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**IFAD**  
**INTERNATIONAL FUND FOR AGRICULTURAL DEVELOPMENT**  
**Executive Board – Eightieth Session**  
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**FIELD PRESENCE PILOT PROGRAMME 2004-2007**  
**INITIATIVE BRIEFS**

At its Seventy-Ninth Session in September 2003, the Executive Board recommended that a proposal for a three-year field presence pilot programme for enhancing IFAD's in-country presence and capacity be submitted to its Eightieth Session in December 2003. Document EB 2003/80/R.4, entitled Field Presence Pilot Programme, foresees that "A first set of Initiative Briefs (IBs) will be completed in 2003 and submitted for information to the Eightieth Session of the Executive Board in December 2003. The remaining initiatives will be developed during 2004 and the Board will be informed of them during the course of 2004."

The present document accordingly comprises eight IBs, each of which covers one or more country, for the information of the Executive Board.

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**ABBREVIATIONS AND ACRONYMS**

BCIE	Central American Bank for Economic Reconstruction
CCU	Coordination Unit
COSOP	Country Strategic Opportunities Paper
CPE	Country Portfolio Evaluation
EU	European Union
FPF	Field Presence Facility
FPPP	Field Presence Pilot Project
FSM	Field Support Manager
GEF	Global Environment Facility
HIPC	Heavily Indebted Poor Country
LAC	Latin America and the Caribbean region
MDG	Millennium Development Goal
NENA	Near East and North Africa
NGO	Non-Governmental Organization
PA	Western and Central Africa Division
PL	Latin American and the Caribbean Division
PPC	Programme and Policy Coordinator
PRS	Poverty Reduction Strategies
RFSM	Regional Field Support Manager
SDC	Swiss Agency for Development and Cooperation
SOF	Special Operations Facility
TA	Technical Assistance
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme

**FIELD PRESENCE PILOT PROGRAMME (FPPP)**  
**INITIATIVE BRIEF: DEMOCRATIC REPUBLIC OF THE CONGO; REPUBLIC OF THE CONGO**

**I. SUMMARY DESCRIPTION**

1. The proposed field presence initiative will involve the mobilization, for a period of three years, of an IFAD Field Support Manager (FSM) to serve both the Democratic Republic of The Congo (D.R. Congo) and the Republic of The Congo (The Congo). The FSM will be based in Kinshasa, directly across the Congo River from the capital city of The Congo (Brazzaville), which will enable him/her to maintain frequent contacts with officials in both countries. Depending on political developments and his/her workload, the FSM may be called upon to assist IFAD's Country Portfolio Manager (CPM) for the Central African Republic. The FSM will be a key player in further developing and operationalizing the regional approach of the Western and Central Africa Division (PA) to post-conflict assistance.

**II. PURPOSE AND JUSTIFICATION**

2. Conflict is increasingly seen as one of the main causes of poverty and vulnerability. IFAD's poverty assessment for western and central Africa estimated that one in five of the region's inhabitants live in countries affected by warfare. Protracted warfare in a number of countries has had widespread negative social, psychological and economic effects. In many rural areas of these countries, rural people find it increasingly difficult to ensure their livelihood. Both D.R. Congo and The Congo have been hit particularly hard in this respect, and much of their capacity to produce food has been destroyed.

3. If IFAD is to respond to the needs of desperately poor rural people in conflict-affected countries, it must make every effort to more systematically address the problem of the critical transition period between relief and long-term development and take care to work in concert with its development partners. There is often a dangerous hiatus between the provision of post-conflict relief and the start-up of long-term development projects – often as much as two or three years. It is essential that institutions like IFAD should have a physical presence in such countries and engage in field activities during the interim period. This is important from the economical standpoint, because the most basic elements of rural people's capacity to make a living need to be restored and many have lost everything. It is also important politically, because of the need to convince people that peace yields dividends.

4. Donors involved in post-conflict rehabilitation rely heavily on non-governmental organizations (NGOs) for implementation. A positive by-product of post-conflict assistance is that the capacity of a number of local NGOs for implementing such operations has been strengthened. Donor agents coach and supervise the work of these organizations, and gain a greater awareness of individual NGO capacity and their potential to serve as longer-term development partners.

5. While programmes in both countries are currently being reactivated now that agreement has been reached on arrears clearance mechanisms, it will take some time to develop loan programmes. On the other hand, grant programmes would enable IFAD to respond quickly to the pressing need to get farmers back to work and to produce food and earn money for their households. Such grant programmes could therefore play a critical role in facilitating the re-establishment of IFAD lending operations in countries emerging from conflict.

6. With USD 500 000 from Italian Trust Fund resources, in 2002 IFAD initiated a first year of post-conflict assistance to D.R. Congo, The Congo and Sierra Leone. With regard to D.R. Congo, an amount of USD 200 000 was used to distribute seed, basic implements and fishing equipment for the benefit of 12 000 farmers and 2 900 artisanal fisherfolk. And as far as The Congo is concerned, a grant of USD 150 000 from the Trust Fund resources benefited 18 000 farmers, 30-40% of whom were women. These relatively modest interventions (in terms of financing levels) have been highly

effective inasmuch as they have had a rapid impact, demonstrated IFAD's commitment to reactivating its country portfolios, and enabled the Fund to initiate new, mutually advantageous partnerships with local organizations and other international agencies. By carefully targeting future grant interventions, major synergies may be achieved under IFAD's lending programme in the two countries. In other words, post-conflict grants prepare the ground for larger development projects and help in the transition from post-conflict relief to development assistance.

7. In post-conflict situations, it is important that IFAD should attempt to bridge the critical gap between grant financing and the initiation of new loan activities. The proposed initiative will greatly assist IFAD in its efforts to regain visibility and establish a presence in countries from which it has been absent for a considerable length of time. IFAD is relatively unknown in these countries, and there is an urgent need to pursue rural-sector policy dialogue and liaise with the governments and donor community. The Fund's present capacity to engage in such dialogue is severely constrained by the total absence of field project staff who typically serve as field proxies.

### III. DETAILED OBJECTIVES

8. The objectives of the proposed initiative are to:

- facilitate reactivation of IFAD's loan portfolio in D.R. Congo and The Congo;
- contribute to operationalizing IFAD's emerging strategy for working in post-conflict countries through the development of complementary and synergistic grant and loan-financed activities;
- enhance IFAD's ability to participate in policy dialogue on rural development and poverty reduction; and
- strengthen IFAD's collaboration and synergy with its international partners, and in particular other United Nations agencies such as the United Nations Development Programme (UNDP), the Food and Agriculture Organization of the United Nations (FAO) and the World Food Programme (WFP).

### IV. COUNTRY BACKGROUND

9. IFAD currently has no active loan projects in D.R. Congo or The Congo. However, the first new loans for both countries are at an advanced stage of design and are expected to be submitted for approval to the Executive Board at its April 2004 Session.

### V. SCOPE OF WORK

10. The FSM will work in close collaboration with field-based partners such as other United Nations agencies. Based in Kinshasa, he/she will assist the respective CPMs to manage both country programmes and frequently cross over to Brazzaville to monitor activities there. The FSM will be responsible for working with local partners in design and implementing individual projects and with the CPMs to mobilize grant financing. Some of the projects will entail post-conflict assistance in the form of seed and tools, while others will target objectives further along the relief-development continuum. In other words, communities that have already received basic assistance may be helped to initiate modest development activities. The FSM will also be responsible for monitoring and evaluating the impact of projects on the beneficiaries, for participating in policy dialogue on, for example, the formulation of poverty reduction strategy papers (PRSPs) to ensure full civil-society participation, and for enhancing pro-poor rural development aspects.

**VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS**

11. In close cooperation with the respective CPMs, the FSM will assist in reactivating the Fund's project portfolio in D.R. Congo and The Congo and in further developing and operationalizing its regional approach to post-conflict assistance. Specifically, he/she will:

- represent IFAD in key national planning and donor coordination activities related to national rural development strategy, policy dialogue and investment programming;
- represent IFAD in key United Nations system national programme planning exercises;
- coordinate with and support civil-society processes for representing the interests of poor rural people and with regard to specific policy issues;
- act as a focal point for all logistics and policy dialogue issues related to the design of IFAD-supported projects in the two countries;
- facilitate flows of information among development programmes with regard to key issues and lessons learned from implementation in areas of major strategic concern to IFAD; and
- develop grant proposals for post-conflict assistance in the two countries, such assistance to be financed through a combination of NGO/Extended Cooperation Programme (ECP) grants and supplementary funds.

12. The FSM will have management-level experience in rural development in the region, an advanced degree in a relevant discipline, and satisfactory experience of working with governments and donors in policy and coordination forums. He/she will be fluent in French, while competence in English will be desirable.

**VII. TYPE OF CONTRACT**

13. The FSM will be contracted under customary national recruitment procedures. The Director, PA, will ensure that the FSM's workplan is properly balanced between activities in the two countries. Following intensive initial briefing in Rome, the FSM will work in close collaboration with IFAD's CPMs for D.R. Congo and The Congo. He/she will also work closely with the PA Regional Economist to help develop operational approaches to post-conflict assistance and debt monitoring for the two countries.

**VIII. INSTITUTIONAL ARRANGEMENTS**

14. Office and communications support will be provided by the UNDP office in Kinshasa.

**IX. DETAILED BUDGET**

15. The estimated cost of the initiative over a period of three years will be approximately US\$ 225 000,<sup>1</sup> broken down as follows:

<b>FSM for D.R. Congo/The Congo (United States Dollars)</b>				
<b>Item</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year3</b>	<b>Total</b>
Salary and benefits	45 000	45 000	45 000	135 000
UNDP support charges	12 000	12 000	12 000	36 000
Travel and per diem	15 000	15 000	15 000	45 000
Communications charges	3 000	3 000	3 000	9 000
<b>Total</b>	<b>75 000</b>	<b>75 000</b>	<b>75 000</b>	<b>225 000</b>

<sup>1</sup> The budget breakdown may be revised in early December 2003, based on the findings of a consultant mission currently in progress.

**X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE**

16. The following parameters will be used for assessing the overall effectiveness of the FSM:

- well-designed projects in both countries, including smooth project start-up;
- effective synergies and a well-defined division of labour among the FSM, CPMs and cooperating institutions;
- better provision for addressing opportunities and needs in national and sectoral rural poverty reduction strategies and programmes;
- effective mobilization of grant resources (NGO/ECP and supplementary funds) in support of post-conflict activities that effectively prepare the ground for loan projects;
- increased overall visibility of IFAD in the two countries; and
- enhanced coordination with civil-society groups, and visible IFAD support for farmers' organizations working in the interests of poor rural people.

17. Specific indicators in the areas of policy dialogue, partnership building, knowledge management and project implementation are:

**Policy Dialogue**

- The FSM participates in and contributes to at least two policy forums.
- The FSM assists in establishing at least three partnerships and linkages at the policy level.
- Increased attention paid to addressing rural poverty issues in the PRSPs of D.R. Congo and The Congo.
- Greater emphasis on rural poverty programmes by the two governments, as reflected in budgetary resources allocated to the agricultural sector.

**Partnership-Building**

- Evidence of at least five meetings with government, civil society and donors (based on available documents) where IFAD's concerns and rural poverty issues have been effectively taken into account.
- Enhanced cooperation and coordination with civil society and donors in rural poverty reduction programmes.

**Knowledge Management**

- Regular substantive reporting to IFAD headquarters (two progress reports per year).
- Participation in at least two country-level thematic groups on issues of high priority to IFAD.
- An improved IFAD headquarters knowledge base on the country/region (particularly with regard to post-conflict-related initiatives).

**Project Implementation**

- Well-designed projects in both countries, including smooth project start-up.
- Effective synergies and a well-defined division of labour among the FSM, CPMs and cooperating institutions.

18. It should be noted that the quantification and exact phrasing of the above-mentioned indicators are preliminary; they will be definitively established and revised by IFAD and all in-country stakeholders during the yearly planning of FSM activities.



**FPPP INITIATIVE BRIEF: HONDURAS; NICARAGUA****I. SUMMARY DESCRIPTION**

19. The proposed initiative will involve mobilizing the services of an FSM, who will be based in Honduras but will also follow up projects in Nicaragua. The FSM's main tasks will be to support project implementation, consolidate partnerships and provide inputs to the Latin America and the Caribbean Division (PL) with a view to further strengthening policy dialogue with governments.

20. Honduras and Nicaragua have been selected on the basis of initiatives for poverty reduction at the national and international levels within the framework of the Debt Initiative for Heavily Indebted Poor Countries (HIPC) and Poverty Reduction Strategies (PRS). At the present time, Honduras represents IFAD's largest portfolio in the Latin America and the Caribbean (LAC) region, with four loans on highly concessional terms for a total of USD 68.1 million. In Nicaragua, IFAD is financing three projects on highly concessional terms for a total of USD 40.5 million, a considerable portion of the regional portfolio.

**II. PURPOSE AND JUSTIFICATION**

21. Honduras and Nicaragua are two of the poorest countries in the LAC region. Poverty in both countries has been aggravated by civil war in the 1980s, the ensuing economic collapse, insufficient basic social services, weakness of human capital, and natural disasters such as Hurricane Mitch. Given their levels of poverty, both countries are eligible to participate in the Debt Initiative for HIPC. In April 2001, IFAD agreed to grant Nicaragua debt relief under the Debt Initiative and, to that end, is currently engaged in negotiations with the European Union (EU).

22. Both countries have been engaged in implementing PRSs as well as other activities recommended in the Rome Declaration on Harmonization. These initiatives are extremely important to IFAD inasmuch as they promote policy dialogue and coordination of activities among different stakeholders.

23. IFAD's activities in Honduras have pioneered interventions set out in the Strategic Framework 2002-2006 in terms of asset development, forging institutional partnerships and strengthening knowledge management. Given the importance and characteristics of the Fund's project portfolio, Honduras has been selected as the most suitable country for undertaking a coordination exercise among the different IFAD-financed regional programmes.

24. Thanks to its considerable experience in the dry regions of Nicaragua, IFAD has been able to develop a sound and effective approach to rural development in the country. Experience shows that projects give better results when executed jointly with existing grass-roots organizations that hire their own technical services. Based on this experience, ongoing IFAD projects in Nicaragua have succeeded in operating at the field level with a wide range of stakeholders and in establishing participatory mechanisms for decision-making.

25. IFAD has learned many lessons of experience in Honduras and Nicaragua, one being that certain poverty reduction initiatives could be replicated elsewhere both within the countries and in the region. IFAD's presence in Honduras and Nicaragua should be strengthened to improve its impact and allow it to play a more effective catalytic role. The experience thus gained should then provide the basis for an institutionalized field presence in the future.

26. Based on these considerations, the proposed field presence initiative is expected to lead to improved project results and impact, to greater interaction with cooperating institutions, and to identifying project implementation difficulties and prompt responses thereto.

### III. DETAILED OBJECTIVES

27. The objectives of the proposed field presence facility (FPF) for Honduras and Nicaragua are to:
- support project management and ensure that more thorough analyses of performance trends are made and that special attention is paid to portfolio implementation and supervision;
  - facilitate the forging of partnerships and liaison with potential national, international and civil-society partners, and strengthen links among IFAD projects and programmes operating in Central America; and
  - improve links between field projects and IFAD headquarters by providing inputs and feedback both on project performance and on relevant policies.

### IV. COUNTRY BACKGROUND

28. With poverty affecting 70% of its rural population, Honduras is the third poorest country in the LAC region. To date, IFAD has contributed to the financing of eight development projects in Honduras, two on intermediate terms and six on highly concessional terms, and four projects are currently ongoing. The country has also benefited from several grants under the Special Operations Facility (SOF) and the NGO/ECP. The Fund has taken a leading role in identifying solutions to the development constraints on rural Honduras, with a consequent reduction in the incidence of extreme poverty in the project areas.

29. Notwithstanding the progress it has made, Nicaragua is still one of the poorest countries in the western hemisphere. Despite the economic growth of the 1990s, about 48% of the population is poor and 17% live below the extreme poverty line. Poverty is mainly a rural phenomenon. IFAD's strategy in Nicaragua is to support the Government to improve the access of poor rural people to production assets that will enable them to improve their lives in a sustainable and equitable manner while preserving their natural heritage.

30. Since 1979, IFAD has contributed to the financing of six development projects in Nicaragua. Three projects are still ongoing, one of which is being implemented in accordance with the Flexible Lending Mechanism. As far as non-lending activities are concerned, Nicaragua's evolving policies and programmes for rural development and natural resources management have been formulated through action promoted under the Regional Unit for Technical Assistance (RUTA) initiative. RUTA has participated in the different stages of project design and has provided constant support with regard to their implementation. In addition, two SOF grants have been provided to support project activities.

### V. SCOPE OF WORK

#### **Project Management and Policy Development**

31. The proposed initiative will focus on project implementation, 80% of activities to be concentrated in Honduras and 20% in Nicaragua. The four IFAD-financed projects currently ongoing in Honduras will need close follow-up as the Government is about to launch a new rural development strategy. Nicaragua offers new possibilities for consolidating rural development policies under the framework of both the PRSP and the Country Strategic Opportunities Paper (COSOP) approved in May 2002.

32. One of the major concerns of PL's portfolio management activities is the need to identify ways and means of enhancing project results and impact at the community level, based on: (i) timely loan effectiveness and project start-up; (ii) promotion of a cost-effective IFAD field presence through innovative, flexible investment interventions, and of operational synergy among lending and technical

assistance (TA) grant programmes; and (iii) quality supervision, technical problem-solving, and continued implementation follow-up by IFAD and its cooperating institutions.

### **Partnership Building**

33. PL is involved in forging partnerships and coalitions within networks of civil-society groups, international financial institutions, agricultural and socio-economic research centres and specialized working groups. The purpose here is to advance advocacy for the rural poor and innovative rural development and poverty-reduction theory and practice.

34. In the case of Honduras, considerable amounts of cofinancing have been secured under the National Fund for Sustainable Rural Development Project and the National Programme for Local Development. Discussions on intervention approaches and post-Hurricane Mitch reconstruction have been held with the UNDP, the Global Environment Facility (GEF), the Central American Bank for Economic Reconstruction (BCIE) and bilateral development agencies.

35. IFAD projects in Nicaragua have worked with bilateral and multilateral agencies, such as the Inter-American Development Bank, BCIE, EU and the World Bank. IFAD actively cooperates with bilateral agencies in the area of rural financial services, and is currently working with Danish International Development Assistance to promote the Technical Assistance Fund Programme for the Departments of Chinandega, León and Managua (“FAT model”) in other regions of the country. IFAD is also engaged in negotiations with the EU within the framework of the Debt Initiative for HIPC.

36. The proposed initiative will help consolidate the above-mentioned partnerships and extend them beyond project-level collaboration; it will also promote the Fund’s participation in multi-donor initiatives such as implementation of the Rome Declaration on Harmonization. Moreover, increasing IFAD’s partnerships with civil society is essential to achieving the key objectives of its strategic framework and the regional strategy for the LAC region.

### **Knowledge Management**

37. The proposed initiative is expected to improve links between IFAD field projects and headquarters; provide constant feedback to PL and the responsible CPMs on the performance of projects and programmes operating in Honduras and Nicaragua; forge partnerships; and provide inputs to strengthen policy dialogue. One of the key elements of IFAD’s strategy in the LAC region is to promote policy dialogue, engage the direct stakeholders, governments and donor community in continued dialogue and action with regard to cofinancing and the creation of institutional and policy frameworks for cooperation. Government authorities of both countries maintain constant contacts with PL to discuss rural development policies and strategies and the impact of IFAD operations. The initiative will consolidate existing initiatives and identify new ones related to PRSP and the Millennium Development Goals (MDGs), and provide timely information to PL that will enable it to initiate and enhance policy dialogue.

## **VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS**

38. The FSM will be a national of the Central America region. He/she will be an expert on the LAC region, well informed on activities under development, particularly as far as project implementation is concerned, and will:

- follow up project operations and provide guidance and technical support to ensure smooth implementation;
- develop close working relations with all stakeholders in order to establish a shared vision of the projects and achieve their objectives;
- periodically assess project performance with key stakeholders;

- provide support with regard to disbursements; and ensure proper accounting and use of funds, and quality and timeliness of audits;
- prepare periodic (three-monthly) project progress reports and provide feedback to the CPMs to facilitate identification of opportunities and problems;
- participate in meetings, workshops, discussions with national and international institutions, staff of TA grants operating in Central America, NGOs and civil-society organizations, and in all activities of interest to IFAD;
- promote and generate new activities in order to enhance partnership-building and knowledge management; and
- provide assistance to missions fielded by IFAD and/or its cooperating institutions and partner agencies.

#### VII. TYPE OF CONTRACT

39. The FSM will be recruited locally under an IFAD contract. He/she will work under the supervision and guidance of the Director, PL, and the CPMs responsible for Honduras and Nicaragua, and will prepare three-monthly progress reports describing major activities undertaken during the reporting period, including progress in achieving the desired results and impact.

#### VIII. INSTITUTIONAL ARRANGEMENTS

40. The FSM will be located at the UNDP or BCIE offices in Honduras, both of which have shown interest in sustaining the initiative and in providing non-monetary support.

#### IX. DETAILED BUDGET

41. The cost of the initiative is expected to amount to approximately USD 241 000 over a period of three years. Cost-sharing with UNDP/BCIE will make it possible to reduce costs. IFAD will finance the services of a full-time FSM, field missions and operating costs. UNDP or BCIE will provide non-monetary contributions such as office accommodation, and cover the costs of communications, computers and other office equipment (see tables below).

<b>Estimated Costs: Honduras; Nicaragua (United States Dollars)</b>			
<b>Item</b>	<b>IFAD</b>	<b>UNDP/BCIE contributions</b>	<b>Total</b>
<b>FSM</b>			
Fees	144 000		<b>144 000</b>
Organization of meetings/training workshops	45 000		<b>45 000</b>
<b>Field missions</b>			
Travel costs to Nicaragua	3 000		<b>3 000</b>
Daily subsistence allowance (DSA) Nicaragua	28 500		<b>28 500</b>
<b>Operation Costs</b>			
Communications	6 000	2 750	<b>8 750</b>
Office space and costs	1 800	5 100	<b>6 900</b>
Computer and accessories	2 000	1 500	<b>3 500</b>
Miscellaneous	1 200		<b>1 200</b>
<b>TOTAL</b>	<b>231 500</b>	<b>9 350</b>	<b>240 850</b>
<b>Percentages</b>	<b>96%</b>	<b>4%</b>	<b>100%</b>

<b>IFAD's Contribution to the Initiative (Annual Budget)</b>				
<b>Item</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
<b>FSM</b>				
Fees	48 000	48 000	48 000	144 000
Organization of meetings/training workshops	15 000	15 000	15 000	45 000
<b>Field missions</b>				
Travel costs to Nicaragua	1 000	1 000	1 000	3 000
DSA, Nicaragua	9 500	9 500	9 500	28 500
<b>Operating costs</b>				
Communications costs	2 000	2 000	2 000	6 000
Office space and costs	600	600	600	1 800
Computer and accessories	2 000	0	0	2 000
Miscellaneous	400	400	400	1 200
<b>Total</b>	<b>78 500</b>	<b>76 500</b>	<b>76 500</b>	<b>231 500</b>

#### X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE

42. The following indicators are proposed:

##### **Project Implementation**

###### **Indicators based on IFAD project status reporting:**

- quality of accounts
- quality of audit
- timelines of audit
- availability of counterpart funds
- overall disbursement by projects
- compliance with loan agreement
- compliance with procurement procedures
- preparation of the progress reports
- preparation of monitoring

##### **Policy Dialogue**

###### **Process indicators**

- number of policy forums related to PRSP and initiatives based on the MDGs, in which the FSM participated and contributed to.
- number of written/oral presentations to such forums within a period of one year
- number of partnerships forged and/or strengthened

###### **Outcome indicators**

- improved knowledge about IFAD at the country level
- increased institutional orientation to rural poverty reduction

### **Partnership Building**

#### **Process indicators**

- number of meetings held with key stakeholders (government, other donors, NGOs and civil-society organizations)

#### **Outcome indicators**

- alignment of IFAD programmes with PRSP and initiatives relating to the MDGs
- improved coordination with donors

### **Knowledge Management**

#### **Process indicators**

- number of progress reports submitted to IFAD headquarters
- number of country-level thematic groups in which the FSM participated
- number of written/oral contacts with in-country key stakeholders
- number of meetings with visiting missions

#### **Outcome indicators**

- lessons systematized and shared among IFAD projects and programmes
- lessons disseminated through FIDAMERICA

## FPPP INITIATIVE BRIEF: INDIA

### I. SUMMARY DESCRIPTION

43. Despite India's remarkable progress over the last five decades, it still faces significant development challenges. While the country accounts for one sixth of the world's population, it also includes one third of all poor people. IFAD's India portfolio is the organization's largest and one of the most longstanding. Given the country's democratic traditions and strong backing for decentralization to the grass-roots, IFAD has been able to work in niche areas of development where most multilateral and bilateral agencies have difficulty in obtaining approval to operate.

44. In view of IFAD's large, expanding and complex portfolio of projects in India, there is a felt need to provide stronger implementation support to project managers on the ground. Apart from expediting implementation, such support would be useful for engaging in policy dialogue and forging partnerships. The present proposal has been accordingly prepared with the objective of strengthening IFAD's field presence in India. Experience gained during the course of the Fund's partnership with WFP in terms of facilitation services has also been considered.

### II. PURPOSE AND JUSTIFICATION

45. While IFAD-assisted projects in India have been generally successful in achieving the desired results and impact, some areas are still in need of improvement. First, most projects approved during the last ten years have taken an inordinately long time to become effective mainly due to the federal character of the country and its numerous layers of administration. Secondly, disbursements in Special Drawing Rights have been generally slow, especially in the early years of a project. The amount of time needed to establish project management units, coupled with frequent project staff turnovers, have also affected the speed of implementation. Thirdly, while there have been some improvements in recent years, mutual learning among projects has not taken place to the hoped-for extent.

46. Using the projects as platforms for learning and the experience gained through them as the principal inputs, IFAD has engaged in discussions on policies that affect the rural poor both with the states and central government. For example, thanks to the Orissa Tribal Empowerment and Livelihoods Project, landless people obtained usufruct rights to land. Similarly, emphasis on grass-roots institution-building as an approach to empowerment has been generally accepted, especially in the tribal areas (including Andhra Pradesh). At the central level, the inputs provided by IFAD-assisted projects have included:

- the back-end subsidy, as experimented with the Tamil Nadu Women's Development Project, was incorporated into the Integrated Rural Development Programme (IRDP); and
- the self-help group methodology that IFAD helped Indian institutions to pilot, refine and scale up was introduced both to revamp IRDP and to design a new group-based programme for rural poverty reduction.

47. Given IFAD's modest share in the total development expenditure that India commits every year, these are remarkable achievements. There is significant scope, however, to pilot innovations, capture lessons and feed them back into the policy-making process, and for further enhancing IFAD's partnership with civil-society institutions and other donor agencies.

48. IFAD's India programme also faces problems of limited documentation, validation, institutionalization and dissemination of knowledge gained during project implementation. While recent projects have emphasized the importance of process documentation, lack of timely follow-up has negatively affected validation and dissemination.

49. There are a number of ways to improve portfolio performance in terms of expediting implementation, assisting in the policy-making process, forging and institutionalizing partnerships and managing the knowledge generated. One way would be to have a strong field presence mechanism, which would be the most effective in terms of cost. Given the high-quality manpower available in India, with some guidance from headquarters, these improvements could be put into effect locally.

### III. DETAILED OBJECTIVES

50. Within the above framework, the specific objectives of IFAD's proposed FPF in India are to:

- assist IFAD projects through implementation support in a variety of areas: staff and NGO selection; sourcing of training resources; coordination with central and state government agencies; and facilitating visits of IFAD and cooperating institution missions;
- enable closer liaison with project authorities and help in addressing administrative and programme-related substantive issues, such as better targeting, and in identifying technical backstopping, external monitoring agencies, etc.;
- further strengthen and institutionalize partnership arrangements with civil-society institutions and donor agencies;
- collaborate in policy advocacy, using IFAD's strengths with respect to the knowledge generated through its projects as well as partner agencies' strong country presence and a network of collaborators; and
- jointly document, validate and disseminate the knowledge gained from IFAD-assisted projects; invest more in research studies on hunger, malnutrition, poverty and related areas; and facilitate a process of knowledge-sharing that can be gradually expanded to include a larger network.

### IV. COUNTRY BACKGROUND

51. The proposed FPF to deal with the Fund's India portfolio will be based in New Delhi. To date, IFAD has contributed to the financing of 17 projects in India, ten of which are closed and seven are ongoing. One of the projects is directly supervised by IFAD. Another project is to be submitted to the December 2003 Session of the Executive Board. The India portfolio is thus the largest in IFAD and is likely to remain so for the foreseeable future. As IFAD does not focus on a particular state or group of states, the projects are scattered throughout the country and thus involve a significant amount of internal travel.

### V. SCOPE OF WORK

52. In the light of the above, it is proposed, by way of the initiative under reference, to strengthen IFAD's partnership arrangement with the WFP office in New Delhi by creating an FPF to support IFAD projects in India. In the event such partnership with WFP is not feasible, a similar arrangement could be made with the office of UNDP or another United Nations agency in New Delhi. Given IFAD's reputation in India, finding an alternate partner is not expected to pose a problem.

### VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS

53. In line with the above, the detailed terms of reference of the FSM are as follows:

54. In close consultation with, and under the technical supervision and guidance of, the CPM for India, and in line with an agreed annual programme of work, the FSM will:

- provide coordination and implementation support to all IFAD projects in India;



- liaise with government counterparts, regularly follow up issues affecting project implementation and facilitate smooth flows of communication between IFAD headquarters and government counterparts;
- provide loan administration support to project authorities in coordination with the Ministry of Finance; and act as a focal point for facilitating loan disbursements, procurement procedures, audit and project financial reports;
- participate in the country strategy development exercise and assist in inception, formulation, appraisal or other missions fielded by IFAD;
- help IFAD develop partnerships with other donors and national institutions and set up a network of national and regional civil-society partners to further IFAD's objectives;
- work closely with the WFP country office with regard to joint programming and collaboration in impact evaluation, research and advocacy;
- create and maintain a database of national consultants for use in recruiting for short-/long-term assignments in IFAD supervision/follow-up/formulation/appraisal missions;
- assist in contracting resource persons from India to provide support for project design and implementation and TA to projects;
- provide a common platform for the sharing of project experience and knowledge and for facilitating exchange visits among projects;
- prepare project/programme monitoring reports and suggest possible interventions in line with IFAD's goals;
- provide logistical support for workshops/seminars organized by IFAD in India;
- participate in, and provide logistical assistance for, missions, study teams, etc., fielded by IFAD and/or its cooperating institution(s) and partner agencies;
- institutionalize a process for mapping and disseminating project experience through regular workshops, targeted studies, publications, etc.; and
- initiate a process of policy dialogue and knowledge management to leverage the significant knowledge base created by IFAD projects in India.

#### VII. TYPE OF CONTRACT

55. Given the successful experience of the IFAD/WFP partnership over the last two and a half years, it is proposed that the arrangement between IFAD and WFP be continued for a further period of three years, failing which a similar should be made with another partner agency. The arrangement will involve:

- A memorandum of Understanding with revised terms of reference (see paragraph 52 above) to be signed between IFAD and the office of WFP or another United Nations agency in New Delhi. Staff will be recruited/reassigned as per WFP/partner agency's rules and regulations, in consultation with IFAD.
- IFAD will bear 80% of the salary costs of the FSM and his/her assistant.
- WFP/partner agency will continue to provide office and other backstopping support.
- IFAD will provide a budget for staff travel, communications and office expenses, as per the budget given below.

56. The Fund's CPM for India will supervise and provide technical guidance to the FSM, and act as the focal point at IFAD headquarters. The principal instrument for planning and monitoring partner agency activities will be the annual programme of work to be agreed between WFP/partner agency and IFAD for each calendar year. The FSM will act as the focal point for IFAD's activities in India and, in consultation with the CPM, represent IFAD in various coordination/ facilitation forums

established within the United Nations organizations involved, Bretton Woods institutions and multilateral/regional banks.

### VIII. INSTITUTIONAL ARRANGEMENTS

57. The WFP/partner agency will provide office and other backstopping support to the FPF, including accommodation, equipment and transportation.

### IX. DETAILED BUDGET

58. The total cost of the proposed initiative to IFAD over a period of three years will amount to some USD 210 600, broken down as follows:

<b>Estimated Costs: India (United States Dollars)</b>					
<b>Item</b>	<b>IFAD/ month</b>	<b>WFP/ month</b>	<b>Total/ month</b>	<b>Annual budget (IFAD)</b>	<b>Total budget (IFAD)</b>
Salary of FSM	3 500	800	4 300	42 000	126 000
Salary of assistant to FSM	1 100	0	1 100	13 200	39 600
Travel costs				7 000	21 000
Communications and office supplies				3 000	9 000
Operating expenses				5 000	15 000
<b>Total</b>				<b>70 200</b>	<b>210 600</b>

### X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE

59. The criteria for evaluating the results and impact of the proposed initiative will be based on:

#### **Implementation Support**

- Period between loan approval and effectiveness
- Overall implementation rates: physical, financial and loan disbursements
- Time between date of withdrawal application submission and disbursement effected
- Time between recommendations of cooperating institution and IFAD and action taken by project management
- Time taken to submit mandatory reports – progress reports, audit reports, etc. – to IFAD and the cooperating institution

#### **Policy Dialogue**

- Number of national forums where IFAD is represented and its policy thrusts communicated
- Improvements in country strategy and project design as a result of improved feedback (mainly qualitative)

#### **Knowledge Management**

- Number of events organized to facilitate mutual learning among IFAD-assisted projects and other donor-supported projects and programmes
- Documenting of IFAD project experiences and their dissemination

#### **Partnership Building**

- Number of partnerships and links established/institutionalized with the Government, NGOs and donor agencies

**FPPP INITIATIVE BRIEF: PEOPLE'S REPUBLIC OF CHINA; DEMOCRATIC PEOPLE'S  
REPUBLIC OF KOREA; MONGOLIA****I. SUMMARY DESCRIPTION**

60. Challenges related to IFAD's strategic framework call for increased in-country capacity to ensure sustained dialogue with all stakeholders involved in poverty reduction programmes. A subregional office for China, D.P.R. Korea and Mongolia is proposed as a strategic instrument for strengthening IFAD's capacity through enhanced implementation support, knowledge management, partnership-building and policy support. Beijing is considered to be the most suitable location for the office owing to the excellent infrastructure and logistics available there. Albeit limited to ad hoc interventions, the current proxy arrangement with the WFP office in Beijing has helped facilitate contacts and relations with the Government and the donor community. It has been therefore decided to establish a more consistent and continuous presence there, with outreach to the two neighbouring countries. IFAD's portfolio in China is of strategic importance and the presence of all major donors and government offices in Beijing facilitates policy dialogue and partnership-building. Implementation support will further improve IFAD's impact at the field level and, moreover, generate lessons both to feed back to its operations in the region and to influence policies that affect the lives of poor rural people.

**II. PURPOSE AND JUSTIFICATION**

61. The task of the proposed subregional office will be to increase the impact of IFAD-funded operations in poverty-stricken rural areas of the three countries. An IFAD field presence will promote direct interaction among the target groups, IFAD and the cooperating institution(s) and make for closer and timely follow-up as required. Such field presence will also help increase awareness of IFAD's specific mandate to reduce rural poverty and the scope and objective of its operations among decision-makers, and improve collaboration with multi- and bilateral donors, NGOs and other institutions in the subregion. Experience to date shows that collaboration with policy-makers and the donor community is hampered by the distance from IFAD headquarters and the time lag of seven hours, despite modern communications and frequent travel. Experience with the current WFP/IFAD liaison officer has been very positive. As a Chinese national and former employee of the Ministry of Agriculture, he has been able to liaise directly, and without problems of language, with officials of Chinese ministries and with projects. Moreover, his participation in supervision missions has enabled him to follow up on the recommendations of cooperating institution/IFAD missions. However, that WFP will be winding up its operations in China in 2005 means that IFAD must make suitable arrangements with regard to a field presence in the country. The recent handover to the Ministry of Finance of implementation responsibility for IFAD-funded operations provides an opportunity to work closer with the Ministry's Poverty Alleviation Office and, in turn, strengthen the impact of IFAD's projects at the field level. However, since the handover will take some time to complete, it will be important to ensure a continuous IFAD presence to maintain a close relationship with the Poverty Alleviation Office. Among other things, this would keep the CPM up-to-date on political decisions taken by the Government and their consequences for IFAD operations. More and frequent interaction with partners, including donors and NGOs, in China, D.P.R. Korea and Mongolia will be required to keep up with and to influence developments in the region.

62. In addition to its strategic importance as IFAD's second largest portfolio, China also qualifies as the most suitable location for an IFAD subregional office in East Asia. In terms of logistics, communications and transport, Beijing offers excellent facilities and infrastructure, and frequent flight connections both to IFAD project provinces within China and to D.P.R. Korea and Mongolia.

### III. DETAILED OBJECTIVES

63. The subregional office is expected to increase the impact of IFAD's operations on the livelihoods of its target group at the grass-roots level and support the development of national pro-poor policies. Partnerships with donors and civil-society organizations will be expanded to complement both project implementation and advocacy, particularly in terms of innovative approaches. The office will support IFAD knowledge management initiatives and approaches that successfully reduce rural poverty in the region. Thus the office will enhance IFAD's advocacy role in the subregion by linking the knowledge arising from its country operations with national-, subregional- and international-level policies.

### IV. COUNTRY BACKGROUND

#### **IFAD's Operations in China**

64. IFAD's country strategy for China combines geographic targeting of poverty-stricken areas with a multisectoral programme of activities that provide the building blocks for the Fund's strategic framework and the regional strategy. Activities include: (a) facilitating better access to natural resources through infrastructure to expand arable land, improve productivity, create cash-generating activities in livestock and perennial crops, and promote off-farm income-generating activities; (b) promoting better access to technology through technical support and training to build up the productive capacity and improve the creditworthiness of the beneficiaries; (c) ensuring better access to financial markets through the promotion and support of rural credit cooperatives to transform them into gender-sensitive rural finance institutions; and (d) strengthening the human capital base by improving access to health and education facilities to increase the beneficiaries' labour productivity and learning capacity.

65. Since 1995, IFAD and WFP-China have been collaborating in their respective country operations. This partnership has made it possible to reach the very poor who normally have no access to credit. Four approaches constitute the basis for enhancing field impact, the catalytic role of projects and sustainability: (a) a combination of WFP food aid, IFAD loans and government counterpart funds to facilitate integrated rural development in remote and marginal mountainous areas; (b) support for strengthening the capacity of institutional service providers, including extension, health and education services; (c) targeting of the poorest townships using vulnerability analysis and mapping; and (d) beneficiary participation in planning, monitoring and implementation through village implementation groups and village development plans.

66. Since 1981, IFAD has contributed to the financing of 17 projects in China for a total of approximately USD 429 million. It has also provided about USD 350 000 in TA grants for implementation support and some USD 200 000 under the NGO/ECP. The performance of IFAD's projects in China has been satisfactory; very few have encountered difficulties and most are ahead of schedule in many aspects.

#### **IFAD Operations in Mongolia**

67. IFAD participated in developing a poverty alleviation programme for the country in 1994-95 and designed a first project to assist poor herder communities to take full advantage of the market-oriented economy, which included support for income-generating activities (IGAs), especially for poor non-herding households. In April 1996, a loan of USD 5.04 million was approved on highly concessional terms to implement the Arhangai and Huvsgul Poverty Alleviation Project (AHRPAP) over a period of seven years. Implementation has been satisfactory to date. For quite some time, the Government considered AHRPAP as the largest single intervention for poverty reduction in the country. Based on early project experience, a COSOP prepared in late 1998 identified livestock as the core activity but stressed the need for stronger focus on technical support services, participatory rangeland management, rural finance, capacity-building and the promotion of IGAs.

68. The Rural Poverty-Reduction Programme is financed by a loan of USD 14.8 million approved by the Executive Board in September 2002. The overall objective of the programme is to sustainably increase the productive capacity of poor herders, cultivators and rural people and increase their access to economic and social resources. The project targets land and non-land-based activities, with investments in human and physical capital based on participatory programme management.

### **IFAD Operations in D.P.R. Korea**

69. IFAD commenced operations in D.P.R. Korea with the Sericulture Development Project that became fully operational in late 1996. The project aimed at increasing sericulture production and enhancing household income in low-income cooperative farms through the provision of improved techniques, equipment, infrastructure, inputs, training and TA. The second IFAD-supported project, the Crops and Livestock Rehabilitation Project, which started up in early 1998, aimed at: (a) rapidly increasing food grain production so as to alleviate the grim food grain situation that faced the country in 1997; and (b) restore animal numbers and livestock production in hilly areas not well-suited to food grain production with a view to enhancing household incomes and improving food security. A third IFAD Project, the Uplands Food Security Project, cofinanced by WFP, the Italian Government and the Swiss Agency for Development and Cooperation (SDC), became effective in April 2001. The implementation progress of all three projects is encouraging, thanks to an excellent disbursement record, timely procurement and delivery of project inputs, motivated project management, increased production and income, and benefits duly reaching the target population.

70. In D.P.R. Korea, IFAD has engaged in partnerships with WFP, UNDP, FAO, the Italian Government and SDC, and maintains close relationships with international NGOs operating in the country.

### **V. SCOPE OF WORK**

71. **Implementation support.** The subregional office will benefit from, and build on, the experience acquired under the current IFAD/WFP partnership. A regional officer will facilitate communications from projects and programmes in the three countries with the cooperating institutions and IFAD headquarters. The subregional office will provide direct assistance on all matters relating to project implementation and monitoring and, where appropriate, provide additional assistance at the national and international levels, without, however, engaging in micromanagement. It will establish a cooperating institution/IFAD communication channel with the relevant national and field-level government institutions responsible for project implementation. An important element of implementation support consists in regular reporting to IFAD and the cooperating institution on national and local policies that may affect IFAD's operations, the most notable example of which was the rural finance reform in China. The office will report regularly to the responsible CPMs in IFAD and the cooperating institution and take follow-up action as necessary.

72. **Knowledge management.** The establishment of a results and impact-oriented monitoring system will help generate information on lessons learned from IFAD-funded operations. The subregional office will assist by fostering an impact-driven project monitoring and evaluation (M&E) system while seeking to forge partnerships with other rural development initiatives, including those of multilateral and bilateral donors, research institutions and NGOs.

73. **Partnership-building.** The operationalization of IFAD's strategic objectives necessitates like-minded partners in the region. Therefore, the subregional office will seek to improve existing partnerships with multilateral/bilateral donors and civil-society organizations through active and regular participation in multi-donor initiatives and forums, including the PRSP, Common Country Assessment (CCA), the United Nations Development Assistance Framework (UNDAF) and the United Nations Country Team (UNCT). The office will help in preparing the new COSOP for China in 2004, developing an enabling environment for IFAD's operations and strengthening IFAD's role as a key institution to combat rural poverty in the region.

74. **Policy dialogue and advocacy.** Regular consultations with government agencies and other stakeholders will facilitate IFAD interaction with policy-makers. Together with pilot project activities, consultation will be the main vehicle for promoting IFAD's mandate and poverty-reduction approach both among the wider public and at the policy level. For example, the subregional office will support advocacy for gender mainstreaming and for enabling marginalized groups to have access to services and markets. In so doing, its major task will be to promote links between the knowledge generated by IFAD's field operations and policies affecting the development of poverty-stricken rural areas. Finally, the office will interrelate and follow up with policy-makers, the UNCT, IFAD and the cooperating institution on the development and implementation of pro-poor policies.

#### VI. TERMS OF REFERENCES AND REQUISITE QUALIFICATIONS

75. The tasks of the regional officer will include:

- consultations with IFAD counterparts, including line ministries in the respective countries and other governmental bodies at all administrative levels, on a regular basis and as required, to enhance the effectiveness and impact of IFAD operations;
- following up on all matters related to project implementation, as requested by the cooperating institution and IFAD. Direct management should be avoided, but project management should be briefed regularly with regard to IFAD's mandate, strategic objectives and approach;
- provide support to IFAD and cooperating institutions missions in terms of logistics. This will include the preparation of contacts and meetings with all stakeholders concerned and following up on the recommendations of missions and CPMs;
- participating in UNDAF and Comprehensive Development Framework (CDF) activities and in consultations with the donor community;
- reporting, regularly and on a timely basis, on the progress of portfolio activities and major events pertinent to IFAD's objectives in the three countries; and
- setting up an information system to capture the results of M&E and other reports.

76. The qualifications of the regional officer will include:

- university degree or equivalent in rural development or related studies;
- five years' working experience in the field of rural development;
- knowledge of IFAD's mandate, strategic objectives and approach;
- working experience in China and other countries of the region;
- excellent knowledge of China's administrative and political structure;
- knowledge of the UNCT system in the region;
- management capacity and ability to work independently;
- excellent communication skills in the Chinese (Mandarin) and English languages; and
- experience of working in a multidisciplinary and multicultural environment;

77. The assistant to the regional officer will be expected to:

- assist the regional officer with regard to all organizational and administrative matters;
- organize meetings and travel;
- liaise with the administration of the host agency;
- prepare reports and correspondence; and
- perform other duties as required.

78. The qualifications of the assistant will include:

- university degree or equivalent;

- at least three years' working experience in a development institution or equivalent;
- excellent communication skills in the Chinese (Mandarin) and English languages;
- ability to work independently;
- outstanding skills in information and communications technology and related software, particularly word processing, spreadsheets and presentation applications;
- ability to interrelate with people of different nationalities and cultural backgrounds;
- knowledge of the United Nations system and of IFAD's mandate and its strategic objectives; and
- ability to travel to the project areas and other countries of the region, as required.

#### **VII. TYPE OF CONTRACT**

79. The regional officer and assistant will be recruited by IFAD through UNDP as the host agency. As Chinese nationals, they will be offered contracts under current regulations agreed between UNDP and the Chinese Government. The regional officer will report directly to the CPMs for China, D.P.R. Korea and Mongolia while maintaining exchanges of information with the relevant units of the host agency.

#### **VIII. INSTITUTIONAL ARRANGEMENTS**

80. The subregional office will be located within the existing UNDP office at Beijing and will use the very efficient infrastructure that the host country offers. However, additional investments will need to be made in terms of office equipment and transportation.

#### **IX. DETAILED BUDGET**

81. The total budget for the subregional office with one regional officer and an assistant over a period of three years will amount to about USD 262 000, or some USD 87 000 annually. The costs are broken down into (i) investments for office equipment, staff training and communications; and (ii) recurrent costs, the latter covering salaries, travel and operating and office expenses.

82. The cost of office equipment will amount to about USD 10 000, while those for staff training and communications are expected to average about USD 8 000 per year. Travel both within the country and in the region will be necessary to provide implementation support and feedback to IFAD as part of knowledge management. Six travel items have been budgeted for, amounting to about USD 36 000, including travel allowances, over three years.

Estimated Costs: China, D.P.R. Korea, Mongolia (United States Dollars)								
		Unit	Unit Costs	PY 1 Qty	PY 2 Qty	PY 3 Qty	Total Qty	Total Costs
<b>Investment costs</b>								
Office equipment		Lump sum	10 000	1			1	10 000
Staff training		Lump sum	3 000	1	1	1	3	9 000
Communications		Lump sum	5 000	1	1	1	3	15 000
<b>Recurrent costs</b>								
Office rents		Lump sum	5 000	1	1	1	3	15 000
Office O&M		Lump sum	4 000	1	1	1	3	12 000
Salary, regional officer		Person year	40 000	1	1	1	3	120 000
Salary, assistant		Lump sum	10 000	1	1	1	3	30 000
Staff travel/DSA	National	Number	1 000	6	6	6	18	18 000
	Subregional	Number	2 000	3	3	3	9	18 000
	International	Number	5 000	1	1	1	3	15 000
<b>Total</b>								<b>262 000</b>

## X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE

### Project Implementation

#### Process indicators

Number of field visits

Number of meetings with project management, local government bodies  
and other implementing agencies

Compliance with loan agreement and procurement procedures

Quality of accounts

Availability of counterpart funds

Disbursement rate

Timely preparation of annual workplans and budgets (AWP/Bs) by project

Timely preparation of monitoring reports

Timely preparation of audit reports

#### Outcome indicator

Rating of portfolio by project status report

### Knowledge Management

#### Process indicators

Participation in relevant thematic groups and communities of practice (COPs)

Regular sharing of knowledge with in-country stakeholders, particularly IFAD projects  
(number of written/oral contacts)

Briefing of visiting missions (number of meetings)



**Outcome indicators**

Improved IFAD headquarters knowledge base related to country/region  
CPMs' capacity for monitoring/participating in in-country policy dialogue improved  
Sharing of lessons with and among projects enhanced  
Replication and scaling up of successful IFAD innovative approaches to rural poverty reduction

**Partnership Building****Process indicators**

Number of meetings with government bodies on issues related to IFAD's operations  
Number of meetings with NGOs  
Number of meetings with the donors

**Outcome indicators**

Greater cooperation with donors in rural poverty reduction programmes  
Increased cofinancing opportunities  
Enhanced coordination with civil society

**Policy Dialogue and Advocacy****Process indicators**

Number of policy forums at which the regional officer participated  
Number of oral/written presentations to policy forums  
Number of partnerships and links forged at the policy level

**Outcome indicators**

Government recognizes IFAD as promoter of rural poverty reduction  
Progress in reducing poverty perceived  
Reported government attention to pro-poor policies  
Policy changes that address rural poverty issues and changes

## **FPPP INITIATIVE BRIEF: SENEGAL**

### **I. SUMMARY DESCRIPTION**

83. The proposed initiative will involve the posting in Senegal of a regional field support manager (RFSM) over a period of three years. He/she will also cover The Gambia and backstop Dakar-based regional initiatives. The RFSM will be housed either in the office of UNDP or at the United Nations Office for Project Services (UNOPS) in Dakar<sup>1</sup>, and will assist IFAD with regard to policy dialogue and planning, knowledge management and forging links with regional initiatives.

### **II. PURPOSE AND JUSTIFICATION**

84. The purpose of the initiative is to enhance the quality and effectiveness of efforts, both in the two countries and at the regional level, to reduce rural poverty. This will be achieved by ensuring that the interests of poor rural people are better reflected and responded to in terms of focused and coordinated policy development, institutional change and improved project implementation. Efforts will be made to strengthen civil-society processes for representing the interests of the rural poor, including mobilization of support from IFAD in the form of project loans and grants. The quality of IFAD's inputs into such processes will be enhanced by improved collection of knowledge on key issues and options from IFAD-supported projects/programmes and other interventions under implementation in areas of strategic concern to IFAD. This knowledge will be underpinned by improved M&E at the programme level, itself to be assessed on a regular basis.

### **III. DETAILED OBJECTIVES**

85. The objectives of the proposed initiative are to:

- strengthen implementation follow-up of IFAD loan project activities in Senegal and The Gambia;
- better implementation follow-up of the two Dakar-based regional initiatives – the Policy Hub and FIDAFRIQUE;
- increase collaboration and synergy with IFAD's international partners, in particular other United Nations agencies and key bilateral partners, many of which have regional offices in Dakar; and
- enhance IFAD's ability to engage in policy dialogue on rural development and poverty reduction.

### **IV. COUNTRY BACKGROUND**

86. The initiative will be led by an RFSM who will be based in Dakar but will also work in The Gambia. With six ongoing projects, the Senegal portfolio is IFAD's second largest portfolio in the Africa region (after Ghana), and ranks second in terms of historic levels of resource allocations (again, after Ghana). The recently completed country portfolio evaluation identified a number of areas where greater synergy could be promoted among projects to move to more of a programme framework rather than keeping to a series of free-standing, somewhat isolated projects. While there is great potential for this possibility, it will be management-intensive and the support of a locally-based expert will be of great assistance to the Rome-based CPM for Senegal.

87. In addition, Senegal has an extremely vibrant civil society, including many dynamic farmers' organizations. With initial support from the United Kingdom's Department for International Development Trust Fund, IFAD has assisted farmers' federations in the Groundnut Basin in responding to groundnut marketing reforms, and this work will need to be continued. In addition,

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<sup>1</sup> A decision on where to host this person will be taken shortly, after finalization of the consultant mission in early December 2003

building on field project experience, IFAD has engaged in policy dialogue in the areas of decentralization, rural finance, and rural microenterprise development.

88. In The Gambia, IFAD is the major donor in the rural sector with two ongoing projects – one of which is directly supervised by IFAD – and a new project is now under preparation. As The Gambia is geographically surrounded by Senegal, the RFSM will have no difficulty in liaising with government officials and project staff there and to ensure collaboration and synergy among programmes in the two countries. There is also potential for participating in policy forums in the areas of PRSP development, rural finance, agricultural services (especially extension and input delivery) and land tenure. An interim PRSP has been prepared and IFAD can assist in the preparation and monitoring of the final version, working to ensure that agriculture and rural development receive greater prominence than in the interim document.

89. In addition to assisting the PA Regional Economist in monitoring the progress of the two Dakar-based regional initiatives – the Policy Hub and FIDAFRIQUE – he/she should be able to liaise with a wide array of other organizations that maintain regional offices in Dakar (UNDP, UNOPS, the Central Bank of West Africa, the West African Conference on Agricultural Research and Development/West and Central African Council for Agricultural Research and Development, and the Council of African Agricultural Ministers for Western and Central Africa.

#### V. SCOPE OF WORK

90. The RFSM will assist the CPM for Senegal in ensuring that greater synergies are created among IFAD projects in selected areas of activity such as microfinance, microenterprise development, M&E, and development of communications strategies on project accomplishments and rural poverty in general. He/she will represent IFAD at all multi-donor coordination meetings such as those linked to PRSP, UNDAF/United Nations Convention to Combat Desertification (UNCCD) monitoring, and the national-level food security working group.

91. In The Gambia, the RFSM will participate in all supervision missions to the Rural Finance and Community Initiatives Project, directly supervised by IFAD, and participate in donor coordination meetings, UNDAF/UNCCD monitoring, key multi-donor meetings on PRSP, and other policy forums, as appropriate.

92. In both countries, the RFSM will attend project steering committee meetings, and participate in the development of AWP/Bs and in supervision missions.

#### VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS

93. The RFSM will be expected to undertake the following tasks:

- represent IFAD in key national planning and donor coordination activities related to national rural development strategy, policy dialogue and investment programming in Senegal and The Gambia;
- facilitate exchanges of information among development programmes with regard to key technical/thematic issues and lessons learned in areas of major concern to IFAD;
- represent IFAD in key United Nations system national programme planning exercises;
- coordinate with and support civil-society processes for representing the interests of poor rural people in the two countries, and on specific policy issues;
- stimulate synergy among various IFAD loan and grant-funded activities, most notably the Dakar-based Policy Hub and FIDAFRIQUE regional initiatives; and
- monitor the implementation of arrangements for project-level information systems and evaluation.

94. The RFSM will have management-level experience in rural development in the region, an advanced degree in a relevant discipline, and satisfactory experience in working with governments and donors in policy and coordination forums. He/she will be fluent in both French and English.

#### VII. TYPE OF CONTRACT

95. The RFSM will be contracted under national recruitment conditions. The Director, PA, will ensure overall supervision and ensure that the RFSM's annual workplan is properly balanced between national and regional activities. Following intensive initial briefing at IFAD headquarters in Rome, the RFSM will work in close collaboration with the CPMs for Senegal and The Gambia with regard to national issues, and with the PA Regional Economist on regional issues.

96. The RFSM will prepare semi-annual reports and submit them to IFAD for approval. The reports should describe major activities undertaken during the reporting period, including progress in achieving results and impact (specific indicators are listed below).

#### VIII. INSTITUTIONAL ARRANGEMENTS

97. Office and communications support will be provided by the UNOPS regional office or the UNDP office in Dakar.

#### IX. DETAILED BUDGET

98. The estimated cost of the initiative over a period of three years will amount to approximately USD 225 000,<sup>2</sup> broken down as follows:

<b>Estimated Costs: RFSM Senegal/The Gambia (United States Dollars)</b>				
<b>Item</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year3</b>	<b>Total</b>
Salary and benefits	45 000	45 000	45 000	135 000
UNDP/UNOPS support charges	12 000	12 000	12 000	36 000
Travel and DSA	15 000	15 000	15 000	45 000
Communications charges	3 000	3 000	3 000	9 000
<b>Total</b>	<b>75 000</b>	<b>75 000</b>	<b>75 000</b>	<b>225 000</b>

#### X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE

99. The following parameters will be used for assessing the overall effectiveness of the RFSM:

- improved performance of ongoing projects in the two countries, as well as enhanced synergies between projects on common issues and problems;
- effective synergies and a well-defined division of labour developed between the RFSM, CPMs, PA Regional Economist and cooperating institutions;
- enhanced provision for addressing opportunities and needs in national and sectoral rural poverty reduction strategies and programmes (including PRSP and specific policy areas such as decentralization, rural finance and agricultural services delivery);
- improved performance of the two regional initiatives – the Policy Hub and FIDAFRIQUE;
- increased overall visibility of IFAD in the two countries and at the regional level; and
- better coordination with civil-society groups, and visible IFAD support for farmers' organizations working in the interests of the poor rural people.

<sup>2</sup> The budget breakdown may be revised in December 2003, based on the findings of the consultant mission currently in progress.

100. Specific indicators in the areas of policy dialogue, partnership-building, knowledge management and project implementation are as follows:

**Policy Dialogue**

- the RFSM participates in, and contributes to, at least two policy forums;
- the RFSM assists in establishing at least three partnerships and linkages at the policy level;
- increased attention to rural poverty issues in the PRSPs of the two countries;
- greater emphasis on rural poverty programmes in the two countries as evidenced by government budget allocations.

**Partnership-Building**

- Evidence of at least five cases of meetings with government, civil society and donors (based on available documents) where IFAD's concerns and rural poverty issues have been effectively taken into account; and
- enhanced cooperation and coordination with civil society and donors in rural poverty reduction programmes.

**Knowledge Management**

- Regular substantive reporting to IFAD headquarters (two progress reports per year); and
- participation in at least two country-level thematic groups on issues of high priority to IFAD.

**Project Implementation**

- RFSM participation in at least three project supervision missions per year.

101. It should be noted that the quantification and exact phrasing of these indicators are preliminary and will be definitively established and revised during the yearly planning of RFSM activities by IFAD and the full array of relevant in-country stakeholders.

## **FPPP INITIATIVE BRIEF: THE SUDAN**

### **I. SUMMARY DESCRIPTION**

102. The proposed field presence initiative in The Sudan will complement ongoing implementation support arrangements aimed at facilitating project results-oriented management. By putting in place a senior policy adviser, IFAD will be in a position to strengthen its in-country capacity in the area of policy dialogue, thus strengthening the steering of policy reforms that increasingly form an integral part of project development and implementation. Establishing clear links between policy and operational aspects of rural investments should contribute to more equitable economic growth in The Sudan.

### **II. PURPOSE AND JUSTIFICATION**

103. The expansion of IFAD's portfolio in The Sudan is set to take place in a rapidly changing context of political, economic and social transformation. Peace negotiations, macroeconomic stabilization programmes, decentralization policies and the emergence of new forms of governance are expected to shape future investment projects. With the signing of peace accords, an affluence of donors is anticipated and therefore IFAD will need to consolidate its presence and capitalize on partnerships if it wishes to continue addressing the structural, institutional and policy causes of rural poverty in the country. The COSOP for The Sudan identifies four key policy areas – local government revenues in the context of ongoing decentralization; land tenure; rural credit; marketing – that will be addressed through investment projects.

104. Direct supervision of the North Kordofan Rural Development Project, the posting of a project management adviser to the South Kordofan Rural Development Programme, and reliance on cooperate institutions have proved to be insufficient for IFAD to (i) support the steering of strategic reform options in the period between appraisal and project effectiveness and during implementation; (ii) assist in programming counterpart financing; (iii) improve impact-oriented management; and (iv) be proactive in donor coordination and partnership-building.

105. The proposed field presence initiative aims at addressing these issues, building on the current portfolio support mechanisms provided by the Central Coordination Unit (CCU) of IFAD Projects at the Ministry of Agriculture and Forestry.

### **III. DETAILED OBJECTIVES**

106. The proposed FPF is expected to:

- improve the capacity of project executive boards (PEBs), the Ministry of Finance and National Economy and IFAD to steer the reforms negotiated with multiple stakeholders during project design, and in linking project decision-making to achieve the desired impact; and
- lead to greater capitalization of IFAD experience in future projects.

### **IV. BACKGROUND ON IFAD ASSISTANCE TO THE SUDAN**

107. The Sudan represent IFAD's third largest investment portfolio in the Near East and North Africa (NENA) region, which is a clear reflection of the extent of rural poverty in the country. With its 19 million rural poor, The Sudan accounts for approximately one third of all people living on less than USD 1 per day in the NENA region. This situation makes The Sudan a priority country, where interventions carry a significant weight towards achieving the poverty reduction objectives set by the MDGs. As forecasted in the COSOP prepared in 2002, IFAD's portfolio in the The Sudan will increase to the level of USD 88 million in 2004-2006, with five projects benefiting 3 million people.

## V. SCOPE OF WORK

108. The proposed field presence will consist of a senior policy adviser responsible for three main tasks: supporting the implementation of key policy issues negotiated during project design, and providing the implementation framework for investment projects; capacity-building in policy analysis and financial management; and organizing annual programmes of seminars on salient features of rural development.

109. **Supporting the implementation of key policy issues.** Achieving the development objectives of ongoing and future investment projects is premised on four policy reform areas: (i) equitable and secure land tenure arrangements; (ii) devolution of responsibilities/powers/resources to community groups; (iii) marketing of livestock products; and (iv) establishment of appropriate mechanisms for state revenue generation. The senior policy adviser will facilitate stakeholder dialogue to pursue these strategic policy reforms.

110. **Capacity-building in policy analysis and financial management.** The senior policy adviser will provide support to PEBs with regard to their policy-making and coordination functions. PEB members will be trained in policy analysis and policy planning/monitoring. In addition, the senior policy adviser will assist the Government to ensure that payments of counterpart funds and loan servicing are dealt with in a timely manner.

111. The senior policy adviser will organize **annual programmes of seminars** to present lessons learned from past experience, stimulate discussion and reflection on emerging issues in rural poverty reduction, and create a forum for future partnerships with donor agencies and NGOs. The proceedings of the seminars will be documented and published in United Nations newsletters and local/international media.

## VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS

112. Under the supervision of the CPM for The Sudan, the senior policy adviser will:

- advise IFAD and counterpart agencies on strategic reform options for rural poverty reduction, especially in the rainfed areas;
- assess the implementation of policy reforms in land and water governance, marketing and the linking of service delivery to ‘user-pays’ revenues piloted in ongoing and future projects;
- facilitate stakeholder dialogue on processes and results of piloted policy reforms in terms of social/gender equity, economic efficiency and institutional sustainability;
- sensitize potential partners (donor agencies, NGOs/civil-society organizations, research institutions, public or private corporations, mass media) about IFAD’s field presence, COSOP and ongoing operations;
- organize seminars on technical and policy subjects relevant to rural poverty reduction in The Sudan, and ensure that lessons learned from past and ongoing IFAD-financed projects are documented and disseminated;
- monitor trends in foreign development assistance, economic development and poverty figures, decentralization policy, land- and water-related legislation;
- recruit and supervise short-term consultants to develop capacity in impact-oriented management; and
- draw up AWP/Bs for the field presence and submit them to IFAD for approval.

113. The incumbent will hold a postgraduate degree in political economy, agricultural economy, institutional development or other related disciplines. He/she will have excellent leadership, negotiation and presentation skills and demonstrable experience in the areas of policy-making, institutional analysis, poverty and gender analysis, and change management, as well as an in-depth knowledge of economic/social and political transformation processes in The Sudan. Fluent spoken

and written Arabic and English is essential. He/she will be a national of The Sudan and resident in the country.

#### **VII. TYPE OF CONTRACT**

114. The senior policy adviser will be recruited locally following a competitive selection process, provided with an IFAD contract, and will report to the CPM for The Sudan under the overall supervision and guidance of the Director, NENA Division. He/she will provide IFAD with AWP/Bs for the field presence in October of each year. These AWP/Bs will be developed in consultation with the CCU and specify policy issues to be addressed, milestones to be achieved in policy dialogue, and progress in institutionalizing impact-oriented project management.

#### **VIII. INSTITUTIONAL ARRANGEMENTS**

115. The senior policy adviser will have office facilities at the CCU. Transportation to and from the field will be ensured by the CCU and the IFAD-financed projects.

#### **IX. DETAILED BUDGET**

116. The field presence facility will build on ongoing IFAD implementation support arrangements in The Sudan. The total incremental cost of a senior policy adviser (including minimal operating expenses), to be financed by the FPPP, amounts to a total of USD 252 000, broken down as follows.



**Incremental Costs to be Financed by IFAD for Establishing an FPF  
in The Sudan**

Estimated Costs: Sudan (United States Dollars)													
Item	Year 1				Year 2				Year 3				Total
	Unit	Qty	Unit Cost	Total USD	Unit	Qty	Unit Cost	Total USD	Unit	Qty	Unit Cost	Total USD	
<b>Staff costs</b>													
<b>Senior Policy Adviser</b>													
Fees	Month	12	6200	74400	Month	12	6500	78000	Month	12	6500	78000	<b>230400</b>
Travel costs and DSA	Lump sum			4600	Lump sum			4400	Lump sum			4600	<b>13600</b>
<b>Operating costs</b>													
Office space refurbishment	Lump sum			2000	Lump sum			0	Lump sum			0	<b>2000</b>
Computer and accessories	Lump sum			2000	Lump sum			500	Lump sum			500	<b>3000</b>
Telecommunications	Lump sum			1000	Lump sum			1000	Lump sum			1000	<b>3000</b>
<b>Total</b>				<b>84000</b>				<b>83900</b>				<b>84100</b>	<b>252000</b>

**X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE.**

117. The main benefits of the initiative will be:

- improved policy dialogue, particularly in the areas of land and water governance reforms and an initial analysis of results achieved by these policies in terms of participatory decision-making and social and gender equity;
- enhanced partnership-building, particularly with other donors active in poverty reduction interventions;
- more effective knowledge management, including implementation of impact-oriented monitoring systems; and
- better portfolio performance.

118. The main evaluation indicators of the initiative will be:

**Policy Dialogue**

- number of policy forums in which the senior policy adviser participates and contributes to;
- number of partnerships and links established/institutionalized at the policy level; and
- greater emphasis on rural poverty programmes, as evidenced by government budgetary allocations.

**Partnership-Building**

- enhanced coordination with civil society (number and relevance of meetings);
- greater cooperation and coordination with donors in rural poverty reduction programmes (number and relevance of meetings); and
- more cofinancing opportunities.

**Knowledge Management**

- regular substantive reporting to IFAD headquarters (number and quality of reports);
- regular sharing of knowledge with country stakeholders (number of written contacts and workshops held); and
- improved IFAD headquarters knowledge base on The Sudan.

**Project Implementation**

- availability of counterpart funds;
- compliance with loan agreements; and
- quality and timeliness of audit reports.

**FPPP INITIATIVE BRIEF: UNITED REPUBLIC OF TANZANIA; MALAWI****I. SUMMARY DESCRIPTION**

119. The proposed initiative will involve the mobilization, for a period of three years, of a programme and policy coordinator (PPC) to serve both the United Republic of Tanzania and Malawi. The PPC will work from the FAO office at Dar-es-Salaam, in close coordination with the Government, project authorities and other development partners in both countries.

**II. PURPOSE AND JUSTIFICATION**

120. The purpose of the proposed initiative is to improve IFAD's participation in activities to reduce rural poverty and to strengthen the organization's contribution to such activities by identifying issues facing the rural poor and proposing experience-based responses. Beyond 'mainstreaming' IFAD's perspectives and experience, the aim of the initiative will be to strengthen civil-society processes for representing the interests of the rural poor, including the mobilization and coordination of support from IFAD through project loans and grants. The quality of IFAD's input into these processes will be enhanced by better collection of knowledge on key issues and options from IFAD-supported projects/programmes and other interventions going forward in areas of strategic concern to the organization – within the framework of regular consultations among IFAD's country operations partners. This knowledge will be underpinned by improved programme-level M&E, itself to be assessed on a regular basis.

**III. DETAILED OBJECTIVES**

121. The initiative is expected to lead to an improved structure and focus of national rural development activities, more productive use of IFAD resources, and the strengthening of national capacities for the articulation of rural development issues and interests. More specifically, in the United Republic of Tanzania, the exercise will provide an essential field-based insight into modalities for participating in processes relating to budget support and sector-wide approaches to development that may become important elements in IFAD's engagement in the Africa region over the next three years. Expected results include:

- enhanced provision for addressing opportunities and needs in national and sectoral rural poverty-reduction strategies and programmes (including the Agricultural Sector Investment Programme in Malawi and Agricultural Sector Development Programme (ASDP) and Rural Development Programme (RDP) in the United Republic of Tanzania);
- visible alignment of IFAD's programme with national mechanisms and objectives; exploring the possibility of inserting IFAD-funding into sector-wide funding mechanisms (combined with improved national targeting and monitoring performance);
- significant progress in reducing policy and institutional obstacles in areas of strategic concern to IFAD, such as access to natural resources, finance and markets, etc.;
- improved activity-level monitoring of issues and achievements in reducing rural poverty under IFAD-supported operations;
- regular and documented technical exchanges among development programmes, including IFAD-supported interventions; and
- enhanced coordination with civil-society groups, and visible IFAD support for national NGO forums representing the interests of the rural poor.

#### IV. COUNTRY BACKGROUND

122. The portfolio for the United Republic of Tanzania is one of IFAD's largest in the East and Southern Africa subregion. Parallel, but related, processes have seen a shift in IFAD's focus from area-based and integrated development towards national subsectoral programmes on the one hand, and, on the other hand, a desire by the Government and other major donors to see all assistance to agriculture developed and implemented within national planning and programme frameworks. IFAD has a large and diversified portfolio in the United Republic of Tanzania and has so far contributed to financing 11 projects, including a health programme funded by the Belgium Survival Fund. The design of all these interventions was based on a participatory approach, with beneficiaries owning, operating and managing the process; and they have been able to influence the Government to develop a pro-poor strategic framework for rural and agricultural development. Encouraged by this experience, the Government invited IFAD to take a leading role in drawing up a forward-looking programme for change (e.g. through the ASDP). At the same time, IFAD's three ongoing subsectoral interventions in the areas of rural finance, marketing and irrigation have identified legal, regulatory and institutional obstacles calling for solutions at the national level. In addition, the Government has recently endorsed IFAD's new COSOP for the country, which supports a number of national programmes concentrating on policies, regulations, governance and empowerment issues concerning the poor that have been successfully tested on a pilot and regional scale. Consequently, their successful implementation calls for developing a capacity for policy-level dialogue in response to emerging programme demands and in coordination with the donor community as a whole. The Government's interest in having a stronger local IFAD presence is paralleled by strong donor interest in creating a basis for closer coordination and cooperation of rural development assistance efforts within the context of the MDGs.

123. The situation in Malawi is rather different inasmuch as IFAD's ongoing project portfolio is relatively small, with only two interventions currently under implementation (partly reflecting the institutional and policy constraints that have affected all donor activities). IFAD's role in policy and institutional dialogue (such as exists) is very marginal, and the immediate prospects are not encouraging for any improvement in the institutional and policy framework. Nonetheless, it is essential that future discussions on the overall framework for rural development involve all major external donors, including IFAD, as a precursor of a more coordinated and substantial re-engagement in a country marked by one of the worst rural poverty situations in the region.

#### V. SCOPE OF WORK

124. In the United Republic of Tanzania, the PPC will regularly participate in the work of joint government-donor committees on the development of the ASDP and RDP and generally coordinate IFAD support for subprogrammes within them, as specified in the COSOP. In addition, he/she will represent IFAD in government/donor consultations on integrating assistance to rural development within general budget-support mechanisms, with particular attention to planning and monitoring. This work will be undertaken in close coordination with the CPM for the United Republic of Tanzania, who will work with the PPC on producing key inputs. The PPC will participate in meetings of a United Nations interagency working group and ensure that IFAD provides an input for the UNDAF. The PPC will liaise with major civil-society groups/forums relevant to rural poverty, and promote direct representation of their views in policy and programming venues. In addition, he/she will organize regular meetings of managers of IFAD-supported interventions with a view to identifying key achievement-related issues that need to be addressed in high-level policy and institutional dialogue, and coordinate their participation in sectoral exchanges on lessons learned in project/programme implementation. In support of this process, the PPC will liaise with programme managers with regard to monitoring mechanisms.

125. In Malawi, the PPC will participate in government/donor meetings on the Agricultural Sector Investment Programme and in United Nations coordination committees. In the context of launching a new type of IFAD programme and with a new implementing partner, the PPC will pay particular attention to institutional and policy issues involved in programme start-up, and will coordinate with

the CPM for Malawi in addressing such issues at the government level. Given IFAD's need to articulate a new approach to its engagement in Malawi, the PPC will support the COSOP process by ensuring that IFAD has access to all relevant sectoral and subsectoral studies, and tracking donor initiatives and opportunities for collaboration. The PPC will be expected to play a leading role in anchoring IFAD's new programme within a national programme framework in close collaboration with donors, if and when the opportunity arises.

#### **VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS**

126. The PPC will:

- represent IFAD in key national planning and donor coordination activities related to national rural development strategy and investment programming;
- represent IFAD in key United Nations system national programme planning exercises;
- coordinate with and support civil-society processes for representing the interests of the poor in the rural sector;
- stimulate synergy among various IFAD loan and grant-funded activities, particularly with regard to key policy and institutional issues to be pursued by IFAD in its dialogue with government;
- facilitate flows of information among development programmes with regard to key issues and lessons learned in areas of major strategic concern to IFAD; and
- monitor the implementation of arrangements for project-level information systems and evaluation.

127. The PPC will have at least ten years' management-level experience in rural development in the region, an advanced degree in a relevant discipline, and satisfactory experience of working with governments and donors in policy and coordination forums.

#### **VII. TYPE OF CONTRACT**

128. The PPC will be recruited in accordance with customary national arrangements. Following an intensive initial briefing in Rome, he/she will work under the supervision of the CPMs for the United Republic of Tanzania and Malawi, in coordination with the head of the FAO office in Dar-es-Salaam, from which he/she will work. The PPC will operate in accordance with an annual workplan and within monthly work schedules agreed with the CPMs. His/her performance will be reviewed on a quarterly basis. A number of candidates for the position have been shortlisted and recruitment is expected to be completed by end-2003 so that he/she can start functioning as of early 2004.

#### **VIII. INSTITUTIONAL ARRANGEMENTS**

129. The PPC will be based in Dar-es-Salaam, from where he/she will make regular visits to Malawi. Office and communications support will be provided by the FAO office in Dar-es-Salaam and charged to IFAD.

#### **IX. DETAILED BUDGET**

130. The cost of the proposed field presence initiative over a period of three years is estimated at about USD 270 000, broken down as follows:

<b>Estimated Costs: PPC United Republic of Tanzania/Malawi (United States Dollars)</b>				
<b>Item</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year3</b>	<b>Total</b>
Salary and benefits	42 000	43 050	44 126	129 176
UNDP/FAO support charges	12 000	12 300	12 608	36 908
Transportation (United Republic of Tanzania)	5 000	5 125	5 253	15 378
Transportation (Malawi)	10 000	10 250	10 506	30 756
Transportation (IFAD)	6 000	6 150	6 304	18 454
Communications charges	3 000	3 075	3 152	9 227
Mission participation	10 000	10 000	10 000	30 000
<b>Total</b>	<b>88 000</b>	<b>89 950</b>	<b>91 949</b>	<b>269 899</b>

#### X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE

131. A final set of indicators for each initiative will be selected from the following list and adapted as necessary. If deemed appropriate, these indicators will include additional criteria.

#### Policy Dialogue

##### Process indicators

- Number of policy forums in which the PPC participated and contributed to
- Number of partnerships and links established/institutionalized at the policy level

##### Outcome indicators

- Increased overall knowledge about IFAD at the country/regional level
- Visible progress in reducing perceived policy and institutional obstacles to reducing rural poverty
- Increased attention to addressing rural poverty issues in country-/regional-level policy documents (e.g. market access, financial deregulations, and other policy documents)
- Increased emphasis on rural poverty programmes as reflected in government budgetary allocation to the agricultural sector
- Increased institutional orientation to rural poverty reduction

#### Partnership Building

##### Process indicators

- Number of meetings with national/government institutions on issues related to IFAD's programme
- Number of meetings with NGOs, community-based organizations and civil-society organizations
- Number of meetings with donors
- Relevance of meeting outcomes (based on available documents) to IFAD's concerns and rural poverty issues

##### Outcome indicators

- Enhanced alignment of IFAD programmes with national mechanisms and objectives in relation to rural poverty reduction
- Greater coordination with civil society

- Improved cooperation and coordination with donors in rural poverty reduction programmes
- More cofinancing opportunities

### **Knowledge Management**

#### **Process indicators**

- Regular substantive reporting to IFAD headquarters (number of reports)
- Participation in relevant country-level thematic groups and COPs (number of groups and COPs)
- Regular sharing of knowledge with in-country stakeholders, in particular IFAD projects (number of written/oral contacts)
- Briefing of visiting missions (number of meetings)

#### **Outcome indicators**

- Improved IFAD headquarters knowledge base related to country/region
- CPM capacity for monitoring/participating in-country policy dialogue improved
- Greater sharing of lessons with and among projects enhanced
- More replication and scaling up of successful IFAD innovative approaches to rural poverty reduction

### **Project Implementation**

The criteria for assessing progress in this area will be aligned with IFAD's regular reporting processes (project status reporting) and include, for example, the following indicators:

- quality of accounts
- quality of audit
- timeliness of audit
- availability of counterpart funds
- overall disbursement by projects
- compliance with loan agreement
- compliance with procurement procedures
- preparation of progress reports
- preparation of monitoring reports

**FPPP INITIATIVE BRIEF: YEMEN****I. SUMMARY DESCRIPTION**

132. The proposed field presence initiative in Yemen will complement ongoing implementation support arrangements aimed at facilitating project result-oriented management. By putting in place a senior policy adviser, IFAD will strengthen its in-country capacity in the area of policy dialogue and thus its steering of the policy reforms that increasingly form an integral part of project development and implementation. Establishing clear links between the policy and operational aspects of rural investments should contribute to more equitable economic growth in Yemen.

**II. PURPOSE AND JUSTIFICATION**

133. Implementation of IFAD projects in Yemen has met with a number of serious setbacks; many of them have been classified as problem projects. Difficulties have been encountered both with project implementation units and at the policy and institutional levels. The performance of IFAD's ongoing projects in Yemen is summarized below:

<b>Project Name</b>	<b>Cooperating Institution</b>	<b>Years of Implementation</b>	<b>Disbursement (%)</b>	<b>Compliance with Covenants</b>	<b>Performance</b>
Dhamar Participatory Rural Development Project	Arab Fund for Economic and Social Development)	0 out of 7	0	Non-applicable	Not yet effective
Southern Governorates Rural Development Project	World Bank	6 out of 7	57	Acceptable	Average
Al-Mahara Rural Development Project	UNOPS	3 out of 7	17	Needs improvement	Problem project
Raymah Area Development Project	UNOPS	5 out 7	44	Needs improvement	Problem project

134. Evaluations and reviews of projects in Yemen have brought out a number of issues/problems, the most important of which relate to the lack of counterpart funds, inadequate control and monitoring, overly complex administrative procedures, insufficient attention to good governance, and political interference. Projects have also been affected by weak supporting institutions, including the offices of the lead ministries and branches of the Cooperative and Agriculture Credit Bank (CACB), and weak or non-existent farmers' organizations that have left project implementation void of any appropriate checks and balances, particularly at the field level.

135. Limited follow-up and/or feedback on project implementation by IFAD, combined with scarce implementation support by cooperating institutions, has further aggravated the situation. While the supervision reports of cooperating institutions are thorough and their recommendations are pertinent, the lack of regular follow-up affects the entire project portfolio and is the main reason for poor project performance. In addition, the absence of cross-fertilization among ongoing projects, together with a lack of coherent and objective-oriented training, have also had a negative effect on project implementation.

136. In addition, despite the importance of Yemen in the NENA region, very little conclusive policy dialogue has taken place on such key issues as administrative reforms, rural finance and beneficiary participation. This can be attributed largely to IFAD's tangential involvement in implementing its projects in Yemen, and the cooperating institutions' concentration on physical performance, disbursement and adherence to loan agreement covenants. Little attention is paid to qualitative aspects



of project implementation, the impact of projects on the rural poor and their capacity-building, or the provision of implementation and institutional support for the institutions involved, especially the line ministries.

137. The proposed FPF, which will consist of a full-time senior policy adviser, is aimed at redressing these problems.

### III. DETAILED OBJECTIVES

138. The aim of the proposed FPF is to:

- develop and implement an active programme of policy dialogue aimed at influencing government policy in favour of the poor and fostering their active participation in the development process;
- participate in bilateral and multilateral forums to ensure effective cooperation, knowledge sharing and efficient use of scarce resources; and
- develop a knowledge management system to assist IFAD in the design of future operations.

### IV. BACKGROUND ON IFAD ASSISTANCE TO YEMEN

139. Yemen is the poorest country in the NENA region, ranking 76<sup>th</sup> out of 85 countries on the UNDP Human Poverty Index. Around 77% of the population of 17 million is rural and, of this, an estimated 34% (4.5 million people) live below the poverty line. Yemen's social indicators are also very low compared with the rest of the region, with a life expectancy of 53 years, an infant mortality rate of 76 per 1 000 live births and an overall literacy rate of only 40%. The school enrolment rate stands at 55% and only 61% of the population has access to safe water.

140. In response to the above scenario, IFAD has maintained a sustained programme of financial assistance to the country averaging one project every 19 months, both before and after unification of the two Yemens. IFAD assistance has comprised a total of 16 approved projects, making Yemen the principal recipient of IFAD assistance within the NENA region both in terms of the number of loans and the associated United States dollar value, which amounts to approximately USD 150 million. In addition, IFAD has been responsible for mobilizing some USD 221 million from other sources, bringing the total value of the entire portfolio to approximately USD 0.5 billion.

### V. SCOPE OF WORK

141. The proposed initiative will involve recruiting a senior policy adviser to undertake two main tasks: support the implementation of key policy reforms negotiated during project design, and provide the implementation framework for IFAD's investment projects; and strengthen capacity in policy analysis and financial management.

142. **Support to the implementation of key policy reforms.** Achieving the development objectives of ongoing and future investment projects is premised on four policy reform areas: (i) equitable and secure land tenure arrangements; (ii) devolution of responsibilities/powers/resources to community groups; (iii) marketing of livestock products; and (iv) establishing appropriate mechanisms for state revenue generation. The senior policy adviser will facilitate stakeholder dialogue to pursue these reforms.

143. **Capacity-building in policy analysis and financial management.** The senior policy adviser will provide support to PEBs in their policy-making and coordination functions. PEB members will be trained in policy analysis and policy planning/monitoring. In addition, the senior policy adviser will assist the Government to ensure that payments of counterpart funds and loan servicing are dealt with in a timely manner.

**VI. TERMS OF REFERENCE AND REQUISITE QUALIFICATIONS**

144. Under the supervision of the CPM for Yemen, the senior policy adviser will:

- promote the decentralization law and facilitate beneficiary participation in local-level decision-making;
- closely monitor the restructuring of CACB;
- participate actively in policy dialogue at round table meetings with other donors;
- participate in in-country donor debates and work on rural poverty issues, particularly with regard to the contribution of the IFAD portfolio, to ensure that recommendations in approved PRSP are implemented;
- monitor the counterpart funds issue by gaining an understanding of the fund allocation process and ensuring that IFAD receives the intended yearly allocations;
- establish an IFAD image and niche for future interventions;
- support IFAD design missions by preparing background material and establishing programmes; and
- identify cofinancing opportunities.

145. The incumbent will hold a postgraduate degree in political economy, agricultural economy, institutional development or other related disciplines. He/she will have demonstrable experience in the areas of policy-making, institutional analysis, poverty and gender analysis, and change management, an in-depth knowledge of economic/social and political transformation processes in Yemen and excellent leadership, negotiating and presentation skills. Fluent spoken and written Arabic and English is essential. The senior policy adviser will be a national of Yemen and resident in the country.

**VII. TYPE OF CONTRACT**

146. The senior policy adviser will be selected locally on a competitive basis, provided with an IFAD contract, and report to the CPM for Yemen under the overall supervision and guidance of the Director, NENA Division. He/she will prepare a concrete business plan for the three-year period and submit an AWP/B for approval each year. The AWP/B will be developed in consultation with project management and specify policy issues to be addressed, milestones to be achieved in policy dialogue, and progress in institutionalizing impact-oriented project management.

**VIII. INSTITUTIONAL ARRANGEMENTS**

147. The senior policy adviser will work from the World Bank offices in Yemen. Transportation to and from the field will be ensured by ongoing IFAD-financed projects.

**IX. DETAILED BUDGET**

148. The FPF will build on current IFAD implementation support arrangements in Yemen. The total incremental cost for a senior policy adviser (including operating expenses), will amount to USD 240 000, broken down as follows.

**Table 2: Incremental Costs to be Financed by IFAD Pilot Programme  
Towards Establishing a Field Presence Facility over a Three-Year Period  
in the Yemen**

Estimated Costs: Yemen (United States Dollars)													
Year	Year 1				Year 2				Year 3				Total
Item	Unit	Qty	Unit Cost	Total USD	Unit	Qty	Unit Cost	Total USD	Unit	Qty	Unit Cost	Total USD	
<b>Staff costs</b>													
<b>Senior Policy Adviser</b>													
Fees	Month	12	5800	69 600	Month	12	6000	72 000	Month	12	6 200	74 400	<b>216 000</b>
Travel costs and DSA	Lump sum			4 000	Lump sum			6 000	Lump sum			6 000	<b>16 000</b>
<b>Operating costs</b>													
Office space refurbishment	Lump sum			2 000	Lump sum				Lump sum				<b>2 000</b>
Computer and accessories	Lump sum			2 000	Lump sum			500	Lump sum			500	<b>3 000</b>
Telecommunications	Lump sum			1 000	Lump sum			1 000	Lump sum			1 000	<b>3 000</b>
<b>Total</b>				<b>78 600</b>				<b>79 500</b>				<b>81 900</b>	<b>240 000</b>

**X. CRITERIA FOR EVALUATING THE RESULTS AND IMPACT OF THE INITIATIVE**

149. The main benefits of the initiative will be:

- enhanced policy dialogue, particularly in the areas of rural financial services and decentralization; provision of an initial analysis of results achieved in terms of viability of the financial services system and decentralized decision-making;
- improved partnership-building with other donors active in poverty reduction, particularly the World Bank;
- more effective knowledge management, including implementation of impact-oriented monitoring systems; and
- better portfolio performance.

150. The main evaluation indicators of the initiative will be:

**Policy Dialogue**

- Number of policy forums that the senior policy adviser participated in and contributed to
- Number of partnerships and links established/institutionalized with other multilateral development institutions
- Increased emphasis on rural poverty programmes as evidenced by government budgetary allocations to the agricultural sector

**Partnership-Building**

- Enhanced coordination with civil society (number and relevance of meetings).
- Better cooperation and coordination with bilateral and international donors in rural poverty reduction programmes (number and relevance of meetings).
- More cofinancing of IFAD-initiated projects

**Knowledge Management**

- Regular reporting to IFAD headquarters (number and quality of reports)
- Regular sharing of knowledge with country stakeholders (number of written contacts and workshops)
- Written inputs on lessons learned provided to IFAD follow-up, supervision, formulation and appraisal missions
- Improved IFAD headquarters knowledge base on Yemen

**Project Implementation**

- Availability of counterpart funds.
- Compliance with loan agreements.
- Quality and timeliness of audit reports.
- Overall portfolio performance improved.