible partners: IFAD.

Timeline: On-going.

49. **Recommendation 6. Enhance capacity and resources for non-lending activities.** At present, non-lending activities are constrained by limited in-house technical expertise and budget. Within the current resource profile, some improvements could be made by exploring the following options: (i) embedding knowledge management and policy dialogue components in individual loan project financing; (ii) using the already existing opportunity of periodic tripartite meetings to discuss selected sectoral/thematic issues and facilitate knowledge transfer across projects; (iii) mobilising additional funding from external sources (e.g., national, international foundations).

50. IFAD also needs to demonstrate capacity of strategic thinking and to bring specialised technical skills to the table. Partnerships with reputed national and international high-

calibre specialists and think tanks would enhance quality and credibility of policy analysis. IFAD could consider creating an engagement forum comprising of researchers/scholars and practitioners, commission think pieces on issues of priority and convene with the government an annual or bi-annual high profile event. This would require IFAD Headquarter engagement and support including a moderate allocation of additional resources.

Proposed follow-up by the Government and IFAD

51. The implementation of this recommendation is already on-going. Inclusion of knowledge management and policy dialogue activities in every individual project may not be relevant. Therefore, the Government of India believes that the issue of inclusion of KM and policy dialogue may be need based and should be included in a particular project only if necessary and in consultation with the Government.

52. In terms of knowledge management, the more recent projects, have expanded the activities in this field and are very active in the production of communication materials, training materials, case studies as illustrated by CAIM, ILSP and LAMP. There is also agreement on using the TPRM as a knowledge sharing platform. Within the next country strategy, and given the limitations on resources and time of staff, and the existence of several well recognized policy fora, IFAD plans to engage with the existing fora as well as existing Government-donor policy platforms (such as the work that FAO and World Bank are conducting on the policy options for agricultural development). IFAD will strive to mobilize additional resources to the extent possible, with the approval of GOI, to support relevant policy dialogue.

Responsible partners: IFAD and GOI.

Timeline: On-going.

Signed by :

Mr. Raj Kumar
Joint Secretary (MI)
Department of Economic Affairs
New Delhi
Republic of India
Date: 31/X/2016
Signature

राज कुमार / RAJ KUMAR
संयुक्त सचिव / Joint Secretary
वित्त मंत्रालय/Ministry of Finance
आर्थिक कार्य विभाग/Deptt. of Eco. Affairs
भारत सरकार/Govt. of India
नई दिल्ली/New Delhi

Mr. Périn Saint Ange
Associate Vice President
Programme Management Department
IFAD, Rome
Date:
Signature

Main Report

Republic of India
Country Programme Evaluation

Contents

Currency equivalent, weights and measures

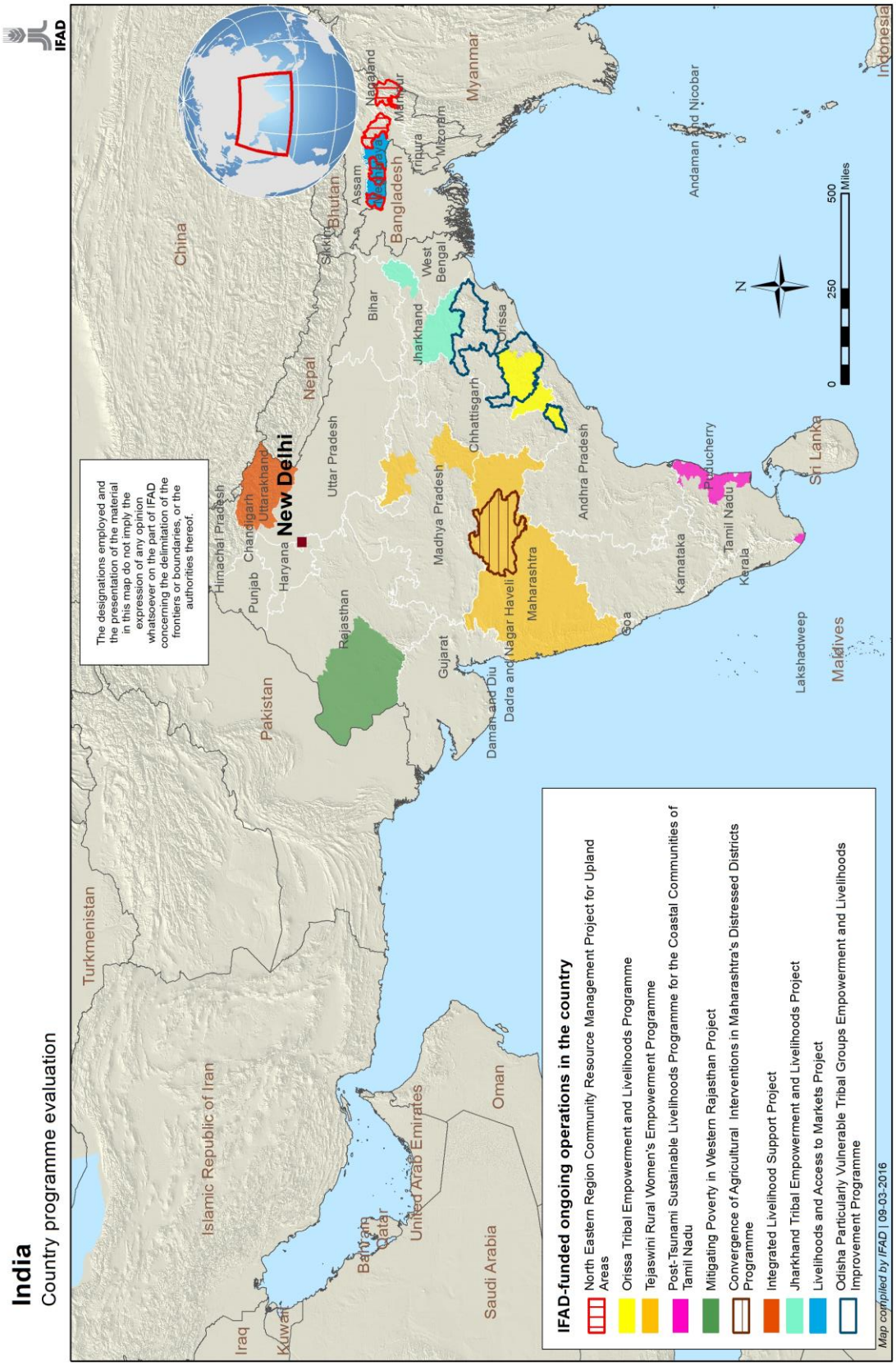
Currency equivalent
Monetary Unit = Indian Rupee (INR)
1 US$= 63.10 INR (end April 2015)

Weights and measures
1 kilometre (km) = 0.62 miles
1 metre (m) = 1.09 yards
1 hectare (Ha) = 10.000 m2 (0.01km2)
1 hectare (Ha) = 2.47 acres
1 acre (ac) = 0.405 hectares (ha)
1 kilogram (kg) = 2.204 pounds

Abbreviations and acronyms

APR	*IFAD Regional Division for Asia and the Pacific*
ARRI	Annual Report on Results and Impact of IFAD's Operations
ADB	Asian Development Bank
CAIM	Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme
COSOP	Country Strategic Opportunity Programme
CPE	Country Programme Evaluation
CPM	Country Programme Manager
DEA	Department of Economic Affairs of the Ministry of Finance of the Government of India
FAO	Food and Agriculture Organization of the United Nations
GIZ	Gesellschaft für Internationale Zusammenarbeit
ILC	International Land Coalition
ILSP	Integrated Livelihood Support Project
IMF	International Monetary Fund
IOE	Independent Office of Evaluation of IFAD
JCTDP	Jharkhand-Chhattisgarh Tribal Development Programme
JTELP	Jharkhand Tribal Empowerment and Livelihoods Project
LAMP	Livelihoods and Access to Markets Project
LIPH	Livelihoods Improvement Project in the Himalayas
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organization
MNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
MPOWER	Mitigating Poverty in Western Rajasthan Project
NABARD	National Bank for Agriculture and Rural Development
NERCORMP II	North Eastern Region Community Resource Management Project for Upland Areas – phase II
NRLM	National Rural Livelihood Mission
OPELIP	Odisha Particularly Vulnerable Tribal Groups Empowerment and Livelihoods Improvement Programme
OTELP	Odisha Tribal Empowerment and Livelihoods Programme
PMD	Programme Management Department of IFAD
PTSLP	Post-Tsunami Sustainable Livelihoods Programme for the Coastal Communities of Tamil Nadu
PPA	Project Performance Assessment
PRI	Panchayat Raj Institution
SHG	Self-help Group
WELP	Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains
WFP	World Food Programme

Map of on-going IFAD-supported operations



Republic of India
Country Programme Evaluation

I. Background

A. Introduction

1. At the request of the Executive Board,[1] the Independent Office of Evaluation of IFAD (IOE) undertook a country programme evaluation (CPE) of the IFAD-supported programme in India in 2015-16, to assess the cooperation between the Government of India and provide recommendations that can help the IFAD/Government partnership develop a new country strategic opportunities programme (COSOP) and design future projects. This CPE has been prepared based on the overall provisions of the IFAD Evaluation Policy[2] and follows IOE's methodology and processes for CPEs as per the 2009 Evaluation Manual.[3] This is the second CPE for India: the first was conducted in 2009 and the report published in 2010 (2010 CPE). IFAD prepared its first COSOP for India in 2001, the second in 2005 and the third and latest in 2011.

2. **Overview of the IFAD-supported programme.** India is the largest portfolio of IFAD-supported operations. IFAD's Executive Board approved its first loan to India in 1979 (Table 1). Since then, IFAD has financed 27 projects through 31 loans (US$928.6 million) for a portfolio that has a total estimated cost of US$2.6 billion. The national counterpart funding (either at central or state level) has been US$711.4 million (27.4 per cent of total portfolio costs). External donor cofinancing mainly took place until the beginning of the last decade[4] to a level of US$364 million or 14 per cent of portfolio and this has come principally from the World Bank (250 Million) and DFID (74 Million). The balance funding (approximately US$596 million) came from national sources (e.g., national financial institutions, Sir Ratan Tata Trust) and beneficiaries' contributions. IFAD opened its country office in New Delhi in 2001 (in the WFP premises) which now has three professional staff members. In 2011 IFAD submitted to the Government of India a request to outpost the country programme manager, reaching a final agreement in June 2015.

3. In addition to loans, since 2009, IFAD has also approved 23 grants for an amount of US$9.5 million, of which three were country-specific and the remaining twenty, under the global/regional window, including activities in India (Annex III).[5]

B. Methodology and process

4. Focusing on the time framework 2010-2015 (i.e. after the previous CPE),[6] the present CPE assesses three pillars of the country programme: (i) the performance and impact of the portfolio of programmes and projects supported by IFAD's loans; (ii) the performance and results of non-lending activities in India: policy dialogue, knowledge management and partnership building; (iii) relevance and effectiveness of the 2011 COSOP (with references to previous COSOPs when necessary).

5. This CPE examines the **portfolio of programme and projects** on the basis of the internationally recognized evaluation criteria of relevance, effectiveness, efficiency, rural poverty impact — including impacts on household income and assets, human and social capital empowerment, food security and agricultural productivity, natural resources and the environment (including climate change), and institutions and policies, as well as other IFAD-specific criteria, including sustainability, gender

[1] EB/2014//113/R.2.
[2] Available at: http://www.ifad.org/evaluation/policy/new_policy.htm.
[3] http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf.
[4] According to APR, this is largely due to guidance received from the Ministry of Finance of India on cofinancing.
[5] According to the data provided by APR which have been double-checked by the CPE.
[6] This means that all the lending operations that were on-going or that closed between 2010 and 15 were assessed. Of the operations assessed, the CPE traced the historical trajectory, even before 2010.

equality and women's empowerment, and innovation and scaling up (definitions in Annex V). It also assesses the performance of partners (IFAD and the Government of India) by examining how each fulfilled the tasks expected of them in their contribution to the design, execution, supervision, implementation- support, and monitoring and evaluation of the specific projects.

Table 1
Overview of the IFAD-supported Programme in India

First IFAD-funded Project	*1979*
Total projects approved/loan-funded	27 projects (31 loans)
Total amount of IFAD financing	US$928.6 million
Lending terms	Currently: blend terms (25 years maturity, 5 years grace period, 1.25% fixed rate per annum plus 0.75% service charge
Government counterpart funding	US$711.4 million
International co-financing amount	US$364 million
National foundation, finance institutions, beneficiary contribution	US$596 million
Total portfolio cost	US$2600 million
Focus of operations	
Main international Co-financiers	World Bank (US$250 Million) and DFID (US$74 Million)
Number of ongoing loans/projects	10 loans (9 projects)
Total amount of grants (IFAD contribution)	US$30.9 million (mostly regional allocations for regional grants)
Country programme manager (in the period evaluated)	Mr Mattia Prayer Galletti (2007-2010); Mr Nigel Brett (2011-15); Ms Rasha Omar (from 2016)
Lead agencies	In the Government of India, the Department of Economic Affairs, Ministry of Finance, acts as the coordinating agency at the central level. For most projects, implementation responsibility is with state-level agencies. The exception is NERCORMP II, for which implementation responsibility is at the central level (Ministry of North East Region Development).

Source: FlexCube (June 2014)

6. **Selection of projects to be reviewed.** The current CPE closely reviewed thirteen projects. As established in the approach paper, projects were included if they were approved or closed after the previous CPE.[7] Two projects had already been evaluated by IOE and the CPE extracted information from their evaluations. For the remaining eleven, IOE examined the results framework of the projects as well as the implementation progress (based on the documentation and discussions with IFAD's staff and the concerned project teams). This helped establish that seven projects could be assessed according to the full set of project-level evaluation criteria. Instead, three were only partially evaluable (i.e. relevance, early implementation issues and selected topics related to innovation and gender) because implementation had started in the recent years or had experienced delays. Finally, one project was approved in April 2015 and implementation had not started at the time of the CPE main mission. Table 2 summarises the situation.

7. This CPE assessed the **performance of the non-lending activities** by reviewing the combined efforts of IFAD and the Government of India to promote policy dialogue, knowledge management and partnership building, as well as the experience in grant financing. Non-lending activities have been explored both at the state and central level, given the federal structure of the government. Finally

[7] Although not included in this evaluation, this CPE also accessed evaluations of older projects such as the first phase of NERCORMP, Andhra Pradesh Tribal Development Project and National Microfinance Support Programme (covered by the 2010 CPE). This CPE had access to the notes from the case study conducted in India by *the Corporate Level Evaluation on IFAD's Institutional Efficiency and efficiency of IFAD-funded operations*.

this CPE has assessed the **COSOP performance** by analysing the relevance and effectiveness of the country strategy, taking into account the existing situation at the time the strategies were elaborated and the evolution. The CPE examined COSOP effectiveness by reviewing progress made against the initial objectives and other achievements originally not foreseen.

Table 2
Portfolio coverage of the present CPE

A. Older projects reviewed through past IOE evaluations (full set of project criteria)

- Jharkhand-Chhattisgarh Tribal Development Programme (evaluation conducted in 2014) - JCTDP
- Livelihoods Improvement Project in the Himalayas (evaluation conducted in 2014) - LIPH

B. Projects that have closed in 2015 or are on-going at an advanced stage (full set of evaluation criteria applied)

- Orissa Tribal Empowerment and Livelihoods Programme - OTELP
- Tejaswini Rural Women's Empowerment Programme - Tejaswini
- Post-Tsunami Sustainable Livelihoods Programme for the Coastal Communities of Tamil Nadu - PTSLP
- Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains - WELP
- Mitigating Poverty in Western Rajasthan Project - MPOWER
- North Eastern Region Community Resource Management Project for Upland Areas – phase II – NERCORMP II
- Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme - CAIM

C. Projects at an early implementation stage (only partial evaluability)

- Integrated Livelihood Support Project - ILSP
- Jharkhand Tribal Empowerment and Livelihoods Project - JTELP
- Meghalaya Livelihoods and Access to Markets Project - LAMP
- Odisha Particularly Vulnerable Tribal Groups Empowerment and Livelihoods - OPELIP

Source: IOE (2014)

8. While the CPE assessed each of the three pillars individually, it also examined the synergies among the various projects and programmes financed by IFAD in India, including lending and non-lending activities. Accounting for these synergies and building on the performance of the COSOP, the CPE generated a composite rating and assessment for the overall IFAD-Government partnership.

9. The CPE **process** involved several stages. The preparatory stage entailed developing the CPE approach paper in May 2015, specifying the evaluation objectives, methodology, process, timelines, and key questions. The Government of India (Department of Economic Affairs, Ministry of Finance – DEA) provided comments on the approach paper. The principal ones are summarised in Table A.1, Annex VI.

10. IOE conducted a desk review of project, non-lending and strategic activities, generating individual project review notes. These were summarised in a synthesis desk review paper. A CPE preparatory mission visited India from 8 to 20 June 2015 to discuss the approach paper with key partners and conduct selected field activities. Representatives of the Government of India and other relevant institutions were invited to form a Core Learning Partnership, which provided input to IOE during key stages of the evaluation process. A CPE inception workshop was held in New Delhi on 11 June 2015, attended by representatives of the Government of India, international organizations, NGOs and think tanks and was instrumental in obtaining useful substantive inputs to finalize the approach paper. On the same day, a workshop was also organised on the findings of the impact evaluation of the Jharkhand-Chhattisgarh Tribal Development Programme which provided further insights for the present CPE. The second week of the preparatory mission was taken to assess two projects in the North-East region of India, respectively the North Eastern Region Community Resource Management Project for Upland Areas – phase II (NERCORMP II) and the Meghalaya Livelihoods and Access to Markets Project (LAMP).

11. Meetings were held at IFAD's headquarters with the Programme Management Department of IFAD (Programme Management Department Front Office, Asia and

the Pacific Division, Policy and Technical Advisory Division), Quality Assurance Group, Controller's and Finance Services Division and with the International Land Coalition (a separate organization hosted by IFAD) in July 2015. In addition, meetings were held with senior managers of the Asian Development Bank in Manila, in September 2015.

12. The main mission visited India from 5 October to 2 November 2015. It undertook initial interviews with IFAD's country office, government officials, international organizations, non-governmental organizations, research institutions in the capital. The team divided into three sub-teams that visited the states of Madhya Pradesh, Maharashtra, Odisha, Rajasthan, Tamil Nadu and Uttarakhand.[8] Each sub-team was assigned to two-three projects. In addition, a sub-team visited the International Crop Research Institute for Semi-Arid Tropics and the National Institute of Rural Development in Hyderabad, to discuss national agricultural research as well as IFAD grant-related topics.

13. On 2 November 2015, the mission presented its preliminary findings at a wrap-up meeting chaired by the Ministry of Finance and with representatives of the Government of India and of IFAD, state authorities and project management teams. The mission is grateful to IFAD-APR, the Government (central and state levels), the project teams and other stakeholders for their strong support throughout the evaluation process.

14. Comments received during and after the wrap-up meeting have been considered in preparing the present report. The draft report was first submitted to an internal IOE peer review and thereafter shared with IFAD and the Government of India in February 2016. Their comments were taken into consideration by IOE in finalizing the report. In May 2016, a national roundtable workshop was organised in New Delhi, with a broad partnership to discuss the main findings and recommendations.

15. **Evidence** for this evaluation comes from analysis and triangulation between multiple sources and data. First, IOE reviewed the available documentation (e.g., COSOPs, design reports, supervision reports, mid-term reviews, completion reports, project status reports, and selected IFAD policies), IOE previous evaluations, IFAD client surveys (2011, 2013 and 2015), as well as reports of international organizations, studies and articles in peer reviewed journals. Evidence from existing project evaluations (impact evaluation of the JCTDP and Project Performance Assessment of LIPH) was integrated in the synthesis desk review and in the main report. Second, APR-IFAD and the Government prepared self-assessments at the portfolio, non-lending and strategic levels.

16. Third, the CPE benefited from annual "outcome surveys" conducted by several projects. These surveys involve a sample of 200-400 households (of which half project clients and half comparison – without project) and focus on beneficiaries' perception of changes in income, assets, food security and other welfare indicators.

17. Fourth, the CPE team validated pre-existing information through interviews at IFAD's headquarters, in New Delhi and in the field. This was done through individual interviews, focus group discussions (especially farmers, women's associations) and direct observations (e.g., crops, livestock, and equipment). A few days before fielding the mission, the team also undertook phone-based interviews to major NGOs in India that had partnered in the recent past with IFAD.

18. Fifth, during the main mission, field visits were structured so as to include an initial presentation and final debriefing with the project management team and the state

[8] Initially, the mission had planned to conduct field visits also in Uttar Pradesh, one of the two states in which the Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains was implemented. However, after interviewing the implementing agencies (NABARD) at their headquarters in Mumbai, it became clear that it would not have been possible to conduct field visits in Uttar Pradesh nor to meet any NGO representative or former NABARD manager involved in the project implementation. These organizations had left project areas and staff had been redeployed after the project closure in January 2015. The CPE thus used the completion report prepared by the country office, compounded by interviews with NABARD and other partners as the basis for assessing this project.

authorities. The evaluation sub-teams visited project sites and met with beneficiaries and their associations, non-governmental organizations, private entrepreneurs as well as representatives of local governments (district, block and Grahm Panchayat levels). Field visits were not only concerned with project performance issues but also with non-lending activities at the state level.

19. **Limitations.** Within the time and budget available, the CPE could not launch new large-scale household surveys, although it drew from findings of the impact evaluation of the Jharkhand-Chhattisgarh Tribal Development Programme, covering over 8,800 households, which was conducted as a separate exercise. Another obvious constraint was given by the size of the Indian territory covered by IFAD-funded operations. Within the resources available, it would not have been possible to ensure a representative coverage of project sites. [9] Instead, field visits allowed spot-checking of the claims made in the documentation and helped understand the "causal pathway" of the projects, from their interventions to their results (achievement of the objectives) to impacts. Also, field visits allowed better understanding of implementation, institutional and policy issues at the state level.

Key points

- This is the second IFAD CPE in India. The previous one was completed in 2010.
- The main objectives of the CPE are to: (i) assess the performance and impact of the operations in India; and (ii) generate a series of findings and recommendations to support formulation of the forthcoming India results-based country strategy opportunities programme (COSOP), to be prepared by IFAD and the Government of following completion of the CPE.
- The CPE assessed the project portfolio, non-lending activities, and the performance of the 2011 COSOP (with references to previous ones when required). Regarding the loan portfolio, the CPE reviewed thirteen projects of which two closed.

II. Country context

20. **Introduction.** This chapter selectively describes features of the country that relate to the main thrust of IFAD's operations and of the 2011 COSOP.

21. India is the seventh largest country in the world and the second most populous with 1.3 billion people (2014 mid-point). The fertility rate is approaching the "replacement level": it was estimated at 2.4 live births per woman in 2013, down from 5.5 in 1970. The population is estimated to have grown by 1.3 per cent in the period of 2008-13 (Population Reference Bureau, 2014). The 1950 Constitution of India established the country as a parliamentary democracy describing it as a 'union of states'.

22. Soon after independence in 1947, India followed a mixed economy model and actively pursued a policy of import substitution. The annual GDP growth rate in the first three decades of 1950-80 averaged 3.7 per cent, but accelerated to 5.9 per cent in 1980-90. After a balance of payments crisis in 1991, India started changing its economic policy and pursued economic liberalization with a series of reforms.

23. In the decade of 2004-2013, GDP grew at an annual average of by 7.5 per cent. As of 2014, India's GDP in terms of purchasing power parity was at US$7.3 trillion, making it the third largest economy in the world. The 2014 per capita gross national income (Atlas Method) was at US$1570, setting India in the category of lower-middle income countries (World Bank classification). India adopted a new GDP series with 2011-12 as the base year. Growth rates in per capita net national income in constant prices for the years 2012-13, 2013-14 and 2014-15 were

[9] Random selection of sites was not practical. The mission discussed with project teams in order to visit a mix both successful and less performing areas and include diverse agro-ecological regions and different groups of beneficiaries.

4.4 per cent, 6.8 per cent and 7.4 per cent but these estimates used a different methodology, hence, are not strictly comparable with the earlier series.

24. India remains a largely rural country: 72 per cent of the population is rural. Agriculture sector's share of GDP declined from 19.4 per cent in 1991 to 17.0 per cent in 2014 but remains of utmost importance on account of: (i) national food security issues, (ii) food-price led inflationary pressures, (iii) employment generation; and (iv) emphasis on inclusive growth in India's development plans.

25. **The rural poor and the vulnerable.** The poverty headcount in 2011-12 was estimated at 25.7 per cent in the rural areas, 13.7 per cent in the urban areas, and 21.9 per cent for the country as a whole (in absolute terms this would mean about 270 million people nationally and 217 million in rural areas). Poverty prevalence dropped significantly since 2004-2005 when these percentages were 41.8, 25.7, and 37.2 respectively.[10] While poverty is prevalent in almost all states of India, the four populous states of Bihar, Odisha, Madhya Pradesh, and Uttar Pradesh account for about 34.6 per cent of India's total population but have nearly half of total of India's poor (see state-specific poverty headcount statistics in Table B.4, Annex VI).[11] Most of the vulnerable rural population in India comprises the tribal, the scheduled caste, the small and marginal rain-fed farmers, landless and agricultural workers and women.[12] Most of the tribal populations are spread across central India in the states of Chhattisgarh, Gujarat, Jharkhand, Madhya Pradesh, Maharashtra, Odisha, Rajasthan and in the north-eastern states.

26. Since independence, successive governments have undertaken progressive legislative measures and intervened to enhance the well-being of marginalized groups such as scheduled castes and scheduled tribes and expand their participation in economic and political processes. However, their poverty prevalence remains above national averages: for scheduled tribes, poverty prevalence in the rural areas was 45.3 per cent in 2011/12, and for scheduled castes, 31.5 per cent.

27. In 2011, the government conducted a socio-economic and caste census and the provisional results have been recently released.[13] This census covered 640,000 households in 640 districts, addressing the multi-dimensionality of poverty and providing a unique opportunity for convergent, evidence-based planning. Data structure was designed to facilitate evidence-based selection, the prioritization of development programmes and targeting of beneficiaries. The resulting overview profile is given in Table 3 highlighting that almost half of the rural household suffered from one of the contemplated forms of deprivation.

[10] It is to be noted that the national poverty line in India is lower than the international poverty line, especially now after the adoption of the new global poverty line of $1.90 per capita per day. See "Global Poverty Measure—The 2015 the World Bank Poverty Update" by Shaohua Chen, http://pubdocs.worldbank.org/pubdocs/publicdoc/2015/10/384361445935624146/globalpoverty-1.pdf

[11] India: Defining and Explaining Inclusive Growth and Poverty Reduction, IMF: http://www.imf.org/external/pubs/ft/wp/2014/wp1463.pdf

[12] Tribal Indian populations, estimated to be 8.6% of the total population or 110 million, are statutorily defined as tribal populations under Article 342 of the Constitution of India, and other tribal legislations. Identification of tribal populations is state-specific. Within the category of tribal populations, there are 75 groups known as Particularly Vulnerable Tribal Groups.

[13] See Government of India Report on the Socio-economic and Caste Census (SECC). 2011. (secc.gov.in).

Table 3
A Profile of Rural Households and the Nature of Their Deprivation

Total rural households in the country	*179.1 million*	*Share of rural households*
Total households with any of the below six forms of deprivation	86.9 million	48.6 %
Landless households deriving major earnings from manual labour.	53.7 million	30.0 %
Household with no literate adult above age 25	42.1 million	23.5 %
Scheduled caste/scheduled tribe households	38.6 million	21.5 %
Households with only one room, *kuccha* walls and *kuccha* roof (broadly equivalent to mud walls and thatched roof)	23.7 million	13.2 %
Female headed households with no male between ages 16 and 59	6.9 million	3.9 %
Households with differently able member with no other able-bodied adult	0.72 million	0.4 %

Source: Extracted from Government of India. "Provisional Data of Socio Economic and Caste Census (SECC) for Rural India Released" Press Information Bureau, July 3, 2015.

28. **High prevalence of child malnutrition.** According to *The India Health Report - Nutrition 2015*, prevalence of stunting for children under 5 years was 38.7 per cent and wasting 15.1 per cent nationally.[14] The same report found that under-nutrition among the youth and adults was substantial too: 44.7 per cent of adolescent girls (15-18 years) had body mass index (BMI) below 18.5. Micronutrient deficiencies were rampant among children and adults, with 55.3 per cent of women in the 15-49 age group suffering from anaemia.

29. **National development schemes.** As mentioned, starting from 1951, India's development efforts have been guided by its five year plans. Reduction of poverty as a priority came forth starting from the fifth five year plan in 1974. The ongoing 12th five year plan began in 2012.[15] India's efforts at rural development and poverty alleviation are articulated in its numerous rural development schemes. There are centrally sponsored schemes in India that cater to target groups comprising the poor, the scheduled castes, the scheduled tribes and women, implemented through the central ministries responsible for rural development, agriculture and allied activities. Implementation rests with state government and their support is essential for the effectiveness of these programmes.

30. The employment guarantee scheme under the Mahatma Gandhi Rural Employment Guarantee Programme (MNREGS) is the largest with an allocation of INR 340 billion in 2014-15. During 2013-14 (the latest complete year for which data are available), employment was provided for 2.2 billion person-days. Women accounted for about 52.8 per cent of these while the mandatory requirement for women is 33 per cent. These workers earned about INR 132.7 per day (a little more than US$2 per day). Participation of the scheduled caste and scheduled tribe households is generally about 37-38 per cent under the scheme, while they account for about 21-22 per cent of the total population.[16]

31. In terms of the financial allocations, other big programmes include a housing and shelter improvement programme costing INR 160 billion in 2014-15, National Social Assistance Programme costing INR 106.4 billion, the Integrated Child Development Services, providing food and primary healthcare to children under 6 years of age and their mothers (during the 2012–13 fiscal year, the Indian central government spent US$2.4 billion on this programme) and the National Rural

[14] WHO defines stunting as: having a height (or length)-for-age more than 2 SD below the median of the NCHS/WHO international reference. Wasting is defined as having below minus two standard deviations from median weight for height of reference population.
[15] This is likely to be the last Five Year Plan. In May 2014 the former Planning Commission was replaced by the Niti (National Institution for Transforming India) Ayog which has a different (advisory) role.
[16] Government of India. 2015. Annual Report 2014-15. New Delhi: Niti Aayog. Pp109-110 http://niti.gov.in/mgov_file/annual-reports/Niti_annual_report(2014-15).pdf

Livelihood Mission (NRLM) costing INR 40 billion. Finally the Public Distribution System Food Security Subsidy had a cost of INR 1,250 billion (or US$20.83 billion in 2013). Table B.5 in Annex VI provides a list of the major national programmes.

32. **Fiscal devolution and decentralized development administration.** Since Independence, India has been practicing a mix of the centre and state-level administration in its development programmes. Since the 1990s, amendments in the Constitution empowered local governments (commonly referred to as Panchayat Raj Institutions or PRIs). The present government is emphasizing greater devolution of funds and powers to the states and local government levels, generally described as "cooperative federalism". Following the recommendations of the Fourteenth Finance Commission, a much larger envelope of financial resources is being transferred to the state governments, and, more importantly, states are being allowed a larger leeway in opting for different development programs and implementing them as per their own discretion. As a result, states are emerging as the nodal point for much of the development administration in the country.

33. The Panchayat Raj Institutions (or PRIs: village, block and district levels) are crucial for implementing programmes for the rural poor, women, and vulnerable groups. Bottom-up development programmes emerging from the grass-roots (e.g., village level committees, village development plans, *gram-sabhas* and *gram-panchayats*) need support, resources and sustenance from higher PRI levels. With growing participation of women in PRIs, development plans and programs are expected to become more responsive to the felt needs of the population.

34. Given the vast scope of development activities in the rural regions, the public sector alone cannot be expected to provide all the development support throughout India. Civil society and non-government organizations (NGOs) have a vital role not only to complement state support but also to bring in NGOs' own approach and civil society's vision to bear on development programmes. There is also an increasing role for the private sector: a recent addition to the Indian Companies Act stipulates that large companies (private or public) should earmark a portion of their profits (2 per cent) for "corporate social responsibility" activities.

35. **Agriculture** accounts for about 60 per cent of the total income of agricultural households[17] in the rural areas of India.[18] Indian agriculture is characterized by high fragmentation of landholdings. The average size of a landholding in 2010-11 was 1.16 ha, compared to 1.84 ha in 1980-81. Marginal and small landholdings[19] account for 44 per cent of the total operational holdings. The diminishing size of landholdings is not conducive to investments in modern inputs, such as new seed varieties, fertilizers, pesticides, and the deployment of labor saving implements in cultivation, especially when farmers do not have easy access to credit.[20]

36. In terms of agricultural produce, rice, wheat, and coarse cereals are the main food crops by cultivated area and share in total production, while sugarcane and cotton are the main cash crops. In the past 40 years, yields of cereals, roots and tubers, and fibre crops have been growing at an annual compound rate of about 2 per cent, while yields of vegetables at 1.5 per cent and pulses' at less than 0.5 per cent

[17] An agricultural household for this survey was defined as a household receiving some value of produce of more than INR 3000/- from agricultural activities (e.g., cultivation of field crops, horticultural crops, fodder crops, plantation, animal husbandry, poultry, fishery, piggery, bee-keeping, vermiculture, sericulture) and having at least one member self-employed in agriculture, either in the principal status or in subsidiary status during last 365 days. However, entirely agricultural labour households and households receiving income entirely from coastal fishing, dedicated to the activities of rural artisans and agricultural services were not considered agricultural households and were kept outside the scope of the survey.

[18] Key Indicators of Situation of Agricultural Households in India, National Sample Survey Office, 2013: http://mospi.nic.in/mospi_new/upload/KI_70_33_19dec14.pdf

[19] Agriculture census of 2010-11 categorizes landholding into five categories of Marginal (below 1 ha), Small (1-2 ha), Semi-Medium (2-4 ha), Medium (4-10 ha) and Large (above 10 ha).

[20] For a comprehensive database on Indian agriculture, see Government of India, Ministry of Agriculture, Department of Agriculture & Cooperation, Directorate of Economics and Statistics, 2015. *Agricultural Statistics at a Glance 2014,* New Delhi: Oxford

per annum have been lagging behind, contributing to the supply-demand imbalance. These imbalances sometimes result in spikes in prices of staple food. Yet, as of 2013, the Indian yields of these crops were mostly at par with the average yields of South Asia, although lower than world averages (FAOStat 2015, see also Tables A.2 and A.3 Annex VI). However, productivity varies dramatically across states and districts, and even within the same agro-climatic zone.

37. Creditably, India has maintained self-sufficiency in cereal production. However, net availability of cereals in 2012 (the latest year for which data are available) at 408.6 grams was slightly lower than in 1971 (417.6 grams). Per capita availability of pulses (an important source of protein) declined from 51.2 grams to 41.7 grams between 1971 and 2012.[21]

38. **Rain-fed agriculture.** India has the largest area under rain-fed farming in the world. Rain-fed areas tend to be poorer and marginalized, with a higher concentration of scheduled tribes. About 42 per cent of cropped areas under rice comes from rain-fed farming; for pulses the proportion is 77 per cent, for oilseeds 66 and for coarse cereals 85. It is estimated that, even after achieving the full irrigation potential, nearly 50 per cent of the net cultivated area would remain dependent on rainfall and 40 per cent of the additional food grain supply would have to come from rain-fed areas.[22] Climate change threatens to add further to uncertainty and variability of agricultural production.

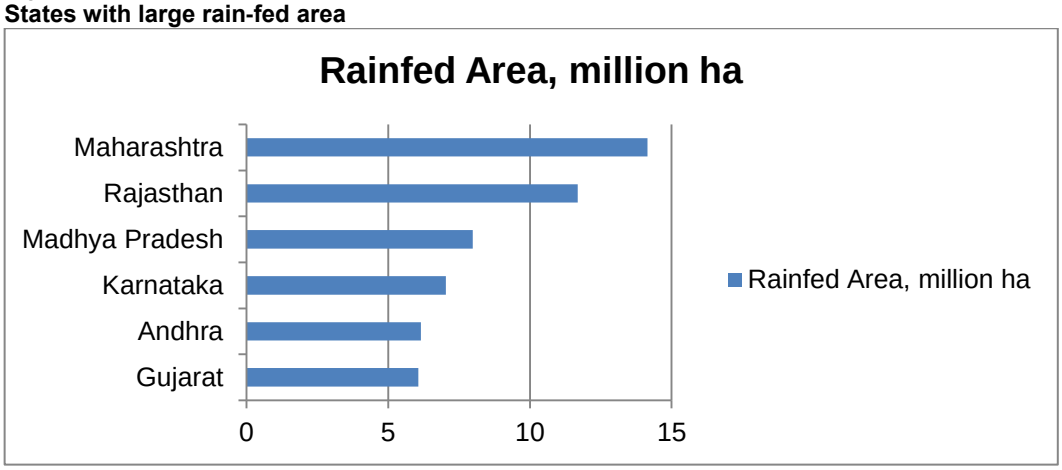
39. However, policies to address productivity of rain-fed agriculture have received less attention than deserved. The continued low-productivity of rain-fed agriculture at such a large scale ends up dampening the overall growth rate of agriculture in India. It also causes high variability to annual food production, which adversely affects the poor and vulnerable population in particular. The government on the other hand has to maintain huge stocks of food grains to smoothen the consumption of the population in case of erratic monsoon rains. As of January 2015, the government was carrying a huge food stock of 61.6 million tonnes, compared to the stipulated norm of 21.4 million tonnes.

40. The share of key states accounting for more than 75 per cent of the total rain-fed area is shown in Figure 1. Recognizing this problem, and the importance of rain-fed agriculture in ensuring food supply, the National Rainfed Area Authority was established in November 2006. The present government is renewing efforts to make it functional.

41. **Depletion and degradation of natural resources.** The deteriorating quality of soil and water is seriously challenging agriculture sector's long-term prospects, especially in the context of oncoming climate changes. Groundwater irrigation has accounted for 70 per cent of the irrigation needs of the country. This has led to the **severe depletion of groundwater reserves** and related issues such as increased soil salinity. Land degradation affects wide swathes of land. As per estimates of the Indian Council of Agricultural Research (2010), out of a total geographical area of 328.73 million ha, about 120.40 million ha of land are affected by various types of land degradation resulting in annual soil loss of about 5.3 billion tonnes through erosion.

[21] *Economic Survey 2014-15,* Table A.28; also see footnotes 4 and 5 to the table.
[22] Report of the XII Plan Working Group on Natural Resource Management and Rainfed Farming, Planning commission of India: http://planningcommission.gov.in/aboutus/committee/wrkgrp12/agri/wg_NRM_Farming.pdf

Figure 1
States with large rain-fed area



Source: CPE Mission Team, based on data of the Government of India 2014-15 Economic Survey

42. Bridging the productivity differentials between the irrigated and rain-fed areas could have helped address a number of other sectoral and national development issues simultaneously, in addition to relieving stress on irrigation systems, groundwater levels, electricity consumption and public subsidies. [23] While reliance on policy instruments like minimum support price played its role in sustaining a high-level of food production, the breathing space provided by food self-sufficiency has not been utilized to cater to the long-term productivity of the sector by supporting rain-fed agriculture and improving watershed management practices in the country. On the contrary, continued dependence on minimum support price for rice and wheat have worsened the vulnerability of the rural poor as noted in the first *2014-15 Economic Survey*.[24]

43. A new scheme called Prime Minister's *Krishi Sinchai Yojana* (or Prime Minister's Agriculture Irrigation Plan) has been launched from July 2015. It amalgamates a number of already existing irrigation and water management programmes. The main objective is to achieve: (i) convergence of investments in irrigation at the field level, (ii) expand cultivable area under assured irrigation, (iii) improve on-farm water use efficiency to reduce wastage of water, and (iv) enhance the adoption of precision-irrigation and other water saving technologies. It plays on the slogan "More crop per drop." Every district will prepare its own district irrigation plan to be consolidated at the state level.

44. **Post-harvest management of agricultural produce.** The marketing and post-harvest supply chain of agriculture products is characterized by high levels of wastage. It is estimated that 40 per cent of the fruits and vegetables produced are lost in the post-harvest stages.[25] Lack of appropriate storage and transportation facilities, poor processing facilities, multiple intermediaries, and low farm-gate prices are some major constraints faced in the marketing chain. In addition,

[23] Although food subsidy programmes have existed for many decades in India, they have expanded in the past ten years, becoming the largest in the world. In 2013, it was estimated that over 61 million tons of cereals, procured from farmers at a minimum support price would be delivered to 820 million people at highly subsidised prices. The minimum support price more than doubled between 2002 and 2013, creating incentives for farmers to grow rice and wheat. In the literature on the topic, some of the aspects highlighted are the high cost of this programme for the public budget (nearly 1 per cent of GDP and 4-5 per cent of agricultural GDP, nearly nine times higher than agricultural research and development expenditures), high cost of grain storage and distribution, market distortions and unclear effects on calorie and protein intake.See Kishore, A., P.K.Joshi and J. Hoddinot (2014), *A Novel Approach to Food Security*, In 2013 Global Food Policy Report, 29–41, IFPRI, Washington DC.

[24] "High minimum support for rice and wheat distort crop choice, leading to water-intensive cultivation in areas where water tables have been dropping like a stone, and ultimately induce greater price volatility in non-MSP [minimum support price] supported crops. This hurts consumers, especially poor households who have volatile incomes and lack the assets to weather economic shocks. High MSPs also penalize risk taking by farmers who have ventured into non-traditional crops." *Economic Survey*, P.25

[25] Case Study on Potential for Scaling Up: "Waste to Wealth by Incubating Mini Cold Storage Technology Ventures" in India: http://siteresources.worldbank.org/INTARD/Resources/335807-1338987609349/IndiaCaseStudy.pdf

current technology for post-harvest management adds to women's drudgery. The current government is taking steps to hasten the creation of an all-India agricultural produce market. A fair and well-functioning market system is necessary to encourage the participation of the rural poor.

45. **Livestock** provides supplementary income to 70 per cent of all rural households.[26] The livestock sector has grown 4 per cent annually over the last two decades and currently contributes about 22.4 per cent of the GDP in the agriculture sector[27] within which dairy farming accounts for two-thirds of the output.[28] At 132.5 million tonnes of liquid milk in 2012-13, India is the largest world producer, mainly from smallholder production.[29]

46. **At the central level, policy direction of agriculture** sector falls under the purview of the Ministry of Agriculture and Farmers Welfare. However, agriculture also falls in the state list of the constitution thus entrusting a major share of responsibilities in the sector to individual states. The agriculture extension system in India is comprised of public and private sector players. Within the public sector, state governments hold the responsibility for rendering extension services. A variety of institutions exists, such as state departments of agriculture, state agriculture universities and Krishi Vigyan Kendras (Farmer Science Centres).

47. As noted, the government of India also implements national rural development schemes through various line ministries. Large programmes such as National Rural Livelihood Mission (NRLM) and the Mahatma Gandhi National Rural Employment Guarantee Programme have the Ministry of Rural Development as the nodal central agency and are implemented with differing modalities by various states.

48. **India's role in the aid architecture and south-south cooperation.** According to available sources, India has received approximately US$31.5 billion (current prices, 2012) as Country Programmable Aid (CPA)[30] in the period 2006-13.[31] The largest donors have been Japan, IDA-World Bank (IDA), and ADB. Other donors include Germany, UK, EU, USA, France, UNICEF and GAVI. The majority of bilateral donors have downsized their cooperation programme in the past ten years. In 2013, the net aid was $2.43 billion, about US$2 per capita. Recent data suggest that 71 per cent of external aid has been earmarked for economic infrastructure and 21 for social infrastructure including education and health.

49. Box 1 in Annex VI presents a brief profile of cooperation agencies with activities in the rural sector in India (WB, ADB, FAO, WFP and GIZ). ADB started financing agricultural interventions only 5-6 years ago and agriculture is considered as the most challenging part of the portfolio, particularly due to protracted implementation delays. The World Bank is inter alia financing integrated watershed management programmes and the NRLM scheme. FAO is involved in various forms of technical cooperation to programme design and implementation, with international development agencies (notably the World Bank), governmental agencies and NGOs. WFP in India is now acting as a technical cooperation agency to improve the efficiency and effectiveness of public food procurement and distribution systems.

50. India has also progressively participated in South-South cooperation. Because of gaps in OECD-DAC reporting, the exact size of the same is not known. In 2015-

[26] Agro-industries characterization and appraisal: Dairy in India: http://www.fao.org/docrep/016/ap299e/ap299e.pdf
[27] National Dairy Development Board, Facts at a Glance, accessed on 07/04/2015: http://www.nddb.org/English/Pages/Facts-at-Glance.aspx
[28] Demand-Led Transformation of the Livestock Sector in India, World Bank: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/05/25/000333037_20120525000858/Rendered/PDF/689010ESW0P0990the0Livestock0setcor.pdf
[29] National Dairy Development Board, Facts at a Glance, accessed on 07/04/2015: http://www.nddb.org/English/Pages/Facts-at-Glance.aspx
[30] Country Programmable Assistance reflects the amount that is subjected to multi-year planning.
[31] OECD DAC: http://stats.oecd.org/BrandedView.aspx?oecd_bv_id=dev-data-en&doi=data-00072-en

2016 Government Budget, an amount of US$1.6 billion was set aside for cooperation. Approximately 84 per cent of this is to be directed towards neighbouring countries in South Asia, of which Bhutan alone is estimated to receive 64 per cent of the funding[32] with Nepal and Afghanistan also as major recipients.[33]

51. Indian foreign aid is rendered through a combination of grants, lines of credit, and technical cooperation via multiple institutions such as EXIM Bank, the Ministry of External Affairs, and other line ministries and national institutions. In addition to South Asia, India has also started to channel resources to Africa. In this context, it is estimated that in the decade leading up to 2013, India extended about US$9.5 billion of concessional lines of credit, of which 23.6 percent was directed to Africa. The recently concluded African conference in October 2015 is expected to have raised the mutual support further.

Key points

- The Indian economy registered high annual growth rates of 6-7 per cent since the early 1980s, growth rate accelerated since the turn of the millennium, helping reduce poverty. However, India continues to be a lower-middle income category per World Bank classification. Although the share of agriculture in GDP continues to decline, the sector remains of utmost importance on account of: (i) national food security issues, (ii) food-price led inflationary pressures, (iii) employment generation opportunities, and (iv) emphasis on inclusive growth in India's development plans.
- Poverty is particularly severe and pervasive in rural areas, notably for scheduled tribes and castes, the small and marginal rain-fed farmers and women. Child malnutrition (stunting) rates have also been high. There are many large public schemes to fight poverty, among the largest in the world.
- Indian agriculture made commendable achievements in food production self-sufficiency, largely through the adoption of high-yielding varieties, bio-chemical fertilizers and tubewell irrigation. Public subsidies played an important role. Increases in agricultural production, however, had only limited impact in the rain-fed areas. Their dependence on erratic monsoon rains continues to be a source of risk. At present, the agricultural sector is facing new difficulties due to deteriorating quality of soil and water availability. Rain-fed agriculture can be a more attractive option in terms of sustainable development goals, provided its productivity can be enhanced.
- Post-harvest wastages of food are unacceptably high. The government is rightly emphasizing improved market linkages and commercial practices to enhance efficiency in the sector, by establishing an all-India agricultural market.

III. Overview of the IFAD- supported operations and evolution of the country strategy

52. IFAD produced its first Country Strategic Opportunities Programme (COSOP) for India in 2001, the second in 2005 and the third and latest in 2011.[34] Since 2005, at IFAD, allocations to countries for lending and for country-specific grants follow a Performance-based allocation system.[35] Allocations are made on a three-year period and adjusted annually. The actual allocations to India have been as follows: (i) PBAS 2007-2009: US$92 million (in this period US$72m worth loans were

[32] A substantial part of the foreign aid to Bhutan goes towards building of hydropower dams from which electricity is sold back to India.
[33] India's 2015-16 foreign aid budget: Where the money is going: https://www.devex.com/news/india-s-2015-16-foreign-aid-budget-where-the-money-is-going-85666
[34] Until 2006, COSOP stood for Country Strategic Opportunities Paper. Since 2006 it has stood for Country Strategic Opportunities *Programme*.
[35] The formula for the performance-based allocation contains two blocks: (i) country needs (rural population, GNI per capita); (ii) country performance (portfolio at risk, IDA resource allocation index and rural sector performance). These result in scores used for the allocation. In India, scores have been discussed annually between IFAD and the Ministry of Finance. India's actual allocation is lower than the one resulting from the application of the formula (capping), as IFAD considers that there would be absorption capacity issues.

approved); (ii) PBAS 2010-2012: US$141 million (US$141m loans approved); (iii) PBAS 2013-2015: US$131.4 million (US$131.4m loans approved). The latest project (OPELIP) was approved by the IFAD's Executive Board in April 2015.

53. **The 2010 CPE** found that IFAD's partnership with the Government of India had made a satisfactory contribution to the objective of reducing rural poverty. A prominent element of that partnership was the focus on poor women and tribal communities, an area of expertise for IFAD. While the assessment of portfolio performance was overall satisfactory, the 2010 CPE assessed the non-lending activities as moderately satisfactory. Given that IFAD-supported projects had come up with broadly effective project intervention modalities, the CPE found that operational experience and expertise had not translated into knowledge management, partnerships and policy dialogue in a commensurate manner. The CPE argued that one of the weakest areas had been the promotion of partnerships (the main gaps were with line ministries, international cooperation agencies and private sector organizations).

54. The 2010 CPE recommendations may be summarised in the following clusters:

a) Recommendations to improve programmatic efficiency: reducing the geographic coverage of the portfolio, reducing the number of loans but increasing their average size.

b) Strengthen partnerships with the Government: (i) at the central level (more interaction with sectoral line Ministries); (ii) at the state level by better articulating IFAD-funded projects with public programmes implemented there and involving more the state actors in the programme design.

c) Strengthen the non-lending activities (policy dialogue, partnerships and knowledge management) and allocate financial resources both for activities centred around operations in the country as well as for exchanges with other countries where IFAD is active (south-south cooperation). A related recommendation was to strengthen IFAD's representation in the country, including the out-posting of the country programme manager, as well as establishing a "regional hub".

d) In terms of thematic priorities, more attention to sustainable smallholder agriculture and to the promotion of innovation and their scaling up in rural finance (e.g., crop insurance, transfer of remittances to the poorest), agriculture (pro-poor drought and pest resistant agriculture technology), and use of information and telecommunications to link the poor to markets.

e) Finally the CPE recommended that the government address the issue of high turn-over of project directors and senior staff. It also foresaw IOE's engagement in support to evaluation capacity development, if requested by the Government.[36]

55. As argued further below in this report, the recommendations of the previous CPE are largely reflected in the 2011 COSOP (Chapter VII is dedicated to the COSOP and Annex VII presents more in detail the follow up to the recommendations).

56. The key elements of the 2011 COSOP for India are presented in Table 4. The COSOP had two objectives: (i) contributing to enhanced access to agricultural technology and natural resource; and (ii) contributing to enhanced access to financial services and value chains for the target group, which comprises tribal communities, smallholder farmers, landless people, women, and unemployed youth, in poor agricultural areas of selected states.

57. **Continued targeting of disadvantaged groups but geographic retrenching**

[36] There was an initial request from the Government to IOE to support the newly-created Independent Evaluation Office attached to the Planning Commission of India. However, when this office and later the Planning Commission were disbanded in 2014, the request was not renewed.

and saturation approach. Compared with the 2005 COSOP, the 2011 COSOP restated and reinforced the previous strategic directions towards serving the poorest areas and people in the country, using its "traditional" approaches, but with an update in terms of focusing on innovations (see Chapter IV, section on Innovation). In response to the 2011 CPE findings and recommendations, the COSOP 2011 proposed: (i) to reduce the number of future project pipeline with increasing average loan size; (ii) not to extend coverage to new states but finance new projects in the same states where projects are already funded; (iii) within the intervention states, adopt a "saturation approach", covering all suitable target areas in a given district before moving to another district. These measures were expected to avoid portfolio dispersion at the national level and at the sub-state level. The gender dimension followed the same thematic/sub-sectoral priorities as in the rest of the programme.

58. As recommended by the 2010 CPE, IFAD sought to outpost the CPM to New Delhi but the formal procedure to have it approved by the Government was lengthy and an agreement was reached only in June 2015.[37] Regarding the establishment of a regional office, in 2010 IFAD Management stated that this would not be feasible until the Executive Board's approval of the new country presence policy, slated for 2011. The policy was presented to the Board in May 2011. In December 2013 IFAD also presented to the Executive Board a Country Presence Strategy.[38] In 2013, APR started developing a regional hub concept for its country office of India (see also Chapter V).

59. The COSOP 2011 provided for periodical review of the country programme to be done by the Government and IFAD at least annually. In fact, consultations on the country programme implementation have taken place twice to four times per year since 2011.

60. Compared to the previous one, the 2011 COSOP makes more explicit reference to future investments in agricultural technologies, farming system development and support to value chains. Targeting mechanisms are also better articulated, benefiting from guidance of the IFAD Targeting Policy, prepared in 2006, i.e. after the 2005 COSOP.

[37] After the signature of the Agreement at Completion Point by the Government of India (April 2011), interactions started between IFAD and the Government on a host country agreement (between late 2011 and April 2014 when the same was signed by the Cabinet) which was a condition for out-posting. In August 2014 the Government of India approved the creation of a post of country representative for India. Further interactions were necessary, inter alia because IFAD needed to be gazetted as a tax-free organization.

[38] The 2013 country presence strategy contemplated the possibility of establishing sub-regional hubs, although the India regional hub was not specifically contemplated.

Table 4
Main Elements of the 2011 COSOPs (and 2005 COSOP for comparison)

	2005 COSOP	*2011 COSOP*
Strategic Objectives[39]	• Grassroots institution building and the institutional strengthening of support agencies • Promoting and securing the access of marginalized groups to resources • Promoting the diversification of livelihood opportunities within the on-farm and off-farm sector	Overall goal: improve income and food security of poor households in project area. Objectives: 1. Increased access to agricultural technologies and natural resources. 2. Increased access to financial services and value chains. In addition: cross-cutting objective: share knowledge and learning on poverty reduction and nutritional security, with a particular focus on tribal communities, smallholder farming households, landless people, women and unemployed youth.
Geographic Priority	Mid-Gangetic Plains (Bihar, Uttar Pradesh), North-East, Coastal Areas, Rajasthan, Madhya Pradesh, Maharashtra and Tamil Nadu	Rain-fed areas of the following states (where IFAD already has operations): Jharkhand, Chhattisgarh, Orissa, Bihar, Madhya Pradesh, Uttar Pradesh and Rajasthan Enhance convergence with state-funded programmes
Sub sector/thematic focus	Empowerment, social capital; micro finance and income generation; livelihoods and natural resources management; rural infrastructure; coastal areas resource management; sustainable agriculture and market linkages.	(i) farming systems based on the sustainable use of natural resources; (ii) a careful review of risk-coping mechanisms, giving priority to risk-minimizing strategies and low-cost production systems; (iii) provision of micro insurance services; and (iv) access to payments for environmental services.
Opportunities for innovation	Not treated specifically in the COSOP	(i) Renewable energy; (ii) Resilience to climate change; (iii) Remittances and micro insurance; (iv) Fair and effective value chains; (iv) ICT for blending local and modern knowledge.
Target groups and targeting approach	Scheduled tribes, scheduled castes, women, coastal fishery communities	Focus on inclusion. Target group comprises the poorest, most marginalized and remotest poor rural people in rain-fed areas: (i) tribal communities; (ii) smallholder farmers; (iii) landless people; (iv) women; and (v) unemployed youth. Targeting mechanisms: self-targeting (promoting technologies and activities of interest for the poor), covering all household in poor communities, demand-led approaches and competitive mechanisms.
Gender Dimension[40]	Not treated specifically	-Skill building, entrepreneurship promotion and employability enhancement -Promotion of micro and small enterprises supported by business development services, financial services and favourable access to markets. -Mobilizing women into organized structures, building their awareness, skills and capacities for empowerment, -Supporting capacity building and leadership development programs for women representatives in governance and other bodies as mandated by law. -Promotion of the Right To Information Act and encouraging its use.
Country programme management		CPM to be based at IFAD headquarters. Country office to continue its support to direct supervision and work on knowledge management. COSOP monitoring based on its result framework, with Joint Review Missions taking place at least annually between IFAD and the Government. Country programme management team to include CPM, country office, project directors, Government.

[39] Note that the 2005 COSOP did not have strategic objectives (these were introduced in 2006 with the new standardised COSOP format). It had "major strategic thrusts".
[40] Note that the main COSOP document does not deal specifically with gender-specific topics but the same are explained in the "key file" in an annex.

61. A brief profile of the loan-projects considered in this CPE is presented below for the convenience of the reader. The majority of the projects were approved under the purview of the 2001 and 2005 COSOP or earlier.

62. **Large projects by IFAD standards with high leveraging ratios.** Ten out of thirteen projects reviewed by this CPE had a total estimated cost envelope higher than US$60 million which is large by IFAD's standards and seven projects had total cost above US$100 million. Taking 2009 as a cut-off point, it can be noted that average loan size increased from US$35.5 million in projects approved before that date to US$60.5 afterwards. There is also considerable leveraging of funds: the ratio of the estimated project cost to IFAD loan size was on average 2.6 for the whole period and slightly higher (2.8) since 2009. A *caveat* is that a part of the project cost estimates was imputed to the expected contributions from national financial institutions. This was conjectural at the time of project approval. Data on actual figures are not easily available[41] but it is known that state-owned banks were far less responsive than expected (see under *Effectiveness*, Ch. IV).

Projects approved under the 2001 COSOP or before

63. *Jharkhand and Chhattisgarh Tribal Development Project* (JCTDP) was approved in 1999 and closed in 2010 in Chhattisgarh and in 2012 in Jharkhand. It covered two states with two separate implementation units and had a total estimated cost of US$41.7 million (IFAD loan of US$22.9 million). It included two main components: beneficiary empowerment and (mainly agricultural) livelihood systems.

64. *Orissa Tribal Empowerment and Livelihoods Programme* (OTELP) was approved in 2002, with the initial loan closed in 2015 and a supplementary loan approved in 2013 and closing in 2016. The total estimated cost was US$106.1 million (IFAD loans for US$35 million). The two main components are for capacity building for empowerment and (mainly agricultural) livelihood enhancement.

65. *Livelihood Improvement Project in the Himalayas* (LIPH) was approved in 2003 and closed in 2013, with total estimated costs of US$83.4 (IFAD loan of US$40 million). It covered two states (Meghalaya and Uttarakhand) with two separate implementation units. The main component clusters were for capacity building for communities and support organizations, agricultural livelihood development and rural finance.

66. *Post-Tsunami Sustainable Livelihoods Programme for the Coastal Communities of Tamil Nadu* (PTSLP) was approved in 2005, the original loan was closed in 2014 but a supplementary loan, approved in 2006, will close in 2017. The total estimated cost is US$68.6 million (combined IFAD loans for US$30 million). Originally conceived as a post-disaster rehabilitation intervention, it was later redesigned and included a wide gamut of interventions from coastal area management, rural finance and risk transfer instruments, employment generation and skill training, community-based sea safety and disaster management.

67. *Tejaswini Rural Women's Empowerment Project* (Tejaswini) was approved in 2005 and is still ongoing (foreseen closure in 2018, also due to a supplementary loan approved in 2014), with total estimated costs of US$223.7 million (IFAD loan of US$54.4 million). It covered selected districts in two states (Maharashtra and Madhya Pradesh) with separate implementation units in the two states. The largest project components were for grassroots institutional building, rural finance, livelihood (mainly agricultural) and enterprise development.

Projects approved under the 2005 COSOP

68. *Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains* (WELP) was approved in 2006 and closed prematurely in January 2015 (with a disbursement rate of 23 per cent). It had total estimated costs of US$52.5 million

[41] Data from government agencies are difficult to match with project-level data.

(IFAD loan of US$30.1 million). It covered selected districts in the two states (Uttar Pradesh and Bihar) with a single implementing agency, the National Bank for Agriculture and Rural Development (NABARD) based in Mumbai (Maharashtra). The largest components were for empowerment and capacity-building of communities and support organizations, and livelihood (mix of agricultural and non-agricultural) and enterprise development.

69. *Mitigating Poverty in Western Rajasthan Project* (MPOWER) was approved in 2008, with closing initially planned for 2016 but extended up to December 2017. It had total estimated costs of US$62.5 million (IFAD loan of US$30.3 million and a grant of US$0.6 million). The largest components were for strengthening of grassroots institutions and livelihood (predominantly agricultural) support.

70. *North Eastern Region Community Resource Management Project-phase II* (NERCORMP II) was approved in 2009 and is expected to be closed in 2017. It had total estimated costs of US$41.3 million (IFAD loan of US$20.2 million). At present, it is the only case of a project under the responsibility of a federal authority (Ministry of Development of the North Eastern Region) and active in three states (Assam, Meghalaya, Manipur) but with a single implementation unit. The largest components are: capacity building of communities and NGOs, livelihood enhancement (predominantly agricultural), rural roads and electrification.

71. *Convergence of Agricultural Interventions in Maharashtra's Distressed District Programme* (CAIM) was approved in 2009 and is expected to be closed in 2018. It had total estimated costs of US$118.6 million (IFAD loan of US$41.1 million). The largest components were for institutional capacity building and partnerships as well as for sustainable agriculture and market linkages.

Projects approved under the 2011 COSOP

72. *Integrated Livelihood Support Project* (ILSP). Operating in Uttarakhand, it was approved in 2011, to be closed in 2019. It had total estimated costs of US$118.6 million (IFAD loan of US$89.9 million). The largest components were for agricultural development, watershed management, and livelihood finance.

73. *Jharkhand Tribal Empowerment and Livelihoods Project* (JTELP) was approved in 2012 and is expected to be closed in 2021. It had total estimated costs of US$115.5 million (IFAD loan of US$51 million). The largest components were for community empowerment, integrated natural resource management, and livelihood support (mostly agricultural).

74. *Livelihood and Access to Markets Project* (LAMP). Operating in Meghalaya, this was approved in 2014 and is expected to be closed in 2023. It had total estimated costs of US$169.9 million (IFAD loan of US$50 million). The largest components were for natural resources and food security, and livelihood support (mix of agricultural and non-agricultural).

75. *Odisha Particularly vulnerable Tribal Groups Empowerment and Livelihood Improvement Programme* (OPELIP). This has been approved in 2015 and, once it enters into force, is expected to be closed in 2024. It has total estimated costs of US$130.4 million (IFAD loan of US$51.2 million). The largest components were for community empowerment, natural resource management and livelihood improvement, community infrastructure and drudgery reduction.

Key points

- IFAD produced its first Country Strategic Opportunities Programme (COSOP) for India in 2001, its second in 2005 and its third and latest in 2011.
- The latest COSOP reflects the main recommendations of the 2010 CPE. IFAD agreed to the out posting but the process took about four years before obtaining the final Government's approval.
- IFAD's allocation of resources for investment has hovered around US$45 million per year in the past six years. By IFAD's standards, the size of the projects in India is high (in terms of estimated costs and IFAD's loan contribution). Moreover, leveraging ratios are high: for every dollar lent by IFAD, 1.6 dollars were estimated to come from other sources for the projects considered in this CPE.

IV. Portfolio performance

A. Core Performance

A.1 Relevance

76. The relevance of IFAD's portfolio is analysed here in terms of: (i) consistency of projects' objectives with the country's development plans, needs, government's policies and IFAD's strategy; (ii) quality of project design and pertinence of approaches for achieving the objectives.

77. IFAD-funded portfolio has been consistent with the policies of the Government of India, especially with emphasis on the country's development plans and polices. Key reference documents were: The National Agricultural Policy of 2000, the National Policy for Farmers of 2007, the national Environment policy of 2006, the National Forest Policy of 1988, Farmer's Rights Act and National Water Policy of 2001, and the Biological Diversity Act of 2002, Integrated Watershed Management Programme and Panchayat (Extension to Scheduled Areas) Act (PESA Act) of 1996, and the Forest Rights Act of 2006. Funding opportunities have always been closely scrutinised by Department of Economic Affairs of the Ministry of Finance, at the central level, after the state-level governments had submitted their proposals.

78. **Loans have continued to target disadvantaged states, areas and marginalised groups within these.** Consistent with present and past COSOPs, projects targeted the lagging states and geographic areas characterised by lower rainfall patterns, low fertility of soils or degraded natural resources base (e.g., diminishing forest cover) and poor infrastructure (e.g., poor quality of roads, lack of electricity, potable water). The only exception in the reviewed portfolio was the Post-Tsunami project (PTSLP) in Tamil Nadu. This is not one of the poorest states/areas in the country but was hit by the 2004 disaster.

79. In terms of socio-economic targeting, IFAD-funded projects are special in India in that they focus on particularly disadvantaged groups among the rural poor, and include the scheduled tribes, castes, women and the landless as their target group. Five of the reviewed projects had an almost exclusive coverage of **scheduled tribe areas** (JCTDP, OTELP, NERCORMP II, JTELP and OPELIP). These are very challenging areas to work in, not only due to their remoteness but also to the very precarious living conditions and cultural differences and limited presence of public institutions.[42] IFAD's experience and expertise in working with these groups is well recognised by the state and federal governments.

[42] The Indian government uses the term "Scheduled Tribes" (article 342 of the Constitution) rather than "indigenous people". The essential characteristics for a community to be identified as Scheduled Tribes are the following (MOTA, 2013): (i) indications of primitive traits (not further defined); (ii) distinctive culture; (iii) shyness of contact with the community at large; (iii) geographical isolation; and (iv) backwardness. There are also certain Scheduled Tribes, 75 in number known as *Particularly Vulnerable Tribal Groups* (a sub-category coined during the Fourth Five Year Plan) who are characterized by: (i) pre-agriculture level of technology; (ii) stagnant or declining population; (iii) extremely low literacy; and (iv) subsistence economy. The list of Scheduled Tribes is notified for each State or Union Territory and is

80. The 2010 India CPE and a recent *Evaluation Synthesis on IFAD's Engagement with Indigenous Peoples* (IOE, 2015) recognized that IFAD has been the only donor in India with such specific focus and has been encouraged by the central and state governments to operate in areas where other donors are not usually "admitted." Most recently, the new OPELIP in the state of Odisha is dedicated to "Particularly Vulnerable Tribal Groups" in areas where access had never been granted before to international cooperation agencies. At IFAD, the India portfolio was one of the key sources of evidence and inspiration for the preparation of the *Policy on Engagement with Indigenous Peoples* (2009).

81. IFAD has also paid special attention to **women** and their role in socio-economic development. Women constitute an important target group in all IFAD projects and have been the almost exclusive target of the Tejaswini project (states of Maharashtra and Madhya Pradesh), and of WELP (Uttar Pradesh and Bihar).

Overall, the intervention paradigm with disadvantaged groups covered key structural determinants of marginalization, such as: (i) material disadvantages (in terms of health, education, economic production); (ii) socio-cultural exclusion (e.g., discrimination and bias); (iii) increasingly difficult access to natural resources and agricultural land; and (iv) absence of public institutions (e.g., limited presence of state technical services as well as local government bodies).[43] As confirmed by the CPE field visits, without tackling basic needs, people would not be healthy to undertake additional productive activities (e.g., growing crops, rearing livestock). Without easy access to potable water, women would have little time to engage in savings and credit activities. Similarly, without building community and group trust, it would be hard to ensure timely repayment of group loans or collaboration between members of a producers' groups (members would start side-selling rather than selling in bulk at agreed prices). Building social capital reduces risks of collapse of groups engaged in economic activities.

82. **However, two projects had flaws in the initial design: one of them rectified these during implementation.** PTSLP was part of IFAD's response to the damages caused by the Tsunami that hit the coasts of South and South-East Asia in December 2004. The original design was prepared under severe time constraints. It included numerous streams of activities, without a clear integrating strategy. It took 27 months before this (post-emergency) project could enter into force. However, as implementation progressed, supervision missions redesigned the project and many of the initial weaknesses were addressed.

83. WELP was designed at the Government's request in 2005. It was a microfinance project dedicated to women in selected districts of Uttar Pradesh and Bihar, under the purview of a central authority, the Ministry of Women and Child Development, without a clear engagement of the concerned state authorities. The envisaged execution agencies, the Women Development Corporations, were not capable of implementing the project. It was later decided to assign project implementation to the para-statal bank NABARD (based in Mumbai) which had limited convening power with state authorities and capacity to manage the project, whose implementation was mainly in the hands of NGOs. This project was prematurely closed in January 2015.

84. IFAD's intervention paradigm is centred on communities with a strong element of **empowerment and civil society support**. Initially, national NGOs train local NGOs on how to reach and support poorer communities and groups. Local NGOs in turn organize and support grassroots groups who eventually are in charge of

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valid only within the jurisdiction of that State or Union Territory and not outside. That is, one community could be listed as Scheduled Tribe in one state and not in another one.

[43] The Forest Rights Act of 2006 recognised forest rights and occupation in forest land in forest dwelling to tribal and other traditional forest dwellers who have been residing in forests for generations but whose rights could not be recorded. It provides for restitution of traditional forest rights to forest dwellers across India. The PESA Act of 1996 extended the provision of Panchayats to the tribal areas of nine states where they did not exist.

preparing community development proposals in a participatory manner through various fora at the village level, or clusters of villages.

85. A traditional feature in IFAD-funded project is the self-help group model (SHG), which NGOs, IFAD and government programmes piloted since the 1980s and was brought to scale through the National Rural Livelihood Mission. Self-help groups are made exclusively of women. They hold monthly meetings (in some cases with higher frequency) and pool savings. Once savings have reached a critical level, they are used to provide short-term small loans to group members, typically bearing a flat interest rate of 2-3 per cent per month. Most projects have also tried to aggregate self-help groups (SHGs) in associations, and the latter in federations, to enhance capacity for collective bargaining and supervision of individual groups. Other grassroots organizations that were offshoots of SHGs or connected to them, included Village-level Committees, Community Managed Resource Centres, Natural Resource Management Groups and so on. Some of these associations and federations have also replaced NGOs in fostering the formation of new SHGs (NERCORMP II, OTELP).

86. Two projects (LAMP and ILSP) do not adopt IFAD's self-help group model. In the case of LAMP, this was requested by the state and central governments, because the state Government of Meghalaya already planned to establish SHGs in collaboration with the National Rural Livelihood Mission. The CPE interviews with state official suggest some caution: it is still to be determined to what extent this will take place.

87. ILSP also adopted a different modality, the "producer group" which follows a different concept: it includes both women and men and is oriented towards production and sales of a number of crops.[44] Producer groups are aggregated in "livelihood collectives" to be registered as cooperatives under the Uttarakhand Self Reliant Cooperatives Act.[45] Due to favourable rainfalls patterns, soil fertility and infrastructure, there are good opportunities in Uttarakhand to work on marketing of surplus production.

88. A relatively new associative form, introduced in India in 2002 is that of "Producer Companies". Purportedly, their main advantage is that (unlike conventional cooperatives) the membership is restricted to producers, there is no government control, shares can be transferred, there is more freedom on scale/source of borrowings and they have more rigorous fiduciary requirements such as auditing. The producer company model is supported by the Small Farmer Agri-Business Consortium of the Ministry of Agriculture. A handful of these companies have been established under CAIM and MPOWER. Experience is too recent for an assessment.

89. While India is not classified as a country affected by fragility and conflict,[46] situations of **conflict and civil unrest** exist in many project areas. Mobilizing communities, reducing deprivation, contributing economic development, mainstreaming these lagging regions through better information, institutions and investments can help build their resilience and help maintain peace and order.

90. There are several experiences trying to "cushion" projects from nearby conflicts and to provide a solution to conflicts. In the majority of cases, informal grassroots leaders are involved in sensitization campaigns (through the mediation of a local NGO); simple activities that yield tangible results (e.g., potable water, improved

[44] To cater for the needs of poorer and marginal farmers or the landless, ILSP also promotes separate "vulnerable producer groups", working on small ruminants and staple crops.
[45] The project management unit framed model by-laws for livelihood collectives in consultation with state-level departments and national specialists.
[46] A recent Corporate Level Evaluation on IFAD's Engagement in Fragile and Conflict-affected States and Situations (IOE 2015), identified three factors connected to conflict and fragility: (i) economic, political and social changes favouring tensions between interests and values in societies; (ii) institutions lacking the capacity, accountability or legitimacy to mediate relations between citizen groups and between citizens and the state; and (iii) inappropriate state responsiveness to such tensions or conflicts.

seeds for staple crops) are also implemented first. Also, thanks to IFAD's reputation as a neutral actor, projects such as NERCORMP II have managed to intervene in villages where no government agency could have gone before. The project design of OTELP had practical measures for local development equity (e.g., in water and natural resource access in a watershed) and the design of the new OPELIP has special provisions for left-wing insurgency-affected areas. Yet, there were also cases of weaker preparedness to deal with conflicts as highlighted by the impact evaluation of JCTDP. IFAD has prepared a note on OTELP's experience in conflict-ridden areas for DEA - Ministry of Finance. However, a comprehensive analysis of experience in conflict areas has not yet been produced.

91. **In quantitative terms, a considerable part of investments were for agricultural activities.** Since the language of project designs traditionally emphasized "empowerment" and "community mobilization", this has led some stakeholders, including the Government, to query whether agriculture was a significant part of the portfolio.[47] In reality, most of the IFAD target groups comprise small and marginal farmers engaged in the rain-fed agriculture and workers earning their livelihood as casual agriculture labour.[48] This CPE finds that the issues that require attention are not in terms of "quantity" of investments but rather in terms of focus and technical content of their approaches. The latter point is developed in the next section.

92. The project official definitions of IFAD-PMD are not always representing well the project focus.[49] For example, of the nine on-going projects, five are classified as "agricultural development" projects (NERCORMP II, OTELP, CAIM, ILSP, and JTELP) two as "rural development" (MPOWER and LAMP) and two as "credit and financial services" (Tejaswini and PTSLP). However field visits showed that MPOWER and Tejaswini were largely investing in agricultural production and the design of LAMP largely insists on agricultural interventions. Similarly, the internal classification of project components is not always reflecting the investments made.[50]

93. With these considerations in mind, a better representation of the on-going portfolio investments is shown in Table B.6 Annex VI, where sub-components (per PMD classification) have been clustered in key blocks. The block comprising agriculture and livestock, natural resource management, leads the share of estimated costs (35 per cent), followed by rural financial services (28 per cent; note that this block also contributes largely to short-term agricultural investments), followed by community mobilization, services and infrastructure (12 per cent), post-harvest activities (12 per cent) and others.

94. **However, technical contents of agricultural interventions were not always sharply conceptualized.** Traditionally, IFAD-funded projects were geared to support subsistence agriculture in very poor areas. They were mostly demand-based. NGOs (national, sometimes international) and sometimes state or district departments were in charge of providing improved varieties of seeds or livestock

[47] Another reason for this misunderstanding may be that, at the state level, several projects are not under the direct supervision of the Department of Agriculture but under another technical Department, although the Department of Agriculture is involved in selected project activities.

[48] This is a challenge but also a long-term opportunity (see Chapter II on rain-fed areas): contrary to the conventional fertilizer and irrigation-driven cultivation, environmental impact of targeted rain-fed agriculture is lower. .See for example: Government of India. 2015. *Economic Survey 2014-15.* New Delhi: Young Global Publications. For a perspective on balancing water use efficiency and environment protection see Bharat Sharma, David Molden and Simon Cook 2015. "Water use efficiency in agriculture: Measurement, current situation and trends" Chapter 3, in Managing Water and Fertilizer for Sustainable Agricultural Intensification, International Fertilizer Industry Association, www.fertilizer.org/library.

[49] The classification of project types is meaningful for specialised projects (e.g., working mainly on rural finance or rural enterprises) but less so for multi-component projects such as those in India.

[50] For instance, components classified as "natural resource management" were often funding portions of agricultural investments, e.g., water and soil management, fencing, terracing, tree planting, and even small-scale irrigation. The same often happens with components such as "community infrastructure". Moreover, components classified as "rural financial services" were to a large extent financing "circulating capital" for agriculture, such as seeds, fertilizers, livestock and wage-labour.

breeds and extension support. This was relevant to simple (although needed) interventions in the subsistence sphere. However, as the needs of communities evolve and as the Government and IFAD shift towards supporting smallholder commercial agriculture and the broader challenges of developing rain-fed areas, the traditional approach does not sufficiently emphasise:

- The importance of sound technical analysis of constraints and opportunities in rain-fed agriculture development (e.g., the priority to reduce productivity differentials within a district, cropping patterns, water usage efficiency);
- A strategy to organize interventions around territorial and product clusters (e.g., fruit trees, or goats or dairy products) so as to build a critical mass of inter-connected investments, which would also facilitate connectivity to markets and, when possible, value chains;
- The potential of partnering with state and local agricultural research and extension centres. Local agricultural centres work on varieties adapted to a given farming system and can further contribute to enhance agricultural productivity.

95. On a positive note, designs of some projects of more recent generations (e.g., CAIM, ILSP, LAMP and also JTELP) have acknowledged and tried to address some of these aspects.

96. **Diversification of incomes**. A part of "*livelihood improvement"* activities promoted by the projects has been non-agricultural, an appropriate choice in recognition of limitations of agriculture for feeding the burgeoning population and employing all the workers, given the small average size of landholding (Chapter II). Although a minor sub-component so far, three projects (MPOWER, ILSP and PTSLP) have also embarked on vocational training for the youth. While the idea is in principle valid, there was no clear strategy to prioritize vocational training options (e.g., based on an analysis of skill demand and supply). Moreover a missed opportunity was that of promoting activities connected with the projects' main investments, such as processing of crops, animal products (e.g., milk, meat, honey), repair shops for agricultural implements, or helping with marketing.[51]

97. **Multifaceted and multidimensional projects.** IFAD's project designs are multi-component, involve multiple stakeholders, respond to different development sectors, and layers of public administration including public sector banks. The merit and worth of multi-pronged approaches in poor areas and marginalised groups has already been highlighted.[52] Yet, many sub-components, stakeholders and decision-makers can be a challenge for implementation. This topic is further treated under the *Efficiency* section. As proven by experience, the learning curve is steep for implementing agencies due to a combination of challenging project areas and socio-economic conditions, capacity gaps in project teams and demanding designs. The above challenges have not been fully taken into account at the design stage.

98. **Multi-state projects**. Projects covering more than one state are under the obligation to respond to different administrative set ups with their distinct priorities and policies, including often different political parties in office in each state. The challenges of working in two or more states typically relate to: (i) differences in agro-ecological contexts, or in the institutional set-up; and (ii) the need to establish separate management units in each state; (iii) additional administrative costs for IFAD supervising each state separately. The 2010 CPE 2010 recommended funding single-state projects. All the projects approved since then (CAIM, ILSP,

[51] Under ILSP some livelihood collectives and federations are helping with the procurement of produce to private companies.

[52] On this topic a recent blog of the Independent Evaluation Department Asian Development Bank ("Simple is not Always Better", January 2016), argues for a "way between" the two extreme cases of over-loaded designs and mono-intervention programme which may be simple to implement but with limited impacts. http://blogs.adb.org/blog/top-5-surprising-independent-evaluation-results

JTELP, LAMP, OPELIP) have been mono-state. Older projects covering two or more states (JCTDP, LIPH and Tejaswini) experienced additional implementation difficulties. A "positive outlier" has been NERCORMP II which covered the states of Assam, Meghalaya and Manipur but had a smoother implementation history. Part of the explanation was that it had a single project management unit overseeing the three states (facilitating more consistent managerial decisions) and a well-experienced management team with fewer cases of staff turn-over.

99. **Scattered interventions in the past, new designs shifting to a "saturation" approach.** The CPE 2010 noted that projects covered scattered sites within one state or within a district. This impinged on project efficiency as project staff would have to serve project sites that were distant, implying high transportation costs. Recent projects have tried to adopt a "saturation" approach that is covering a whole district or a high number of blocks within a district before moving to the next one. This helps improve cost-effectiveness of project implementation as it generates a critical mass of interventions in the same area and helps reduce transportation and other transaction costs.

100. **Rising attention to linkages with public programmes and collaboration with sub-state and local government entities**. The 2010 CPE highlighted the importance of establishing linkages (also known as "convergence") with public programmes. All projects approved since the 2010 CPE have considered this aspect in the design (ILSP, JTELP, LAMP, OPELIP), while older projects have worked on convergence *in itinere* (MPOWER, Tejaswini, PTSLP, CAIM), with national schemes, notably with NRLM and MNREGS. The latter is of particular interest for IFAD-funded project as it can provide allowances for material and labour to build equipment (e.g., tanks, fish ponds) even on private land. In practice, however, convergence is not easy to achieve: public programmes do not share the same objectives and approaches of IFAD-funded projects. They may not target the same populations and may be more volatile around electoral cycles. Yet linkages with these programmes are essential for scaling up and still not tapped in full.

101. As for local government entities (PRIs), the previous CPE observed that projects had somehow found a way to cooperate, although their role was not clear to them from the design, as they were seldom involved at that stage. There is emerging awareness of this aspect, particularly in the case of ILSP (e.g., collaboration with Gram Panchayats and local public research institutions) and NERCORMP II (district technical offices in charge of agricultural extension, forestry, irrigation, infrastructure) and in the design of LAMP.

102. The overall assessment of portfolio relevance has to take into account the steadfast commitment to particularly challenging areas and social groups, where other international organizations intervene little, the challenges that this implies and the overall validity of the intervention paradigm, which is generally appreciated by state governments. Other positive aspects are the efforts to learn from past experience and from evaluative evidence. Moving forward, there are still issues concerning the technical contents of project approaches and implementation feasibility. Portfolio relevance is rated as satisfactory. This takes into account the above consideration as well as the individual ratings of the thirteen projects reviewed for relevance, of which seven are assessed as satisfactory (OTELP, Tejaswini, NERCORMP II, CAIM, ILSP, JTELP, OPELIP), four are rated as moderately satisfactory (JCTDP, MPOWER, LAMP and PTSLP's revised design) and two moderately unsatisfactory (WELP and LIPH, details in Annex I).

A.2 Effectiveness

103. In this section, effectiveness is assessed against project objectives. The intent of this section is not to provide an exhaustive review across the very large portfolio, but rather to highlight the main areas of progress and constraints. The various project objectives have been clustered around key thematic areas so as to allow for

a synoptic view across the programme. Most of the projects had objectives in the following areas: (i) community mobilization, groups and federations; (ii) promoting agricultural production and rural livelihoods; (iii) enabling access to credit and financial services; and (iv) infrastructure serving basic needs (e.g., water and community infrastructure). In this and in the next sections of this chapter, the assessment focuses on nine projects (JCTDP, OTELP, LIPH, WELP, PTSLP, Tejaswini, MPOWER, NERCORMP II and CAIM). WELP was closed in 2015 before its scheduled completion, with 23 percent IFAD loan disbursement. It reached 87 per cent of the targeted households and initiated training activities but, due to slow and belated implementation, could not attain the majority of its objectives. It is premature to assess the effectiveness of the latest projects (ILSP, LAMP, JTELP and OPELIP).

104. **Most projects have made progress towards their objectives, although at a slower pace than envisaged**. Most projects have come up with valid approaches (with some innovative elements) that would also help solve problems or enhance results in other IFAD-funded projects and beyond. **Results are better consolidated in community mobilization and infrastructure serving basic needs, while emerging in the other areas.**

105. **Outreach progress**. According to the available data, as of late 2015, the outreach of the on-going projects (household receiving project services) had slightly exceeded the design target, according to the data available (Table 5). The Tejaswini project was responsible for half of this achievement. The actual outreach of OTELP was more than double the original target and this was possible through top-up funding. As it happens with all project, a caveat concerns the quality of data (e.g., possibility of double-counting between different project activities reaching the same beneficiaries). Moreover, it is not clear whether outreach figures correspond to "active" beneficiaries or to the sum of beneficiaries that, at any point, have been served by the projects (some of which might have dropped out).

Table 5.
Portfolio outreach data (2015)

Project	*Beneficiary hhs (target)*	*Actual beneficiary hhs reached 2015*	*Actual outreach (% target)*
ILSP	143 400	147 756	103%
CAIM	286 800	280 656	98%
LAMP	143 000	2 947	2%
JTELP	136 000	61 572	45%
MPOWER	87 380	68 660	79%
NERCORMP II	20 000	20 826	104%
OTELP	56 180	132 451	236%
PTSLP	133 860	131 587	98%
TWEP MP	180 000	190 441	106%
TWEP MH	752 100	944 329	126%
Overall	**1 938 720**	**1 981 225**	**102%**

Note: most of these projects are still on-going. OTELP outreach includes the one attained through top-up financing.
Source: IFAD-APR self-assessment (2015).

A. Community mobilization, groups and federations

106. An important achievement of the projects has been the mobilization of target groups, especially women and building their capacity to engage in development activities. There is general evidence that projects are reaching their intended targets and targeting mechanisms are well adapted.[53]

107. Awareness of development opportunities emerging very strongly in the communities. The pace of SHG formation and its effectiveness has varied depending upon the size of savings, members' dynamism and financial support from other sources. A few examples can illustrate the varying situation.

108. NERCORMP II established 1,600 SHGs (against a target of 2,000) and 491 Natural Resource Management Groups (against a target of 400) whose Community Resource Management Plans have promoted new agricultural activities as an alternative to "slash and burn" and included women in decision making. SHGs were active in providing loans to members, facilitated by an "equity" contribution from the project.

109. Tejaswini- Maharashtra supported 68,936 SHGs as of February 2015, of which 38,905 pre-existing the project. The SHGs were also federated at the village and cluster level. Tejaswini- Madhya Pradesh mobilized 12,424 SHGs as of June 2014 covering 166,000 households. In both cases, while it was expected to link SHG to formal (mainly publicly owned) banks, public sector banks were reluctant to on-lend to SHGs. The situation has improved after establishing a partnership with ICICI bank, the largest private sector lender in India but the public sector banks have not been forthcoming.

110. As of 2015, 90 per cent of the SHG members formed under CAIM were saving regularly but average on-time repayment rate of internal loans was low, leading to high level of non-performing assets. Instead, Community Managed Resource Centres (federations of SHG) had 95 per cent on time loans repayment and had started collecting service charges. According to the 2015 supervision, 65 per cent of Community Managed Resource Centres were able to cover half of their operating costs through their members' contributions, with the opportunity to make further progress towards full operational self-sufficiency by 2017, an important step in reducing reliance on subsidies. However, in CAIM and Tejaswini, no seed capital had been provided to SHG, contrary to good practices in other projects, slowing operations and increasing dormancy risks.

111. As of October 2015, MPOWER had established 4410 SHGs with 45,437 women members, 418 Village Organizations (aggregations of SHGs), four federations (albeit in embryonic form) and one producers' company (custard apple pulp extraction), covering 98 per cent of the target households. Responding to supervision findings on dormancy rates of about a quarter of SHGs, the project introduced periodic SHG audit with a "traffic light"-based grading system based on common criteria and has deployed community resource persons to assist SHGs.

112. **Participation in development activities.** SHG members are now participating actively in informal fora, such as village level committees or village organizations. Having honed their skills in respective SHGs, a number of women candidates are vying for decision-making roles in Panchayat Raj Institutions (PRIs). Many women elected to the PRIs are giving voice to the development concerns of their villages

[53] There were some exceptions in two projects (JCTDP and MPOWER). Under JCTDP, the targeting approach differentiated only between tribal people and others but did not take into account the heterogeneities of these different groups. Under MPOWER, the original targeting criterion that each SHG would include at least 70 per cent of SHG members with a "below poverty line" card was rigid and impractical. First, these cards may be based on outdated information and not reflect the current household poverty situation (a household may hold such card without being below the poverty line any more, and vice versa). Second, in an already sparsely populated area, it exacerbated the difficulty and costs of creating grassroots groups. Third, targeting individual households, rather than communities, complicates the task of establishing clusters and federations of SHGs, as well as organising marketing groups for agricultural products. IFAD agreed to relax the criterion down to 30 per cent during implementation.

and especially the interests of women-folks. During the 2015 CPE mission, the confidence and courage of some of the rural women was clearly visible. Such an enhancement of the capacity at the grassroots level promises well for the future of these communities. At the same time, such progress poses challenges for public institutions to sustain this momentum, to spread it across the country more uniformly and expedite it through appropriate reforms.

B. Promoting agricultural production and rural livelihoods

113. **Extension and agricultural production increase.** Projects are helping raise agricultural productivity and reduce rain-fed agriculture viability. This is important even beyond the IFAD-funded portfolio, given national constraints of low rain-fed agricultural productivity, water resource management and transition to low-carbon economy. Due to implementation delays, many achievements are just emerging.

114. In the North-eastern region, under NERCORMP II 3,052 ha of horticulture was developed against the target of 1,760, and 2,753 units of livestock were provided (target 1143). Broom grass and fruit trees were among the main sources of increase in household income, while areas subjected to slash and burn practices have been reduced to one fourth.

115. In Odisha, OTELP promoted crop diversification on 1,462 ha, intercropping/mixed cropping system on 1,833 ha, multiple cropping under rain-fed conditions on 2,336 ha, diversification under irrigated conditions on 1,525 ha, and introduction of new crops on 6 361 ha. The project also provided power tillers and tractors to select beneficiary groups and promoted summer ploughing on 12,805 ha, ploughing across the slope on 1,289 ha, use of treated seed on 2,326 ha, timely sowing on 6,115 ha, line sowing of paddy on 1,949 ha, bio-fertilizer use on 829 ha, green manure use on 183 ha, mulching on 461 ha, and promoted System of Rice Intensification on 1,445 ha.

116. CAIM established a partnership with the International Better Cotton initiative. The initiative has already reached 41,923 farmers, growing cotton on 53,832 ha who learnt about integrated pest management (more environmentally friendly), variety selection and water management. Reportedly, farmers' production costs were cut by 20 to 30 per cent. Broad-bed furrow cultivation techniques for soybean is claimed to have generated a 49 per cent yield increase.[54]

117. MPOWER adopted a model for low-cost extension based on village facilitators elaborated by a national NGO (PRADAN). This included "krishi sakhi" and "pashu sakhi" (community extension resource persons for crops and livestock, respectively) trained to motivate and impart basic technical skills (e.g., choice of seeds, seeding practices, removing weeds, dosage of fertilizers; improved animal feeding, health checking, castration, ensuring timely vaccination and deworming) and support fellow farmers. While initially not envisaged, since 2014 MPOWER introduced crop clusters (e.g., 79 clusters under Kharif season for rain-fed crops; 6 clusters for vegetable cultivation; 82 clusters for orchard; 40 goat clusters; and 2 dairy clusters). Significant yield increases are reported, but data across the project sites and districts are yet to be compiled.[55] Vegetable cultivation has been introduced with good results in places where sprinkler and drip systems irrigation facilities are available. Goat rearing has emerged as a key supplement to family income. More than 9,300 households have been covered through 30 goat clusters. Practices have been introduced to improve the quality of animals and increase returns from the sale of bucks.[56] 'Pashu Sakhis' and Cluster Livelihood Facilitators

[54] This method increases the infiltration of water along with improving drainage.
[55] The NGO Pradan reports that in their areas agricultural incomes have increased by INR 18,500 per household/annum and yields by 0.6 tons/hectare.
[56] Introduction of 360 breeding bucks has contributed to quality improvement of kids and castrator machines have aided weight increase of castrated bucks. A goat fair in Baitu Block resulted in good business.

have helped reduce mortality from almost 30 per cent to around 5 per cent by providing basic medical services, notably vaccinations and deworming.

118. JCTDP worked on improving paddy yields: in the few cases where productivity enhancements were demonstrated, productivity did rise by 50 to 100 per cent. The project provided training on livestock rearing but with no significant changes in average livestock holdings.

119. **Securing market linkages for agricultural produce has received attention in the recent years only**. Under CAIM, for example, those who were involved in production of cash crops like cotton, *dals* (legumes) or fruits were assisted to position themselves better on the value-chains by resorting to direct marketing through international supply chains or urban conglomerates. Marketing of oranges under CAIM, and cotton from Better Cotton Initiative are examples of successful initiatives. Under PTSLP, 45 fish market societies were established with 2,412 members. This contributed to fetching better price for the small fish vendors.

120. In the case of MPOWER and others, the design provided little guidance and the project conducted market studies (for goats and vegetables) only in 2015, while this would have deserved earlier attention. Taking it from an overall portfolio perspective, linkages with the markets are still sporadic and do not factor systematically, locations, quality of produce and supply regularity.

121. **There are examples of support to non-farm activities, not always with a clear strategy.** OTELP provided vocational training to 2,824 youths of whom 534 were placed in productive employment with corporations. Under support to the ultra-poor, 68 households have been helped to set up agro processing units (e.g., rice hullers), 107 as rural artisans(along with tool kit), 59 to set up grocery shops and 448 for vending (vegetables and other products). These activities have been undertaken in collaboration with agencies of the government of the state of Odisha.

122. As of October 2015, under MPOWER a total of 2,459 youth received vocational training against a target of 4,775. Only 30 per cent of those trained were placed in private company jobs, although, reportedly, the majority left the jobs and returned to their villages. Some 2,500 women have been employed in stitching and tailoring and the majority took the opportunity for saving on clothing expenses. ILSP provided training to 692 students (65 per cent of them women) in 8 trades (nursing, hospitality, retailing, data entry) of whom 251 have succeeded in gaining employment. In both cases, the vocational programme missed the opportunity of building on the main project investments (e.g., processing of agricultural produce, farming tools repair shops). ILSP is now working on better linkages between vocational training with the main agricultural investments.

123. Under PTSLP, 6,100 micro enterprise beneficiaries were supported, although the target was to reach 12,000 before project closure. JCTDP supported alternative income generating activities (e.g., backyard poultry, rope making, collection and selling of non-timber forest produce) with limited success. As for WELP, little progress was reported by the completion report in enterprise development, apart from sporadic trainings for production improvement and initial identification of the livelihood sub-sectors and income generating activities.

C. Enabling access to credit and financial services

124. Intra-group lending and credit expansion was the outcome sought for SHGs and their federations. Access to basic saving and lending services was enhanced. One of the constraints was the weak cooperation of public sector banks.

125. **Financial and credit linkages.** Under NERCORMP II, for example, 1504 SHGs and 254 NRMGs were provided access to credit (generally for short term capital and at an interest rate of 2-3 per cent per month). After groups had started collecting

savings from members on a monthly or bi-weekly basis, the project injected seed capital to SHGs so as to accelerate the approval of credit to members. Access to SHG loans have helped turn economic development initiatives into a reality and reduced dependence on local moneylenders, although the overall magnitude of the funds available for lending and credit has been small.

126. Under PTSLP 487, joint liability groups were formed and have a membership of 2,384 women. Likewise, other financial facilities like vulnerability reduction funds (mainly for health-related expenses) and debt reduction funds were useful in mitigating the target groups' risks. Risk management and coverage under different type of insurance programmes (health insurance, life insurance, boat insurance, house insurance) was handled effectively and beneficiaries found health insurance very helpful. In all, 221,501 policies were reportedly issued.

127. **Restrained response from public sector banks.** Although IFAD projects have established solid operational basis for credit expansion in the rural areas, the response from the public sector banks in extending credit support has not been encouraging, despite good track record of SHGs and associated borrowers. Credit extension from the public sector banks was expected to augment the saving pool at the SHG level as well as add to the financial resources at the federation level.[57] In the past, funds lent to farmers have been periodically waived by governments as a part of garnering their political support. It might be that the response from the public sector banks was inhibited by the possibility of political decision-makers intervening on behalf of the targeted group and waiving-off repayments.

128. The 2015 CPE mission learned about such disjunctive credit responses in both Maharashtra (under CAIM) and Tejaswini-Madhya Pradesh. However, this could be pervasive and widespread across a number of states. The lack of bank credit was also reported as a major limitation under PTSLP. In contrast, as mentioned earlier, the leading Indian private sector bank, ICICI, responded to the initiatives under the project and participated actively with SHGs and with good track record.

129. A "positive outlier" in terms of state-owned bank participation has been the experience of MPOWER. The project has promoted linkages between SHGs and banks (including publicly owned ones), contributing to an initial change in attitudes of banks towards lending to community-based groups. The project introduced facilitating cadres, the "bank mitra", posted at bank branches and helping access of SHGs to bank loans (particularly by supporting the preparation of loan applications). As of August 2015, 63 per cent of SHGs had been credit linked to banks and cumulatively INR 154 million sanctioned out of which INR 134 million disbursed to groups. Other projects are not yet familiar with the MPOWER approach.

D. Infrastructure serving basic needs

130. Projects have been building infrastructure support in the rural areas, especially in the tribal areas. Infrastructure interventions relate to management of water resources, whether for irrigation, for drinking or for livestock. These also include desilting of tanks, *nallas* (drains), or *bori-bandhs* (sand-bag dams over small streams). Developing watersheds in many projects constitutes a core intervention as it was needed to improve water management and access to small-scale irrigation in shortage areas (e.g., MPOWER), or for channelling it safely in places of excessive rains (LAMP and ILSP).

131. More advanced interventions in water management include solar-driven stand-alone tubewell in areas without any access to electricity grid. They also include

[57] An alternative would have been to access specialized micro finance institutions. IFAD had earlier supported the *National Microfinance Support Programme* in India, and could have involved them in projects. However, IFAD was cautious in approaching them, possibly due to controversies raging in India around 2005 over the "unorthodox" loan repayment arrangements of some micro finance institutions.

measures for undertaking soil improvements, especially to address the problems of salinity. In addition, some projects have helped build godowns and warehouses for storing seeds, fertilizers, pesticide and agricultural produce. However, the absolute amounts of investment in these interventions have been limited.

132. Under OTELP, key land and water resource development works implemented include mechanical filter strips and stone bunds, contour and water absorption trenches, terracing, gully control structures, masonry drop structures, check dams, water harvesting structures, farm ponds, diversion-based and lift irrigation systems and field canal units. Because of these interventions 11,904 ha of non-arable land became arable, benefiting 44,443 farmers and 18,789 ha additional land is irrigated benefiting 27,068 households.

133. Under NERCORMP II, 15 permanent and 37 temporary common facilities centres were constructed. In addition, 126 kms of rural roads were built, 64 micro hydroelectric plants were established and 656 units of solar power were affixed. Low cost sanitation to schools was provided and facilities for potable water were built.

134. **Rating.** Overall, effectiveness displays a high degree of variation not only between projects (which may serve different objectives) but also within the same project. Delays and problems of limited outreach are common. At the portfolio level, the rating for effectiveness is moderately satisfactory which is also the prevailing rating for most projects (see Annex I).

A.3 Efficiency

135. Efficiency measures how economically resources/inputs (funds, expertise, time), are converted into results, outcomes and benefits. Efficiency of the IFAD-funded projects is assessed here in two ways: economic rate of returns and process efficiency of projects in India.

136. **Ex post estimates of internal rate of return are available for three projects** (JCTDP, LIPH and WELP). In the case of LIPH, the ex post internal rate of return was favourable, estimated at 18 per cent in the Uttarakhand zone and 14 per cent in Meghalaya, higher than the opportunity cost of capital, conventionally set at 12 per cent at IFAD. Instead, in the case of JTCDP, the ex post internal rates of return were re-estimated at 13 and 11 per cent for Jharkhand and Chhattisgarh, respectively, just above and below, respectively, the opportunity cost of capital. As for WELP, the project was closed prematurely. With some speculation, the completion report estimated the economic rate of return at 10 per cent, below the 12 per cent cut-off. The sensitivity analysis indicated that, with a two-year delay in benefit, it would drop to 4 per cent and, under a combined increase of 10 per cent in costs and 10 per cent decrease in benefits, it would become negative.

137. Examining the **ex-ante allocations of resources per beneficiary**, the median value is US$850 per household but there is much variation across the portfolio (Table 6).[58] Per household allocations range from slightly more than US$100 at the low-end to more than US$2,000 on the high side, an increase of more than twenty times. Under NERCORMP II, allocations were highest at US$2,064, and had more than doubled from US$960 under NERCORMP I, while OTELP is estimated to have costs of US$1,216 per household. MPOWER and LAMP were in the middle at U$720 and US$890 respectively.

138. Projects that work in tribal or sparsely populated areas display average costs per beneficiary above US$1,000, due to higher expenditures for transportation and for establishing local implementation support units. On the other side of the spectrum are projects with baseline average cost below US$200 (Tejaswini and Post-Tsunami). While these have a large rural finance component (typically entailing

[58] In principle, one should compare per beneficiary ex post costs but that requires more precise and reliable data.

lower costs), the question is what can be achieved with such a low level of investment over a number of years.

139. **Management cost ratios** (Table 6) are another proxy of efficiency, based on the assumption that what is spent on management is not invested (although good management can improve quality of implementation). Here again, projects working in tribal or remote areas (NERCORMP II, JCTDP, JTELP, OPELIP) tend to display higher ratios (an exception is OTELP), for similar reasons as those explained above. On the other hand, it is curious that seven projects (LIPH, Tejaswini, Post Tsunami, MPOWER, CAIM, ILSP, and LAMP) have very low management *ex ante* cost ratios (7 per cent or less). This may happen because the project implementing agency is responsible for other programmes as well and part of the administrative project costs is cross-subsidized by the other programmes. Another possibility could simply be that management costs are artificially under-stated, embedded under some of the project investment costs.

Table 6
Ex ante indicators of costs

Earlier projects	*Total costs per household (US$)*	*Management cost ratio (%)*	***Latest 5 projects***	*Total costs per household (US$)*	*Management cost ratio (%)*
NERCORMP II	2 064	24.0	MPOWER	720	6.6
JCTDP	480	21.1	CAIM	414	5.9
OTELP	1 216	9.0	ILSP	1 088	1.0
LIPH	1 170	7.0	JTELP	850	14.9
Tejaswini	186	7.0	LAMP	890	5.0
Post-Tsunami	109	5.0	OPELIP	2 091	16.4
WELP	486	17.1			

Source: IFAD Flexcube 2015.

140. **Process efficiency issues**. One of the Government's observations in the early stage of this CPE was its concern for long "gestation time" of project implementation. This CPE observed two key issues: (i) delays in entry into force; (ii) delays in execution resulting in loan disbursement lags.

141. **Older projects experienced slow entry into force.** All things being equal, slow entry into force delays benefits and raises costs. The average time from approval to entry into force of the loans considered for this CPE is 16.2 months (Table 7), which is almost twice the regional average (8.4). Four projects have been the major drivers of delays between approval and entry into force: JCTDP (26 months), Tejaswini (19.6), Post-Tsunami (27) and WELP (36). The latest five projects approved had a shorter time gap (9.5 months, Table 5), although the definition of entry into force was modified by IFAD's Executive Board in 2010.[59]

[59] Whereas in the past a number of conditions had to be satisfied, since 2010 entry into force simply coincides with loan signing by the Government.

Table 7
Time elapsed before entry into force and first disbursement (months)

Earlier projects	*From Approval to entry into force (EIF)*	*From EIF to first disbursement*	***Latest five projects under implementation***	*From Approval to entry into force (EIF)*	*From EIF to first disbursement*
NERCORMP II	6.9	8.4	MPOWER	7.7	10.7
JCTDP	26.1	2.7	CAIM	7.3	5.8
OTELP	14.9	5.4	ILSP	11.8	9.5
LIMPH	9.6	4.5	JTELP	12.6	8.8
Tejaswini	19.6	2.0	LAMP	8.2	5.6
Post-Tsunami	27.0	2.0			
WELP	36.2	11.3			
Average	20.0	5.2	Average	9.5	8.1
Average 12 projects	**16.2**	**5.2**			
Average APR	**8.4**	**6.3**			

To enhance comparability, when a project was financed by more than one loan, the CPE considers data for the first loan only, based on the understanding that a second loan is typically an injection of additional resources to a project which is already on-going. Source: IFAD Flexcube 2015.

142. **Improvements in disbursement volumes but persisting disbursement lags**. The Programme Management Department of IFAD uses the disbursement lag ratio to compare expected and actual cumulative disbursement levels at a given point in time: the higher the ratio, the wider the gap. As of mid-2015, India portfolio's overall disbursement lag ratio (43 per cent) was the fourth highest in APR, out of twenty countries. It came after Maldives (54 per cent), Pakistan (50 per cent) and Sri Lanka (47 per cent). Data provided by the IFAD-APR self-assessment show that there has been an improvement compared to 2014 when the lag ratio in India was 53 per cent. Moreover, the disbursement volume in India has increased dramatically, more than doubling, from US$10.9 million in 2010 to US$23 million in 2015. Likewise the number of projects classified as "problem projects" (based on a set of performance and fiduciary criteria) dropped from five out of eight on-going in 2010 to only one out of seven on-going in 2015. However, as shown in Table 8, there are considerable disbursement lags also in the more recent project (those approved since 2008). This mainly reflects implementation delays.[60]

Table 8
Cumulative disbursement and disbursement lag in recent projects (mid-2015)

Project	***Cumulative disbursement***	***Disbursement lag ratio*** [a]
MPOWER	42% disbursed - closing 2017	51%
CAIM	30% disbursed - closing 2018	61%
ILSP	7% disbursed - closing 2019	85%
JTELP	6% disbursed closing 2022	61%
LAMP	13% disbursed - closing 2023	33%

a. Calculated by IFAD PMD as percentage gap of the difference between expected and actual disbursement, over the expected disbursement percentage.
Source: IFAD Flexcube 2015.

143. Looking at the factors that explain **delays and sluggish implementation,** a first group has been identified under *Relevance* and it has to do with the nature of projects in the portfolio, with their very challenging agro-ecological and socio-economic conditions. Moreover, as already observed, multi-pronged interventions

[60] In addition, as explained by the Controller's and Finance Services Division of IFAD, state governments first consume their own budget and later they draw from IFAD's loan proceedings.

with many decisional nodes pose challenges which are not fully accounted for at design. A second group of factors has to do with the existing implementation capacity at the state level and on the ground and how this evolves.[61] Discussions with other international financial institutions such as the Asian Development Bank and the World Bank have highlighted similar issues.

144. Looking further into specific elements of the second group of factors, the CPE observed the following common patterns:

(i) high turnover of project staff, especially at the senior staff levels (including the project director), due to difficult working conditions;[62]

(ii) long drawn-out procedures for getting staff on deputation from other public services and agencies;

(iii) non-competitive compensation packages for project staff, compared to other state/public development programmes;

(iv) non-conducive contractual arrangements with NGOs (e.g., "output based" payments, imposing a sizeable initial financial outlay on small NGOs); and

(v) cumbersome procurement procedures at the state/district/block levels.

145. The above eventually culminates in an unstable project team and weak governance of projects, despite the dedication of individual staff members. The absence of proper training and preparation of project or NGO staff does not help the situation.

146. The size of the IFAD-funded projects in India is small in relation to the size of sector investments, although these projects are important to government's policy objectives. IFAD-funded projects tend to carry less clout but are expected to leverage larger state-wide or national programmes. Unless project management takes care to scrupulously pursue the operational issues with an undivided focus, project activities risk being relegated to the lower priority in the routine of Indian public administration. This can happen especially when there is no project director in position, or the director shares other official duties, as is often the case.

147. Management of IFAD projects in India is a serious issue. If left unattended, it threatens to chip away at the very rationale of providing a few additional resources from one more agency with its own procedures and practices. The real capital of IFAD lies in its development approach and the focused pursuit of its target group which is well-acknowledged by the government as well as the key development partners. It does not deserve being clouded by the procedural inefficiencies. Efficiency of the portfolio as a whole is assessed as moderately unsatisfactory (3), with four projects rated as moderately satisfactory, four as moderately unsatisfactory and one as unsatisfactory.

B. Rural poverty impact

148. In India, in addition to other secondary data, **"annual outcome surveys"** are available since 2011 for the on-going projects. These surveys involve a sample of about 200-400 households (half with and half without project support) and gather respondents' perceptions on a number of items such as trends in major crop yields, livestock ownership, and food security. While some methodological features of these surveys are not yet fully established,[63] outcome surveys can be considered as an improvement over IFAD common practices. First, they are annual and allow for an immediate assessment of project progress to managers, without having to

[61] Capacity is not an innate attribute of organizations or persons: it may improve thanks to training, backstopping and practical exposure or worsen, particularly when experiences staff leave.
[62] In one case (PTSLP), as many as 9 project directors were changed within a span of few years.
[63] In many cases, outcome surveys are conducted always in the same communities. Some "rotation" of the sampled communities could be in-built in the selection procedure, to avoid the risk that project resources are concentrated in the sampled sites to show high impacts. The outcome survey reports do not test for statistical significance of differences, nor do they discuss the comparability between project and non-project households.

wait until completion. Second, they include comparison of households without project which is not available with the traditional Results and Impacts Management System (RIMS), the reporting framework adopted by IFAD.[64]

149. A brief assessment of impact[65] as a result of development interventions across five domains is given below. Attribution needs to be taken with caution as a number of overlapping factors intervened at the same time, especially in the areas of income, assets and food security. In the discussion below, some evidence is also drawn from the IOE conducted impact evaluation of JCTDP between 2014 and 2015, applying propensity score matching, a statistical technique used to control for bias in the observational data in regard to the selection of households for a development intervention.

B.1 Household Income and Assets

150. The available documentation illustrates several instances in which IFAD projects **have contributed to raise income and diversify income sources. In some cases, projects have also built assets for the targeted households**. This has happened mainly through: (i) increases in agriculture productivity or employment opportunities; (ii) secured access to land, forest, ponds, trees; (iii) diversification and establishment of microenterprises or rental of agricultural implements; (iv) rising value of agricultural holdings due to improvements in soil and water facilities and farm implements; (v) improved farm animal stock; and (vi) access to SHG savings, credit-markets, microfinance and revolving funds.

151. According to the 2014 outcome survey of NERCORMP II, 50 per cent of the households in the project villages and 17 in control villages reported income increases compared to the previous reference year, while 4 per cent in project and 12 in non-project villages reported income decreases. The CPE mission observed that the main sources of income increase were agroforestry (e.g., broom grass, fruit trees) as well as livestock production (e.g., pigs). A similar assessment of impact on poverty reduction under PTSLP suggests that households under the project have witnessed larger reduction in poverty (between 33 per cent and 38 per cent) compared to the control group (13.4 per cent).

152. According to the evaluation of LIPH (PPA 2015), through livelihood enhancement activities, average annual household incomes increased in Uttarakhand project villages to USD 1,367, a nominal growth of 92 per cent between 2004 and 2013 (37 per cent more than in non-project villages). More than 60 per cent of project households had four or more sources of income (30 per cent in control households).[66] Likewise, the 2014-15 outcome survey of CAIM compared food production and households' incomes between project and control households, finding differences in favour of the project households by about 11 per cent in food production, and between 43 and 50 per cent in the net incomes. These are largely due to productivity increases and significant reductions in production costs (Table 9).

[64] Since 2004 all new IFAD projects are expected to carry out impact survey (child malnutrition and household assets) according to the RIMS guidelines. However the RIMS impact surveys are not annual. They are carried out at the beginning and towards the end of a project.
[65] In IFAD 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.
[66] Impact Evaluation Study (InsPIRE), 2013.

Table 9
CAIM: Household Incomes and Food Production per HH (2014-2015)

	Without Project	*With Project*	*Difference %*
Household Food Production (Kg) a/	1,400	1,652	11%
Household Cotton production (Kg) b/	380	396	10%
All Household Incomes (INR) c/	10,950	16,580	50%
Rain fed Agriculture Incomes (INR) d/	15,345	22,027	43%

a/Includes sorghum, pulses, oilseeds, under rain fed conditions.
b/Varieties include Bunni and local under rain fed conditions.
c/Average household income for 286,800 households that are direct beneficiaries of the project.
d/Average household income for 196,800 landholding that are the direct beneficiaries of SWC. Some 10% of landholdings are held by women. Crop intensity will increase from 104% to 109.5% at full development. Source: 2014-2015 Annual Outcome Survey

153. The JCTDP impact evaluation found significantly higher monthly income for the project households in relation to the control households (Table 10). The evaluation also proxied physical capital through a composite standard of living index which was higher for project households in Jharkhand and Chhattisgarh. The improvement was reportedly triggered by the introduction of paddy productivity enhancing technologies and, to a limited extent, by income diversification and access of vulnerable groups to financial services.

Table 10
Household monthly income and standard living index after propensity score matching

	Jharkhand				**Chhattisgarh**			
	Treatment mean	Comparison mean	Difference/ ATET	T-stat	Treatment mean	Comparison mean	Difference/ ATET	T-stat
Household monthly income (US$)								
Scheduled tribe	23.99	17.40	6.59	5.57***	21.36	16.34	5.02	5.2***
Overall	24.09	17.60	6.49	4.45***	21.76	16.54	5.22	5.45***
Standard of living index								
Scheduled tribe	0.22	0.17	0.05	1.37*	0.22	0.15	0.07	1.47*
Overall	0.23	0.2	0.03	1.21	0.22	0.16	0.06	1.4*

ATET – Average treatment effect on the treated (for matched data) – Kernel matching. Note: level of significance ***p<0.01, **p<0.05,* p<0.1. Source: IOE impact survey.

154. In the case of OTELP, the Annual Outcome Survey of 2014 noted a steady diversification in the sources of incomes of target groups. As of 2010-11, 46 per cent of the households had four or more sources of income which increased to 77 as of 2013-14. The same figure for control households as of 2013-14 stood at 29 per cent. This bodes well for reduced vulnerability of target households. In 2010-11, 65 per cent of the project households reported increase in cash income while the same figure for 2013-14 was 96 per cent.

155. In the case of the Tejaswini- Maharashtra, 48 per cent of the respondents in the Project group reported an increase of income over the previous year (26 per cent for the control group).[67] Also, a higher percentage of project households was found to have income from sale of agricultural produce and reported an increase in the same (51 per cent against 27 per cent in the control group).[68]

[67] The percentage of respondent reporting an increase in income in the control group is recorded as 19.8per cent elsewhere in the outcome survey.
[68] Annual Outcome Survey 2015, Tejaswini-Maharashtra.

156. Impact on physical and financial assets is rated satisfactory (5) at the portfolio level, with six projects rated satisfactory, two moderately satisfactory and one moderately unsatisfactory.

B.2 Human and Social Capital, and Empowerment

157. Most projects have been successful in establishing high numbers of community-based organizations (such as SHGs, village development committees, or natural resource management committees). Thanks to these interventions, **people are better aware of opportunities to improve their lives. They are keen to learn and earn more, and undertake collective initiatives**. As a recent study suggests, such empowerment is likely to result in local authorities tackling a larger variety of public issues, especially those reflecting the interests of SHGs.[69]

158. Tejaswini in Maharashtra trained women to participate in local governance. As of 2015, 24,826 women (3 per cent of members) have been elected to various Panchayat Raj Institutions (local government institutions). In Madhya Pradesh too, women contested local government elections and 1,929 (1 per cent of members) were elected into Panchayats. In both states Tejaswini has promoted convergence with the National Rural Livelihood Mission (NRLM). This is operationalized through Community Managed Resource Centres (federations of SHGs at the administrative block level) where a community resource person in the sphere of livelihood, micro finance, health has been posted with NRLM's financial support. SHG women also sit in Committees of local government/government such as health, Integrated Child Development services, school, public distribution, water committees, peace committees, sexual harassment committees.

159. During CPE visits to NERCORMP II, community members proudly explained that they had become better aware of opportunities to market agricultural produce and of the importance of taking collective action to seize these opportunities, including meeting with district level authorities and writing petitions to them (as in Karbi Anglong district, Assam state, where tribal communities coalesced to take action on the application of a local agricultural produce tax).

160. In the case of LIPH, beneficiaries claimed that functional literacy, numeracy, basic health care and principles of self-help gave them basic tools and motivation to get organized around community and productive activities (PPA 2015). Data from the Uttarakhand area show that, among project households, 53 per cent now have pucca (brick) housing against 37 per cent before. Thanks to project awareness campaigns, 58 per cent of households have their own toilets, an improvement of 20 points over control households.

161. OTELP is not merely about watershed development: participatory development approaches and community mobilization remain cornerstone of the project's planning and implementation. Community Based Organizations were active in project planning and implementation, setting priorities and identifying poor households with facilitating support from NGOs. The impetus on Village Development Committees was visible and their ability to articulate their needs and their current status was impressive. There are still lingering issues of functional robustness and sustainability and for this reason the project is providing information to community-based organizations on possible collaboration with government schemes.

162. PTSLP carried out activities to build the capacities of the Panchayat Level Federations of SHGs in all the 109 panchayats targeted by the programme in book keeping and financial management. The SHGs were in turn linked to the credit from banks and formal institutions at large. The formation of Fish Marketing Societies (FMS) has contributed to an increase of 20-30 per cent in the prices accrued to

[69] Casini, P., L. Vanderwalle, and Z. Wahhaj. (2015) "Public Good Provision in Indian Rural Areas. The Return to Collective Action by Microfinace Groups" World Bank Policy Research Working Paper 7397, Washington D.C.

fishermen. However project documents have noted dormancy among SHGs due insufficient credit from banks. According to the supervision report, the number of active SHGs had reduced from 5,850 in 2012 to 2,340 SHGs in 2015. Vocational training provided to youth in the area has not resulted in commensurate employment opportunities with only 28 per cent of those trained finding employment as of 2014.

163. Regarding MPOWER, the documentation and the CPE's own visits suggest that farmers have learned and put into practice improved crop and animal health management techniques, thanks to the support from *krishi sakhi* (peer farmers) or *pashu sakhi* (peer livestock farmers). These were community members trained with basic skills in crops or livestock to be imparted to other community members (a promising low-cost basic extension approach). Some community members had also access to non-agricultural training (youth vocational training), although the latter lacked a clear focus and did not always match aspirations.[70]

164. Overall, impact on human and social capital and empowerment is rated as satisfactory (5), with six projects rated satisfactory, two moderately satisfactory and one moderately unsatisfactory.

B.3 Agricultural Productivity and Food Security

165. Project-assisted **households have benefitted in terms of agricultural productivity and risk management, although improvements are often emerging** and vary across crops, households and between projects.

166. Output from agricultural operations is uncertain, especially in the Indian circumstances. In the presence of limited or no irrigation, agricultural productivity in project areas depends upon rainfall which can vary from season to season, in total magnitude and intra-season cycle. Agricultural productivity also varies in response to the magnitude of other inputs like fertilizers, pesticides. Even if all the factors are under control and well provided, there is always a danger of crops getting infested with bugs, worms and parasites. This is particularly serious for cash crops: farmers sell and buy agricultural produce in the market. Most of their transactions are money-based and have to be supported by their own or borrowed funds. When faced with a failed crop, they lose all their investments, and often find themselves saddled with debt and no funds to even buy food. They face a double jeopardy of losing economic as well as social standing.

167. CAIM project has been addressing such situations in eastern Maharashtra by focusing on better access to credit and crop-insurance. CAIM has introduced improved simple and low-cost methods of cultivation. The 2014-2015 annual outcome survey of CAIM suggested some increase in crop yields in project-assisted areas, compared to non-assisted ones (between 2011-12 and 2014-15). However, in terms of absence of food shortages or increase in cropped area, results are more difficult to interpret as there have been sizeable increases for control households too. This may be due to a spill-over effect of the project to "control" areas or simply to improvements independently taking place in control areas (Table 11).

Table 11
Food security (2014-2015) - CAIM

	Program 2011/12	*Control 2011/12*	*Program 2014/15*	*Control 2014/15*
Absence of food shortage	68%	40%	95%	88%
Increase in crop yield	13%	5%	29%	8%
Increase in crop area	4%	1%	27%	12%

Source: CAIM 2014-2015 Annual Outcome Survey.

[70] In the case of MPOWER security guard training was promoted but demand for guards was in towns far away, whereas the male youth sought short-term employments in the nearby areas. More promising were efforts to engage with private sector partners (such as Cairn Energy, L & T, and Maruti Suzuki) for training and job options.

168. Under OTELP (2015 outcome survey), only 5 per cent of households reported experiencing food shortage in the project areas, compared to 29 per cent for control groups. In terms of duration of food shortage, 25 per cent of households reported experiencing shortage of more than three months in 2014, while the same was estimated to be 56 per cent in the control group.

169. According to the 2014 Annual Outcome survey of NERCORMP II, 95 per cent of households assisted by the project reported no food shortage against 85 for non-project villages. The report also indicates that in the project villages for 45 per cent of households the situation in terms of food security improved, and for 11 it worsened (against 29 and 4 per cent, respectively, in households without project). As further documented in the survey, project households experienced higher increase in irrigated areas and higher uptake of improved techniques (horticulture, nursery for paddy, water harvesting).

170. In the case of MPOWER, agricultural production activities started only in 2013. The 2014-15 outcome survey reports that, among project households, 30 per cent perceived that food security had improved and four per cent that it had deteriorated, against fourteen per cent and six per cent respectively in the comparison group. A sample survey of yields of millet and beans shows that in 2014 yields for project households were twice as high as those for non-project households.[71] However, it is unlikely that this difference can be fully attributed to the project: the area experienced abundant rains in the past two years. The survey makes no reference to the baseline situation.

171. According to the impact evaluation of JCTDP, the only cases in which data on nutrition status of households are available, children under the age of five shows were less likely to be stunted than in control households. This difference is statistically significant but small (Table 12).

Table 12
Status of nutrition of children under five after propensity score matching

	Jharkhand				Chhattisgarh			
	Treatment mean	*Comparison mean*	*Difference/ ATET*	*T-stat*	*Treatment mean*	*Comparison mean*	*Difference/ ATET*	*T-stat*
Status of nutrition: stunting (height for age z-score), proportion below -2SD (Yes=1, No=0)								
Scheduled tribe (matched)	0.55	0.49	0.06	2.59***	0.54	0.48	0.06	2.45***
Overall (matched)	0.55	0.48	0.06	2.33***	0.54	0.47	0.06	2.52***

ATET – Average treatment effect on the treated (for matched data) – Kernel matching. Note: level of significance***p<0.01, **p<0.05,* p<0.1/Source: Impact Evaluation of JCTDP (2015)

172. Overall, impact on food security and agricultural productivity is assessed as moderately satisfactory (4). While there is evidence of yield enhancement, better food availability, the size of the effect, the attribution to project investments is less clear than in other impact domains. Also, this area of impact is the one that seems most affected by project implementation delays. Three projects are rated satisfactory, three as moderately satisfactory, two as moderately unsatisfactory and one is not rated due to insufficient data.

B.4 Natural Resource Management and Climate Change

173. IFAD-funded projects are implemented in remote, less productive areas and include **interventions to improve soil and water management, reduce reliance on inorganic inputs, promote forest conservation**, and generally make farmers active participant in improving their ecological environment. **Results are starting to appear**. However, the available documentation and the CPE field visits suggest

[71] MPOWER- Centre for Micro Finance (2015), Agriculture Based Livelihood Kharif 2015.

that, compared to the ambition and issues at stake, project budgets for these activities are on the low side and interventions scattered over the territory.

174. The 2014 annual outcome survey of NERCORMP II showed that 73 per cent of project households (compared to 58 percent in control group) had access to productive forest, while 51 per cent in the project and 40 per cent in the control group reported access to productive pastureland. Regeneration and restoration of flora and fauna in the project area is reported throughout the documentation. During the CPE visits, community members reported that the "slash and burn" area is only a fourth of what it was before the project.[72]

175. CAIM is trying to promote better utilization of rain water, use of ground water, nullahs and a variety of other water-shed management techniques.[73] These improvements may also ease water scarcity for household use as well as for livestock. Irregularity of monsoonal rains is a part of climatic changes taking place, and is a source of uncertainty and risk for the sustained cultivation. CAIM is sensitizing cultivators and informing them about the variations in monsoonal changes in real time, and helping farmers adopt appropriate choices of crop and their timing. With the expansion of broad-bed furrows and the partnership with the Better Cotton Initiative, farmers are using biodynamic compost and this is coupled with soil and water conservation measures. A limitation highlighted by the documentation is that activities are spread over a large area.

176. Under PTSLP, target areas of coastal districts in Tamil Nadu have sizable population depending on fishing for their livelihood. They face issues such as overfishing and harmful fishing practices. Although at design stage the project had identified factors affecting the fisheries resources (e.g., usage of certain types of fishing gears, fishing pressure in spawning grounds and pollution), it was beyond its scope to address these issues, largely originating outside the project areas.

177. OTELP formed 430 Forest Management Committees to promote community based forest management. Yet, supervision missions complained about the limited resources available for the activities (US$121/ha in 2013) which it considered inadequate given the hilly and undulating terrain in many targeted blocks.

178. According to the evaluation of LIPH, over 400 Natural Resource Management Plans were developed and implemented in Meghalaya and target groups were exposed to the basics of healthy ecosystems and biodiversity. Both in Meghalaya and Uttarakhand, the project promoted organic agriculture and the reduction of inorganic fertilizer use. However, an opportunity was missed in the project to include Disaster Risk Reduction activities in natural resources management.

179. The impact evaluation of JCTDP rated project in this domain as moderately unsatisfactory. The project had been instrumental in creating water harvesting as well as soil erosion and run-off control structures that would improve the soil moisture content. But the issues related to irrigation had not been fully addressed. Ponds and wells were not properly maintained. The use of solar energy and promotion of biogas had only limited outreach. Almost all surveyed households in Jharkhand and Chhattisgarh were largely relying on wood as a source of fuel (94.5 and 98.3 per cent, respectively), which was at odds with the project forest conservation objective (Table 13).

[72] The practice of "slash and burn" is not necessarily harmful to the environment if the forest is allowed to regrowth for a sufficient number of years. However, reportedly, this was not the case in many areas of the North-eastern Region.
[73] According to the 2015 outcome survey, 57 per cent of project beneficiaries reported some form of benefits from soil and water management, compared to 15 per cent in comparison households.

Table 13
Usage of fuel-wood

	Jharkhand	*Chhattisgarh*
Fuel wood	94.5%	98.3%
Crop residue	4.4%	0.6%
Dung cakes	0.3%	0.3%
Coal/charcoal	0.3%	0.0%
Liquefied petroleum gas (LPG)	0.3%	0.5%
Bio gas	0.2%	0.2%
Number of respondents	2 269	2 179

Source: JCTDP Impact Evaluation Quantitative Survey (2015).

180. Overall impact on natural resources, environment and climate change is assessed as moderately satisfactory (4) with one project rated satisfactory, five moderately satisfactory, one moderately unsatisfactory and two not rated (either due to lack of data or activities in this area).

B.5 Impact on Institutions and Policies

181. Usually the rural poor, landless, and socially excluded populations have little say in either shaping institutions or making policies that govern them. Initiatives under IFAD projects have set in motion a process of change. Some projects, operating in concert with the state government institutions, **have helped ensure that the target groups receive what the public policies pronounce to be due to them**. Several projects generated opportunities for institutional or policy changes. The degree to which these have translated into reality varies across the portfolio.

182. The use of Women's Development Corporations (permanent public institutions that took up the implementation of Tejaswini in Maharashtra and in Madhya Pradesh) is a typical example of how to make the existing state-wide policies and institutions more effective. The CPE observed that, when public programs like MNREGS or NRLM were rolled out in these states, they kept the scope and working arrangements of Tejaswini project intact and aligned with it carefully. Experience with the "Shaurya Dal" (bravery group) in Madhya Pradesh and paralegal workers in Maharashtra to control violence against women (see the section on Gender Equality) was used as an input into Maharashtra Women's Policy, 2013 and was replicated state wide in Madhya Pradesh and this strategy is included in the Vision 2018 document of the state.

183. NERCORMP II has forged good partnership with federal institutions: the North-East Council and the Ministry of Development of North Eastern Region. These are convinced of the validity of the project's approaches. The project also involved district agencies in the implementation of agriculture and livestock extension work, as well as construction of basic infrastructure. District agencies are also convinced of what the project has been doing and have gained experience. It remains to be seen whether, without the project's support, district agencies will have the resources to extend support to beneficiary communities in the future. Instead, the project did not establish strong bonds with state-level authorities in Meghalaya (one of the three implementation states).

184. In the case of JCTDP, the project was to help the state set up village assemblies (*Gram Sabha*) and local government entities (*Panchayat Raj* Institutions) which are part of India's decentralised administration system but do not exist or function in many tribal areas. Grassroots organizations established by the project were expected to be progressively absorbed into local government institutions but such official recognition did not happen to the extent envisaged. The project lacked a clear roadmap towards informing policies and converging with national development programmes, such as the MNREGS.

185. As for MPOWER, collaboration with other public programmes such as the NRLM in Rajasthan, and MNREGS has now started. The Department of Rural Development of Rajasthan is also keen on disseminating the experience of the *krishi sakhi* and *pashu sakhi* models and related extension approaches to other programmes. On the other hand, the project collaborated less with district and block technical departments, with the exception of the veterinary services with which it organized vaccination campaigns. There are policy issues, such as public subsidy schemes for farmers targeting medium-size holders but not available to small and marginal farmers, that would require discussion with policy makers. This has not happened to a significant extent, also because the project's delayed implementation reduces contents and credibility.

186. OTELP has been instrumental in operationalizing and implementing the existing land and forest rights regulations to facilitate the granting of **land titles and rights for access to forests**. The project facilitated the formation of Vana Sangrakhayana Samitis (Forest Protection Committees) to enable community-driven conservation and access to forests. These committees have signed memoranda of understanding with the forest department, thus formalizing the recognition of their role and in turn the role of the communities.

187. Apart from WELP that had policy level objectives but very limited implementation progress, most projects had initiatives with the potential to generate changes in public institutions, policies and programmes. This has so far translated into reality in three cases (OTELP, Tejaswini and NERCORMP II). Overall, impact on institutions and policies is assessed as moderately satisfactory (4), with two projects rated satisfactory, three moderately satisfactory, two moderately unsatisfactory, one unsatisfactory and one not rated, as it had no activities in this area (Annex I).

C. Other evaluation criteria

C.1 Sustainability

188. Abstracting across individual projects, this section examines the resilience of net benefit streams overtime, especially after interventions under projects have ended. For benefits to sustain, there are social, institutional, financial, technical factors to be considered. The overall findings are positive for social and institutional sustainability factors, overall positive but more uneven for the technical and financial ones. Moreover, in the past, project design contemplated only partial aspects of sustainability. This is detailed below.

189. In terms of **social sustainability**, in most projects, the engagement of communities (notably women's groups) in collective action, **the sense of emancipation and quest for better livelihoods is likely to continue** even in the absence of external support. **The capacity of community based organizations to continue operations varies** between and within projects. Issues of dormancy of grassroots groups such as SHGs have emerged in several projects (e.g., MPOWER, PTSLP, CAIM, involving about a quarter of SHGs). One of the strategies was to federate groups (SHG, natural resource management committees and others) so as to generate "critical mass", and avoid groups being left in isolation. A few examples below help illustrate the issues at stake.

190. In the case of OTELP, the sustainability of watershed development benefits hinges on the capacity of community based organizations to operate after project completion. The project has managed to leverage additional resources of the Odisha government for a further phase called "OTELP+" and contract facilitating NGOs for an additional period of time. The SHGs formed are being federated and it is expected that the federations will be handed over to the public scheme NRLM.

191. The sustainability of the community organizations under *Tejaswini* is likely to depend, inter alia, on: (i) the ability of the Community Managed Resource Centres to render financial and livelihood related services against suitable financial

remuneration, and the ability of newly-formed SHGs to pay for them; (ii) the linkage of SHGs and Community Managed Resource Centres to financial institutions: in the absence of credit, the SHGs do not have economic incentives to stay operational. On the other hand, the pace at which the alignment of this Programme with NRLM proceeds may be too fast: reportedly, in some cases credit is being pumped into new groups before ensuring that social cohesion develops among the members.

192. As for NERCORMP II, SHGs have good chances to sustain themselves beyond the project period because of overall good loan repayment discipline. Natural Resource Management Groups and their respective apex bodies are strongly supported by the communities. In the case of the PTSLP and CAIM, it is expected that the National Rural Livelihood Mission may provide additional support to the communities after completion.[74]

193. Another predictor of sustainability is the **support from institutions, policies and political decision makers.** With the exception of WELP (which was closed due to lack of support from state and central government), **the overall picture is favourable**. Most projects are implemented under the responsibility of permanent public institutions at the state level with high policy and political profile.

194. **Technical, economic and financial sustainability** varies across projects but the (limited) information available is generally encouraging. In the case of NERCORMP II, documentation and CPE field visit suggest that returns on economic activities (piggeries, cash crops such as ginger and turmeric, and fruit trees) are high.[75] The concern is more for the future availability of extension and technical services through district agencies after project closure.

195. In the case of MPOWER, available information suggests that activities such as vegetable farming, goat rearing, fruit orchards are profitable (for vegetable farming a project survey estimated an average annual profit of INR 18,000 and for goat rearing an average annual net profit of INR 11,000 per goat under improved conditions).[76] Potential risks relate to marketing, an area in which the project design provided little guidance and for which the project has hired consulting expertise in 2015. While farmers have not yet encountered problems in selling their products, this may become an issue as soon as surplus production becomes substantial. Under MPOWER, crop extension through *krishi sakhi* was useful and simple. It is likely that farmers will be able to hire krishi sakhi in the future on a small fee basis, if their support is found necessary. As for animal health extension and vaccination, these services and related medicines are available at low cost, either through public services or through community assistants (*pashu sakhi*) and farmers foresee being able to pay for service fees in the future.

196. On the other hand, the interim evaluation of JCTDP highlights that, while the project was successful at building small infrastructure for land and water resource management, maintenance by the community has not been as expected, due to the unclear coordination and responsibility of the village level organizations, most of which were no longer functioning after completion. Moreover, financial linkages and connectivity to markets were still underdeveloped.

197. CAIM tries to link farmers to markets and build their capacity for improving productivity, which is expected to allow beneficiaries to be able to receive benefits even after project closure. It is expected that farmers groups, organized in producer companies based on commodity type and market demands, will be

[74] As noted, under CAIM, 65 per cent of Community Managed Resource Centres could cover half of their operational expenses through members' contribution in 2015 and were expected to approach full self-sufficiency by 2017.
[75] For example while the cost of a loan for buying two piglets (principal and interest) would typically hover around INR 5,000-6,000, the net profit could typically be about INR 5,000, a return of almost 100 per cent. At a similar cost, an investment in ginger or broom grass, depending on market prices, may yield a profit of INR 20,000-30,000.
[76] MPOWER- Centre for Micro Finance (2015), Agriculture Based Livelihood Kharif 2015.

enabled to access technology, inputs, skills, markets and finance, and, thus, sustain their own operations. However, the 2015 supervision flags problems in meeting loan repayment deadlines within SHGs, leading to high level of non-performing assets and bad debts.

198. **Ex ante sustainability strategies are emerging in recent projects.** In the past, design attention to "sustainability" was mostly confined to creating federations of SHGs, while attention to economic viability, linkages with PRIs and with public schemes was not at the forefront. The importance of these factors has been better understood during implementation and efforts have been made to help with market outlets and to link with public programmes for further support. This often emerged during the last two years of implementation, when projects started moving at full "cruising speed" after the initial implementation delays.

199. More recent projects designs have reflected on how to support in the long-run institutions, human capacities as well as on linkages to markets. This also requires updating during implementation.

200. Sustainability is overall assessed as moderately satisfactory (4), due to the combination of policy and political support, community-based support to the initiatives, positive but variable support from the technical and economic fundamentals. The importance of devising a sustainability strategy and monitoring the same during implementation is now better understood. One project is assessed as satisfactory for sustainability, five as moderately satisfactory, two as moderately unsatisfactory and one as unsatisfactory.

C.2 Pro-poor innovation and scaling up

201. According to IFAD's 2007 innovation strategy, an innovative idea needs to be: (i) new to its context of application; (ii) useful and cost-effective in relation to a goal; and (iii) able to "stick" (i.e., potential for wide adoption) after testing. The 2011 COSOP identified the following innovation opportunities in India: (i) resilience to climate change; (ii) renewable energy; (iii) remittances and insurance; (iv) fair and effective value chains; (v) information and communication technology.

202. **Resilience to climate change.** Most projects were geared to solve local production problems in a way that can be relevant to climate change adaptation. The most vivid example of such kind of experimentation was in the context of water saving, watershed management, and soil erosion control. These are very pertinent to national priorities as well, beyond the projects' boundaries.[77]

203. Overall, technical inputs in the projects would be more accurately described as measures to enhance productivity and natural resource management. Most projects introduce seed, fruit tree or livestock varieties, or approaches that may be known elsewhere but are new to the project areas. Examples of this are, under the CAIM project: (i) the introduction of broad-based furrow cultivation method for soybean; (ii) partnership with the Better Cotton Initiative (for reducing environmental footprints of cotton growing; and (iii) bio-dynamic compost for organic production of crops and vegetables. Similar findings stem from other projects such as NERCORMP II, LIPH.

204. MPOWER promoted low-cost extension approaches (based on the krishi sakhi- peer farmer; pashu-sakhi – peer livestock farmer) which existed in other Indian states but were new in Western Rajasthan. Finally, although at an early stage, the CPE observed that ILSP is linking individuals and federations of farmers to local agricultural research and training centres (Krishi Vigyan Kendras) for technical advice and inputs, showing that it is possible in India to fund applied agricultural research through a project financing mechanism.

[77] One significant activity which was entirely focused on climate-change adaptation is related to a grant to ICIMOD (IFAD-APR Self-Assessment 2015) which studied climate perceptions and adaptation tactics adopted in 48 villages across 8 districts of Uttarakhand and Northeast India.

205. **Renewable energy.** The awareness and use of the renewable energies is increasing in India at a rapid rate, whether in the form of mill hydro plants, or solar energy, or wind-mill driven power generation. In some remote regions where there are no power grids, the 2015 CPE mission came across solar-driven tube-wells, biodigestors, micro-hydroelectric generators, and photovoltaic power. This was particularly the case of NERCORMP II (see also the *Effectiveness* section). However, outside this project, they were isolated cases. It is important to note that there are many publicly-funded programmes on renewable energy in India and this is not one of the traditional specialty areas of IFAD.

206. **Remittances.** India is perhaps the single largest recipient of the overseas remittances (varyingly estimated around US$75 billion per year). Much of overseas as well as domestic (urban to rural) remittances also reach out in the poorer rural regions of the country, yet there is little specific account of these inflows in IFAD projects. Properly harnessed, it could play an important role in the rural development, as has been witnessed in some states of India (e.g., Punjab, Kerala, and Gujarat). Supported by ICT applications, remittances could be utilized with a whole range of innovative financial instruments in the country. However, in connection with the role and apathy of the public sector banks, the broader financial sector in India is still not adequately engaged in rural development.

207. **Insurance.** Initiatives involving insurance products (e.g., crop, human health/life, animal health) are mainly in three projects (CAIM, Tejaswini, and PTSLP). The portfolio has recently started giving the attention to this instrument. Given the uncertainties of the rainfall and of agricultural production described earlier, the absence of insurance cover inhibits investments in the sector. In the case of distressed farmers, under CAIM, it is at the top of farmers' request, along with access to credit. Under PTSLP, targeted groups have availed of health insurance products and more than 220,000 policies were issued. However, it is to be recognised that insurance schemes for crops or livestock pose challenges, due to the need of heavy subsidization, in addition to the usual problem of information asymmetry (moral hazard and adverse selection). Field visits also showed widespread complaints about insurance companies refusing monetary compensation even when damages had been demonstrated. As for livestock, it may be more effective and efficient to invest on animal health measures that dramatically reduce mortality (such as in MPOWER) rather than on insurance products. The case of crops is more complicated as yields are highly dependent on weather conditions, largely outside a project's or human behaviour influence.

208. **Fair and effective value chains.** In the 2011 COSOP, the emphasis on value-chains was rightly placed so that farmers and rural workers could derive due benefits of their efforts and investments. However, in-depth insights are required for understanding the functioning of markets and the role of different players engaged in transacting business and this is rarely seen in project designs.

209. Under CAIM, value-chain efforts were initially confined to take elementary steps such as sending small amounts of products to the nearby weekly markets or sending milk to the nearest dairy. However, in the case of horticulture and fruit production, there have been some examples of contract farming helping producers groups to access metropolitan markets in big cities. There is not yet empirical analysis of the results of these pilot experiences and exchanges have not been envisaged with similar endeavours by other donors (e.g., ADB engaged in promotion of agri-business in Maharashtra).

210. Some project teams tried to improve farmers' position on markets by branding their products, and having brands registered, e.g., "Bharati" under Tejaswini in Madhya Pradesh, "NEAT" under NERCORMP II, and "Hilans" under ILSP. The latter project has a market linkage thrust although it is still at an early stage: some of the attempts consisted of *ad hoc* agreements between producers' groups and

shopkeepers, while other experiences are emerging in selling larger quantities of vegetable produce directly to wholesale markets.

211. **ICT for blending local and modern knowledge.** The usage of mobile technology and internet has expanded in the country as a whole and ICT usage is spilling-over in the project areas. The emerging use of mobile telephone, unique identity number of each person, and internet-based bank transfer of funds are requiring progressively a larger use of ICT even in the rural areas. The policies of the new government that came to power in May 2014 are leaning on the use of ICT in the country.[78] The 2015 India CPE witnessed instances of ICT use in the field.

212. LIPH (Uttarakhand segment) tested: (i) a web-based "federation help line" for women's SHG on federation governance issues; (ii) Sms-based communication between SHG on cultivation techniques, climate, market rates of various crops, government schemes; and (iii) a distance learning centre affiliated to the Uttarakhand Open University. Under ILSP a strong and functional management information system has been established in Uttarakhand and is available online.

213. MPOWER piloted a mobile banking scheme in the Block of Bap in collaboration with Vodaphone/M-pesa which allows farmers to make deposit and payments to a network of authorised retailers. This is sms-based and can be operated through a conventional mobile phone. The pilot has not yet reached the break-even point for the service providers (they would require a monthly volume of payments of INR 20,000,000 against the current INR 500,000) but it will be assessed and up-scaled by M-pesa if found viable. Similar pilot tests are run under CAIM.

214. Under Tejaswini (and partly CAIM), PowerPoint projectors have been provided to SHG federation offices and many SHGs regularly make their presentations with data and graphics to visiting officials and policy makers. Many SHG members displayed their familiarity with the use of desktops and laptops during the 2015 India CPE mission.

215. **Important progress in scaling-up.** In its 2015 Operational Framework for scaling up, IFAD defines the latter as "expanding, adapting and supporting successful policies, programmes and knowledge, so that they can leverage resources and partners to deliver larger results for a greater number of rural poor in a sustainable way". The internal definition has slightly changed in the course of the years. [79] A number of government agencies in India, both at the central and state level, have found IFAD's solution pertinent to the problems of rural development and the rural poor in India. During the CPE Mission, the World Bank acknowledged IFAD's role in pro-poor innovation and potential scaling-up.

216. **Scaling up that has already taken place**. In the case of OTELP, the state government is funding a third phase, called "OTELP+" for US$100 million, with an IFAD contribution of US$15 million. OTELP+ has a foreseen outreach of 90,000 households in 1,500 villages spread over 525 micro-sheds. In addition, convergence with central government schemes is being pursued with: MNREGS,

[78] For example see: "Technology is increasingly affording better means for the government to improve the economic lives of the poor. The JAM Number Trinity—**J**an Dhan Yojana (cash transfer mechanism), **A**dhaar (unique identity number of each citizen) and **M**obile numbers—might well be a game changer because it expands the set of welfare and anti-poverty policies that the state can implement in future. These technological innovations have renewed academic interest in the potential of direct cash transfers to help the poor. Recent experimental evidence documents that unconditional cash transfers—if targeted well—can boost household consumption and asset ownership and reduce food security problems for the ultra-poor." India. 2015. *Economic Survey 2014-15.* New Delhi: Young Global Publications, p.24.

[79] For example, IFAD in collaboration with the Brookings Institute and the Wolfensohn Centre for Global Development had defined scaling-up as: "expanding, replicating, adapting and sustaining successful policies, programs or projects in a geographic space and over time to reach a greater number of rural poor." See: Linn, Johannes F., Artntraud Harmann, Homi Kharas, Richard Kohl and Barbara Master. 2010. *Scaling Up the Fight against Rural Poverty. An Institutional Review of IFAD's Approach*. Brookings Global Economy & Development Working Paper #43, October, Washington, D.C. (For the International Fund for Agricultural Development).

Public Distribution System, Rashtriya Krishi Vikas Yojana, National Horticulture Mission, Special Central Assistance – Tribal Sub-Plan and NRLM.

217. A third phase, NERCORMP III, for US$90 million covering new districts targeting 58,850 beneficiary households in 1,177 villages was launched in 2014 as a six-year project. It is funded exclusively by the Government of India (central level) to expand NERCORMP II activities to new districts. NERCORMP I model is being expanded by the Word Bank Project (North East Rural Livelihoods Project) in four new states of North Eastern India.

218. In the case of LIPH, the SHG component is being scaled up through the NRLM and there is a plan for PTSLP to scale up the vulnerability reduction fund and the insurance products also through the NRLM.

219. **Scaling up that is planned**. In the case of Tejaswini, the Government of Maharashtra showed interest in scaling up the approaches. Tejaswini-Madhya Pradesh also expressed interest in the extension of coverage to other districts along with the implementation of government's NRLM. "Shaurya Dal" initiative under the project is likely to be extended throughout the state, and there is also an expression of interest from New Delhi to extend it to other states.

220. As for the new JTELP, the 2014 Supervision Mission mentions that, for the first time, the Project has forged financial convergence with the Special Central Assistance-Tribal Sub-Plan which funds schemes/projects for economic development of Scheduled Tribes. It has also forged financial convergence with grants under Article 275 of the Constitution for the purpose of promoting the welfare of Scheduled Tribes in the states or raising the level of administration of the Scheduled Areas. In the case of LAMP, the project design report anticipates that project clusters may be scaled up to cover the rest of the state funded by the Government and/or other donors, by building institutional capacity and generating a supporting knowledge base.

221. In terms of support to innovation, progress has been generalised on improved agricultural technologies and techniques which are also pertinent to climate change adaptation. There are some recent initiatives on ICT and commodity value chains and insurance product (crop, life). Investments involving renewable energy were concentrated in one project. Little was found to report on remittances. There are several examples of scaling up that has taken place (or is firmly planned), some of which can be considered truly exemplary for IFAD (OTELP, NERCORMP II). Bringing these two dimensions together, the overall rating is satisfactory (5) with two projects rated as highly satisfactory, four as satisfactory, two as moderately satisfactory and one as moderately unsatisfactory.

C.3 Gender equality, women's empowerment

222. The Indian government is committed to gender equality and empowerment, as reflected in its constitution, legislations, policies and programmes. In practice, however, Indian women still have a long struggle on their hands to attain gender equality and empower themselves. Overall sex ratio in the country is a summative indicator of this struggle. As per 2011 Census, there were only 943 women per 1,000 male in India. Female literacy rate, at 58 per cent, is 19 per cent below that of males. A Landesa - UN Women study in three Indian states (Andhra Pradesh, Bihar and Madhya Pradesh) notes that only 13 per cent of rural women have either inherited or expect to inherit land.[80] Workforce participation rates for males at 53.3 per cent were higher and increasing, compared to women's rates at only 25.5 per cent and stagnating.

[80] Landesa. 2013. The Formal and Informal Barriers in the Implementation of the Hindu Succession (Amendment) Act 2005: In the context of Women Agricultural Producers of Andhra Pradesh, Bihar and Madhya Pradesh. UN Women. India/New York. http://www.landesa.org/wp-content/uploads/hsaa-study-report.pdf

223. Focusing on women's self-help groups and empowerment, IFAD-funded projects try to create an enabling environment for women to take part in village councils, claim rights to agricultural land, access natural resources, access credit markets, and improve services for potable water, fuel and fodder to lessen their drudgery.

224. **Evolving treatment of gender equality in IFAD operations.** The promotion of gender equality and women's empowerment is emphasised in COSOPs 2001, 2005 and 2011 and special focus is placed on reaching women-headed households, women from scheduled caste and scheduled tribe communities, and marginalized occupations (e.g., small and marginal farmers, and agricultural labour). In the past, projects typically established minimum quota for women's participation (e.g., minimum 50 per cent of women members) and provided basic infrastructure (e.g., access to water) to reduce drudgery. In more recent times, as a consequence of the evolving thinking at IFAD and previous evaluation findings,[81] project designs have required the preparation of a gender strategy, emphasising, inter alia, the analysis of gender roles, the sensitisation of men and women and the importance of gender balance for project staff.

225. This section selectively focuses on the three objectives of the 2003 IFAD Gender Action Plan:[82] (i) expand women's access to and control over fundamental assets – capital, land, knowledge and technologies; (ii) strengthen women's agencies – their decision-making role in community affairs and representation in local institutions; and (iii) improve women's well-being and ease their workloads by facilitating access to basic rural services and infrastructures.

226. **Access to assets, knowledge and technologies.** Most projects have adopted the self-help group approach, and membership of these groups is reserved to women only. As mentioned earlier, the purpose was to provide members with access to financial resources in the form of savings and small loans. In terms of results, there is qualitative evidence on changing attitudes towards more joint-decision making on investments in number of projects. During field visits in NERCORMP II in June 2015, women and men agreed that there is far more consultation now on decisions whether to invest on livestock, cash crop growing, and how to use money for priority household consumption items). In the case of Tejaswini-Maharashtra, an impressive 68,166 women have received joint house titles and 12,514 have received joint titles to agricultural land. Similar progress was made towards joint titles under CAIM.

227. According to the project performance assessment of LIPH: (i) 93 per cent of women reported that their control over household livelihood income had increased; (ii) 72 per cent of women reported that compared to project start-up time, their role in household and livelihood decision-making had increased significantly; and (iii) 98 per cent of women reported developing a better understanding of financial institutions and products.

228. **Strengthening women's agencies – their decision-making role in community affairs and representation in local institutions.** Performance on reaching targets of SHG formation has been good in most projects. Women's Federations and Community Managed Resource Centres have been formed under ILSP, NERCORMP II, Tejaswini, PTSLP and CAIM. Women are actively participating in a number of fora at different levels, village, clusters, and blocks. Women elected from SHGs and federations are addressing issues of drinking water, electricity,

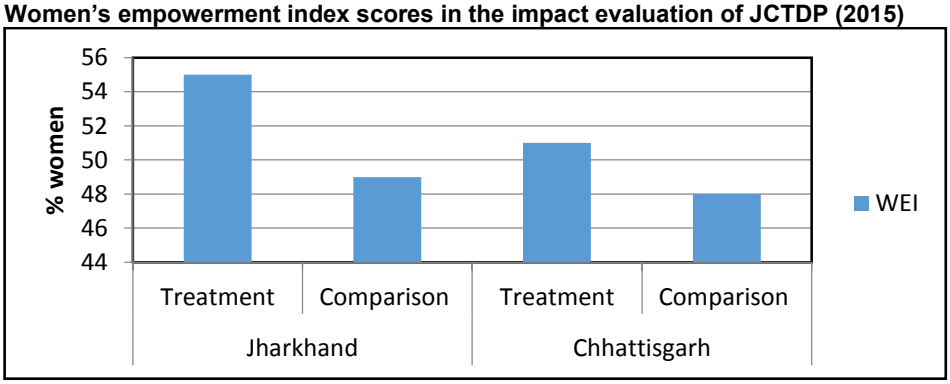
[81] The aspect of gender equality is treated in most evaluations, a comprehensive work was the Corporate-Level Evaluation on IFAD's Performance with Regard to Gender and Women's Empowerment completed in 2010.
[82] In 2012 IFAD approved a Policy on Gender equality and Women's Empowerment with very similar objectives: (i) promote economic empowerment to enable rural women and men to have equal opportunity to participate in, and benefit from, profitable economic activities; (ii) enable women and men to have equal voice and influence in rural institutions and organizations; (iii) achieve a more equitable balance in workloads and in the sharing of economic and social benefits between women and men.

garbage disposal, and poor health services. This facilitates greater accountability of public services to women and men in the rural areas.

229. In terms of participation and representation in local institutions, the OTELP self-assessment by the project unit (2015) mentions that, in the latest Panchayat elections, women were participating in higher numbers compared to the past and many succeeded to be elected (although further data are not provided). In Tejaswini-Maharashtra, 3 per cent of the SHG members had been elected to various Panchayat Raj Institutions.

230. The impact evaluation of JCTDP computed a composite index of women's empowerment[83] and found that project population had higher scores (more empowered) than control groups (Figure 2). However, the evaluation noted that differences were significant but small, and argued that the project missed out some practical interventions in basic services to improve women's well-being, such as access to potable water, and did little to sensitize men.

Figure 2
Women's empowerment index scores in the impact evaluation of JCTDP (2015)



WEI Women's empowerment index score
Source: JCTDP, Impact Evaluation Report (2015).

231. **Improving women's well-being and easing their workloads.** Women face considerable drudgery, especially in hilly and remote areas, and projects have focused on reducing both household and livelihood related drudgery. Initiatives include the introduction of smokeless stoves, strengthening access to drinking water, sanitation and roads, increasing forest cover and access to fodder. In some projects, they also included agricultural tools and equipment that are ergonomically appropriate for women and post-harvest processing equipment.

232. For most of the projects, women's drudgery is reportedly reduced (e.g., by enhancing access to potable water, fuel or by providing simple technology such as rice milling machines or threshers), as in the case of MPOWER (recently enhanced), LIPH, NERCORMP II, Tejaswini and CAIM. For two projects, JCTDP and WELP, limited attention to practical drudgery reduction has been reported in the documentation.

233. **One project addressed problems of abuse of alcohol and domestic violence**, of which women and children are the main victims. Apart from the effects on altering behaviour, alcohol abuse by men is a serious problem as it constrains disposable income for buying food, often at the expense of adult women and children's nutritional status. Under OTELP and NERCORMP II, some SHG members have discussed these issues during group meetings and managed to have elderly and respected men and women from the village talk to SHG members' husbands. A more structured approach to the problem was found under Tejaswini.

[83] Namely: (i) autonomy and authority in decision-making with respect to the financial and intra-household decision-making process; (ii) group membership in village-level institutions and leadership; and (iii) comfort in raising voice against social and domestic issues.

234. **Shaurya Dal.** In Madhya Pradesh, the Tejaswini project cooperated with a state initiative to introduce "Shaurya Dal" (bravery squad). A Shaurya Dal is a village level committee made up of five-to-eight members drawn from SHG/village level committee, teachers, Asha workers (health workers), and Anganwadi workers (attached to the government's Integrated Child Development Centres), community resource persons, representative from the local government, a village guard and two men from the same village.

235. The main purpose of the Shaurya Dal initiative is to mobilize the communities against gambling, alcoholism, domestic violence. Shaurya Dals also mediate on social issues such as encroachment of land of the marginalized by privileged groups. Eighty percent (80 per cent) of the cases have been resolved, other than in cases of dowry harassment wherein the resolution rate is 55 per cent. These figures are much higher than the resolution rates of government. Seeing the impact of Shaurya Dals, the Madhya Pradesh government has commenced scaling up this strategy to the entire state. The scaling up of Shaurya Dal is mentioned in Vision 2018 document of the state government. Reportedly, the Ministry of Women and Child Development is considering scaling-up this approach to the entire country.[84]

236. In Maharashtra, the Tejaswini project has followed a different approach to redress women's issues: it trained paralegal workers (known as *kaydasaathis*) who have the mandate to counsel women on various issues, such as domestic violence and refer to the appropriate institutions such as police and judiciary. As of 2015, 3,500 village level kaydasaathis have been trained. For both Maharashtra and Madhya Pradesh initiatives, Tejaswini has won several awards, in India and also at IFAD.

237. Overall, gender equality and women's empowerment is assessed as satisfactory (5) across the portfolio, with one project rated highly satisfactory, five satisfactory, two moderately satisfactory and one moderately unsatisfactory.

D. Overall portfolio assessment

238. Overall, this CPE finds the IFAD-funded portfolio in India generally solid, with some peaks of high performance. Table 14 provides a summary of portfolio ratings while details by project are presented in Annex I. Since it is a large portfolio, unsurprisingly there is some variation in performance between and within projects. A rapid glance through the detailed table of project ratings (Annex I) shows that, across criteria and projects, ratings range from 2 (unsatisfactory) to 6 (highly satisfactory). Out of nine projects assessed through the full range of criteria, the overall achievement is rated fully satisfactory for three projects (OTELP, Tejaswini, NERCORMP II), moderately satisfactory for five (JCTDP, LIPH, PTSLP, MPOWER and CAIM); and moderately unsatisfactory in one case only (WELP).

239. The rating of moderately satisfactory (4) for the overall portfolio achievement reflects the above variations. Almost all the evaluation criteria are assessed in the "positive zone" (4 or higher), with relevance, innovation and scaling up and gender equality rated as overall satisfactory (and even higher in some projects). The exception is efficiency which has been rated moderately unsatisfactory (3) at the portfolio level. This is largely due to start-up and implementation delays: time slippages introduce a number of second-order unforeseen implementation problems, also affecting effectiveness, impact and other criteria. These problems are not exclusive to the IFAD portfolio in India, as gathered through discussions with the Asian Development Bank and the World Bank.

[84] Directorate of Women Empowerment, n.d., Transforming Lives (A document on Shaurya), Directorate of Women Empowerment, Department of Women and Child Development, Directorate of Women Empowerment, Bhopal; and Government of Madhya Pradesh, 2013, Madhya Pradesh Vision 2018, An Agenda for Development Change and Good Governance, Department of Planning, Economics and Statistics, Government of Madhya Pradesh, Bhopal.

240. Compared to the ratings of the 2010 CPE, the current CPE ratings for effectiveness, efficiency and impact are lower and this may be connected to the implementation delays experienced by several projects which also affected other criteria. Moreover, the low ratings of the single most problematic intervention (WELP) have affected the overall portfolio rating.

241. The ratings of this CPE are in the range of the average ratings for projects completed in the period 2010-2015 in the Asia and the Pacific Region of IFAD, as reported in the database of the Annual Report on Results and Impact of IFAD's Operations, except for efficiency which is lower, while the rating for innovation and scaling up is higher.

Table 14
Summary Portfolio Ratings

Criterion	*Current CPE rating*	*Previous CPE rating (2010)*	*ARRI average project ratings in APR projects completed in 2010-2015 (35 projects)*
Relevance	5	5	4.5
Effectiveness	4	5	4.3
Efficiency	3	4	4.2
Impact	4	5	4.4
Sustainability	4	4	4.0
Innovation and scaling up	5	5	4.1
Gender equality and women's empowerment [a]	5	-	4.6
Overall Assessment	4	5	4.3

a. This criterion has been introduced since late 2010.
Source: Current CPE. Details by project are presented in Annex I.

Key points

- The portfolio has focused on very challenging areas and target groups, with a strong empowerment component and with attention to rain-fed agriculture, learning from past experiences and increasing awareness of the importance to link with public development and social programmes. Overall the intervention paradigm is relevant.
- There are limitations in the technical contents of traditional agricultural interventions, limited attention in past project designs to working on territorial and commodity clusters and linkages to markets and value chains. These are increasingly brought in the design concept although the challenge is how to apply them in practice.
- Weak efficiency of implementation process bedevils the portfolio. Slow implementation is the result of several factors including complex project settings but also capacity gaps in the implementing agencies and arrangements (high staff turn-over, non-competitive compensation packages, poorly devised remuneration schemes for NGOs and cumbersome procurement procedures at the state and local government levels).
- Portfolio impact is nonetheless satisfactory in terms of household assets and income, human and social capital and moderately satisfactory in other domains.
- Project benefits have moderately satisfactory chances to continue after closure, thanks to strong collective action in the communities, political support, and positive, albeit variable, technical and financial viability.
- In terms of innovation, there has been progress in introducing improved agricultural techniques, emerging initiatives on ICT, pilots on linkages with markets and value chains but little on remittances. There are several examples of scaling up, some truly exemplary.
- Progress on gender equity is one of the strongest elements in the portfolio. One project introduced an approach to control domestic violence which is now considered for scaling up at the state level with opportunities for national level scaling up.
- This CPE rated the overall portfolio achievements as moderately satisfactory, in consideration of variations in performance. Portfolio ratings are in the "positive zone" for all criteria, except efficiency (moderately unsatisfactory).

V. Performance of partners

242. This section will assess the performance of partners (IFAD and the Government) during the CPE period. The assessment of IFAD's performance included project design, supervision and mobilizing technical support, self-assessment, solving problems and implementation bottlenecks and organization and resources of the country office. Government performance is assessed in the areas of contribution to project preparation, exercising ownership, providing policy guidance, mobilization of human and material resources, implementation management, responsiveness to supervision recommendations, fiduciary aspects and M&E.

E. IFAD Performance

243. IFAD is appreciated by all stakeholders for maintaining a strong participatory process in the formulation and management of its country strategy and project interventions over the period of the last three COSOPs. This consultative dimension has been instrumental in securing ownership of the main stakeholders and assigning the governance of the projects appropriately in the public system.

244. **State governments value IFAD's culture of constructive support and attention to quality**. State governments appreciate IFAD's flexibility in responding to changing needs and adapting to emerging circumstances during the project cycle. They positively recognize IFAD's modus operandi: bestowing full responsibility and authority of implementation to the designated government agencies and being available to provide guidance and problem-solving support when needed. They also appreciate IFAD's emphasis on quality of implementation and not just on expanding coverage, as well as allowing flexibility for risk taking and experimentation for innovation. Compared with other international development partners, including international financial institutions, IFAD is considered more responsive and easier to cooperate with.

Design of Interventions

245. **Positive design elements include embedding participatory approach in project processes, emphasizing capacity development of community organizations and women's empowerment.** A notable positive aspect of the design has been embedding a flexible, non-over prescriptive, process-oriented approach in the projects to enable the stakeholders to determine their priorities, the scope of programme activities, their timing, pace and sequencing. Another distinctive common feature of project design in all cases also has been the singular emphasis on capacity building of communities and community organizations instead of being simply technical output-driven.

246. **However, there were also design gaps, despite IFAD's considerable experience in project formulation.** Designing interventions in very poor and secluded areas poses challenges of access, information and data, governance, and limited presence of institutions. Project designs generated through IFAD's established institutional project design process generally reflect good professional standards. Despite these, design gaps and weaknesses of various degrees have surfaced, as detailed under *Relevance* and *Efficiency*. Such weaknesses creep in due to ambitious expectations, geographic spread, sometimes compounded with limited financing volumes. Often, there is also optimism regarding the level of preparedness and capacity of the government implementing agencies.

247. **In designing recent interventions IFAD complied with the recommendations of the of the 2010 CPE**, which articulated the following principles for future programmes: (i) one state one project; (ii) adopting a "saturation approach" within the state; (iii) not to finance projects in previously uncovered states; and (iv) explore opportunities for convergence with public programmes at the time of project formulation (although making convergence work often proves quite challenging). IFAD's procedures allow cancelled funds from

"problematic" projects to be retained in the country programme and allocated to high performing projects. The Government of India availed this in 2015, by closing WELP and shifting the balance lending funds to PTSLP.

Supervision, implementation support and self-assessment

248. **IFAD maintained a good track record of quality and timeliness of the supervision missions.** Supervision missions were conducted in a timely manner. The quality of supervision reports and MTRs has been of good professional quality and well substantiated. Supervisions findings are reflected in the annual project status reports which are reviewed by APR's external advisors, commenting on the ratings.[85]

249. The CPE mission during its field discussions received overall positive feedback from different stakeholder groups on the process and quality of the supervision and the follow-up missions.[86] At the same time, there was a mute perception that state agencies and local stakeholders should engage more actively in the design process. There were also some disparate comments on supervision missions at times being repetitive in their findings and that occasionally the reports did not reflect the project management's views in a balanced way. In an exceptional instance, it was also mentioned that some of the IFAD recruited consultants, while professionally experienced and technically competent, happened to under-appreciate the expertise and experience of the local project team.

250. In Tejaswini-Maharashtra, the project design originally accorded onus on public sector banks for credit access by SHGs which was a misplaced expectation. After a period of inactivity, IFAD supervision missions recommended switching to partnership with private sector lenders, resulting in a substantial increase in credit flows to target SHGs. In CAIM and MPOWER, IFAD's supervision helped shift from output-based payment system to input based system to NGO. Output-based system was difficult for small NGOs as it entailed considerable financial outlay at the beginning. By shifting to input based payment (a NGOs receive an initial payment before starting field work and another payment later), performance improved. Similarly, under the Post-Tsunami project, IFAD's supervision helped partners re-designing the project, putting the same on a more solid footing.

251. Due to delays in start-up and slower pace of implementation, IFAD has been responsive so far to extension requests for project completion, based on valid justifications. IFAD is now taking a more critical stance towards project extension at the corporate level and this may be reflected in future decisions affecting projects in India. Clarifying to new projects that extensions may not be granted could give them stronger responsibility for a smoother start-up. The question is whether this is also the case for on-going projects whose implementation has now picked-up after initial delays. The irony here would be that, just as projects start delivering, they would be forced to stop short of the stipulated targets.

The IFAD country office

252. IFAD had opened a country office in New Delhi in 2001 (hosted in the WFP premises), even before IFAD embarked on the field presence pilot programme. This country office is now staffed with three professional staff members. The Country Programme Manager has always been based in Rome thus far. As a follow-up to the recommendation of 2010 CPE, in 2011 IFAD initiated with the Government of India the procedures to outpost the country programme manager in New Delhi. After a long process, in June 2015, the Government of India gave its final approval (the new CPM is expected to join in the course of 2016).

[85] Because the criteria are not the same, it is not possible to directly compare project status reports' ratings with CPE portfolio ratings.
[86] Projects that are late in disbursement receive an IFAD supervision mission as well as a follow-up mission per year. The latter helps follow-up recommendation of the former.

253. **The setting up of the country office improved the programme management backstopping capacity in country**. Country presence has enhanced the engagement with the projects and state level functionaries which enabled more timely follow-up actions. The CPE mission observed that the state governments and project support units have familiarity and some degree of reliance on the country office for implementation and process support. The results of the 2015 partner survey attest to the good appreciation for IFAD's work in the country.[87] Another visible benefit of country presence has been the swifter withdrawal applications of loans. Disbursement time from application submission has dropped from 17 days in 2013 to 13 days as of end September 2015 (according to the Controller's and Finance Services Division of IFAD).

254. The country office has delivered well in project implementation support while **staff time and specific expertise are limited for higher-level dialogue with partners and technical discussions**. With the relocation of the CPM, there may be more delegation and major decisions related to country strategy, loan and grant resource allocation, and programming priorities could be taken more expeditiously. This higher-level presence may hopefully facilitate more frequent high level dialogue with the Government and other development partners, and a more decisive presence and stance in different representational and development fora (this topic is further addressed in Chapter VI).

Sub-regional activities

255. Following a corporate level shift, the Asia and the Pacific Division of IFAD (APR) is elaborating a decentralization plan. This will involve, inter alia, out-posting of staff and setting five sub-regional hubs of which India is one.

256. In reality, since 2013, the India country office has supported IFAD operations in other countries (Nepal, Bhutan, Sri Lanka and Maldives). The idea behind the "regional hub" concept is to capture economies of scale by grouping resources at a sub-regional level (some countries do not have a country office). There are some enabling factors that make it a workable proposition. The countries in the sub-region share similar work culture and bureaucratic set up and also share common project elements, e.g., rural finance, natural resource management, livelihoods, access to markets. Additionally there is scope for setting up a common pool of consultants. The countries are well connected by flights through New Delhi. This provides an opportunity for accessing cost effective technical services, affordability by the country offices to reach out to others to offer human resource support and cross learning.

257. The India country office staff participated in joint design, appraisal, supervision and implementation support missions in Maldives, Nepal and Bhutan. Financial management and procurement advice to the other countries was also provided through the focal person in the India office. In turn, staff from Nepal and Sri Lanka country offices participated in supervision missions in India.

258. Capacity building and knowledge management events for the benefit of all on-going projects within the regional hub countries have been hosted by India projects OTELP (2013) and WELP (2014). A further event took place in late 2015 on gender equality, organized in collaboration with Tejaswini.

[87] IFAD conducts a bi-annual survey of partners for the 35 countries in which it has an office. Survey respondents score IFAD's performance in several areas. These surveys are to be taken with a grain of salt: respondents are identified by the country office and may not be fully representative and, ultimately, scores reflect opinions and perceptions. In any case, survey ratings for IFAD in India (2015) are almost always above average. For indicators that relate to *country ownership and harmonization to national procedures*, with a score of 5.30 (out of maximum 6) IFAD in India ranks 8th out of 35 countries; for *contribution to income, food security and empowerment* (score of 5.25) it ranks 9th; for *policy dialogue and discussion with civil society* (score 5.04) it ranks 11th); 12th for *environment and climate change* (score 4.72). Although the rating for India is high on *effective partnership* (score of 4.95), it ranks a slightly below the median point (19th) of the distribution of the 35 countries considered.

259. **Balancing ambitions with resource constraints.** The total budget for running the country office was US$750,000 in 2014 and is estimated at a slightly higher level for 2015. Excluding the supervision mission and staff travel expenses (which are high, given the portfolio size), the budget is in the range observed in other IFAD country offices with the same staffing levels (i.e. about US$325,000 against a range of US$300,000 – 350,000). The largest driver of costs relates to supervision and mid-term review missions (49 per cent), country office staff salaries (29 per cent) and office rental and other operating costs (12 per cent). While a small portion of the budget is for workshops and local consultancies (3 per cent), there is no budget for analytical work and studies. This budget size is well below compared to the similar offices of UN agencies in India, not to mention IFIs. The resources for the critical non-lending functions like policy dialogue and knowledge management are almost non-existent.

260. With the menu of responsibilities stated above and only three professional staff, the size, geographical spread and complexity of the programme make it extremely difficult for the country office to perform equitably in all areas of their responsibility. Most time is spent in project back-stopping and implementation missions, while **critical non-lending dimensions receive less priority in the agenda**. In that sense, the lack of resources and scarce availability of time make staff capacity truly over-stretched.

F. Government

261. **The central and the state governments have been supportive of IFAD's mandate and its emphasis on disadvantaged areas and groups**. State governments have requested IFAD's interventions in very poor areas where other donor-supported projects are generally not invited to operate. They have also provided substantial counterpart financing to the projects.[88] This shows the confidence and support IFAD enjoys with the state governments. The Department of Economic Affairs of the Ministry of Finance is overall very supportive of IFAD's mandate and operations in the country. It has recently expressed, nonetheless, some reservations on the portfolio implementation pace and on selected aspects of the strategic focus, requiring some fine tuning with IFAD (see the comments on the CPE approach paper in Chapter I).

262. **Tripartite Review Meetings provide central level oversight on portfolio implementation but central technical ministries do not participate regularly**. The Department of Economic Affairs (Ministry of Finance), has ensured regular reviews of the portfolio (two to four per year), beyond the recommendations of the CPE 2010 (at least one coordination meeting per year). The reviews have been "tripartite" so far, meaning that they included DEA, IFAD and the project teams. However, other central technical ministries (e.g., Tribal Affairs, Rural Development, and Agriculture) have not participated on a regular basis in these reviews. It is also for this reason that these ministries have limited knowledge of what IFAD does in the country and can not support IFAD projects more actively.

263. **There is unsatisfied need for policy-level discussion and technical exchanges between projects.** Tripartite meetings are a good mechanism to monitor progress in disbursement and implementation of the portfolio including emerging bottlenecks. However, these meetings usually do not provide opportunities among projects to exchange more directly on thematic items of practical interest (e.g., SHG-bank linkages, value chain development experience or any other theme of interest for the projects). As previously noted, many projects have come up with practical approaches that would help solve problems faced by other projects in other states. Technical exchange side-events could provide

[88] In the past 6 projects, government funding corresponded to 35 per cent of total estimated costs, just slightly below IFAD's 37 per cent.

additional learning and exchange space between projects but these are not organised systematically.

264. **Slow implementation and disbursement of funds** have been a chronic problem of the portfolio.[89] The most problematic cases has been the initial phase of the Post-Tsunami (entry into force declared two years after approval and further implementation delays), and WELP (three year-delay between loan approval and entry into force). For the latter, the loan was closed in January 2015 in advance of scheduled completion. Here, however, a large part of the responsibility was in the project design and is shared between the Government and IFAD. M-POWER, Tejaswini and CAIM have shown some implementation resilience, yet they still suffer from slow delivery and less than expected fund disbursement and expenditure. According to the impact evaluation of JCTDP, the two concerned state governments faced major challenges at the outset of implementation, given that they were established as separate states only in the year 2000 with their own governments, legislatures, and administrations. Furthermore, the irregular fund flow from Chhattisgarh and Jharkhand affected the implementation pace.

265. **Turn-over of project staff continues to be a serious problem** for project implementation. This problem is reported for the majority of projects and involves project managers, staff, as well as the personnel of cooperating NGOs. In turn, this is claimed to be caused by hardship of project post assignments, low remuneration and political interferences. One of the CPE 2010 recommendations (to the Government) was to control staff turn-over and indeed it seems that only in the past two-three years this matter has started receiving attention.

266. In the case of Tejaswini, for example, in Madhya Pradesh, the latter had five project directors between September 2011 and September 2012.[90] It was only after 2012 that the situation stabilized. Likewise, the Post-Tsunami project initially faced a very high level of turnover among project directors with six having changed between July 2007 and September 2010. Similar attrition has also been observed among the district implementation offices. However, later in the implementation, the government ensured a more stable tenure for the director. The same problem is reported for CAIM and others. Not surprisingly, the project that suffered less from turn-over (NERCORMP II), was also among the best performers.

267. **Fiduciary aspects**, a responsibility of the Government, are assessed by the annual supervision missions and ratings are compiled by IFAD. Six areas are reviewed by IFAD-Management: (i) quality of financial management; (ii) disbursement rate; (iii) counterpart funds; (iv) compliance with financing covenants; (v) compliance with procurement; and (vi) quality and timeliness of audits. Of these, the average IFAD-Management ratings of projects in India for 2015 were in the positive zone (4 or higher) for counterpart funds, compliance with financing covenants and compliance with procurement.[91] The average rating for quality and timeliness of audits was nearly positive (3.9). Instead, averages for quality of financial management (3.7) and disbursement rate (2.6) were below the positive threshold and APR regional averages. Performance in fiduciary matters can vary (upwards and downwards) from one year to the next, in individual projects and in the whole portfolio. Trends in ratings in the past three years suggest an improving path, particularly in the areas of procurements and quality of financial management. However, compliance with fiduciary obligations is still an area requiring attention.

[89] This includes IFAD and Government's counterpart funds. As explained by the Controller's and Financial Services Division of IFAD, projects in India follow the practice of using the government's counterpart funding before utilizing IFAD allocated loan funds.
[90] MP Supervision 2012.
[91] The 2015 averages ratings for India are indicated below with APR averages in parenthesis: (i) quality of financial management: 3.7 (4.0); (ii) disbursement rate: 2.6 (3.4); (iii) counterpart funds: 4.5 (4.4); (iv) compliance with financing covenants: 4.3 (4.3); (v) compliance with procurement 4.1 (4.2); and (vi) quality and timeliness of audits: 3.9 (4.1).

268. **Government promoting scaling up**. The scaling-up of NERCORMP II was decided and funded at the central level: the North Eastern Council (Under the Ministry of Development of North Eastern Region) approved a third phase of NERCORMP, entirely funded by the Government of India (started in 2014 with a total foreseen investment of US$90 million in the states of Assam, Manipur and Meghalaya).

269. For OTELP, the Government of the state of Odisha has decided to rapidly upscale the project's activities through a new phase called OTELP+, to consolidate the achievements in OTELP target districts and extend activities to new districts and blocks. The funding of IFAD towards this endeavour is estimated to be about US$15 million, with the government expected to contribute US$100 million.

270. Madhya Pradesh is working on scaling up selected initiatives such as the 'Shaurya Dals' across the state, using its own resources. This is keeping in line with the thrust on a number of women welfare schemes introduced by the state government. In Tamil Nadu (Post Tsunami project), the government has also taken note of some innovative pro-poor initiatives such as the Vulnerability Reduction Fund and has planned to scale them up as a part of the NRLM.

Monitoring and Evaluation at the project level

271. As for many other aspects of project management, performance of M&E systems varies between projects. Project-level output data (e.g., number of SHG formed, number of people trained) are generally available, although it is not always compared with the original targets. Information is not always available on certain aspects of implementation quality. For instance, projects regularly report on the number of SHG formed but not always on their institutional strength, or their credit discipline. Similarly, there are often estimates on the number of training or extension sessions held but rarely information on what beneficiaries have learned, or on the adoption rates of a given technique. There is also unsatisfied need of "real time" information regarding project's truly innovative experiences such as pilot collaboration schemes with private sector companies (have they succeeded? Is there a chance to bring them up to scale?).

272. Compliance with the requirements of IFAD's Results and Impact Management System (RIMS) is good: projects are reporting according to the standard framework (level one-output and level two-outcome)[92] and have conducted baseline surveys on impact (level 3 of RIMS).

273. On a positive note, ILSP is building up a detailed management information system with baseline data on project sites and options to run electronic queries and analyse data. If the database is maintained regularly, so that changes across the years can be followed (e.g., crop yields, performance indicators of producers' groups), it could become a good example of outcome-level monitoring.

274. The annual outcome surveys conducted by many projects are a distinctive feature of the portfolio in India and a welcome improvement. These surveys provide more structured information on results ("outcome" is perhaps a misnomer: many of these surveys report on outputs and impacts as well). They are available annually, thus providing feedback to project management within a reasonable time frame and they include comparison groups. However, the annual outcome surveys could benefit from some methodological refinement to improve their robustness and consistency. The main issues noted by the CPE have to do with the sampling strategy (e.g., the issue of sample rotation under the Impact section), lack of key common indicators across projects and lack of a proper longitudinal analysis (comparison is generally done with the year before, thus in a short time span, rather than with the baseline survey), lack of statistical testing for significance of

[92] However, there has been criticism at IFAD on the outcome-level reporting of the RIMS which, up to now, only consisted of rating without much supporting evidence.

difference between project and comparison groups. If these issues were addressed, outcome surveys could become a good practice case for IFAD, also beyond APR.

275. **Ratings.** At the portfolio level, both the performance of IFAD and of the Government are assessed in the "positive zone" as moderately satisfactory. The project specific ratings (Annex I) for the two partners are very similar, as it could be expected given that they were partners in design and implementation. In the case of IFAD, the main assets are: commitment to work and experience in very challenging areas, good cooperative attitude, responsiveness and attention to quality, and track record in project supervision and implementation support. Areas for improvements relate to the need to better calibrate design expectations with implementation capacity on the ground. The country office is provided with limited resources, against huge workload and increasing ambitions (e.g., sub-regional activities). In particular, resources are scanty for non-lending activities which are an emerging expectation of international cooperation agencies in India (see also Chapter VI). Looking at individual projects, IFAD's performance is assessed as fully satisfactory in four projects, moderately satisfactory in four and moderately unsatisfactory in one.

276. From the Government side, the points of strength are commitment and support to IFAD's mandate, which also translated into high co-funding levels and scaling up efforts, and efforts to ensure oversight of the portfolio. Weaker areas are implementation capacity, and staff turn-over. As for individual project ratings, the Government's performance is assessed as satisfactory in three projects, moderately satisfactory in four and moderately unsatisfactory in two.

Key points

- IFAD is recognised by the federal and state-level governments for a participatory approach at project design and for its modus operandi: giving authority and responsibility of state agencies but being ready to assist when required. State government appreciate IFAD's attention to quality of development outcomes, not just quantitative outreach.
- It is a challenge for IFAD to find the right balance between designing comprehensive interventions that tackle structural constraints in disadvantaged areas and calibrating the design to the implementation capacity and constraints of state and local agencies. IFAD has devoted considerable efforts to support portfolio implementation. Its country office is small and new sub-regional tasks and higher-plane dialogue ambitions compete for time and money with portfolio support. Its capacity is currently over-stretched.
- The Government has been supportive of IFAD's mandate and portfolio at all levels with the clearest visible examples at the state level agencies and, at the federal level, in the Ministry of Finance.
- However, implementation is still a weak area. It takes time to fully recruit project teams and the high turn-over of staff has marred the execution of annual work programmes.

VI. Non-lending activities

277. **Non-lending activities are integral to IFAD's work at the country level and create critical pathways for moving greater numbers of people out of poverty**. The coordinated strength of the three prongs of non-lending activities (knowledge management, partnership and policy dialogue) can create enabling conditions towards scaling up successful innovations of IFAD supported projects through catalysing influence of distilled knowledge, coalition of partnership and policy change.

278. The assessment of non-lending activities is carried out separately from the loan portfolio, and attempts to examine the activities conducted and the results reached

in making those activities support or synergize with the COSOP objectives. However, some of the so-called "non-lending" activities can in fact be supported by projects, for instance a project may have an allocation for policy dialogue initiatives. Non-lending activities are to be understood as shared work and responsibility of the Government, IFAD and other relevant partners.

G. Knowledge Management

279. IFAD Knowledge Management Strategy (2008) underscores the importance of articulating knowledge management objectives strategy in COSOPs and reporting on their achievement in the COSOP reviews.

280. **The India 2011 COSOP incorporated knowledge management as a cross-cutting objective but there was no systematic follow-up strategy.** The essence and intent of knowledge management in the 2011 COSOP was to make appropriate knowledge, generated through its long experience in the country and elsewhere, available at all levels of the programme operation to improve the performance and impact of IFAD projects and grants. The overall implementation of COSOP during this cycle did not include a clear knowledge management follow up strategy, with an assessment of the demand for knowledge at various levels, plans for generating specific knowledge products, sponsoring knowledge sharing events, or developing a platform for periodic facilitated interactive discussions. One prime reason for this weakness could be attributed to both human and financial resources constraints as well as low incentives.

281. **In spite of the above, projects and the country office ran knowledge sharing and learning initiatives.** The knowledge activities in IFAD projects are primarily geared to encourage and inculcate knowledge sharing-learning processes, dissemination of communication products and knowledge based learning culture. However, the generation of knowledge products at a higher level of distillation requires progression to added rigour in analysis, infusion of subject matter knowledge and wider validation. This gap remains a weak link in the knowledge management efforts. Some illustrations below highlight the various modalities and types of knowledge sharing efforts in projects during the past five years.

282. **Event –based experience sharing.** The projects teams organised knowledge sharing workshops and trainings for staff and brought out a number of publications, mainly on the operational guidelines and manuals for various project interventions and programme delivery on various thematic areas such as land and water management, livestock, fishery, land titling to the landless, livelihoods strategy, women empowerment, training modules for SHGs. *At the district level*, in some projects the events were mainly for communication and sharing of information with partner NGOs and communities on the project interventions, also educating the communities and partners on the various thematic manuals, leaflets and modules brought out by the project units.

283. **Electronic media-based knowledge sharing**. The projects availed of electronic media in sharing of and providing access to project related information to the wider public. All projects have their own websites and blogs. NERCORMP-II website has been maintained with updated project information and video documentaries on the project activities have been produced. Tejaswini and ILSP are trying to make use of ICT for knowledge sharing. Tejaswini in Maharashtra made available its training modules online including a module on gender sensitization for men and good online process documentation on the campaign on joint house ownership.[93] ILSP has an online management information system which is geo-referenced and it is possible to track the progress of the project in real time. ILSP plans to make it available, interactively, with external partners such as state departments, universities and

[93] MAVIM, n.d. Ghar Dhoganche Abhiyaan, MAVIM, Mumbai

beneficiaries. All projects in India are linked to IFADAsia web portal where they contribute regularly.

284. **Print-based knowledge and information sharing**- Production of project level Newsletter has become a common practice in projects. During 2012-2014, OTELP organized a knowledge sharing workshop for its staff, organised a national level tribal development workshop for sharing of best practices in tribal areas and facilitated a workshop on private sector participation in rural development. NERCORMP ensured a regular flow of information through a periodic newsletter and regular contribution to IFAD's India Newsletter in addition to producing knowledge management papers, reports and Information, Education and Communication posters. Tejaswini in Maharashtra and Madhya Pradesh published annual and quarterly newsletters, videos on lessons and best practices, documents on improving agricultural productivity of women farmers through system of rice intensification and goat rearing based livelihoods. It also prepared a publication on 'Shaurya Dal' and produced a semi-visual publication on drudgery reducing agriculture related tools and equipment for women. MPOWER prepared newsletters in English, information and extension material on goats, crops and vegetables, case studies from NGOs, booklets in Hindi on women's rights and videos on vegetable production and on community development.

285. **Publications**. The IFAD country office produced two publications from Oxford University Press (2012), which contained inter alia the Fund's experience in India: "Social Exclusion and Adverse Inclusion" and "Markets and Indigenous People's in Asia" (including a review of NERCORMP). It also produced publications such as the *Tribal Laws Toolkits* and *Trail Blazers: Stories of Women Champions in IFAD Projects.* The country office also produced, since 2011, two newsletters per year dedicated to its activities in India. Short video-documentaries on projects' work are also available on publicly open sources.

286. On the other hand, there were examples with limited initiatives in knowledge sharing in some projects. For example, limited progress was visible in in the early phase of CAIM, due to the absence of dedicated staff. Under WELP, in spite of its Knowledge Management Strategy and Action Plan in 2012, nothing was initiated because the project start-up was delayed and it had short life span. The impact evaluation of JCTDP mentions minimal inter-learning and exchange of experiences between the two states of Jharkhand and Chhattisgarh.

287. **South-South Cooperation.** Although the COSOP had no pronouncements on South-South Cooperation, some knowledge sharing and training events organized by different projects could be likened to initial South-South exchanges. Three knowledge sharing events organized by OTELP (2013), WELP (2014) and Tejaswini (in late 2015) were attended by participants from Nepal, Sri Lanka, Bhutan and Maldives. Also under the auspices of the grant titled 'Programme for the Development of Alternative Biofuel Crops' executed by the *World Agroforestry Center* (ICRAF) implemented in the states of Maharashtra, Madhya Pradesh and Rajasthan, some degree of south-south exchange was noted in the form of a visit by a delegation from Indonesia's Ministry of Energy and Minerals.

288. **Yet, much of the experiential knowledge from the programme has not been documented or analysed**. Knowledge in IFAD programme is generated out of the insights, understandings, and practical know-how that the project professionals possess and apply. This tacit knowledge of project personnel, enriched with traditional local knowledge, acts as the fundamental resource for programme effectiveness and success. In the last two decades, IFAD assisted projects operating in an environment of dynamic change and structural shifts in the rural economy of India and pursued some successful innovative approaches for economic and social uplifting of the rural poor. Overtime these projects generated a significant body of knowledge on a range of rural development and poverty issues

borne out of the project cycle experiences. This experiential knowledge has not been adequately documented or transformed into explicit knowledge products for wider use by the public sector and the development practitioners in India.

289. The CPE mission observed that **in India there is an emerging higher level of expectation from IFAD as a knowledge broker** to help address an expanded range of issues confronting rural poverty. This demand is generated by increasing uncertainties and new threats arising from dramatic changes in the global economy and climate change and their effects on rural poverty. While globalization is opening up new market access opportunities for some small-scale producers in some areas, others are facing declining livelihood due to changes in market structure, food regime and consumption patterns of the urban areas. The poor farmers in rain-fed and marginal areas are facing crisis as their traditional crops fall victim to global climate change. This is generating demand for new types of knowledge solutions and innovations for the country in order to address this diversity of complexity of factors faced by the rural economy.

290. **The capacity of the country programme and key partners to generate knowledge products** for use at higher policy level or addressing emerging demands **is limited due to lack of financial and technical resources**. As mentioned above, there were some good and useful efforts during this COSOP period in projects for experience sharing and capacity building, using basic knowledge inputs and communication material for front line beneficiaries and working level counterparts. But higher order policy and partnership debates and discussions require knowledge products which are vetted and professionally quality assured. The country office at present does not have (but could benefit from) a strong "institutional mentor" (e.g., a think tank, research organizations or eminent personalities in the field) to oversee or conduct background analytical and intellectual work. The budget of the country office does not have margin for substantial analytical work. Yet, engagement and collaboration with broader set of institutions on policy and economic research, governance and capacity development are important for well-rounded knowledge generation and management.

H. Partnership Building

291. **Partnerships are critical for enabling IFAD's limited investments to achieve greater outreach and deeper impact on rural poverty reduction in India**. IFAD's Partnership Strategy (2012) defines partnerships as: collaborative relationships between institutional actors that combine their complementary strengths and resources and work together in a transparent, equitable and mutually beneficial way to achieve a common goal or undertake specific tasks. Partners share the risks, responsibilities, resources and benefits of that collaboration and learn from it through regular monitoring and review.

292. The 2011 COSOP recognized the importance and value of partnerships as a means to achieving its objectives and made a clear pronouncement stating IFAD's intent to forge and strengthen partnerships with all actors in India related to IFAD's domain of work. The partnerships would include national and state level government agencies, civil society organizations, farmers' and tribal organizations, women's and youth organizations, international cooperation agencies, the corporate sector and academic and research bodies in an effort to leverage necessary knowledge, competencies, and resources to enable poor rural people to overcome poverty.

Government

293. **During the COSOP period, the relationship with the central coordinating ministry (DEA, Ministry of Finance) is cordial and characterized by mutual respect**. DEA convenes regular tripartite programme review meetings (four per year) with IFAD, project teams and state governments.

294. **There is little substantive engagement between key line ministries in the central government and IFAD.** The CPE mission's interviews revealed that relationships during this COSOP period between the related central line ministries (of Agriculture, of Rural Development, of Tribal Affairs, of Women and Child Development, of Development of the North Eastern Region, of Environment and Forests, of Panchayat Raj) and IFAD was more at a formal rather than substantive level. The Ministries of Agriculture and of Rural Development, which are natural substantive constituencies for IFAD and drive many of the larger national programmes which require convergence with IFAD projects at state and local levels, were not in a regular substantive engagement relationship with the Fund, although there are some signs of better engagement lately.[94]

295. **Overall, ownership of operations at the state level is encouraging.** The COSOP 2011-2015 underlined that the responsibility for execution of IFAD-funded projects lies with state governments and that their "ownership" is vital for success. Successful projects like OTELP, NERCORMP, Tejaswini (MP and MH) garnered strong functional and cooperative relationship at all levels to mobilize political and technical support for implementation. In OTELP and NERCORMP, close interaction and partnership with the District Magistrate leveraged implementation of forest and land rights for tribal poor as well as resources from MGNREGS and NRLM for the implementation of watershed management projects. There have been exceptions, for example, limited ownership of WELP in Bihar and Uttar Pradesh and, in the past, uneven support for MPOWER.

296. **The appreciation of the importance of a sustained relationship with the PRIs is emerging**. IFAD's partnership efforts at sub-national level are cascaded through some layers of governance, delegated authority and stakeholders starting from 'State-level coordination committees', to District Magistrates, and extending down to Panchayat Raj Institutions at district, Block and Village levels. The merits of working closely with Panchayat institutions that are tasked with preparation of area development plans and backed with substantial financial resources from various Ministries and schemes are obvious. In Rajasthan and Uttarakhand, members of IFAD-supported SHGs and producers' groups were aware of how Panchayats could bolster their group's development plans; indeed, some of them were elected to Village Panchayats and many more intended to contest local elections in the future. While projects have found somehow a way to cooperate with PRIs on an *ad hoc* basis, linkages have been variable and tenuous and, in older projects' design, the potential of PRI partnerships was under-stated. ILSP may provide a (positive) point of discontinuity, whereby connectivity with Grahm Panchayats and block authorities is better understood and attempts are under way to devise cooperation modalities. CAIM liaises with Village Development Committees of PRIs with support from NGOs.

Non-Government Organizations

297. **Partnership with the NGO community for project implementation at the grass roots level has been an intrinsic strength of the IFAD business model**. Partnerships with NGOs have long been an integral part of IFAD's business model and effective support from NGOs in implementation at the grass root level has formed the bedrock of its implementation. Projects in remote far-flung regions of the country work in close partnership with NGOs both for capacity building of communities as well as for implementation. Besides project implementation, the country office engages with NGOs in a more limited manner, through local working groups such as the "nutrition coalition" (which brings together NGOs, UN agencies and other organizations). Although not immediately perceived by the CPE team, some national NGOs, while acknowledging good operational collaboration with IFAD,

[94] Given the huge scope of these Ministries, coordination would also require contacts with a larger number of senior officials rather than just an additional secretary responsible for international donors.

have argued that in the past there was closer strategic collaboration (e.g., in COSOP formulation).

UN, IFIs and Bilateral donors

298. **IFAD cooperates in UN sponsored cooperative efforts (UN Country team, UNDAF Task Teams) but programmatic partnerships with UN agencies are yet to emerge**. The IFAD country office participated in the UN country team meetings, contributed to the preparation of the current UN Development Assistance Framework and is an active member of the UN Task Teams/Force on Zero Hunger, on Gender and on Scheduled Caste, scheduled Tribes and Minority issues. This includes activities with Rome-based agencies (such as the support to an event on hunger and nutrition in Chennai organized by the Swaminathan Research Foundation in 2014). IFAD has collaborated with a special UN team working on a joint programme in North East, by sharing good practices from IFAD supported projects in that region. However, partnerships with the UN system do not reflect strategic intent or approach for leveraging common interests in programming. WFP is hosting the IFAD country office and interactions with the FAO representative in Delhi are cordial but there has been little substantive cooperation with UN agencies in the portfolio or non-lending spheres. Yet, IFAD might benefit from technical and normative expertise of FAO in India.

299. CPE interviews with IFIs (World Bank, Asian Development Bank) indicated recognition by them of IFAD's comparative advantage and niche in rural poverty alleviation interventions, especially involving the extreme poor. They expressed eagerness to learn and, given opportunity, cooperate in scaling up successful experiences through co-financing. However, the present level of interaction is only one of information exchange and consultation during project formulations. There have been little proactive steps in substantive partnership both in project and in non-lending dimensions.

300. As already noted the last project cofinanced with the World Bank was approved in 1996 and, with DFID, in 2002. In the past, the central government was in favour of specialised and separate financing by multilateral donors, rather than cofinancing. A point in case was the second phase of NERCORMP, initially envisaged as a cofinanced by IFAD and the World Bank but later separated in two projects, each funded by one of the two organizations. Also, in some tribal areas, IFAD has been the only international agency allowed to intervene. In the case of bilateral donors, most have dramatically reduced the size of their cooperation in India resulting in fewer cofounding opportunities. An important point to retain is that partnerships do not necessarily need to be in the form of cofinancing of the same projects. Better coordination of separate projects (e.g., IFAD working in poor villages where a road has been built through ADB funding) and more systematic exchanges of experience and lessons could be valid options too.

CGIAR/national state and local research partnerships

301. The APR self-assessment indicates that the CGIAR institutions collaborate regularly with the IFAD country office. Indeed there have been interactions with international research organizations, including those that are part of the CGIAR group (IFPRI, ICRISAT, IRRI, ILRI, ICRAF, CIP, Bio-diversity), and others (e.g., ICIMOD) benefiting from their presence in India and New Delhi. The country office has been active in organizing joint meetings to familiarize with each other's work.[95]

302. IFAD grants to CGIAR funded a combination of action research (e.g., participatory surveys to map local farming systems), pilot extension activities in a limited number of sites and some post-harvest initiatives. Some attempts were made to expand these pilot experiences through loan-project funding but the results have

[95] Please see sub-section 'D Grants' for details on grant funded projects in India.

been mixed due to a combination of: (i) under-staffed teams and administrative complications from both projects and grant recipients; (ii) variable interest (from both sides) in collaborating; (iii) issues of adaptation and suitability of grant approaches to the specific project context. The potential for IFAD-funded projects to benefit from partnership with grant-funded applied research and action research support is not fully explored. An alternative (or additional) option, with lower transaction costs, would be project funding to local agricultural research, training and extension institutions and is discussed below.

303. **Partnership with National Agriculture Research System** (**NARS), including state and local research centers presents opportunities** for projects for availing of the fruit of cutting-edge research and applying appropriate farming solutions. IFAD-funded projects do not make sufficient use of this valuable resource. A welcome exception is the new ILSP building research partnerships in Uttarakhand on fruit, vegetable, milk production. India has a strong tradition of academic and scientific research, with the National Agriculture Research System (NARS) having played a significant role in agricultural development of the country. It comprises of the apex Indian Agriculture Research Institute, several thematic research centres, state-level agriculture universities and *Krishi Vigyan Kendras* in every district. Closer interaction and partnership not only at the implementation level with Krishi Vigyan Kendras, but with higher research organizations of the NARS system would significantly strengthen IFAD's innovation agenda. Similarly, collaboration with research institutions in other sectors, advisory bodies and think-tanks could be used to test new models in the field, as well as to lend credibility to IFAD's efforts in policy engagement.

Emerging cooperation with the private sector

304. Private sector partnerships are flagged as an important aspect of IFAD's strategy and this has been only an emergent area. A recent addition to the Indian Companies Act, stipulating that large companies should earmark a portion of their profits (2 per cent) for corporate social responsibility-related activities, presents new opportunities to leverage private sector support. Companies would be glad to contribute to innovative experiments in the field through a reputed organization like IFAD for the lustre it would add to their corporate stature. There have been attempts , through the project CAIM, to cooperate with private sector companies (Tata, Tesco, East West Seeds, FieldFresh, Unilever and BCI). Co-financing and technical support opportunities with the private foundation Sir Ratan Tata Trust have been concluded for two projects (MPOWER and CAIM). The Bill and Melinda Gates Foundation approved a grant on small ruminant value chain. ILSP has embarked on pilot collaborations with private sector agencies. The above experiences are still to be analysed and systematised.

I. Policy Dialogue

305. Policy dialogue is recognized as part of IFAD's core business and the Fund promotes policy dialogue at the country programme level as a distinct activity with dedicated processes and delivery of products.[96] IFAD-supported projects are breeding ground for effective approaches to rural poverty reduction through learning and innovation. Knowledge and lessons from successful project approaches can act as powerful levers to inform and initiate policy changes, creating conditions for large numbers of rural people to move out of poverty.

306. **An agenda for country-level policy engagement emerges from the objectives and content of the 2011 COSOP.** The India CPE of 2010 revealed that policy dialogue at the national level had been limited although, at the project level, the attention of policy makers was drawn to critical issues such as the needs

[96] As a reference, see the Proceedings of a 2013 IFAD workshop on " Mainstreaming Policy Dialogue: From Vision to Action" http://www.ifad.org/pub/policy/policy-dialogue_report.pdf

of tribal people and women, the potential of SHGs for promoting rural development, and right of access to natural resources by poor people in tribal areas. According to IFAD, at the time of the 2011 COSOP preparation, the Government was not inclined to engage in policy dialogue with the Fund. This might have been due to misunderstanding of the term and its implications. For this reason, IFAD's contribution to policy dialogue was kept at a "low key" and consisted of sharing policy relevant information with the Government, upon demand.

307. The 2011 COSOP highlights IFAD's involvement in policy processes in the following ways: (*i) sharing results and lessons of implementation experience, (ii) exploring potential for scaling up, and (iii) providing feedback on effectiveness of on-going government policies and programmes.* The COSOP added further that IFAD's role in policy dialogue would be relevant, evidence-based and co-owned. **Policy level interaction and contribution by IFAD has been more accessible and practical at the state level, while at central level it remained somewhat distant**. State governments provided a proximate entry point for policy level input as the projects are located in, implemented and owned by the state governments. Successful project experiences developed under the state government sponsorship exerted influence at the state policy level through interactions at coordination committees, supervision missions, and joint reviews. For a policy input to reach a central level forum would require much more preparatory work, finding suitable champions and preparing high quality presentations at suitable fora. Moreover, policy input, to be acceptable at central level, would require wider level validation across states.

308. **At the state level, some projects usefully contributed to policy-related inputs.** The CPE mission through discussions and visits at the state level culled examples in various projects which contributed to policy processes and some missed opportunities. Example of *successful cases* are cited below:

309. OTELP facilitated the implementation of the laws on tribal groups' access to forests, including the 2006 Forest Rights Act. These laws aimed at re-instating traditional rights to forest occupancy and use which were challenged by earlier regulation. It facilitated access to forest and agricultural land for almost 27,000 households. In 2011, and as a result of the success of the IFAD programme in Odisha, the State Government agreed to allocate significant additional national funding to scale up OTELP across larger areas of the State.

310. Tejaswini Maharashtra and Madhya Pradesh have contributed to important policy processes. The project management agency was asked to draw upon Tejaswini and other experiences and input into Maharashtra Women's Policy, 2013. The Shaurya Dals of Madhya Pradesh is being replicated state wide, and this strategy is included in the Vision 2018 document of the state.[97]

311. There were cases of *missed opportunities* as the policy dimensions were either not part of the thought process of the project management or initiative was too little too late. Under JCTDP, according to the impact evaluation, there was little policy dialogue on convergence options with public programmes in the states of Jharkhand and Chhattisgarh (which would have helped prepare a disengagement plan). At the central level, there was limited awareness of the project with the Ministry of Tribal Affairs, and the Ministry of Rural Development.

312. NERCORMP II presents a *good experience of policy uptake at the central level but risks missing an opportunity at the state level.* There has been a good dialogue with the central Ministry for Development of North Eastern Region which led to the federally financed third phase of NERCORMP. However, it is not clear whether the experience will be mainstreamed state-wide, including projects like the Meghalaya

[97] Government of Madhya Pradesh, 2013, Madhya Pradesh Vision 2018, An Agenda for Development Change and Good Governance, Department of Planning, Economics and Statistics, Government of Madhya Pradesh, Bhopal.

Livelihoods and Access to Markets Project (LAMP) which will cover some of the areas already covered by NERCORMP II. It is not clear to what extent LAMP design has actually "learnt" from the previous project experience.

313. The design of recent projects included policy dialogue expectations. ILSP is currently working with the government of the state of Uttarakhand on the revision of the state law on cooperatives (Uttarakhand Self-Reliance Cooperative Act 2003). OPELIP is expected to support the Government of Odisha in: the provision of a legal advocacy fund to assist tribal groups and NGOs in pursuit of land alienation and restoration cases, including the establishment of mobile squads for detection of cases and enforcement of land restoration.

314. The CPE mission, taking note of somewhat muted underpinnings of COSOP on policy dialogue, interacted on the issue with various levels of the government, and other development partners including the UN system and other major donors to assess the current mindset on the issue. The views heard from those consulted confirmed an openness of the present central government to receive inputs for policy engagement and consideration, based on documented evidence and proven lessons from within the country as well as relevant global knowledge from organizations like IFAD. At the state level, policy interactions and inputs could be tabled by some projects without any hindrance.

315. The CPE observes that **the current environment looks conducive** (more than at the time when the 2011 CPE was prepared) **for producing analytical and policy-related work**. The act of policy engagement is a subtle art and, to be effective, requires preparedness with substantive documented evidence, contextual knowledge of issues, understanding of the national sensitivities and processes, facilitation champions and articulated value added for the rural poor.

J. Grants

316. During the COSOP period, 23 grants had operations in the country (Annex III). The CPE selected eight grants for review. Of the eight grants in question, six are regional while two are-country specific. These grants can be grouped into three broad thematic strands which are as follows: (i) research and extension; (ii) tribal people welfare; and (iii) programme support.

317. **Research and Extension-** The grant to the *International Crop Research Institute for Semi-Arid Tropics* (ICRISAT) titled 'Sustainable Management of Crop-based Production Systems for Raising Agricultural Productivity in Rainfed Asia' promoted pilot extension activities in Madhya Pradesh and Rajasthan on mixed cropping and crop rotation with legumes and distribution of improved variety of legumes. Forward and backward linkages were also attempted through the promotion of seed producers and seed banks for inputs, small scale processing units for post-harvest processing. In Rajasthan, the grant activities were implemented in the areas of the MPOWER project with some information exchanges. In Jharkhand, cooperation is also foreseen with JTELP.

318. The grant to *Bioversity International* titled 'Reinforcing the resilience of poor rural communities in the face of food insecurity, poverty and climate change through on-farm conservation of local agro biodiversity' was entirely implemented in India by the MS Swaminathan Research Foundation in all three phases. Different varieties of millets were tested and high yielding varieties were distributed to the farmers participating in the pilot. Simple post-harvest technologies were introduced. MS Swaminathan Research Foundation provided policy inputs leading to inclusion of millets in the cereal food basket of the expanded public distribution system under the National Food Security Act 2013.

319. The grant titled 'Root and Tuber Crops Research and Development for Food Security in Asia and the Pacific' (also known as FoodSTART) was given to the *International Potato Center* and implemented in four sites in the states of Meghalaya, Tamil

Nadu, Kerala and Odisha. In Odisha and Meghalaya, the grant was to work in sites situated in the target areas of OTELP and NERCORMP-II respectively. In Odisha, the grant worked on providing improved varieties of sweet potatoes and small-scale processing equipment. In Meghalaya, in spite of some interest from NERCORMP-II staff, there was limited demand from the local designate partner research centre.

320. The grant titled 'Enhancing Dairy-based Livelihoods in India and the United Republic of Tanzania through Feed Innovation and Value Chain Development Approaches' (also known by its acronym 'Milkit') was given to the *International Livestock Research Institute* as a 'global' grant. In India, the grant has facilitated the creation of "village innovation platforms", bringing together the stakeholders in the dairy value chain ranging from the suppliers of feed, small dairy farmers, village and district officials to dairy cooperatives, to collectively reflect upon bottlenecks in the diary value chain and possible solutions. The grant's activities were implemented in the project area of the IFAD-funded 'Integrated Livelihood Support Project (ILSP) which took up some fodder collection and feeding practices.

321. The grant titled 'Programme for the Development of Alternative Biofuel Crops' was given to the *World Agroforestry Center* (ICRAF) and was implemented in Karnataka. The grant financed action research along the entire value chain of non-food or multiple-use biofuel crops that can be grown on degraded lands, including under saline conditions. Such action research focussed on locally adapted varieties of oilseed trees. Some degree of south-south exchange was noted in the context of this grant with Indonesia's Ministry of Energy and Minerals.

322. ***Tribal and marginalized population-***The grant titled 'Sensitization and effective implementation of policies on pastoral and common lands of ILC' was given by the International Land Coalition (ILC) to the *Maldhari Rural Action Group (MARAG).* The grant resources financed the day to day operations of MARAG in conducting consultations with various constituencies such as policy makers, pastoralists and academicians on land access issues. The grant's activities do not have direct link to IFAD's projects in the country but serve the purpose of IFAD's and ILC's global policy thrust in working on land access and pastoral issues.

323. The grant titled 'Reclaiming the Commons with Women's Power' was financed from the *Indigenous People's Assistance Facility* of IFAD and was channeled through the Tebtebba foundation, Philippines. The programme worked in four villages in the Kashipur block of Rayagada district of Odisha. The objective of the grant was to promote sustainable usage of commons and prevent *podu* (shifting) cultivation among the tribal populations. The methodology of community capacity building as well as collective action towards sustainable use of land was piloted and replication has been done by a German NGO (Karl Kubel Stiftung) in 15 other villages. There is no evidence of interaction with OTELP, while this could have been pertinent.

324. ***Grants for M&E Support.*** The grant titled 'Collaborative research and capacity strengthening for monitoring and evaluation and impact assessment of IFAD projects in India and Bhutan' was provided to the *International Food Policy Research Institute (IFPRI)* for the purpose of improving monitoring and evaluation systems within the India and Bhutan country programmes. In India, the grant was to strengthen the capacity of project staff to conduct baseline surveys and annual outcome surveys of selected loan project such as JTELP, LAMP, ILSP, CAIM and Tejaswini. However, activities were few in India, inter alia due to limited human resource availability in the IFPRI office and, reportedly, low responsiveness from IFAD-funded project staff. A broader question concerns IFPRI's comparative strength for this type of activity (essentially training and technical backstopping for projects) while IFPRI's specialty is policy research.

325. **Overarching observations**. As noted, during this COSOP cycle, the IFAD country office of India has been engaged in tracking the India-based grants operations and interacted regularly with the grant recipients, notably CGIAR centres that have a

representation in New Delhi. The IFAD grants to CGIAR reviewed by this CPE funded a combination of action research and pilot extension activities in a limited number of sites. Closer working relationship with loan-funded projects offer potentials for these pilot experiences to be expanded, which is yet to be fully explored. Loan-funded projects would benefit from applied and action research support. Similar to previous CPE findings, most grants operating in India are global/regional in nature and their fit within the country programme has been mixed. Several grants have potential to initiate policy dialogue initiatives at the state or even national level, although this has not been built upon in a consistent manner so far.

326. Overall, performance in non-lending activities is assessed as moderately satisfactory. Partnership building is assessed as moderately unsatisfactory, given good cooperation with governments (state level and with DEA at the central level) and NGOs, some incipient attention to private sector but limited substantive exchanges with technical ministries at the central level and with other international organizations and no major changes compared to the 2010 CPE findings. Knowledge management is assessed as moderately satisfactory: while there is an extant analytical gap compared to the richness of operational experience and to the need and interest of the government, this CPE recognises the efforts made by projects and by the country office of IFAD to produce learning material, particularly compared to the situation at the time of the previous CPE. Finally, policy dialogue is rated moderately satisfactory: there was progress, mostly at the state level but also constraints stemming from gaps in partnership, knowledge management and limited resources within the country office.

Table 15
Assessment of non-lending activities

	Rating
Partnership building	3
Knowledge management	4
Policy dialogue	4
Overall non-lending activities	**4**

Key points

- The 2011 COSOP recognised the importance of knowledge management. Projects renewed efforts to generate communication and knowledge exchange products and events. Compared to the need and demand of government agencies, there is still a gap between the very interesting experiences promoted on the ground by projects and the capacity to analyse them rigorously and convey findings in the appropriate form. Other countries (and not only in South Asia) would benefit from IFAD's experience in India as well.
- Partnerships are generally strong at the state government level, with increasing awareness of the importance of partnering with sub-state local government but a gap exists in substantive exchanges with central technical ministries. Partnerships have been traditionally strong with national NGOs. Collaboration with private actors is emerging. Exchanges have been less systematic with international organizations. Opportunities to collaborate with local agricultural research centres are largely untapped.
- Engagement in policy dialogue for IFAD is the distillation of analysis and knowledge from its experience, made available to decision makers to inform design and implementation of strategies, policies and programme. It is important to promote scaling up of results and reforms where existing policies are not promoting the dynamics generated by projects. Some initial contributions to policy and broader programme design are visible mainly at the state level. But capacity to effectively participate in and enrich policy dialogue is constrained by extant gaps in knowledge management, partnerships and, ultimately, country office resources.

VII. COSOP performance

327. The assessment of COSOP relevance covers the alignment of strategic objectives, geographic priority, thematic focus, with Government and IFAD's strategies, and the country needs, as well as the coherence of the main elements in the COSOP. COSOP effectiveness looks at progress made against the COSOP objectives and other significant achievements made. While the main reference in this chapter is the COSOP 2011, the broad orientation of previous COSOPs needs to be kept in the picture, also because many projects were approved under these COSOPs.

K. Relevance

328. **The COSOP 2011 was elaborated with strong national ownership** The 2011 COSOP evolved out of an extensive consultation process led by the Department of Economic Affairs (DEA) of the Ministry of Finance of the Government of India. The DEA leadership of the process and participation of a wide cross section of stakeholders in it ensured that the COSOP was aligned with national development policies, objectives and aspirations. The 2011 COSOP was aligned with the 11th Five-Year Plan priorities which aimed to double the growth in agriculture from 2 to 4 per cent per annum by expanding irrigation, improving water management, bridging the knowledge gap, fostering diversification, ensuring food security, facilitating access to credit and enabling access to markets. The COSOP formulation and content was consistent with a number of important national policies, strategies, and acts that provide the framework for agriculture, forestry, rural development and tribal development, which are central to IFAD's efforts in India.[98]

329. **The COSOP was also aligned with IFAD's new Strategic Framework 2011-15, which recognized smallholder agriculture as a market-based profitable enterprise**. It underlined the need to transform smallholder agriculture not only to be viable and sustainable, but also resilient to climate variability. Hence, there was a need to restore and infuse conditions of profitability – ensuring that small and marginal farmers were able to maximize their net incomes while reducing their risks and vulnerability. The project designs and implementation during this cycle supported choices of farming systems based on sustainable use of natural resources, introducing options for risk-coping mechanisms and low-cost production systems and access to ancillary environmental services.

330. **Reaffirming the overall relevance of the previous two COSOPs (2001, 2005), the COSOP 2011 continued IFAD's focus on the deeper poverty segments, with a thrust on convergence with public schemes**. Particular emphasis was accorded to: (i) tribal communities, (ii) smallholder farmers; (iii) the landless; (iv) women; and (v) unemployed youth. In particular, IFAD continues to be the **only international agency with specific focus on scheduled tribe areas**. Consistent with earlier COSOPs the programmatic focus was in the areas of: agricultural extension and natural resource management in rain-fed tribal and non-tribal areas; microfinance initiatives and women's empowerment mainly through support for grass-roots institutions; and expansion in livelihood opportunities. The COSOP and project designs during this programme period advocated specific steps for convergence with government programmes, to help expand and deepen the outreach of benefits to a larger group of beneficiaries.

331. **A more explicit recognition of the "technical" side of rain-fed agriculture development and linkages to markets and processing in the 2011 COSOP.** The traditional approach of projects had been to ensure basic food security and natural resource restoration in very poor communities. As already noted (see under *Portfolio Relevance*), designs did not contain an advanced analysis of constraints

[98] Notable among those are: The National Agricultural Policy of 2000, the National Policy for Farmers of 2007, the national Environment policy of 2006, the National Forest Policy of 1988, Farmer's Rights Act and National Water Policy of 2001, and the Biological Diversity Act of 2002, Integrated Watershed Management Programme and Panchayat (Extension to Scheduled Areas) Act (PESA Act) of 1996, and the Forest Rights Act of 2006.

and opportunities of the specific agro-ecological context or farming systems. Linkages with markets and processors did not receive special attention. Similarly, partnerships with national, state or local agricultural research and extension centres were not emphasised. A point of departure in the programme was CAIM (approved in 2009) which had a clearer smallholder farmer commercialisation perspective. The 2011 COSOP, benefiting from this design experience and from the 2010 CPE recommendations, stated two key objectives: (i) increased access to agricultural technologies and natural resources; and (ii) increased access to financial services and value chains. As observed in Chapter II, these are not only strategically relevant to the IFAD portfolio but imperatives for agricultural and rural development, nationally.

332. The 2011 COSOP brought in for the first time the cross-cutting objective of **sharing knowledge and learning on poverty reduction** and nutritional security and learning. As observed in Chapter VI, this is still at a nascent level.

333. In line with the previous CPE recommendations (see details in Annex VII), the COSOP also introduced an **agenda for innovation**, including the following elements: (i) resilience to climate change; (ii) renewable energy; (iii) remittances and micro insurance; (iv) fair and effective value chains; (v) ICT for blending local and modern knowledge. These were all pertinent to the target group and areas, with the only *caveat* that renewable energy might be seen as a "stretch" compared to IFAD's areas of experience and there are now many large public programmes working on electrification of rural areas.

334. The 2010 CPE had called for increased operational efficiency, recommending a reduction in the number of future project pipeline with **significantly increased average lending sizes**. This was agreed upon by the Government and IFAD, shifting from an average of three to two new projects per triennium. At the time of this CPE mission (Oct-Nov 2015), there was no project in the pipeline. An increase in average size is visible, with the latest four projects' estimated average costs of US$169 million and IFAD loans for US$61 million, compared to the averages of the previous ten projects which were US$92 and US$32 million, respectively.

335. Also, following recommendations from the previous CPE, the portfolio did not expand to states that had no previous IFAD-funded interventions and new projects did not fund interventions in multiple states. The saturation approach (see also Ch. III and IV) was also introduced in project designs although, given that the area covered by projects is still large, the actual extent of this change is still to be appreciated and implemented fully.

336. However, **seen at the country level, the geographical spread of the portfolio is still considerable, also due to project "cohort effects"**. While new project designs have adhered to the COSOP directives, some older projects are still on-going. This is due to: (i) top-up loans that the state government and IFAD have agreed upon to expand coverage; and (ii) the time needed to compensate for the initial implementation delays. So far, IFAD has been responsive to the demand for financing of individual states. Yet, a geographically spread portfolio implies high supervision costs and country office resource strain. Portfolio supervision is highly demanding (Chapter V) and consumes all the time of IFAD staff and leaving limited resources for non-lending activities.

337. The previous CPE recommended **greater engagement with the private sector**, to enable provision of services and development of inclusive market/value chains. This is reflected in the 2011 COSOP and in the design of the ensuing projects. The engagement of the programme with the private sector is still at the early stages (Chapter VI). There are pilot cases (yet to be analysed) rather than well-established approaches. The engagement based on corporate social responsibility spirit has not been pursued aggressively by the government and project management teams, nor by the private sector.

338. **Mix of lending and non-lending instruments**. The 2011 COSOP gives emphasis to non-lending activities, defining goals in a realistic manner. At that time, the Government of India in a written communication to IFAD has expressed some reservation on IFAD's engagement in policy dialogue. This was probably due to lack of mutual clarity on what exactly policy dialogue would entail. The COSOP 2011 defined policy dialogue activities as high-level dissemination of portfolio experiences so that they could be available to policy makers when preparing new strategies, policies, public programmes. However, as highlighted in Chapter VI, there was no clear strategy on how to move forward and, most importantly, there were no commensurate resources earmarked for non-lending activities.

339. Overall, COSOP relevance is assessed as satisfactory (5): the COSOP 2011 was aligned with national strategies and brought better in line with national agricultural and rural development priorities and the previous CPE findings and recommendations were well reflected in the strategy and in the preparation of the ensuing investment interventions.

L. Effectiveness

340. The COSOP effectiveness is assessed taking into account the overall goal, the two thematic objectives and the cross-cutting objective on knowledge sharing.

341. **Available data show high coverage levels.** As of end-2015, 1.9 million households had been supported by the on-going projects, representing 102 per cent of the target, which is very good progress, given that most of those projects will be completed in 2017 and beyond. COSOP review reports provide data on outreach related to the two COSOP objectives. However, data are not always presented consistently and often lack comparisons with the initial targets.

342. In the case of the number of persons trained in crops, livestock and fish, receiving vocational training, and trained in non-agricultural income-generating activities (COSOP thematic objective 1), targets have been surpassed (respectively: 104,000 against 20,000; 47,000 against 10,000; and 39,000 against 20,000). As for selected indicators related to the COSOP thematic objective 2, the only available comparison is between the target of 800,000 women accessing financial services against the actual figure of 1.4 million with active savings. However, the number of marketing groups (a core indicator as per COSOP for thematic objective 2) is not monitored through the documents: there is only information for the year 2012 when the actual outreach was only at 7.5 per cent of the target.

343. While some of the above outreach data seem impressive, they need to be taken with a grain of salt. Even assuming that there is little double-counting, they are only output indicators and say little about outcomes or sustainability of benefits. For this reason, it is safer to address effectiveness of the COSOP as a higher level distillation of findings from the portfolio and non-lending activities (Chapters IV and VI). The following paragraphs are clustered under some thematic headings related to the COSOP objectives. While IFAD contribution is recognized, it would be erroneous to attribute the results exclusively to IFAD-funded interventions.

344. **The programme contributed to productivity increase and risk management for rain-fed agriculture, albeit with variations between projects**. Most project interventions contributed to increase yields and enhance risk management by promoting sustainable agricultural practices, in-situ water conservation, agroforestry, soil fertility management, selected livestock breeds, vaccination campaigns. Progress is visible across the portfolio, although with variations and implementation delays.

345. However, **in the traditional approach, agricultural interventions strategies have not been defined sharply enough** and did not addresses upfront linkages to markets (upstream and downstream), processing and value addition. To the credit of the Government and IFAD, more attention was given to these aspects in

the 2011 COSOP and recent project designs. However, from an overall programme perspective, linkages with the markets are still erratic and do not follow a systematic approach of factoring in locations, quality and regularity of supply. Improving connectivity with value chains is a national priority given the very high level of wastage for certain commodities (e.g., fruit and vegetable crops, Ch. II).

346. **Non-agricultural activities have been developed as a parallel endeavour** by projects, without a strong nexus with the main agricultural investments. For example, micro enterprises have been supported although not always considering the potential for processing agricultural produce, increasing marketability and enhancing vertical integration of the value chain. Similarly, vocational training has been guided more by the traditional skills on which the cooperating institutions or NGOs used to work, rather than by an analysis of skills supply and demand.

347. **Enabling access to basic credit and financial services empowered poor women and men**. Propelled by SHGs, monetary savings and credit linkages have helped beneficiaries invest in circulating capital, sometimes also fixed capital. Despite good track record of SHGs and associated borrowers, and solid operational basis for credit expansion in the rural areas established by IFAD projects, in the majority of cases, public sector banks have been extremely cautious before extending credit support to community-based organizations. The lack of bank credit remains a major limitation for SHG members to engage in any productive venture, both on and off-farm.

348. Apart from SHGs that provide basic but useful financial services, the programme has also experimented with insurance and risk-reduction financial products, mainly within two projects (CAIM and PTSLP). There have been initial pilot tests of sms-based mobile banking but almost no initiative on remittances.

349. **During the 2011 COSOP period, IFAD's on-going and new projects took steps to better align their activities with major public programmes**. Following the COSOP's guidance, all projects made efforts towards programmatic convergence with national and state-level government schemes, so as to up-scale benefits to the communities. All the new projects have taken into account the substantial government funds available under the MNREGS which guarantees 100 days of wage-employment annually to the rural poor and the NRLM which focuses on savings, credit and income generation. Projects have started working on specific convergence strategies in consultation with the respective departments. It will take time before the benefits of convergence are optimized.

350. **The cross-cutting objective of knowledge and learning on poverty reduction and nutritional security has been only partly achieved**. On the positive side, this CPE attests to the efforts made by projects and the country office to prepare knowledge products and issue selected publications. This has been instrumental to enhancing communication, mainly at the state level, on what the portfolio is doing. However, there is a gap between the rich experiences on the ground and the capacity to analyse them in a way that is suitable for higher level policy discussion. As noted in Chapter II, there is a demand for demonstrated "good practices" to enhance the design and implementation of public policies and programmes in the rural and agricultural sector. IFAD-funded projects are relevant to national rural poverty alleviation policies and strategies to increase productivity of rain-fed agriculture and dramatically improve water and natural resource management. The knowledge management gap is a constraint to providing technical contribution to the Government as well as to the private sector.

351. **Programme implementation was monitored by several instruments**, including: the COSOP Results Framework, COSOP annual Review, and COSOP mid-term review. COSOP results framework was monitored and reviewed on an annual basis. COSOP annual review report and the COSOP MTR reports were both prepared by CPM/ICO and presented at the tripartite review with the Government. Tripartite

Review Meetings convened by the DEA- Ministry of Finance provided a central level monitoring oversight on portfolio implementation (see Chapter V). A limitation is that COSOP reviews provide mostly data at the output level, less so on effectiveness: this is a weak area at the project-level as well. There has been little aggregation of data from project "outcome surveys".

352. COSOP annual reviews provided a synoptic status of the programme including the areas of progress and limitations. The tripartite reviews provided a useful platform at the central level for management decisions on project bottlenecks and actions, although there were lags in accomplishing a substantial number of committed actions.

353. Overall, COSOP effectiveness is assessed as moderately satisfactory and this takes into account considerable outreach progress (although this mostly relates to outputs), and a significant, albeit uneven, degree of achievement of the two objectives. Provision of basic agricultural and financial services is well established, while more sophisticated services, products and alliances are emerging. Gaps exist in knowledge management capacity and resources allocated to it. Overall the COSOP performance is also assessed as moderately satisfactory, giving special weight to the achievement of the results.

M. Overall achievements

354. Table 16 presents the overall ratings of IFAD-Government partnership. This is based on the assessment of the portfolio performance, non-lending activities as well as COSOP performance. The portfolio performance, non-lending activities and COSOP performance are all rated moderately satisfactory. The overall Government-IFAD partnership is rated moderately satisfactory as well.

Table 16
Overall assessment of the partnership

Portfolio performance	*4*
Non-lending activities	4
COSOP performance	4
Overall Government-IFAD partnership	**4**

Key points

- The 2011 COSOP, consistent with past experience and strategic directions in India, continued IFAD's focus on the poorest. It integrated key findings and recommendations of the previous CPE. Relevance to national priorities (developing rain-fed agriculture, reaching deeper in poverty) is high.
- The 2011 COSOP in its first thematic objective (access to agricultural technology), recognised the importance of sharpening the technical content of agricultural intervention designs. The programme's traditional approach has been successful in relieving very poor communities from chronic food insecurity. It has paid less attention to an analysis of farming systems, constraints, opportunities, marketing and value addition. These aspects are better acknowledged in new project designs. Attention to market access has increased but links with markets are still erratic.
- With regard to the second thematic objective (access to financial service), self-help groups provide basic but deeply needed savings and small loan services. With few exceptions (MPOWER), response from the state banking sector has been far less dynamic than expected, limiting the volume of financing available to SHG members.
- Progress on the cross-cutting objective of knowledge and learning is mainly visible at the project level, in the communication of project initiatives. There is still a gap between rich experiences on the ground and capacity to analyse and convey findings.
- The overall partnership between the Government of India and IFAD is assessed as moderately satisfactory, taking into account the performance of the portfolio, non-lending activities and COSOP.

VIII. Conclusions and recommendations

N. Conclusions

355. **Storyline.** During the period 2010-15, the Government of India and IFAD have continued to support interventions in rural poor areas and in favour of the most disadvantaged groups among the poor. Multi-component interventions (basic needs, empowerment, and improved livelihood) have been valid to address structural poverty factors. While effective to improve subsistence livelihood conditions, these approaches did not include a thorough analysis of farming system, a clear thrust to organize interventions around territorial or product clusters and to collaborate with local agricultural research organizations. These aspects are gaining importance in view of India's national challenge to improve the productivity of rain-fed agriculture and the efficiency of value chains. These aspects were acknowledged in the 2011 COSOP formulation.

356. The overall portfolio performance is solid. It is rated moderately satisfactory reflecting variability across projects. Most criteria are assessed as moderately satisfactory and higher. Efficiency is rated moderately unsatisfactory, mostly due to project implementation delays. This largely reflects implementation capacity gaps which are not fully factored in at design.

357. Partnerships between IFAD and state governments are strong overall. At the central government level, there is close collaboration with DEA but relationships are more distant with technical ministries. Expectations are growing in India on the engagement of international development organization in non-lending activities and particularly knowledge sharing that can help inform policies. IFAD has limited resources for this set of activities.

358. There is still demand and need for IFAD's interventions in India. IFAD has specific experience and expertise in underserved areas, socio-economic groups and rain-fed agriculture. These, together with commercialising smallholder agriculture, are among the main national challenges for the agricultural and rural sector. However, IFAD needs to enhance its capacity to analyse, systematise and convey its experience and lessons to state and national policy makers.

359. **The traditional IFAD intervention paradigm is well established for highly disadvantaged areas and marginalised groups. As needs evolve and communities request support to the "next level", more specialised approaches may be required**. The portfolio has consistently targeted poor areas and disadvantaged groups, notably scheduled castes, tribes and, within these, women. Projects have reached these groups, with tangible benefits. Most projects, irrespective of their overall performance, have valid approaches or solutions to local problems that would be pertinent in other areas and contexts as well. In particular, IFAD is the **only international agency with specific focus on scheduled tribes in India**. Its experience and expertise is recognised by state and central governments and the Fund has been requested to intervene in areas were other international agencies are not allowed to operate.

360. The multi-dimensional intervention paradigm of the IFAD-funded portfolio (combining social capital, agricultural development, non-agricultural livelihood, financial services and basic needs) responds to structural issues in the targeted areas. By strengthening social capital and people's empowerment, projects have helped infuse a sense of self-awareness and confidence in the beneficiaries, especially women. Social capital is instrumental to support economic activities, for example by enforcing disciplines in repaying loans, spurring collective action to manage water and natural resources and building trust.

361. The self-help group paradigm has demonstrated its effectiveness in stimulating beneficiaries' (notably women's) self-awareness, community engagement, access to basic but important financial services. However, as households' and communities'

welfare improves, their needs and demand evolve, thus more advanced associative forms, such as producers' groups, mutually-aided cooperative societies and producers' companies, may be required. Evolving demands also require more specialised approaches, notably in agriculture.

362. **Traditional agricultural development approaches were instrumental to improve basic subsistence conditions. They do not sufficiently address local, state and national priorities for rain-fed agriculture and commercialisation of smallholder agriculture.** While a considerable proportion of past projects' investment was for agriculture, there was not always a clear guiding thrust. In particular three aspects have not been prominent in design: (i) analysis of constraints and opportunities for rain-fed agriculture development (e.g., reducing productivity differentials within a district, soil and water management, farming system improvement); (ii) organizing interventions around territorial and product clusters which would also facilitate connectivity to markets and value chains; (iii) collaboration with state and local agricultural research and extension centres to hasten adoption of technology in rain-fed agriculture. The 2011 COSOP recognised their importance and some of the ensuing projects started incorporating these in their design.

363. **The portfolio performance is in the "positive zone" and assessed as moderately satisfactory. There are several cases of strong performance but results are dampened by extant implementation delays and related capacity issues.** The portfolio is assessed as overall solid, given that most of the criteria and sub-criteria have been rated as moderately satisfactory or higher. There is significant variation in performance between projects and criteria, as can be expected of a large portfolio being implemented across varying and challenging conditions. Project design relevance, impact on household income and access, impact on human and social capital, innovation and scaling up, and gender equality represent the peaks of performance and results across the board.

364. Portfolio efficiency is rated moderately unsatisfactory. Projects suffer from slow start-up, implementation hiccups and slippages, problems that are typical of the host public sector. There are two main orders of factors behind this. On the one hand, there are inherent challenges related to the conditions of project areas and target groups. Multi-pronged interventions and multiple decision-making nodes add to the challenge. On the other hand, there are issues with implementation capacity in the agencies responsible for the projects. Problems of staff turn-over are widespread. Similar problems are faced by the Asian Development Bank and the World Bank. Among the key proximate causes, the CPE has observed: unattractive compensation packages for project staff, ineffective contractual schemes with supporting NGOs and cumbersome procurement systems. Overall this bespeaks a problem of calibration between (valid) project objectives and existing capacity. Many of the underlying causes are structural and systemic and not amenable to solutions only through project supervision.

365. **Partnerships at the state level have strengthened, resulting in scaling up efforts. However, there is a gap in partnership with technical ministries and agencies at the central level.** State governments value IFAD's cooperation due to its attention to quality, reaching deeper in poverty strata, support to imaginative solutions and some tolerance for risk taking. State governments have made progress in expanding the coverage of projects and scaling up their results. This has been exemplary in some cases (e.g., Odisha, Madhya Pradesh). Learning from past experiences, projects have started working on convergence with public programmes (e.g., MNREGS and NRLM). Efforts to collaborate more closely and more explicitly with the Panchayat Raj Institutions are underway, so that projects can dovetail with PRIs' own development plans. This is a good beginning, optimisation will require time.

366. There are cordial relationships but limited substantive exchanges with central technical ministries. Greater interaction would be mutually beneficial: technical ministries could emulate IFAD's focus on target groups. There are several reasons that make this challenging for IFAD, including senior staff turn-over at the central level. However, this is also due to limited resources available in the country office (financial, number of staff, specific technical expertise), coupled with stronger priority and incentives given to working on portfolio implementation support and trouble-shooting. Given the size and implementation issues of the portfolio, the country office capacity is over-stretched.

367. **In a large, middle-income country like India, good project performance continues to be important but not sufficient. Demand is emerging for knowledge sharing and analysis to inform policies and programmes.** Compared to the past, individual projects, and in part the country office, have made specific efforts to communicate their successful experiences to the public through several types of products. Moreover, in selected states, there have been cases of lessons from IFAD-funded operations that have made their way to inform the design or implementations of programmes and policies.

368. In spite of this, there is still an imbalance between the richness of experiences at the project level and the limited capacity to analyse and systematize them at a level of rigour that is suitable for policy-level discussion. Almost all projects have experiences and content that can be meaningful to help design rural poverty reduction strategies and programmes or review the on-going ones, especially on rain-fed area development and natural resource management. Moreover, while individual projects may have been successful at devising workable approaches and solutions, learning between on-going projects takes place slowly.

369. At the central level, due to limited substantive and technical interactions between sectoral Ministries and IFAD, transfer of experience is weaker. While lessons from IFAD-funded operations have more direct application at the state level, maintaining linkages with the centre is important to ensure consistency between national policies, state programmes and projects. One of the key expectations of the Government of India is active involvement by international agencies on exchanges of knowledge, good practice and technical experience, from India and abroad. Moreover, contribution to policy dialogue is important to support the revision of policies and facilitate the scaling up of promising interventions and their results. Limited interactions with central agencies, the absence of a strong partnership with reputed national or international think tanks, limited resources, incentives and heavy country office workload are among key constraints to non-lending activities.

370. Overall, **there is need and demand for further IFAD-supported interventions in India**. In spite of the limited financial resources available, IFAD has positioned itself to support socio-economic groups that are under-served by public programmes and are at higher risk of poverty. IFAD-supported projects have devised viable approaches that may be adapted and adopted by larger public schemes to enhance equity and effectiveness of outreach. Moreover, IFAD-funded projects intervene in rain-fed areas and its clients include, among others, many smallholder and marginal farmers. Improving the productivity of rain-fed agriculture, commercialising smallholder agriculture and enhancing the efficiency of agricultural value chains are among the main challenges for national agricultural development in India. IFAD has specific experience in these areas and can contribute to practical technical solutions and innovations.

371. In sum, IFAD's interventions are central not only to local agricultural and rural development issues but also to national sectoral needs. While IFAD has established itself for its focus on certain areas and clients, it needs to build stronger capacity for analysis and cooperation with a differentiated set of partners so that its

experience can inform state and national policies and strategies and be scaled up in collaboration with public authorities, international agencies, and private actors.

O. Recommendations

372. The following recommendations are geared towards the preparation of the next COSOP, through a consultation between the Government of India, IFAD and other key partners. It is assumed that the future lending envelope for India will remain at the same level as at present: US$130-140 million per triennium.

373. **Recommendation 1. Keep priority to disadvantaged areas and groups but explore differentiated approaches.** Disadvantaged areas will continue to be a priority in the national rural development context and IFAD has recognized comparative advantages in disadvantaged areas in India. IFAD-funded interventions should continue to target disadvantaged areas, particularly in states with large rain-fed areas, where they can establish effective and innovative approaches for future replication and scaling up of results. At the national level, it will be important to avoid excessive geographic spread-out of the portfolio. Given the human resources available in the IFAD country office, there is a limit to the number of states and projects that can be effectively supervised. Key recommendations of the previous CPE continue to be well-grounded such as the general principle of "one state one loan" and the "saturation" approach (maximizing coverage of a block/district before moving to the next one).

374. **Differentiating the approaches according to the target groups.** The future programme should continue to target disadvantaged communities and groups, with special attention to women and scheduled tribes. Attention to building and strengthening social capital should continue. However, in different agro-ecological and socio-economic contexts, IFAD will face different challenges. The design approach, component-mix and level of specialisation will need to be adapted.

375. The traditional self-help group paradigm will continue to be relevant for areas and groups where basic needs, building of grassroots organizations and subsistence agriculture are still the priority. These are interventions requiring several years of investments, starting from low economic base and human development conditions. Instead, in areas where communities are already organized and there is potential for marketing of surplus production, project designs, in addition to SHGs, should continue to explore additional approaches to community and group building with focus on collectively linking to markets and commercialisation (e.g., producers' groups, mutually-aided cooperative societies and producers' companies).

376. **Recommendation 2. Projects' agricultural development components need to focus more prominently on technical solutions for rain-fed agriculture, especially in light of the climate change, collaborate more with local and national applied research and extension, and commercialisation of smallholder agriculture.** From a technical perspective, interventions need more direct emphasis on reducing the large intra-district yield differentials, better analyse constraints, risks and opportunities of farming systems. There is also a need for more systematic programme-based partnerships with state and local public research and extension organizations (e.g., district-level *Krishi Vigyan Kendras* and higher research organizations) on technical packages to improve productivity of crops, fodder, fruit trees and livestock and mitigate weather-related losses.

377. Investments in agriculture need to be crafted more strategically around territorial and commodity clusters, to better coordinate interventions and concentrate on a critical mass and streams of initiatives. This will also put projects in a better position to support linkages to markets and opportunities for value addition. To improve farmers' access to information on markets and reduce risks, attention needs to be paid to expose them to information technology and insurance products.

378. Emphasis on market access and value chains also implies: (i) better market access and value chain diagnostics upfront to identify the barriers that smallholder farmers face; (ii) clearer identification of the envisaged role of a project (e.g., enhancing access to market information; facilitating access to wholesale markets; investing on improved processing capacity); and (iii) exploring the interest of private sector operators at the design stage. Recent legislation on reinvesting a percentage of corporate profits on corporate social responsibility provides new opportunities.

379. **Recommendation 3. Complementary interventions in non-agricultural activities are important** not only as a measure to diversify rural incomes (primary production will absorb only a part of the burgeoning youth labour supply in rural areas) but, equally important, to develop processing and value addition in agricultural commodity supply chain. In particular, there is scope to better connect these activities with projects' agricultural investments (e.g., in the areas of processing and packaging of products, agricultural tool repair shops, marketing of agricultural inputs, eco-tourism).

380. **Recommendation 4. Portfolio implementation efficiency needs to be addressed aggressively.** A first area of thrust is to simplify project design. This may entail more conservative plans for project coverage (e.g., fewer blocks or districts, following a saturation approach). In addition, in particularly disadvantaged communities (e.g., scheduled tribes), projects could follow a modular approach: rather than concentrate numerous components and sub-components in a single project, the intervention could be sequenced in a modular fashion. For example, a first loan could focus on human and social capital building, support to food self-sufficiency and sustainable livelihood approach. A follow-up loan could then emphasise market linkages and support and scaling up in collaboration with public programmes and local governments (PRIs).

381. The central government, state governments and IFAD should review issues that cause delays in recruiting the project team, staff turn-over and lengthy procurement, affecting the pace of implementation, for example: (i) project personnel recruitment procedures, particularly for senior staff, given the difficulty to hire staff on deputation from state agencies and programmes; (ii) procurement procedures and contractual arrangements that have proven to be non-conducive (e.g., the output-based payment schemes for NGOs); (iii) compensation packages for project staff, to ensure equal treatment with other public programmes; (iv) concurrent charges of project directors that compete for their time and focus. IFAD could further support by preparing guidelines based on previous implementation experience and training modules on financial management, procurement and other fiduciary aspects.

382. **Recommendation 5. Strengthen partnerships and non-lending activities at four levels: state government, central government, private actors and the rural finance sub-sector and south-south cooperation.** There are four main levels of action, each requiring slightly different partners and skills. First, at the state level, project partnerships and experiences could be supported by analytical work to provide inputs into policy design and revision and pave the way for benefits to reach a larger number of people.

383. Second, at the central level, building on previous state-level experiences, lessons of processes and experiences could be distilled at a higher level and shared with central-level authorities and international development partners, including Rome-based agencies and International Financial Institutions in a number of fora.

384. Third, Private sector needs to be involved prominently at the time of the new COSOP preparation and project design. Pilot experiences of CAIM and ILSP with private operators need to be analysed more in detail to extract lessons and approaches. The rural finance sub-sector needs more attention given the so far limited responsiveness in financing village groups. In addition to working with

private microfinance entities, the experience of MPOWER with publicly-owned banks deserves dissemination.

385. Fourth, experiences need to be shared with other countries in the sub-region (and beyond). The sub-regional mandate of the IFAD country office in India creates fertile ground for south-south knowledge exchanges. Beyond the sub-region, there should be central-level efforts from IFAD headquarters to facilitate strategic initiatives of South-South cooperation from a global perspective.

386. **Recommendation 6. Enhance capacity and resources for non-lending activities.** At present, non-lending activities are constrained by limited in-house technical expertise and budget. Within the current resource profile, some improvements could be made by exploring the following options: (i) embedding knowledge management and policy dialogue components in individual loan project financing; (ii) using the already existing opportunity of periodic tripartite meetings to discuss selected sectoral/thematic issues and facilitate knowledge transfer across projects; (iii) mobilising additional funding from external sources (e.g., national, international foundations).

387. IFAD also needs to demonstrate capacity of strategic thinking and to bring specialised technical skills to the table. Partnerships with reputed national and international high-calibre specialists and think tanks would enhance quality and credibility of policy analysis. IFAD could consider creating an engagement forum comprising of researchers/scholars and practitioners, commission think pieces on issues of priority and convene with the government an annual or bi-annual high profile event. This would require IFAD Headquarter engagement and support including a moderate allocation of additional resources.

Ratings of IFAD-funded operations in India (2010-2015)

Portfolio Assessment	*JCTDP*	*OTELP*	*LIPH*	*PTSLP*	*Tejaswini*	*WELP*	*MPOWER*	*NERCORMP II*	*CAIM*	*ILSP*	*JTELP*	*LAMP*	*OPELIP*	*Overall Rating*
Core perform. criteria														
Relevance	4	5	3	4	5	3	4	5	5	5	5	4	5	**5**
Effectiveness	4	4	4	4	5	2	4	5	4					**4**
Efficiency	3	4	4	3	4	2	3	4	3					**3**
Project performance [a]	**3.7**	**4.3**	**3.7**	**3.7**	**4.7**	**2.3**	**3.7**	**4.7**	**4**					**3.9**
Household income and assets	5	4	5	4	5	3	4	5	5					**5**
Human/social capital and empowerment	4	5	5	*4*	*5*	3	5	5	*5*					***5***
Food security and agricultural productivity	3	5	4	n.r.	4	3	4	5	4					**4**
Natural resources and the environment	3	4	4	n.r.	4	n.r.	4	5	4					**4**
Institutions and policies	3	5	4	n.r.	5	2	3	4	4					**4**
Rural poverty impact [b]	**4**	**5**	**4**	**4**	**5**	**3**	**4**	**5**	**4**					**4**
Sustainability	3	4	3	4	5	2	4	4	4					**4**
Pro-poor innovation, replication and scaling up	4	6	5	5	5	3	4	6	5					**5**
Gender equality and women's empowerment	4	5	5	5	6	3	4	5	5					**5**
Overall project achievement [c]	**4**	**5**	**4**	**4**	**5**	**3**	**4**	**5**	**4**					**4**
Partners' performance														
IFAD	4	5	4	4	5	3	4	5	5					**4**
Government	4	5	4	5	4	3	3	5	4					**4**

a. Arithmetic average of ratings for relevance, effectiveness, efficiency.
b. This is not an average of ratings for individual impact domains.
c. This is not an average of ratings for individual criteria. Moreover, the ratings for the performance of partners is not a component of the overall assessment rating.

List of IFAD Loans approved in India since 1978

Project ID	Project. Name	Project. Type[1]	Total Cost (in million US$)	IFAD Fin(in million US$)[2]	Co-financing (in million US$)	Govt. Funding (in million US$)[3]	Beneficiary Contribution	Co-financier	Board Approval	Loan Effectiveness	Project Completion	Planned/Actual Closing Date[4]	Current Status
023	Bhima Command Area Development Project	Irrigation	100	50	-	50		-	18/09/1979	14/12/1979	16/04/1984	16/10/1984	Closed
032	Rajasthan Command Area Development and Settlement Project	Rural Development	110.6	55	-	55.6		-	19/12/1979	03/03/1980	30/06/1988	31/12/1988	Closed
049	Sundarban Development Project	Rural Development	37.8	17.5		20.3		-	03/12/1980	04/02/1981	31/12/1988	30/06/1989	Closed
081	Madhya Pradesh Medium Irrigation Project	Irrigation	232.1	25	140	67.1		IDA	17/12/1981	17/09/1982	30/09/1987	31/03/1988	Closed
124	Second Uttar Pradesh Public Tubewells Project	Irrigation	182.2	30.1	91	56		IDA	21/04/1983	06/10/1983	30/09/1990	31/03/1991	Closed
214	Orissa Tribal Development Project	Rural Development	24.4	12.2	1.4	10.8		WFP	03/12/1987	27/05/1988	30/06/1997	31/12/1997	Closed
240	Tamil Nadu Women's Development Project	Credit and Financial Services	30.6	17	9.1 (local financial institutions)	4.5		NABARD and commercial banks	26/04/1989	26/01/1990	30/06/1998	31/12/1998	Closed
282	Andhra Pradesh Tribal Development Project	Agricultural Development	46.5	20	7.5	15.8 (6.6 mn of institutional finance)	3.2	Netherlands, UNFPA	04/04/1991	27/08/1991	30/09/1998	31/03/1999	Closed
325	Maharashtra Rural Credit Project	Credit and Financial Services	48.35	29.1	4.18 (including 1.6 by local banks)	14.9		UNDP, Worldview International Foundation	06/04/1993	06/01/1994	31/03/2002	30/09/2002	Closed
349	Andhra Pradesh Participatory Tribal Development Project	Agricultural Development	50.3	26.7	10.41 (Including 5.04 of financing by	9.4	3.76	Netherlands, NABARD	19/04/1994	18/08/1994	30/09/2002	31/03/2003	Closed

[1] As given on IFAD website
[2] IFAD core funding as given in PPMS (now GRIPS) and IFAD website
[3] Both National and Local government funding
[4] In case of ongoing projects planned closing dates while in case of closed projects actual closing dates

Project ID	Project. Name	Project. Type[1]	Total Cost (in million US$)	IFAD Fin(in million US$)[2]	Co-financing (in million US$)	Govt. Funding (in million US$)[3]	Beneficiary Contribution	Co-financier	Board Approval	Loan Effectiveness	Project Completion	Planned/Actual Closing Date[4]	Current Status
					local financial institutions)								
432	Mewat Area Development Project	Rural Development	22.3	14.9	6.6		0.7		12/04/1995	07/07/1995	31/12/2004	30/06/2005	Closed
1012	Rural Women's Development and Empowerment Project	Rural Development	53.5	19.2	19.4 (Incl. 8.52 mn from local financial institutions)	3.7	2.9	World Bank, local commercial banks and NABARD	05/12/1996	19/05/1999	30/06/2005	31/12/2005	Closed
1040	North Eastern Region Community Resource Management Project for Upland Areas	Agricultural Development	73.42	42.89 (Incl. supplementary loan of 20 mn)	3.26 (local financial institutions)	20.5	3.7		29/04/1997 17/12/2009	23/02/1999 12/07/2010	31/03/2008 30/09/2016	30/09/2008 31/03/2017	Ongoing (Phase II)
1063	.Jharkhand-Chhattisgarh Tribal Development Programme	Rural Development	41.7	22.9	10.5	4.7	3.3	DFID	29/04/1999	21/06/2001	30/06/2012	31/12/2012	Closed
1121	National Microfinance Support Programme	Credit and Financial Services	134	21.9	112 (Incl. 88.5 mn from local financial institutions)			DFID	04/05/2000	01/04/2002	30/06/2009	31/12/2009	Closed
1155	Orissa Tribal Empowerment and Livelihoods Programme	Agricultural Development	106.15	35	40	17.5	9.10	DFID	23/04/2002 25/11/2013	15/07/2003 27/01/2014	31/03/2015 31/03/2016	30/09/2015 30/09/2016	Ongoing (Phase II)
1210	Livelihood Security Project for Earthquake Affected Rural Households in Gujarat	Agricultural Development	23.9	14.9	6.6 (Incl. 1.7 mn from local NGO)	1.65	0.7	WFP, SEWA	12/09/2001	04/10/2002	15/06/2009	15/12/2009	Closed
1226	Livelihoods Improvement Project in the Himalayas	Credit and Financial Services	84.3	39.9	23.4 (From local financial institutions)	11.44	9.49		18/12/2003	01/10/2004	31/12/2012	30/06/2013	Closed
1314	Tejaswini Rural Women's Empowerment Programme	Credit and Financial Services	223.7	54.4	142.3 (From local financial institutions)	12.75	13.9		13/12/2005 24/03/2014	23/07/2007 26/06/2014	30/09/2017 30/09/2017	31/03/2018 31/03/2018	Ongoing

Project ID	Project. Name	Project. Type[1]	Total Cost (in million US$)	IFAD Fin(in million US$)[2]	Co-financing (in million US$)	Govt. Funding (in million US$)[3]	Beneficiary Contribution	Co-financier	Board Approval	Loan Effectiveness	Project Completion	Planned/Actual Closing Date[4]	Current Status
1348	Post-Tsunami Sustainable Livelihoods Programme for the Coastal Communities of Tamil Nadu	Credit and Financial Services	68.6	30	24.9 (local financial institutions)	3.4	10.34		19/04/2005 20/04/2006	09/07/2007 19/01/2009	10/05/2014 31/03/2017	10/05/2014 30/09/2017	Ongoing
1381	Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains	Credit and Financial Services	52.5	30.1	18.09 (from local financial institutions)	1.7	2.47		14/12/2006	04/12/2009	31/12/2017	30/06/2018	Ongoing
1418	Mitigating Poverty in Western Rajasthan Project	Rural Development	62.54	30.9	7.63 (4.43 from local financial institutions)	21.36	2.6	Tata Trust	24/04/2008	11/12/2008	31/12/2016	30/06/2017	Ongoing
1470	Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme	Agricultural Development	118.6	41.1	36.13 (Incl. 14.54 mn from local financial institutions)	37.6	3.6	Tata Trust, Private sector	30/04/2009	04/12/2009	31/12/2017	30/06/2018	Ongoing
1617	Integrated Livelihood Support Project	Agricultural Development	258.79	89.9	109.8 (local financial institutions	48.8	10.97		13/12/2011	01/12/2012	31/03/2019	30/09/2019	Ongoing
1649	Jharkhand Tribal Empowerment and Livelihoods Project	Agricultural Development	115.5	51		62.92 (55 million from other domestic govt sources such as MNREGS)	0.9		21/09/2012	04/10/2013	31/12/2021	30/06/2022	Ongoing
1715	Livelihoods and Access to Markets Project	Rural Development	169.9	50	57.5 (29.3 from local banks and 28.2 from other programmes)	49.6	12.7		08/04/2014	09/12/2014	31/12/2022	30/06/2023	Ongoing
1743	Odisha PTG Empowerment and Livelihoods Improvement Programme	Rural Development	130.39	51.2		76.18	3		22/04/2015	-	-	-	Approved

Source: GRIPS, IFAD Website and IFAD Xdesk. All data as of 24 April, 2015

List of IFAD-funded grants in India

List of IFAD-funded grants with activities in India since 2010

Grant Number	Grant Title	Grant Type	Recipient	Benefitting Countries	IFAD Financing Amount	Approval Date	Completion Date	Closing Date	Task Manager
998	Asia and the Pacific Region Asian Project Management Support (APMAS) programme	Global/Regional	AIT	Cambodia, Lao PDR, India, Viet Nam	1400,000	15/09/2009	31/12/2013	30/06/2014	Palmeri
1108	Enabling Poor Rice Farmers to improve Livelihoods and Overcome Poverty in South and South-East Asia through the Consortium for Unfavourable Rice Environments (CURE)	Global/Regional	IRRI	Nepal, India, Philippines, Indonesia, Vietnam, Laos, Cambodia (Myanmar and Thailand will be covered by other donor partners' grants)	1500,000	30/04/2009	30/09/2013	31/03/2014	Thapa
1113	Programme on Livelihoods and Ecosystem Services in the Himalayas: Enhancing Adaptation Capacity and Resilience of the Poor to Climate and Socio-Economic Changes	Global/Regional	ICIMOD	Bhutan, India, Nepal	1500,000	30/04/2009	30/06/2013	31/12/2013	Thapa
1265	BHUTAN CLIMATE SUMMIT 2011	Global Regional	Ministry of Finance	Bhutan, Bangladesh, Nepal and India	200,000	21/12/2010	30/09/2012	30/06/2013	Darlong
1356	Sending Money Home to Asia and the Pacific: Markets and Regulatory Framework	Global/Regional	IBRD	Afgh, BD, Camb, China, Fiji, India, ID, Iran, Kaza, Korea, Kyrgyzstan, Lao, Malaysia, MV, Mong, Myanmar, NP, Pak, PNG, PH, Rep Korea, SL, Taj, Thailand, Timor-Leste, Tonga, VT	300,000	15/03/2012	31/05/2013	20/01/2014	De Vasconcelos
1311	Enhancing dairy-based livelihoods in India and India through innovation and value-chain development approaches	Global/Regional	ILRI	India, India	100,000	29/08/2011	31/12/2014	30/06/2015	Rota
1279	Safe Nutrient, Water and Energy Recovery: Developing a Business Case	Global/Regional	IWMI	Bangladesh, India, VT, China (Ghana, Uganda, Botswana)	650,000	04/05/2011	30/09/2014	30/03/2015	Cleveringa
1241	Reinforcing the resilience of Poor Rural Communities in the Face of Food Insecurity, Poverty and Climate Change through on-farm Conservation of Local	Global/Regional	Bioversity	India, Nepal (Bolivia)	975,000	05/12/2010	31/03/2015	30/09/2015	Alcadi

Grant Number	Grant Title	Grant Type	Recipient	Benefitting Countries	IFAD Financing Amount	Approval Date	Completion Date	Closing Date	Task Manager
	Agrobiodiversity								
1431	Strengthening Knowledge on Global Food Availability and Utilization	Global/Regional	FAO/AMIS	China, India, Indonesia, Thailand, Vietnam and the Philippines	200,000	12/12/2012	31/03/2015	30/09/2015	Garbero
707-IPAF	Reclaiming the Commons with Women's Power: Eco-village development in Tribal Odisha	Country Specific	Amasangatha n	India	43,500	04/07/2012	04/07/2014		Cordone
45-IPAF	Promoting Culture, Human Rights & Socio-Economic Opportunities Of The Hmars.	Country Specific	Bible Hill Youth Club & Hill Tribes Mission Aid of India	India	32000	09/05/2012	09/05/2014		Cordone
	Activities financed under the "Legal Empowerment of Women Programme" (LEWI) Supplementary Funds from Canada to IFAD	Country Specific	-	India	-	31/08/2008	30/11/2011	31/12/2011	Palmeri
1034	Food and Agriculture Organization of the United Nations/Self Employed Women's Association (FAO/SEWA): Medium-term Cooperation Programme with Farmers' Organizations in Asia and the Pacific Region	Global/Regional	FAO	India, Nepal, Sri Lanka, Cambodia, Indonesia, Laos, Myanmar, Philippines, Vietnam, China	1,083,000	25/04/2008	31/12/2012	30/09/2013	Jatta
1130	First Asia Regional Gathering of Pastoralist Women in Gujarat	Global/Regional	MARAG	India	200,000	12/06/2009	30/06/2011	06/06/2012	Puletti
200000029 400	Sensitization and effective implementation of policies on pastoral and common lands (component III)	Global/Regional	MARAG	India	20,320	1/11/2012	01/10/2014	01/04/2015	Sabine Pallas
200000069 800	ILC Asia Land Forum and Regional Assembly 2014 - Mera Gav Meri Jamin (Land for Dignity)	Global/Regional	MARAG	India	72,100	26/05/2014	01/12/2014	01/06/2015	Annalisa Mauro
1239	Root and Tuber Crop Research	Global/Regional	CIP/FoodStart	Bangladesh, China, India, Philippines	1,450,000	05/12/2010	31/03/2015	30/09/2015	Jatta
1317	Development of Alternative Biofuel Crops	Global/Regional	ICRAF	Brazil, Colombia, Egypt, India, Mali, Nicaragua, Philippines, Zambia	1,500,000	15/09/2011	31/12/2016	30/12/2017	Mathur

Grant Number	Grant Title	Grant Type	Recipient	Benefitting Countries	IFAD Financing Amount	Approval Date	Completion Date	Closing Date	Task Manager
1363	Rainfed Crop-based Production	Global/Regional	ICRISAT	India, Laos, Nepal, Viet Nam	15,00,000	07/04/2012	30/06/2016	31/12/2016	Darlong
1447	MTCP-2	Global/Regional	AFA	Bangladesh, Bhutan, Cook Is., China, Fiji, Cambodia, India, Indonesia, Laos, Sri Lanka, Myanmar, Nepal, Philippines, Samoa, Solomon Islands, Tonga, Viet Nam, Vanuatu	2,000,000	07/07/2013	30/09/2018	31/03/2019	Thierry
2000000102	Livelihoods and Resilience HKH	Global/Regional	ICIMOD	Bangladesh, India, Myanmar, Nepal	12,00,000	25/11/2013	31/03/2017	30/09/2017	Bresciani
2000000108	Documenting Global Best Practices on Sustainable Models RuFBEP	Global/Regional	APRACA	China, India, Indonesia, Philippines, Thailand	11,00,000	09/12/2013	31/03/2018	30/09/2018	Pedersen
1433	M&E in India and Bhutan	Global/Regional	IFPRI	Bhutan, India	500,000	20/12/2012	31/03/2016	30/09/2016	Darlong
2000000210000	Mobiles for Mobility (M4M): Ensuring timely access to information for pastoralists through a mobile-phone focused information Hub (360,000 US$)	Global/Regional	MARAG	India	360,000	16/10/2013	31/12/2015	30/09/2016	Jeong

Methodological note on country programme evaluations

388. A country programme evaluation (CPE) conducted by the Independent Office of Evaluation of IFAD (IOE) has two main objectives: assess the performance and impact of IFAD-financed operations in the country; and generate a series of findings and recommendations that will inform the next results-based country strategic opportunities programme (COSOP). It is conducted in accordance with the directives of IFAD's Evaluation Policy[1] and follows the core methodology and processes for CPEs outlined in IOE's Evaluation Manual.[2] This note describes the key elements of the methodology.

389. **Focus.** A CPE focuses on three mutually reinforcing pillars in the IFAD-government partnership: (i) project portfolio; (ii) non-lending activities; and (iii) the COSOP(s). Based on these building blocks, the CPE makes an overall assessment of the country programme achievements.

390. With regard to assessing the **performance of the project portfolio** (first pillar), the CPE applies standard evaluation methodology for each project using the internationally-recognized evaluation criteria of relevance, effectiveness, efficiency and rural poverty impact - including impact on household income and assets, human and social capital, food security and agricultural productivity, natural resources and the environment (including climate change[3]), and institutions and policies. The other performance criteria include sustainability, innovation and scaling up, and gender equality and women's empowerment. The performance of partners (IFAD and the government) is also assessed by examining their specific contribution to the design, execution, supervision, implementation-support, and monitoring and evaluation of the specific projects and programmes. The definition of all evaluation criteria is provided in Annex V.

391. The assessment of **non-lending activities** (second pillar) analyzes the relevance, effectiveness and efficiency of the combined efforts of IFAD and the government to promote policy dialogue, knowledge management, and partnership building. It also reviews global, regional, and country-specific grants as well as achievements and synergy with the lending portfolio.

392. The assessment of the **performance of the COSOP** (third pillar) is a further, more aggregated, level of analysis that covers the relevance and effectiveness of the COSOP. While in the portfolio assessment the analysis is project-based, in this latter section, the evaluation considers the overall objectives of the programme. The assessment of relevance covers the alignment and coherence of the strategic objectives - including the geographic and subsector focus, partners selected, targeting and synergies with other rural development interventions - , and the provisions for country programme management and COSOP management. The assessment of effectiveness determines the extent to which the overall strategic objectives contained in the COSOP were achieved. The CPE ultimately generates an assessment for the overall achievements of the programme.

393. **Approach.** In line with international evaluation practices, the CPE evaluation combines: (i) desk review of existing documentation - existing literature, previous IOE evaluations, information material generated by the projects, data and other materials made available by the government or IFAD, including self-evaluation data and reports; (ii) interviews with relevant stakeholders in IFAD and in the country; and (iii) direct observation of activities in the field.

[1] http://www.ifad.org/gbdocs/eb/102/e/EB-2011-102-R-7-Rev-1.pdf.
[2] http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf
[3] On climate change, scaling up and gender, see annex II of document EC 2010/65/W.P.6 approved by the IFAD Evaluation Committee in November 2010: http://www.ifad.org/gbdocs/eb/ec/e/65/EC-2010-65-W-P-6.pdf

394. For the field work, a combination of methods are generally used for data gathering: (i) focus group discussions with a set of questions for project user and comparison groups; (ii) Government stakeholders meetings – national, regional/local, including project staff; (iii) sample household visits using a pre-agreed set of questions to household members, to obtain indications of levels of project participation and impact; (iv) key non-government stakeholder meetings – e.g., civil society representatives and private sector.

395. Evaluation findings are based on triangulation of evidence collected from different sources.

396. **Rating scale**. The performance in each of the three pillars described above and the overall achievements are rated on a scale of 1 to 6 (with 1 being the lowest score, and 6 the highest), enabling to report along the two broad categories of satisfactory (4, 5, and 6) and unsatisfactory performance (1, 2 and 3). Ratings are provided for individual projects/programmes, and on that basis, for the performance of the overall project portfolio. Ratings are also provided for the performance of partners, non-lending activities, the COSOP's relevance and effectiveness as well as the overall achievements of the programme.

397. In line with practices of international financial institutions, the rating scale, in particular when assessing the expected results and impact of an operation, can be defined as follows - taking however due account of the approximation inherent to such definition:

Highly satisfactory (6)	The intervention (project, programme, non-lending, etc.) achieved - under a specific criteria or overall –strong progress towards all main objectives/impacts, and had best practice achievements on one or more of them.
Satisfactory (5)	The intervention achieved acceptable progress towards all main objectives/impacts and strong progress on some of them.
Moderately satisfactory (4)	The intervention achieved acceptable (although not strong) progress towards the majority of its main objectives/impacts.
Moderately unsatisfactory (3)	The intervention achieved acceptable progress only in a minority of its objectives/impacts.
Unsatisfactory (2)	The intervention's progress was weak in all objectives/impacts.
Highly unsatisfactory (1)	The intervention did not make progress in any of its objectives/impacts.

398. It is recognized that differences may exist in the understanding and interpretation of ratings between evaluators (inter-evaluation variability). In order to minimize such variability IOE conducts systematic training of staff and consultants as well as thorough peer reviews.

399. **Evaluation process.** A CPE is conducted prior to the preparation of a new cooperation strategy in a given country. It entails three main phases: (i) design and desk review phase; (ii) country work phase; (iii) report writing, comments and communication phase.

400. The *design and desk review phase* entails developing the CPE approach paper. The paper specifies the evaluation objectives, methodology, process, timelines, and key questions. It is followed by a preparatory mission to the country to discuss the draft paper with key partners. During this stage, a desk review is conducted examining available documentation. Project review notes and a consolidated desk

review report are prepared and shared with IFAD's regional division and the government. The main objective of the desk review report is to identify preliminary hypotheses and issues to be analysed during the main CPE mission. During this stage both IFAD and the government conduct a self-assessment at the portfolio, non-lending, and COSOP levels.

401. The *country work stage* entails convening a multidisciplinary team of consultants to visit the country, holding meetings in the capital city with the government and other partners and traveling to different regions of the country to review activities of IFAD-funded projects on the ground and discuss with beneficiaries, public authorities, project management staff, NGOs, and other partners. A brief summary note is presented at the end of the mission to the government and other key partners.

402. During the *report writing, comments and communication of results* stage, IOE prepares the draft final CPE report, shared with IFAD's regional division, the government, and other partners for review and comments. The draft benefits from a peer review process within IOE including IOE staff as well as an external senior independent advisor. IOE then distributes the CPE report to partners to disseminate the results of the CPE. IOE and the government organize a national roundtable workshop that focuses on learning and allows multiple stakeholders to discuss the main findings, conclusions and recommendations of the evaluation. The report is publicly disclosed.

403. *A core learning partnership* (CLP), consisting of the main users of the evaluation, provides guidance to IOE at critical stages in the evaluation process; in particular, it reviews and comments on the draft approach paper, the desk review report and the draft CPE report, and participates in the CPE National Roundtable Workshop.

404. Each CPE evaluation is concluded with an *agreement at completion point* (ACP). The ACP is a short document which captures the main findings of the evaluation as well as the recommendations contained in the CPE report that IFAD and the government agree to adopt and implement within a specific timeline.

Definition of the evaluation criteria used by IOE

Criteria	*Definition*[a]
Project performance	
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 in achieving its objectives.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.
Rural poverty impact[b]	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.
• Household income and 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.
• 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 grassroots organizations and institutions, and the poor's individual and collective capacity.
• Food security and agricultural productivity	Changes in food security relate to availability, access to food and stability of access, whereas changes in agricultural productivity are measured in terms of yields.
• Natural resources, the environment and climate change	The focus on natural resources and the environment involves assessing the extent to which a project contributes to changes in the protection, rehabilitation or depletion of natural resources and the environment as well as in mitigating the negative impact of climate change or promoting adaptation measures.
• 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.
Other performance criteria	
• Sustainability	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.
• Innovation and scaling up	The extent to which IFAD development interventions have: (i) introduced innovative approaches to rural poverty reduction; and (ii) the extent to which these interventions have been (or are likely to be) replicated and scaled up by government authorities, donor organizations, the private sector and others agencies.
• Gender equality and women's empowerment	The criterion assesses the efforts made to promote gender equality and women's empowerment in the design, implementation, supervision and implementation support, and evaluation of IFAD-assisted projects.
Overall project achievement	This provides an overarching assessment of the project, drawing upon the analysis made under the various evaluation criteria cited above.
Performance of partners • IFAD • Government	This criterion assesses the contribution of partners to project design, execution, monitoring and reporting, supervision and implementation support, and evaluation. It also assesses the performance of individual partners against their expected role and responsibilities in the project life cycle.

[a] These definitions have been taken from the Organization for Economic Co-operation and Development/Development Assistance Committee *Glossary of Key Terms in Evaluation and Results-Based Management* and from the IFAD Evaluation Manual (2009).

[b] The IFAD Evaluation Manual also deals with the "lack of intervention", that is, no specific intervention may have been foreseen or intended with respect to one or more of the five impact domains. In spite of this, if positive or negative changes are detected and can be attributed in whole or in part to the project, a rating should be assigned to the particular impact domain. On the other hand, if no changes are detected and no intervention was foreseen or intended, then no rating (or the mention "not applicable") is assigned.

Complementary tables to the main chapters

A. Complementary table to Chapter I

Table A.1
Comments from the Government of India on the approach paper of this CPE (June 2015)

Summary of comment/questions by the Government of India	*Sections of the CPE when the topic is treated*
Were lessons learnt from the project experiences and recommendations formulated since the last evaluation integrated with the design principles for the subsequent projects?	This is discussed under Relevance, Ch. IV. In most cases, past evaluation findings and implementation experience was integrated in later project design.
Relatively longer gestation period and life cycle of IFAD projects in India	Treated under Efficiency, Ch. IV; and Performance of Partners, Ch. V. Key factors are also discussed.
Lack of focus in the project on account of multiplicity of objectives/components	The CPE recognises that multi-project components can lead to implementation challenges. At the same time, it finds that acting on several poverty dimensions was in principle a valid approach to address structural causes of inequality and this was particularly the case for projects in scheduled tribe areas. More focused project design is a viable approach in areas with higher produce surplus potential and where people are less deprived from a human/social capital perspective. See Relevance, Ch. IV; and Performance of Partners, Ch. V
Buy-in for the project from the stakeholders	This is discussed under Impact on Social Capital Ch IV. The CPE finds that buy-in is generally strong.
Efforts towards institution building in the projects	This is discussed under Impact on Institutions and Policies, Ch IV.
Need for IFAD projects to have stronger focus on agriculture and agriculture-based livelihoods	Discussed under Relevance, Ch. IV; COSOP Performance, Ch. VII. The CPE finds that in the past there was not a problem of little financing for agricultural activities but sometimes limited attention to organizing the components along product clusters and little emphasis on collaboration with public research.
Projects to have a strong component on marketing and crop insurance for agriculture, with a focus on the entire value chain	*Treated under relevance, Ch. IV* and *COSOP Performance, Ch. VII. There was limited emphasis in the past. Better awareness in some recent project designs.*
Replicability and scalability of projects	Discussed under Innovation and Scaling Up, Chapter IV. There are several examples of scaling up, some exemplary for IFAD.
Use of technology in making agricultural operations economically viable and profitable	Discussed under Innovation and Scaling Up, Chapter IV. There are emerging examples.

B. Complementary tables to Chapter II

Table B.1
India's progress towards MDGs

Millennium Development Goal	*Target*	*Indicator*	*1990*	*2011-12*
MDG 1 – Eradicate extreme poverty and hunger	Halve proportion of people living on less than one dollar a day	Poverty headcount count ratio (below national poverty line)	47.8%	21.9%
		Rural poverty gap ratio*	9.64 (2004-05)	5.05
	Halve the proportion of people who suffer from hunger	Proportion of underweight children below 3 years	52%	33% (estimated for 2015)
MDG 2 – Achieve Universal Primary Education	Ensure that by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary education	Youth (15-24 years old) literacy rate	61.9%	86.14%
MDG 3 – Promote Gender Equality and Empower Women	Eliminate gender disparity in primary, secondary education, preferably by 2005, and in all levels of education, no later than 2015	Ratio of literate women to men, 15-24 years old	0.67	0.91
		Share of women in wage employment in non-agricultural sector	-	19.3%
		Proportion of seats held by women in national parliament	9.7%	12.24 (2015)%
MDG 4 – Reduce child mortality	Reduce by two-thirds, between 1990 and 2015, the under-five Mortality Rate	Under five mortality rate (per thousand live births)	125	52 (2012 estimate)
		Infant mortality rate (per thousand live births)	80	40 (2013)
MDG 5 – Improve maternal health	Reduce by three quarters between 1990 and 2015, the Maternal Morality Ratio	Maternal mortality rate (per 100,000 live births)	437	167 (2011-13 average)
		Proportion of births attended by skilled health personnel	33%	76.2% (2009)
				77.29 (2015 estimate)
MDG 7 - Ensure Environmental Sustainability	Halve, by 2015 the proportion of people without sustainable access to safe drinking water and basic sanitation	Proportion of population with sustainable access to an improved water source, urban and rural	64.84	87.8% (2012)
				98.2% (2015 estimate)
		Proportion of population without access to improved sanitation, urban and rural	76%	43.3% (2012)
				47.31% (2015 estimate)

Source: Millennium Development Goals, India Country Report 2015

* The Poverty Gap Ratio is the gap by which mean consumption of the poor below poverty line falls short of the poverty line. It indicates the depth of poverty; the more the PGR, the worse is the condition of the poor.

Table B.2
Yields of selected crops (Kg/ha) in India - growth over previous decade in parenthesis

Crop	*1980-81*	*1990-91*	*2000-01*	*2010-11*
Cereals	1 374	1 909	2 359	2 769
	(21%)	(39%)	(24%	(17%)
Roots and Tubers	12 977	16 035	19 077	22 167
	(21%)	(24%)	(19%)	(16%)
Pulses	444	564	679	633
	(-16%)	(27%)	(20%)	(-7%)
Vegetables, primary	8 385	10 243	13 158	14 008
	(12%)	(22%)	(28%)	(6%)
Fibre crops	308	399	372	625
	(18%)	(30%)	(-7%)	(68%)

Source: CPE Elaboration from FAO Statistical Database 2015

Table B.3
Yield Comparison with South Asia and World Averages

Ratio India/S-Asia	*1980-81*	*1990-91*	*2000-01*	*2010-11*
Cereals	0.959	0.998	0.987	0.975
Roots and Tubers	1.052	1.096	1.095	1.056
Pulses	0.975	0.989	1.017	0.988
Vegetables, primary	0.977	0.970	0.987	0.965
Fibre crops	0.820	0.761	0.778	0.890
Ratio India/World	**1980-81**	**1990-91**	**2000-01**	**2010-11**
Cereals	0.624	0.701	0.761	0.765
Roots and Tubers	1.120	1.302	1.462	1.581
Pulses	0.667	0.684	0.800	0.722
Vegetables, primary	0.653	0.700	0.777	0.742
Fibre crops	0.620	0.615	0.553	0.768

Source: CPE Elaboration from FAO Statistical Database 2015

Table B.4.
State wise poverty headcount in India over past two decades

State	1993-94			2004-05			2011-12		
	Rural	Urban	Total	Rural	Urban	Total	Rural	Urban	Total
Andhra Pradesh	48.1	35.2	44.6	32.3	23.4	29.9	10.96	5.81	9.2
Arunachal Pradesh	60	22.6	54.5	33.6	23.5	31.1	38.93	20.33	34.67
Assam	54.9	27.7	51.8	36.4	21.8	34.4	33.89	20.49	31.98
Bihar	62.3	44.7	60.5	55.7	43.7	54.4	34.06	31.23	33.74
Chhattisgarh	55.9	28.1	50.9	55.1	28.4	49.4	44.61	24.75	39.93
Delhi	16.2	15.7	15.7	15.6	12.9	13.1	12.92	9.84	9.91
Goa	25.5	14.6	20.8	28.1	22.2	25	6.81	4.09	5.09
Gujarat	43.1	28	37.8	39.1	20.1	31.8	21.54	10.14	16.63
Haryana	40	24.2	35.9	24.8	22.4	24.1	11.64	10.28	11.16
Himachal Pradesh	36.7	13.6	34.6	25	4.6	22.9	8.48	4.33	8.06
Jammu & Kashmir	32.5	6.9	26.3	14.1	10.4	13.2	11.54	7.2	10.35
Jharkhand	65.9	41.8	60.7	51.6	23.8	45.3	40.84	24.83	36.96
Karnataka	56.6	34.2	49.5	37.5	25.9	33.4	24.53	15.25	20.91
Kerala	33.9	23.9	31.3	20.2	18.4	19.7	9.14	4.97	7.05
Madhya Pradesh	49	31.8	44.6	53.6	35.1	48.6	35.7	21	31.65
Maharashtra	59.3	30.3	47.8	47.9	25.6	38.1	24.22	9.12	17.35
Manipur	64.4	67.2	65.1	39.3	34.5	38	38.8	32.59	36.89
Meghalaya	38	23	35.2	14	24.7	16.1	12.53	9.26	11.87
Mizoram	16.6	6.3	11.8	23	7.9	15.3	35.43	6.36	20.4
Nagaland	20.1	21.8	20.4	10	4.3	9	19.93	16.48	18.88
Odisha	63	34.5	59.1	60.8	37.6	57.2	35.69	17.29	32.59
Pondicherry	28.1	32.4	30.9	22.9	9.9	14.1	17.06	6.3	9.69
Punjab	20.3	27.2	22.4	22.1	18.7	20.9	7.6	9.2	8.26
Rajasthan	40.8	29.9	38.3	35.8	29.7	34.4	16.05	10.69	14.71
Sikkim	33	20.4	31.8	31.8	25.9	31.1	9.85	3.66	8.19
Tamil Nadu	51	33.7	44.6	37.5	19.7	28.9	15.83	6.54	11.28
Tripura	34.3	25.4	32.9	44.5	22.5	40.6	16.53	7.42	14.05
Uttar Pradesh	50.9	38.3	48.4	42.7	34.1	40.9	30.4	26.06	29.43
Uttaranchal	36.7	18.7	32	35.1	26.2	32.7	11.62	10.48	11.26
West Bengal	42.5	31.2	39.4	38.2	24.4	34.3	22.52	14.66	19.98
All India	**50.1**	**31.8**	**45.3**	**41.8**	**25.7**	**37.2**	**25.7**	**13.7**	**21.92**

Source: Review of Expert Group to Review the Methodology for Estimation of Poverty (2009) Planning Commission, Government of India; Press Note on Poverty Estimates, 2011 – 12 (2013)
*The poverty headcount for 2004/05 is adjusted to the poverty line proposed by the Tendulkar committee in 2009 while the headcount for 2011/12 follows the poverty line as set by the Tendulkar committee
** The estimates for Chhattisgarh, Madhya Pradesh, Bihar, Jharkhand, Uttar Pradesh and Uttaranchal are for states as they exist after bifurcation in 2001. The estimates for 1993-94 have been calculated from the unit data using district and state boundaries of the divided states in 1993-94.

Table B.5
Major government rural development schemes

Category	Key characteristics
Self and wage employment programmes	
National Rural Livelihood Mission (NRLM)	• Evolved from Integrated Rural Development Programme • Follows multi-pronged approach to strengthen livelihoods of the rural poor by promoting SHGs, federation of community based institutions, improving existing occupations, providing skill development and placement and access to credit. • Centre state cost sharing 75:25 (90:10 for North Eastern states and Jammu and Kashmir) • Implemented by dedicated management units set up at the state, district and block levels.
Mahatma Gandhi National Rural Employment Guarantee Scheme (MNREGS)	• Largest rights-based employment guarantee programme in the world • Any rural household to 100 days of unskilled employment per year. • Labour used to create productive rural infrastructure such as roads, ponds, bunds • Operationalized through National Rural Employment Guarantee Act, 2005
Rural infrastructure programmes	
Pradhan Mantri Gram Sadak Yojana (PMGSY)	• provide all weather road connectivity in rural areas of the country. • connecting all habitations with a population of 500 persons and above in the plain areas and 250 persons and above in hill States, the tribal and the desert areas.
Indira Awas Yojana (IAY)	• One of the flagship schemes of the Ministry of Rural Development • Provides assistance towards housing to Below Poverty Line families • Centrally sponsored scheme with cost sharing between central and state governments in the ratio of 75:25 (the ratio is 90:10 for North East states)
Food security and nutrition	
Public Distribution Systems	• Public Distribution System (PDS) in place since before Independence. Cost of the scheme has hovered around 5 per cent of agricultural GDP against 0.5 per cent for research and development and gross capital formation in agriculture from public sources has been less than 2 per cent of agricultural GDP 2.[a] • Targeted Public Distribution (TPDS) introduced in 1997 aimed to reach a target of 60 million families below poverty line with 20 kg grains each month.[b] • In 2013 India enacted the National Food Security Act which mandated the government to provide almost 800 million Indians with highly subsidized food grains, at an estimated cost of almost US$21.8 billion annually (as estimated for 2013-14).[c]
Mid-Day Meal Schemes	• Largest school feeding programme in the world. • Government primary schools to combat dual problems of dropout rates in schools and high prevalence of child malnutrition. • The central and state governments share the cost of the Midday Meal Scheme, with the centre providing 75 per cent and the states 25 per cent.
Basic needs and social security programmes	
Sarva Shiksha Abhiyan (SSA)	• Flagship programme of government of India • Aimed at the universalisation of elementary education "in a time bound manner" • New sub-programme being introduced to improve comprehensive early reading, writing and early mathematics programme for children in Classes I and II.
National Rural Health Mission (NRHM)	• Initiated to reinforce the weak healthcare systems in 18 states of India • Thrust of the mission is on establishing a fully functional, community owned, decentralized health delivery system with inter-sectoral convergence

[a] India's Right to Food Act, A Novel Approach to Food Security, IFPRI: www.ifpri.org/sites/default/files/publications/gfpr2013_ch03.pdf
[b] Food Security and the Targeted Public Distribution System in India: http://www.lse.ac.uk/asiaResearchCentre/_files/ARCWP38-Kattumuri.pdf
[c] India's Right to Food Act, A Novel Approach to Food Security, IFPRI: http://www.ifpri.org/sites/default/files/publications/gfpr2013_ch03.pdf

Table B.6
Breakdown of costs for on-going project by thematic area cluster

Thematic Area Clusters	*Estimated Investment (US$ million)*	*In percentage*
Agricultural, livestock production, extension & research and natural resource management	414.3	35%
Rural financial services	336.5	28%
Community mobilization, community-driven services and infrastructure	143.1	12%
Post-harvest, market access and rural enterprises	149.3	12%
Capacity building of public institutions and Policy Dialogue	62.9	5%
Programme management and M&E	93.5	8%
Total	1,199.5	100%

Source: CPE Elaboration of data from Flexcube

Box 1
Profile of selected international cooperation agencies in India

Selected international cooperation agencies

The Asian Development Bank (ADB) and the World Bank are the two main multilateral lending institutions in India. As of December 2014, ADB had an ongoing loan portfolio of US$11.5 billion. Since the commencement of its operations in India, ADB has lent to the tune of US$34.7 billion in sovereign loans of which only about US$296million (0.84 per cent) towards Agriculture, Natural Resources and Rural Development with supports for water resource management, flood and coastal management, and agribusiness development. The bulk of ADB's lending has been for transport and energy sectors.[106] Agricultural investments are a new area for ADB in India and started only some 5 years ago.

The World Bank's current country partnership strategy (2013-2017) focuses on fourteen low income and special category states within India. As of July 2015, the active portfolio of World Bank consisted of 87 lending projects with a funding worth US$24.7 billion committed to them. Within the sphere of agriculture and rural development, The World Bank has financed projects in decentralization of rural governance, integrated watershed development, water supply and sanitation, micro irrigation and rural livelihood development to name a few (the quantum of investment in this sector is unavailable). The country partnership strategy (2013-2017) foresees an annual lending envelope of US$3 to 5 billion. The World Bank is also supporting the National Rural Livelihoods Mission (NRLM) of the Government of India through annual funding of approximately US$500 million.[107]

The Food and Agriculture Organization of the United Nations (FAO) currently has three priority areas for cooperation in India: (i) facilitation of multilateral cooperation to reduce risks to food security and economic growth through greater participation by India in multilateral technical programmes; (ii) supporting Government Programmes to strengthen national poverty reduction and food and nutrition security programmes. FAO provides technical assistance and capacity building to enable transferral of best practices as well as learning from other countries' experiences; (iii) piloting innovative agricultural and rural development approaches with government, nongovernmental and private sector partners.[108]

The World Food Programme (WFP) has phased out food assistance/delivery activities in the country since 2012. It is currently working with the government in enhancing efficiency of the targeted public distribution system through technology-led solutions to plug the leaks in the supply chain. WFP is also undertaking policy dialogue with the government to enhance the list of items in the food basket distributed through the public distribution system to increase the nutrition security. In addition, pilot activities are being taken up within school feeding programmes to promote nutrition security through fortification of rice. Vulnerability analysis mapping studies are being undertaken in collaboration with national institutions to identify the most food insecure areas and population groups to facilitate better government programme design and response.

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) office in India has over 300 staff spread around the country. GIZ's capacity building and technical assistance programmes in India focus on three specific fields of energy, environment and economic development. The main commissioning partners for GIZ projects in India are German Federal Ministry for Economic Cooperation and Development and German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety. Under the rubric of these focal areas it also supports government's recent policy thrusts such as Clean India Campaign and the Skill India Initiative. In India, 40 projects worth 204 million euros were commissioned of which about 10 per cent was towards agriculture.[109]

[106] Asian Development Bank & India: http://www.adb.org/sites/default/files/publication/27768/ind.pdf
[107] India Country Snapshot: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2015/10/12/090224b08313a8de/1_0/Rendered/PDF/India000Country0snapshot.pdf
[108] India and FAO Promoting food security and sustainable development in India and around the world: http://www.fao.org/3/a-au079e.pdf
[109] GIZ project data as accessed on 10th December 2015: https://www.giz.de/projektdaten/index.action?request_locale=en_EN%20-%20?region=2&countries=IN#?region=2&countries=IN

Recommendations of the 2010 India CPE and actions taken in the COSOP 2011

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
Strategic issues	**1. Give more priority to smallholder agriculture**	Include sustainable smallholder agriculture as a thrust area, as an engine for promoting pro-poor growth and reducing hunger and rural poverty.	Reflected in COSOP, which indicates that it will be aligned with IFAD's Strategic Framework -where smallholder agriculture is viewed as a profitable sector linked to markets and value chains. Specific programme strategies are also defined: (i) farming systems based on the sustainable use of natural resources; (ii) a detailed review of risk-coping mechanisms, prioritizing risk-minimizing strategies and low-cost production systems; (iii) provision of micro insurance services; and (iv) access to payments for environmental services.	Confirmed and considered as a *fully completed* recommendation by both reviews.
		Include emphasis on promoting the viability and risk-management of farming activities by smallholder farmers, with specific attention to rainfed areas and emphasis on water conservation, livestock development, and crop production.	Reflected in COSOP, which specifies that all future projects will be sited in rainfed areas. Under Strategic Objective 1 (SO1), COSOP explicitly states a focus on (i) in situ water conservation; (ii) sustainable crop and livestock development; and (iii) agricultural research and extension of low-cost, pro-poor technologies.	Confirmed and considered as a *fully completed* recommendation by both reviews.
Strategic issues	**2. Targeting and reduced geographic coverage.**	Devote greater emphasis to smallholder farmers, but also to rural women and tribal communities.	Reflected in COSOP, which targets (i) tribal communities; (ii) smallholder farmers; (iii) landless people; (iv) women; and (v) unemployed youth.	Confirmed and considered as a *fully completed* recommendation by both reviews.
		Narrow geographic focus and not expand beyond the 11 states covered by ongoing operations.	Reflected in COSOP, which limits geographic focus to states where IFAD had ongoing projects at the time of COSOP's design.	Confirmed and considered as a *fully completed* recommendation by both reviews.
		Avoid two-state projects through one loan and one supervision budget.	COSOP includes this as a recommendation for future projects. The two tentative project concepts included in the COSOP are one-state-projects[111].	Confirmed and considered as a *fully completed* recommendation by both reviews.

[110] Most remarks are based on the annex "Progress against CPE recommendations", prepared by the Programme Management Department (PMD), and included in all 2010-2015 COSOP Reviews.
[111] *Integrated Livelihood Support Project-State of Uttarakhand* and *Integrated Tribal Community Development Project in the State of Jharkhand.*

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
		Opportunities to work in conflict areas could be pursued in consultation with Government.	Although COSOP does not clearly reflect a focus on conflict areas, it indicates that social unrest will be mitigated through different strategies. Moreover, the tentative project concept of the *Integrated Tribal Community Development Project in the State of Jharkhand*, included in the COSOP, has a focus on conflict and peace building.	Confirmed and considered as a *fully completed* recommendation by both reviews, which indicate the *Jharkhand Tribal Empowerment and Livelihoods Project* (2012) and the *Odisha Particularly Vulnerable Tribal Groups Empowerment and Livelihoods Project* ((due to be approved in 2015) as projects with a focus on conflict areas.
Strategic issues	**3. Enhance private sector engagement in line with corporate social responsibility principles.**	Enhance partnership with the private sector.	Reflected in COSOP, which recognises partnering with the private sector as a priority to be strengthened.	Confirmed and considered as a *fully completed* recommendation by both reviews, recognising active agri-business partnerships with a large number of private sector companies and growing partnership with the Industrial Credit and Investment Corporation of India (ICICI) Bank[112].
Strategic issues	**4. Innovation with deeper attention to replication and scaling up**	Include a well-defined innovations agenda.	Reflected in COSOP (section IV C), which identifies opportunities for innovation in renewable energy, resilience to climate change, remittances and micro insurance, fair and effective value chains and Information and Communication Technology (ICT).	Confirmed and considered as a *fully completed* recommendation by both reviews recognizing replication and scaling-up in the following projects: (i) *North Eastern Region Community Resource Management Project for Upland Areas*; (ii) *Integrated Livelihood Support Project*; (iii) *Jharkhand Tribal Empowerment and Livelihoods Project*; (iv) *Livelihoods and Access to Markets Project*; (v) *Orissa Tribal Empowerment and Livelihoods Programme*; (vi) *Odisha Particularly Vulnerable Tribal Empowerment and Livelihoods Improvement Programme* (due to be approved in 2015); (vii) *Tejaswini Rural Women's Empowerment Programme (TRWEP)* additional finance and Shaurya Initiative[113].
		Explicit the approach pursued for replication and scaling up.	Reflected in COSOP where replication and scaling up of successful ideas and innovations is recognized as focus area to reach greater numbers of poor rural people.	Confirmed and considered as a *fully completed* recommendation by both reviews, indicating that scaling-up concept notes have led to new project designs, building on successful previous IFAD projects.

[112] ICICI Bank is an Indian multinational banking and financial services company. As of 2014 it was the second largest bank in India in terms of assets and market capitalization.
[113] According to 2015 COSOP Review, following the scaling-up of TRWEP across the entire State established in the 2018 State Vision Document for Madhya Pradesh, IFAD was requested to assist the State Government through the provision of an additional loan of USD 15 million. Besides, the scale-up of the Shaurya initiative (undertaken in the Tejaswini project) was also scaled-up for the entire state. The Shaurya initiative promotes "Shaurya Dals" to address the issue of violence against women and children. Started with an aim to curb violence against girls and women, Shaurya Dal consists of 5 women members and five male members of a village.

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
		Explore opportunities for developing and strengthening partnerships with national institutions and the private sector for the implementation of this recommendation.	Reflected in COSOP, which states that the relationships with academic and research institutions (among others the Indian Council for Agricultural Research) will be strengthened to gain access to knowledge, good practices and expertise. Furthermore, as mentioned under recommendation 3, partnership with private sector will be strengthened.	Considered as a *partially completed* recommendation by both reviews, which highlight that in October 2013, in response to a request from the Department of Economic Affairs (DEA)[114], IFAD financed a national level workshop on scaling-up high potential agricultural technologies in the Indian Council of Agricultural Research (ICAR)[115].
		Expand partnership with NGOs and other rural institutions in order to scout for, develop, pilot test and assess innovations emerging from the grassroots level.	Reflected in COSOP, which includes a commitment to continue to partner with national-level NGOs, not only as implementing partners but also as a source of innovation and analysis on issues affecting rural poor people.	Confirmed and considered as a *fully completed* recommendation by both reviews, mentioning that NGOs are the main field level-implementing partners in all new IFAD projects.
Strategic issues	**5. Launch a coherent Knowledge Management programme**	Include a distinct and clearly Knowledge Management programme.	Reflected in COSOP, which includes knowledge and learning sharing as a cross cutting objective. It's been designed to focus on scouting, generating, validating and sharing knowledge with the objective of replicating and scaling up successful ideas and innovations in order to reach greater numbers of poor rural people.	Confirmed and considered as a *fully completed* recommendation by both reviews, mentioning IFAD's support to set up a knowledge sharing website for the Department of Economic Affairs (DEA). Furthermore, the reviews mention the existence of a KM focal point in the India Country Office. *IFAD in India* newsletters are prepared every 6 months to share knowledge, innovation briefs and case studies prepared at the request of the DEA.
Strategic issues	**6. Seek deeper convergence with government**	Greater convergence within government-funded programmes and between operations and other donor funded activities and Government-assisted programmes.	Reflected in COSOP as a cross cutting issue. In the COSOP's Results Management Framework it is mentioned that project design features should be oriented to seek convergence with government schemes and programmes.	Considered as a *fully completed* recommendation by both reviews, mentioning that convergence is a central theme of all the new projects. 2015 review informs of an active dialogue between the India Country Office (ICO) and the National Rural Livelihood Mission (NRLM)[116], under the Ministry of Rural Development, as well as the sharing of good practices at the state level. An NRLM convergence action plan is being prepared for all on-going projects in India.

[114] The Department of Economic Affairs (DEA) of the Ministry of Finance of the Government of India is IFAD's nodal partner in India.
[115] The Indian Council of Agricultural Research (ICAR) is an autonomous organisation under the Department of Agricultural Research and Education (DARE) of the Ministry of Agriculture. Formerly known as Imperial Council of Agricultural Research, it was established on 16 July 1929. The Council is the apex body for co-ordinating, guiding and managing research and education in agriculture including horticulture, fisheries and animal sciences in India.
[116] Ministry of Rural Development launched the Aajeevika-National Rural Livelihoods Mission (NRLM) in June 2011. Aided in part through investment support by the World Bank, the Mission aims at creating efficient and effective institutional platforms of the rural poor enabling them to increase household income through sustainable livelihood enhancements and improved access to financial services.

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
		In-depth analysis of other on-going or planned development initiatives in the districts during project design.	Reflected in COSOP Section V F "Performance-Based Allocation System (PBAS) financing framework": *"Among other features, commitment should include, to the extent possible: (…) early appointment of key project staff to enable their participation during project design"*	Considered as a *fully completed* recommendation by both reviews as in depth analysis on convergence is included in all new IFAD projects' design.
		Link Project Management Units (PMU) more directly with state and district administrations	Not specifically reflected in COSOP.	Considered as a *fully completed* recommendation by both reviews as all new projects are implemented by State Government administrations. The reviews mention that in the case of *the Integrated Livelihood Support Project-State of Uttarakhand,* the convergence with the National Rural Livelihood Mission (NRLM) is automatic, as the lead project agency is the NRLM. Furthermore, District and Block level Project Management Units of all projects work closely with the District and Block level administrations and their plans are in most cases incorporated in the District Plans.
		Build and strengthen the communities' capacity to access the available schemes of different Government's departments.	COSOP's Results Management Framework includes as institutional/policy objective *"Support self-governance of tribal communities though strengthening their traditional/community institutions though capacity building in accessing local governmental institutions, schemes and services, (…)".*	Considered as a *fully completed* recommendation by both reviews, which state that IFAD supported projects work on this principle. 2015 Review presents the Community Managed Resource Centres (CMRCs) in Maharashtra (*Tejaswini Rural Women's Empowerment Programme)* as an example[117].
Strategic issues	**7. Widen partnership with central government**	Engage more proactively with the central Ministries, especially Ministry of Agriculture and Ministry of Rural Development (MORD), to leverage their expertise and experience.	Reflected in COSOP's (V B section on "Partnership"), which also mentions partnership with the Ministries of Tribal Affairs, of Women and Child Development, of Development of the North Eastern Region, and with the North Eastern Council. Ad hoc partnerships and consultations with other central government institutions are also mentioned.	Considered as a *fully completed* recommendation by both reviews.

[117] The Tejaswini Maharashtra Rural Women Empowerment Programme, being implemented by Mahila Arthik Vikas Mahamandal (MAVIM), the State Women's Development Corporation of Government of Maharashtra, supports and strengthens women's self-help groups (SHG) and their apex organizations, and provides them with access to financial services, fostering linkages with banks and supporting microfinance institutions. In order to sustain the SHG movement the model of Community Managed Resource Centre (CMRC), a grassroots institution, is established.

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
		Encourage exposure visits of central government officials to project areas.	Reflected in COSOP (V B section on "COSOP Monitoring"), which mentions that representatives of central and state government agencies are expected to take part in monitoring activities at the state level.	Although considered as a *fully completed* recommendation by both reviews, only visits of DEA officials to two projects[118] are mentioned.
Strategic issues	**8. Ensure ownership and commitment with State Governments**	Involve state Governments from the very beginning of project design.	Reflected in COSOP (Section V D on "Partnership"), which underlines the importance of the relationship with state governments in order to ensure their effective support to IFAD-supported investment projects.	Considered as a *fully completed* recommendation by both reviews, which recognise that all new projects have been conceived as a response to State Government requests and Concept Notes. Besides, it is mentioned that State Governments nominated focal points to engage actively in design processes[119].
		State Government should ensure: (i) smooth flow of funds; ii) timely provision of counterpart funds; (iii) direct participation in Joint Review Mission (JRM); (iv) timely follow-up on agreed recommendations; (v) competitive and attractive salaries and allowances, including their timely adjustments; and (vi) continuity of tenure of Project Directors and key-management staff.	Reflected in COSOP section V F on "PBAS financing framework": *"(…) commitment should include, to the extent possible: (…) continuity of project directors and managers for reasonable periods; agreement, where required, on competitive salaries for participating project staff and NGOs; (…) and active participation of both state and central government in joint review activities".* Also reflected in section V B on "COSOP Management": "*Country office will: (…) coordinate supervision activities through JRMs and timely follow-up on recommendations, for both loans and grant-funded operations; (…)"*	Considered as a *partially completed* recommendation by both reviews mentioning progress in most of these areas. Timely provision of counterpart funds is not mentioned.
Operational issues	**9. Increase loan size**	Increase the average loan size of the operations and undertake fewer projects.	Reflected in COSOP's section V F "PBAs financing framework".	Considered as a *fully completed* recommendation by both reviews.
		Financing larger projects should not result in a commensurate cut in IFAD's administrative budget allocated towards country programme management.	No specifically mentioned in the COSOP.	Considered as a *not completed* recommendation by both reviews due to the drop in the administrative budget across Programme Management Department (PMD) and the reduction of unit costs across the Asia and the Pacific Division, including India.
Operational issues	**10. Strengthen the India Country Office (ICO)**	Strengthen the country office, including the out posting of the CPM to Delhi and appointment of a full-time coordinator.	Reflected in COSOP's section 5 B on "COSOP Management".	Considered as a *partially completed* recommendation by both reviews, which mention that (i) a senior Country Coordinator was appointed in September 2011, and (ii) IFAD is waiting for certification of the CPM to enable out-posting

[118] *Jharkhand-Chhattisgarh Tribal Development Programme* in 2011 and *Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme* in 2013.
[119] For example in the *Livelihoods and Access to Markets Project* and in the design of *Odisha Particularly Vulnerable Tribal Empowerment and Livelihoods Improvement Programme.*

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
				although budget implications of out-posting the CPM are reported unknown.
		Reconsider the role, priorities and organisation of the ICO.	Reflected in COSOP's section 5 B on "COSOP Management": *"The COSOP will be managed by the Country Programme Manager (CPM) and the India Country Office, which will be strengthened as recommended by the CPE".*	Considered as a *fully completed* recommendation by both reviews reporting the full reorganisation of ICO structure in November 2011. The 2015 COSOP review mentions that there are three full time professional positions, two Country Project Officers (CPO) and one Country Programme Assistant (CPA), with financial/procurement tasks.
		Provide country office staff with fixed-term contracts and better mainstreamed into IFAD's overall work force.	Not specifically mentioned as such in COSOP document.	Considered as a *fully completed* recommendation by both reviews mentioning that all country staff is on IFAD fixed-term contracts.
		Reconsider hosting arrangements with World Food Programme (WFP) and analyse the merits of hiring alternative premises.	Not specifically mentioned as such in COSOP document.	Considered as a *fully completed* recommendation by both reviews reporting: (i) the review and good performance of hosting arrangements; (ii) cost escalation did not happen as all contracting was done by UNIDO Headquarters and not by WFP; (iii) there is no reason to find alternative premises as rent of the WFP offices is low compared to similar offices in the same area of Delhi.
		Upgrade office infrastructure in terms of space and information technology facilities, which are currently constraining the work of the office, inter alia, such as the access to IFAD databases and reports at headquarters.	Not specifically mentioned as such in COSOP document.	Considered as a *fully completed* recommendation by both reviews, which mention that all country staff has access to IFAD databases and is responsible for directly uploading to the corporate databases. Furthermore, resources are available to replace computers when necessary.
Operational issues	**11. Ensure greater continuity in project directors**	Central Government and State Government shall endeavour to ensure continuity in project directors to the extent possible	Reflected in COSOP (section V F on "PBAS financing framework"): *"Among other features, commitment should include, to the extent possible: (…) continuity of project directors and managers for reasonable periods".*	Considered as *partially completed* recommendation by both reviews as there is still frequent rotation of project directors in some states.
		IFAD and the Government could consider alternatives including, inter alia, recruiting from the open market or deputing senior level staff form established civil society organizations.	Reflected in COSOP's section V G on "Risks and Risk Management": *"the difficulty of attracting and retaining competent and motivated staff to manage projects will be mitigated through provision of competitive salaries and training, and through recruitment on the open market".*	Considered as a *fully completed* recommendation by both reviews as alternatives are being considered in all the new projects. It is mentioned that the favoured option so far is the combination of a part time Indian Administrative Service (IAS) officer as Project Director (PD) and a full time deputy PD, sometimes recruited from the open market.

2009 CPE Recommendations			2010-2015 COSOP	Remarks from 2014/2015 Reviews[110]
Category	**Recommendation**	**Sub-theme**		
Operational issues	**12. Improve project efficiency**	Some measures should be deployed to improve efficiency, streamlining the flow of funds to limit implementation delays, strengthen the capacity in the project management unit and state governments in procurement and other loan administration issues, and ensuring the assignment and continuity of staff to the project with adequate expertise and experience in project management.	Reflected in COSOP's section V C on "Country Programme Management", which includes a variety of measures[120].	While both reviews indicate specific progresses[121], they also mention that the cumulative level of disbursement for the country portfolio remains problematic in some projects mainly due to (i) political factors; (ii) inadequate staff capacity, delays in getting staff appointed and high turnover of staff; (iii) delays in undertaking procurement of service providers; (iv) un-workable contracting terms with NGO service providers; and (iv) other miscellaneous project management issues. External factors, like the 2013 earthquake in Uttarakhand, also contributed to delays.
Operational issues	**13. Resource issues**	Conduct a detailed cost analysis during the formulation of the next COSOP and make the necessary allocations commensurate with the size, focus and coverage of IFAD supported activities in the country.	Not mentioned as such in the COSOP.	Considered as a *fully completed* recommendation by both reviews that inform of a detailed cost analysis undertaken. It is also mentioned that as a result of the limitation of projects to one state and the reduction of projects to 9 in 2014, the annual supervision budget was reduced while the annual design costs drop due to the move towards two new designs every three years.. Besides, the India Country Office was reduced in size to 3 full time staff in 2012. Cost saving of 40% in ICO took place.

[120] *"The performance of the IFAD portfolio will be strengthened mainly through reduced rotation of PDs, reduced staff turnover owing to competitive salaries, improvement in financial management and M&E activities, and timely response on remedial actions agreed by JRMs. Enhanced efficiency and effectiveness of IFAD-supported activities will be achieved through increased lending size, continual building of the managerial capacity of the project management unit and the staffs of implementing partners, better implementation support, and rigorous and innovative M&E processes. Given the current experience of delayed disbursement in ongoing IFAD projects, the COSOP expects to meet the challenge of increased lending size (…). In addition, it will be imperative to ensure that competent and committed project staff are retained in the project for an adequate length of time"*

[121] The progresses highlighted are (i) disbursement performance improved from SDR 11 million in 2010 to SDR 22 million in 2011 as a result of streamlining the Withdrawal Application process and flow-of funds; (ii) timing in WA processing decreased by 5 days in 2011 due to decentralization of some loan administration functions to the Indian Country Office; (iii) timing of procurement review improved from 2011 with the recruitment of a procurement specialist on retainer contract. A part from this information, no quantification in changes for processing time is provided by the reviews.

List of key persons met

Meetings at the IFAD Headquarters and Country Office

Mr John McIntire, Former Associate Vice President, Programme Management Department

Ms Hoonae Kim, Director, Asia and the Pacific Region of IFAD (APR)

Mr Nigel Brett, former Country Programme Manager for India, APR

Ms Rasha Omar, Country Programme Manager for India, APR

Mr Shantanu Mathur, Head, Quality Assurance Group of IFAD

Mr Antonio Rota, Lead Advisor for Livestock, Policy and Technical Advisory Division of IFAD

Mr Mattia Prayer Galletti, Lead Advisor for Rural Institutions, Social Assets and Empowerment, Policy and Technical Advisory Division of IFAD

Ms Antonella Cordone, Senior Advisor for Indigenous Peoples and Tribal Issues, Policy and Technical Advisory Division of IFAD

Mr Claudio Mainella, Finance Officer, Controller's and Finance Services Division of IFAD

Ms Rima Alcadi, Grant Portfolio Advisor, Quality Assurance Group of IFAD

Ms Sabine Pallas, Programme Officer, International Land Coalition

Ms Meera Mishra, Country Programme Coordinator for India, Regional Division for Asia and the Pacific

Mr Vincent Darlong, Country Programme Officer – India, Regional Division for Asia and the Pacific

Mr Sriram Subramanium, Associate Country Officer India, Regional Division for Asia and the Pacific

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Mr Raj Kumar, Joint Secretary (Multilateral Institutions), Department of Economic Affairs (DEA), Ministry of Finance

Mr Ashok Kumar, Under-Secretary (Multilateral Institutions), Department of Economic Affairs, Ministry of Finance

Mr Rishikesh Singh, Director (Multilateral Institutions), Department of Economic Affairs, Ministry of Finance

Mr R.K. Singh, Joint Secretary (International Cooperation), Ministry of Agriculture

Mr C.M. Pandey, Additional Commissioner (Natural Resource Management and National Rainfed Area Authority), Ministry of Agriculture, Farmer's Welfare

Mr Arun Jha, Secretary, Ministry of Tribal Affairs

Mr J.K.Mohapatra, Secretary, Rural Development, Ministry of Rural Development

Mr Amarjeet Sinha, Additional Secretary, Ministry of Rural Development

Mr Subramanyam, Joint Secretary, Rural Livelihoods, Ministry of Rural Development

Mr T. Vijay Kumar, Joint Secretary, Ministry of Rural Development

Mr Vijay Bhushan Pathak, Joint Secretary, Ministry of Development of North Eastern Region

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Mr Aangrup Bodh, Joint Secretary, Development Monitoring and Evaluation Office, NITI Aayog, New Delhi

Mr P.K. Anand, Senior Consultant, Development Monitoring and Evaluation Office, NITI Aayog, New Delhi

Mr Atal Dulloo, Joint Secretary, National Rural Livelihood Mission, New Delhi

Prof. R.R. Hanchinal, Chairperson, Protection of Plant Varieties and Farmers' Rights Authority

Dr. R.C. Agarwal, Registrar General, Protection of Plant Varieties and Farmers' Rights Authority

Mr D.S. Mishra, Joint Registrar, Protection of Plant Varieties and Farmers' Rights Authority

Mr D. K. Jain, Additional Chief Secretary (Agriculture and Marketing) Government of Maharashtra

Mr Rajeev Singh Thakur, Secretary, Department of Rural Development, Government of Rajasthan

Mr R. Raghu Prasad, Director, Schedule Caste and Schedule Tribes Department, Government of Odisha

Mr S Raju, Additional Chief Secretary and Forest and Rural Development Commissioner, Uttarakhand

Dr. Parmaram, Joint Director (Organic), Directorate of Agriculture, Dehradun, Uttarakhand

Dr. S, Rawal, Joint Director, Department of Animal Husbandry, Dehradun, Uttarakhand

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Dr. Avinash Attand, Chief Executive Officer, Uttarakhand Sheep and Wool Development Board, Dehradun, Uttarakhand

Dr. Ashok Bist, Additional Chief Executive Officer, Uttarakhand Sheep and Wool Development Board, Dehradun, Uttarakhand

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Mr Kapil Lali, Project Director, Water Management Department, Uttarakhand

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Mr Rajiv Mahajan, General Manager, Micro Credit Innovation Department, National Bank for Agricultural and Rural Development

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Mr Takashi Matsuo, Director, Environment, Natural resources and Agriculture Division, Manila

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Mr Arnaud Cauchois, Senior Water Resources Specialist, Asian Development Bank - Nepal

Mr Raghavendra Naduvinamani, Project Analyst, Asian Development Bank - India

Mr Onno Ruhl, Country Director-India, World Bank

Mr Animesh Shrivastava, Program Leader, Rural Urban Transformation-India, World Bank

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Mr Bal Paritosh Dash, Programme Officer, WFP-India

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Ms Katharina Jungblut, Programme officer, GIZ-India

CGIAR Centers

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