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Investing in rural people

Thematic Evaluation of IFAD's Support for Smallholder Farmers' Adaptation to Climate Change

Approach Paper

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Abbreviations and acronyms

ASAP	Adaptation for Smallholder Agricultural Programme
COSOP	country strategic opportunities programme
GEF	Global Environment Facility
IOE	Independent Office of Evaluation of IFAD
IPCC	Intergovernmental Panel on Climate Change
SECAP	Social, Environmental and Climate Assessment Procedures
ToC	theory of change

Executive summary

1. This thematic evaluation will assess the development effectiveness of IFAD support aimed at strengthening smallholder farmers' adaptation to climate change. This evaluation will differ from conventional corporate-level evaluations which primarily focus on assessing organizational aspects that contribute to the achievement of results. Recognizing the urgent and critical nature of this type of support for smallholders and the need to address rural poverty, the thematic evaluation will provide learnings to inform existing and future interventions. The evaluation will also seek to determine whether IFAD is fit-for-purpose to deliver on its climate adaptation commitments under the Eleventh Replenishment of IFAD's Resources (IFAD11) and beyond to meet the needs of smallholders in adapting to existing and projected climate risks.
2. For the purposes of this evaluation, adaptation is defined as the process of adjusting to climate risks (the current and expected effects of climate change) in order to moderate harmful impacts or exploit beneficial opportunities. Climate risk and adaptation occur locally and are context-specific. To be successful, adaptation measures should strengthen the resilience of human systems and ecosystems in a given locality.
3. The evaluation will consider all IFAD interventions to smallholder adaptation to climate change, even if their objectives have not explicitly included the aim of addressing climate risks. To avoid the pitfall of characterizing every activity as supporting climate change adaptation, interventions will be screened on the basis of two criteria: (i) the presence of climate risk, and (ii) the intervention in question can plausibly be said to have assisted smallholders to adapt to that risk. This approach is based on a recognition of the fact that IFAD already had a long history of working in areas with adverse and variable climate conditions well before climate adaptation became an organizational priority in 2010 (IFAD8). The portfolio review conducted by the Independent Office of Evaluation of IFAD (IOE) shows that earlier project activities, which did not declare their intent to address climate risks, had considerable overlap with climate adaptation projects that fully meet the criteria used by multilateral development banks to identify climate adaptation projects.
4. The thematic evaluation will cover the period 2010-2019, for learning and accountability, since it was during this period that climate adaptation became an organizational priority for IFAD. For learning purposes only, the evaluation will consider IFAD experiences since 2004, when its operations started to explicitly address climate adaptation.
5. The evaluation will have a summative component and a formative component. In the summative component, the performance of IFAD operations relating to climate adaptation will be analysed in order to draw valuable lessons from them for use in future interventions. To succeed, IFAD activities must equip smallholders to cope with and recover from the adverse effects of climate change. The activities should be appropriate to the local context and suited to the character, frequency and magnitude of the adverse effects in question; they should also reach the most marginalized and vulnerable smallholders while not adversely impacting the ecosystem. The thematic evaluation will also assess IFAD's contribution to institutional and policy change at the subnational and national levels that will promote smallholder climate adaptation. The formative component will assess the extent to which IFAD is fit-for-purpose to support smallholders in adapting to climate change by providing the necessary policies,

strategies, human and financial resources, partnerships, knowledge base, tools, guidance and financial instruments.

6. The detailed design of this evaluation will be completed by late April 2020, and the final evaluation report will be submitted to the Executive Board at its 132nd session in April 2021.

I. Rationale for the evaluation

1. At its 128th session (December 2019), the Executive Board approved the proposal for a thematic evaluation of IFAD's contribution to smallholder farmers' adaptation to climate change.¹ The evaluation will assess the performance of IFAD in a number of areas, including support for smallholders' efforts to manage climate change risks; mainstreaming climate change adaptation into programmes and projects; advocating climate-sensitive policies and strategies at the national and global levels; and testing and scaling up climate-sensitive approaches.²
2. Climate change adversely affects food security, human health, the water supply, the environment, economic activity and physical infrastructure.³ The latest report of the Intergovernmental Panel on Climate Change (IPCC, 2018)⁴ drew attention to the impact of climate change on ecosystems, to the rapidly narrowing opportunities to act and to the limited nature of experiences with effective adaptation at transformative scales. A global temperature increase of two degrees Celsius will exacerbate the risk of hunger due to climate change,⁵ seriously stress marine and terrestrial ecosystems, oblige almost 2 billion people to live in water-scarce environments⁶ and worsen inequalities between women and men.⁷
3. In recognition of the urgency of the situation, the goals set out in the 2030 Agenda for Sustainable Development include climate change adaptation and environmentally sustainable development.⁸ The formulation of these Sustainable Development Goals came in the wake of important international agreements on climate-related issues, such as the United Nations Framework Convention on Climate Change (UNFCCC, 1992), the Kyoto Protocol (1997), the Paris Agreement and the agreement to establish the Conference of the Parties.⁹
4. While information is available on the expected agricultural impacts of climate change and on adaptation measures that could help minimize those impacts, assessments that specifically address the vulnerability of smallholder farmers to climate change are very limited.¹⁰ Smallholder agriculture represents 75 per cent of the world's farms,¹¹ 60 per cent of the agricultural workforce worldwide¹² and the source of over 80 per cent of the food consumed in the developing world (United Nations Environment Programme [UNEP], 2013). Yet over half of the world's undernourished people are rural smallholder food producers.¹³ Smallholder agriculture is disproportionately threatened by unpredictable weather patterns, shifting seasons, frequent natural disasters and other climate risks,¹⁴ while the financial architecture for adaptation measures benefiting smallholders is often fragmented and inadequate.¹⁵ Support for smallholders' adaptation to climate change is thus inseparable from IFAD's mandate to invest in poor rural people to enhance food production and food security and to eradicate poverty in rural areas.¹⁶

¹ EB 2019/128/R.3.

² Ibid.

³ IFAD, 2009, p.1.

⁴ IPCC, 2018.

⁵ World Food Programme: <https://www.wfp.org/climate-action>.

⁶ UN Water: <https://www.unwater.org/water-facts/scarcity/>.

⁷ UNFCCC: <https://unfccc.int/gender>.

⁸ Sustainable Development Goals 2,12,13,14.

⁹ See <https://www.eesi.org/policy/international> for a time line of major United Nations climate negotiations.

¹⁰ Donatti et al., 2019.

¹¹ Lowder et al., 2016.

¹² Fyfe, 2002.

¹³ IFAD, 2011; Lloyd et al., 2018.

¹⁴ <https://undocs.org/en/A/73/293>.

¹⁵ UNEP 2018.

¹⁶ IFAD Strategic Framework 2016-2025.

5. IFAD’s long-standing engagement with climate adaptation, its efforts to mainstream climate adaptation in all its operations and its expanded climate investments provide a compelling basis for taking stock of the situation and learning lessons concerning ways to improve ongoing and future IFAD interventions aimed at strengthening smallholders’ climate adaptation efforts. The Fund’s contributions have been assessed by IOE in its project performance evaluations and completion reports since 2015, its impact assessments of climate adaptation projects and the midterm review of the Adaptation for Smallholder Agriculture Programme (ASAP I) that is now under way. Yet there has been no independent assessment or self-evaluation of how well IFAD interventions, policies and strategies are working together to strengthen smallholders’ climate resilience. In short, there has been no assessment of IFAD’s overall development effectiveness in this area. Hence the need for this thematic evaluation.

II. Conceptual framework and theory of change

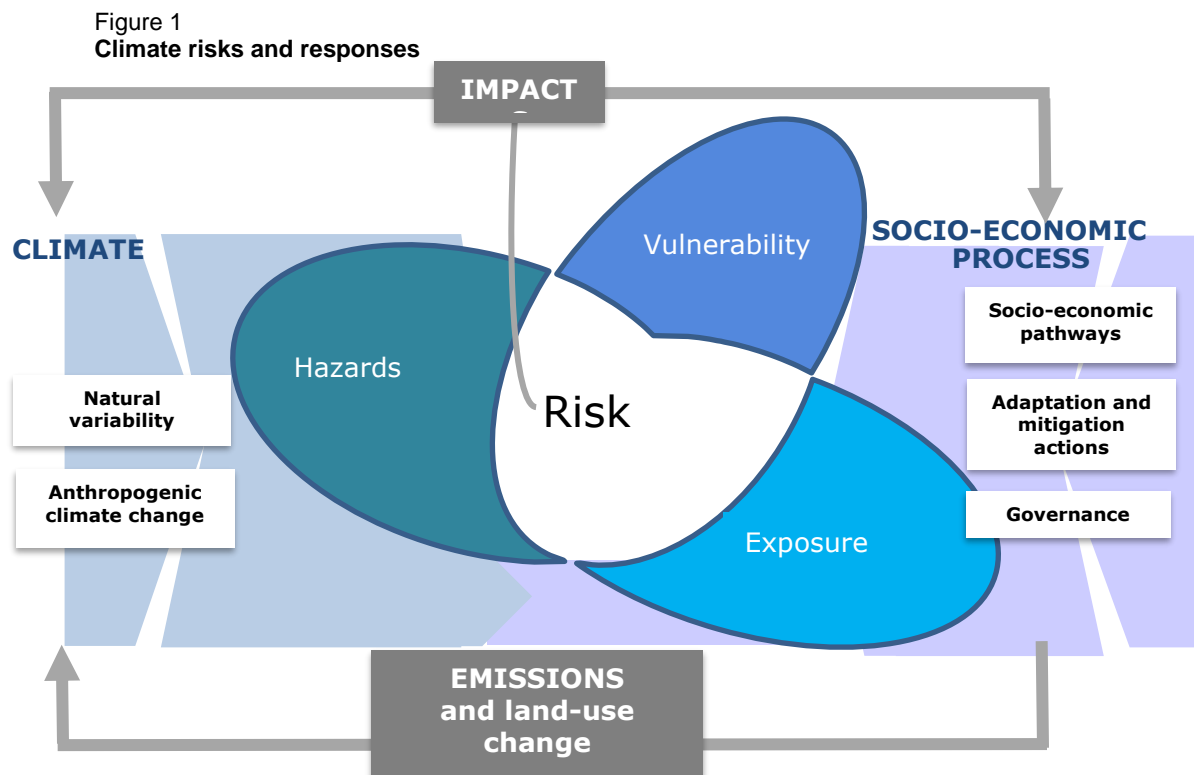
A. Definitions and concepts

6. The term “climate change” refers to “a change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods”.¹⁷ The concept of “climate risk” relates to the potential adverse consequences of a climate-related hazard on people’s lives, livelihoods, health and well-being; ecosystems and species; economic, social and cultural assets; services (including ecosystem services); and infrastructure. Climate risks affect human systems as well as natural systems and are often represented as the probability of the occurrence of hazardous events or trends, multiplied by the impacts of these events or trends should they occur. Risk results from the interaction of vulnerability, exposure and hazards (figure 1). “Adaptation” is the process of adjustment to actual or expected effects of climate change in order “to moderate harm or exploit beneficial opportunities”.¹⁸ The term “resilience” refers to “the capacity of social, economic and environmental systems to cope with a hazardous event or trend or disturbance, responding or reorganizing in ways that maintain their essential function, identity and structure while also maintaining the capacity for adaptation, learning and transformation”.¹⁹

¹⁷ UNFCCC, article 1.

¹⁸ IPCC glossary: https://www.ipcc-data.org/guidelines/pages/glossary/glossary_a.html.

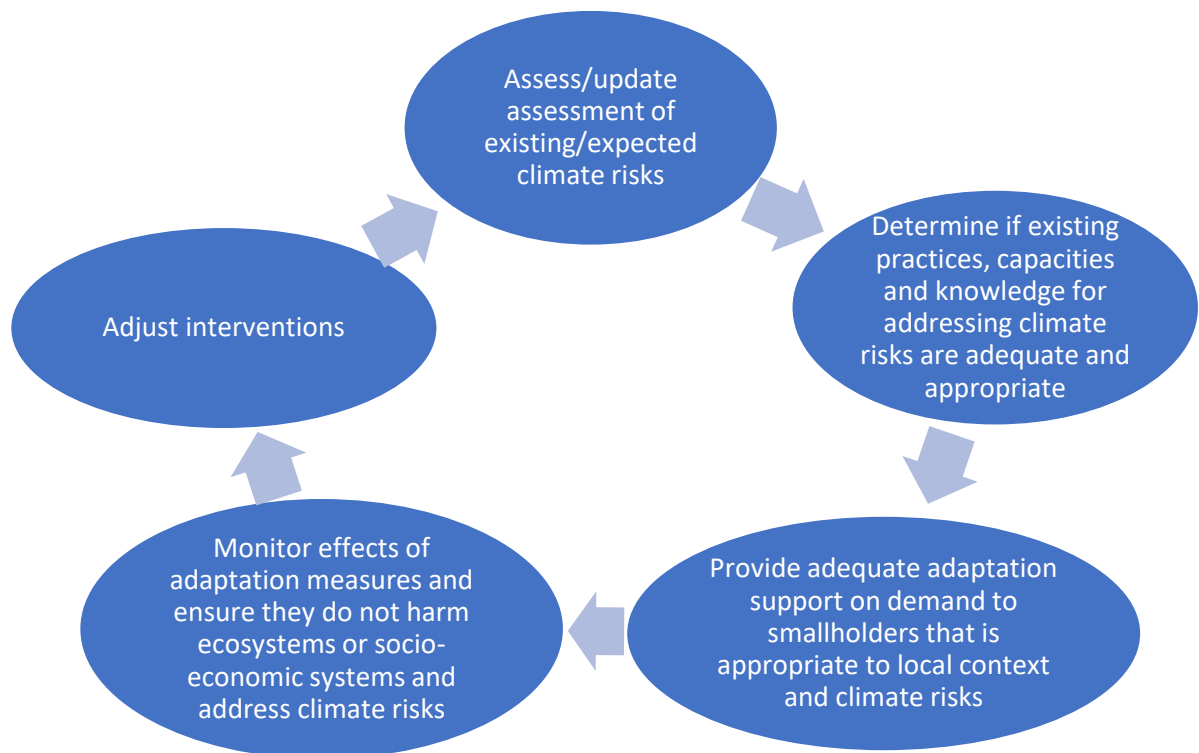
¹⁹ IPCC glossary: <https://www.ipcc.ch/sr15/chapter/glossary/>.



Source: *Climate Change 2014: Impact, Adaptation and Vulnerability* (IPCC, 2014).

7. While closely interdependent, climate change adaptation measures and environmental sustainability measures are not synonymous and may involve trade-offs or synergies. Efforts to address one do not automatically imply that the other will be fully addressed. These similarities and differences have long posed challenges for related development interventions and efforts to identify the best interventions for promoting and interpreting resulting outcomes.
8. It is necessary to situate the adaptive responses of smallholders and their knowledge base in the context of localized climate risks and assess the adequacy and appropriateness of these responses to the risks that have been identified. If the magnitude of climate risks outstrips the existing response capacity, then smallholders will need external assistance in recognizing localized risks, identifying existing smallholder responses and knowledge, and determining the appropriateness and adequacy of the enhanced adaptation response and its impact on the ecosystem and on the relevant socio-economic systems. With accelerating climate change, periodic reassessments of risks in areas more prone to climate threats are needed to ensure the adequacy of the response (figure 2).

Figure 2
Enabling climate adaptation by smallholder farmers



Source: IOE, 2020.

9. While climate risk and adaptation occur locally, it is essential that more successful local adaptive actions are replicated in other locales with similar conditions in order to ensure widespread, systematic adjustments to climate change. In effect, the inhabitants of all locales facing climate risk require adaptive strategies, and this is especially true of smallholders and the rural poor, for whom disruptions that affect their food security and livelihoods carry a far greater risk. This means that climate adaptation must be scaled to reach all poor smallholders facing climate risks. Innovative climate finance instruments, such as drought and natural disaster financing and weather index and parametric²⁰ insurance solutions, could provide one pathway to effective scaling up.

B. Theory of change

10. Strengthening smallholder farmers' adaptation to climate change is a priority for IFAD. A schematic of a system-level nested theory of change (ToC) has been developed and will be enhanced and validated by key stakeholders during design finalization.²¹ The key elements of this nested theory are presented in figure 3.
11. Recognizing that climate change disproportionately affects more vulnerable groups, such as the poor, women, youth, indigenous people, and smallholder farmers and their communities, a sound assessment and effective response to climate risks are needed while ensuring that those responses do not harm the ecosystem. When climate change effects exceed the adaptive capacities of smallholders and their communities, they may seek assistance from external partners such as IFAD. In the provision of climate

²⁰ Insured losses are correlated to an index (e.g. rainfall or even levels of soil moisture).

²¹ The IFAD (2018) Strategy and Action Plan on Environment and Climate Change 2019-2025 presents a theory of change for the organization. However, it pertains to both the environment and climate change and is not specific to climate adaptation. ASAP does not provide a corporate level ToC for climate adaptation. The ToC of this approach paper draws upon the results framework and concept note of ASAP.

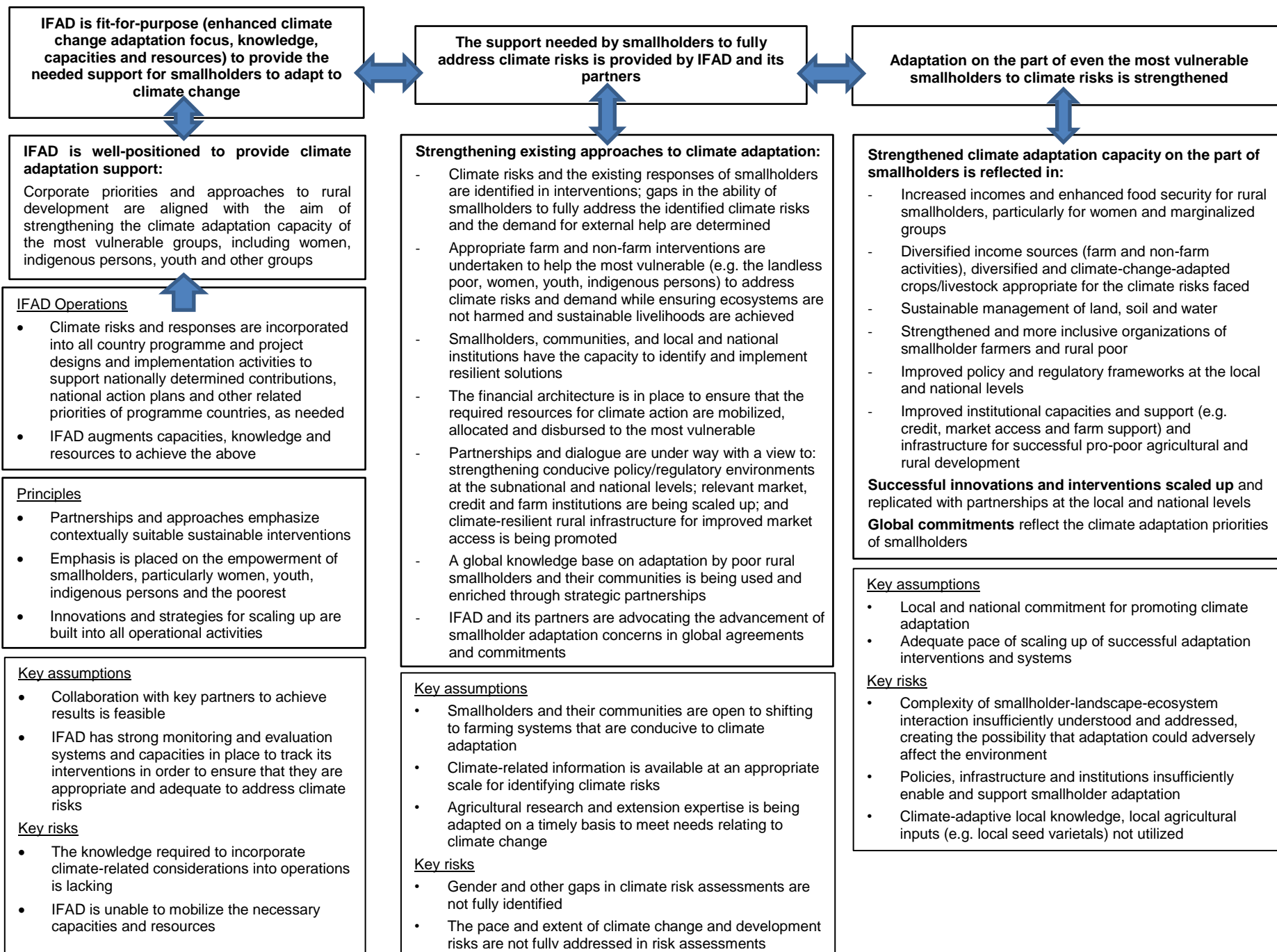
change adaptation support, there needs to be a recognition of the fact that smallholder climate adaptation responses are part of their livelihood activities. The promotion of sustainable livelihoods for the land-poor and other rural poor (e.g. poor persons who are running non-farm enterprises) requires conducive policy environments, strong markets, credit institutions and farmers' organizations, along with capacity on the part of smallholders and local national institutions to participate in climate-resilient solutions. To facilitate this, a global knowledge base of such solutions that can then be used and enhanced by smallholders is needed.

12. Important assumptions underlie appropriate responses to climate adaptation needs, and none of those assumptions can be taken lightly. For example, the requirements for new and enhanced partnerships and collaborative efforts to provide the knowledge and resources needed to respond to climate risk could outstrip their capacities to mobilize these kinds of assets. Monitoring, evaluation and oversight capacities need to keep pace with rapid, widespread climate changes and to provide the necessary insights and information to support adaptive programming.
13. As adaptation responses are pursued and risks are successfully addressed, smallholders and their communities will become better adapted to climate change thanks to improved and more diversified smallholder earnings, enhanced food security, strengthened supporting institutions and a positive, enabling policy environment. Livelihoods for the rural poor, including landless persons, youth and others, will be addressed by developing non-farm and farm-related enterprises in smallholder communities as a means of reducing their exposure to climate risks. A positive, enabling environment can be achieved by effecting policy and regulatory changes to support adaptation and sustainability. This requires a suitable climate-informed knowledge platform which IFAD and its partners can use and to which they can contribute global and country-level knowledge with a view to scaling up successful adaptations. If the complexity of smallholder-landscape-ecosystem interaction or the particular vulnerabilities of women and disadvantaged groups are not sufficiently understood and addressed, adaptation efforts may adversely affect the environment, and the achievement of sustainable resilience will be at risk.
14. Finally, the evaluation will consider the following elements to be necessary components of sustained and effective IFAD support for smallholder climate adaptation: (i) climate adaptation is identified as a corporate priority; (ii) a corporate strategy is in place and the necessary guidance and tools are available to mainstream climate adaptation in the development and implementation of all operations; (iii) suitable capacities, knowledge and resources are in place for the design and implementation of contextually appropriate sustainable interventions; and (iv) strategic and collaborative partnerships are forged with key actors with a view to achieving the desired results and serving as an advocate for an enabling policy environment at the local and national levels and for means of ensuring that global commitments will reflect smallholder farmers' priorities. The evaluation will take into consideration the risks involved in marshalling adequate resources and (organizational and technical) capacities, along with a sufficient knowledge base for addressing existing and emerging climate risks.

Figure 3

A high-level theory of change: Strengthening smallholder farmers' adaptation to climate change

(to be finalized in consultation with IFAD during design workshop)



III. IFAD's support for smallholder climate adaptation

15. Over the past 30 years, IFAD has proclaimed its commitment to assisting poor rural smallholders living in marginal or unfavourable agroecological conditions and to increasing agricultural productivity under adverse climate conditions.
16. Highlights of the key milestones of IFAD engagement with climate adaptation are presented here and further elaborated upon in appendix II. In 2004, IFAD became an accredited implementation partner of the Global Environment Facility (GEF) with approved financing for climate adaptation, and climate adaptation became an explicit objective of selected IFAD interventions. IFAD recognized climate adaptation as an explicit corporate priority under IFAD8 (2010-2012).²² A climate change strategy was adopted in 2010, and the flagship ASAP was launched in 2012 to support smallholders investing in climate resilience.²³ The Social, Environmental and Climate Assessment Procedures (SECAP), which have been mandatory since 2015, are a key mechanism for mainstreaming responses to climate change. Strengthening environmental sustainability and climate resilience is one of the three strategic objectives of the 2016-2025 Strategic Framework. In 2018, the Strategy and Action Plan on Environment and Climate Change 2019-2025 fuses climate and environment strategies and establishes a commitment to reduce the exposure and vulnerability to climate change of 24 million rural smallholder farmers by 2025.²⁴ In the IFAD11 midterm review, it was estimated that 34 per cent of IFAD's total investments in 2019, or US\$568 million, was directed towards climate finance.
17. The Fund promotes smallholder adaptation with financial service instruments such as loans, grants and reimbursable technical assistance. Loan projects aim to promote and replicate proven climate-resilient activities of smallholder farmers while minimizing the risks both for borrowing countries and for IFAD; grants are aimed at testing and adapting context-specific solutions and approaches with which the beneficiaries do not have prior experience. Appendix III provides further details on IFAD's lending and non-lending activities.
18. Partnerships play a critical role in enabling IFAD to identify, promote and scale up interventions that strengthen climate adaptation on the part of smallholder farmers. IFAD's partners range from national institutions (e.g. government agencies, bilateral donors, national research centres, farmers' organizations, NGOs and private actors) to international organizations (e.g. CGIAR), regional/international networks of farmers' organizations and multilateral organizations such as the Rome-based agencies and other international financial institutions).

IV. Evaluation framework

A. Objective and scope

19. The thematic evaluation will: (i) assess IFAD's performance in supporting smallholder farmers' climate adaptation efforts (summative component); and (ii) identify key lessons and make recommendations concerning ways in which IFAD can enhance its approach and improve its performance in this area (formative component). It will strengthen the organization's accountability and learning frameworks and promote IFAD's development effectiveness in achieving inclusive and sustainable climate

²² Appendix II provides a chronology of key climate change milestones for IFAD.

²³ The budget for this initiative totalled US\$298 million (with contributions from Belgium, Canada and the United Kingdom). The programme used grants as incentives for farmers to adapt climate-resilient practices.

²⁴ IFAD (2018) Strategy and Action Plan on Environment and Climate Change 2019-2025.

adaptation on the part of smallholder farmers. Gains in both learning and results will be enhanced by reviews and evaluations of other climate adaptation investments made by the multilateral climate funds, the World Bank and multilateral development banks, bilateral agencies, philanthropic organizations and other institutions.

20. Climate adaptation is a locally specific undertaking in that climate vulnerabilities and adaptive opportunities are local in nature. At the same time, global commitments and national policies and regulations impact local responses. This thematic evaluation will cover IFAD interventions at the global, national and subnational levels in all programme countries.
21. The preliminary portfolio review conducted by IOE confirms that IFAD interventions were supporting smallholders and agricultural systems in coping with the effects of climate change before this was formalized as a corporate priority and before dedicated results monitoring began (appendix III).²⁵ To capture this experience for learning lessons about what has worked and why, projects approved from 2004 to 2010 are included in the formative portion of the evaluation. This longer-term exploration of IFAD's experience will enrich the evaluation, whose scope will include both intended and unintended project results in order to capture the full contribution made by IFAD. Accountability will be assessed only with regard to interventions that followed the organization's declaration of its intent in this regard in 2010.
22. In the course of assessing IFAD operations, the evaluation will also look at the finance instruments used for these operations, which include loans, grants and supplementary financing instruments such as those provided by ASAP, GEF and the Adaptation Fund. Emphasis will be placed on assessing the ability of IFAD to use a mix of such instruments and its effectiveness in mainstreaming smallholder adaptation to the effects of climate change.

B. Evaluation priorities and questions

23. This evaluation will focus on the extent to which IFAD-supported initiatives have helped smallholders adapt to the impacts of climate change by promoting climate-resilient livelihoods and improving their food security.
24. The overarching evaluation issues are:
 - What difference have IFAD interventions made in the ability of smallholders and their communities to adapt to climate change, particularly in the case of those most vulnerable to climate change, such as women, youth and indigenous peoples? What has worked and why? Have opportunities been missed?
 - To what extent has IFAD been able to leverage its operations to strengthen smallholder farmers' climate adaptation capacity at the local, subnational and national levels through partnerships and by scaling up successful interventions, promoting enabling policies, strengthening institutional capacities and improving the financial architecture for adaptation? What has worked and why? Have opportunities been missed?
 - To what extent is IFAD equipped to address the existing and projected adaptation challenges facing smallholder farmers and to meet its commitments under IFAD11 and beyond?
25. To respond to these questions, the evaluation will use the criteria of effectiveness, sustainability, gender equality and gender empowerment, innovations, efficiency and relevance. A set of potential evaluation questions to address these criteria is presented

²⁵ IFAD8 (2010-2012) included combating climate change among its operational priorities.

in appendix I and will be finalized in the section of the design report dealing with constraints related to data, time and resource availability.

C. Evaluation methodology

26. **Approach.** An assessment of adaptation interventions at the project level is necessary because climate risks and adaptation occur on a local scale. Such an assessment entails two courses of action: verifying whether the climate risk assessment of the project design was reasonable (when such an assessment exists), and assessing whether the intervention was appropriate for the risk. Project contributions can be assessed by triangulating proven metrics with inputs from stakeholders such as smallholders, national governmental bodies and IFAD project managers, as well as technical experts.²⁶ Contributions at the subnational and county levels are critical in order to fully assess IFAD's performance.
27. The evaluation will use a variety of methods for data collection and analysis to gather evidence, including case and desk studies, electronic surveys, key informant interviews, and literature and document reviews.
28. Literature and document reviews will include all relevant evaluations conducted by IOE of IFAD interventions approved since 2004, relevant self-evaluations, including impact assessments, and research and evaluative studies relevant to adaptation and agriculture that focus on smallholders (e.g. the Green Climate Fund, the Adaptation Fund, the Conservation International, the Department for International Development of the United Kingdom (DFID), GEF, the Resilience Network and others). If feasible, a systematic review of climate adaptation and resilience approaches will become an output.
29. In addition, related global commitments and agreements, corporate documents and pertinent country documents will merit closer study. Corporate commitments under IFAD8, IFAD9, IFAD10 and IFAD11, strategic frameworks, related corporate strategies, action plans, guidance and tools related to climate adaptation will be included in the review.
30. **Evidence from upcoming IOE evaluations.** Evaluative evidence will be supplemented by evaluations at the project and country levels to be conducted in 2020.
31. **Portfolio review.** The three portfolios listed in appendix III will be analysed to provide a valuable platform for descriptive analysis and a frame of reference for identifying case studies and sampling.
32. **Sampling strategy.** An initial sample will be drawn from the project database on loan- and grant-financed interventions and the portfolio review for the desk review case studies. The strata to be used in this representative sample of the project population will be defined during inception and may potentially include types and differing severities of climate risk, types of interventions, variations in the development-environment nexus (conflict, disasters, migration and displacement), agricultural ecologies (mixed pastoralist/smallholder systems, rain-fed agriculture, riverine irrigated areas, etc.) and finance instruments. A purposive subsample will also be drawn for a more detailed inquiry into the case studies that will include field visits to test the hypotheses that will be outlined in the design report; the sampling criteria will be identified during inception on a preliminary basis and will then be finalized after the desk studies have been completed. Sample sizes will be determined during inception and will be influenced by the amount of resources and time available.

²⁶ Rowe, 2019.

33. Case studies based on desk reviews will be undertaken for the representative sample of country strategic opportunities programmes (COSOPs) and projects. They will consider relevant country documents such as national rural development plans, COSOPs, project design reports, midterm reviews, supervision and project completion reports, relevant country strategy and programme evaluations, impact evaluations, project performance evaluations and project completion report validations, as appropriate. The initial portfolio review to be undertaken during inception will be project-focused; this desk review will use a wider lens in order to cover important contextual matters, including the formation and contribution of country strategies, stakeholder engagement, the nature of the climate risks and capacity of the country concerned and other important contextual issues. The available time and resources permitting, at least 10 case studies based on desk reviews are envisaged; these reviews will benefit from inputs from ongoing IOE evaluations at the project and country levels.
34. The desk reviews will apply a rubric approach and will use a numeric scoring system to rate the likelihood that key outcomes identified on the basis of the ToC will be achieved. Because project documentation is sometimes incomplete, the desk review will seek to address gaps that could be of significance for the review by contacting key IFAD and project representatives and using secondary sources where helpful. A limited number of interviews with IFAD and country representatives and stakeholders will be undertaken in order to explore design and implementation, scaling up and contextual matters and to obtain important inputs regarding the utilization of scientific, local and traditional knowledge and possible lessons learned. The desk review will help fine-tune the remainder of the evaluation.
35. **Case studies based on field visits.** Country- and project-focused case studies will be used to test emerging evaluation hypotheses related to key evaluation issues, verify the ToC and its assumptions, provide a more detailed understanding of the pathway of higher-impact projects from country strategy to project inception and completion, obtain additional insights into factors affecting success (in relation to both unintended and intended results) and enhance the verification of impacts. A purposive sampling will be used to identify relevant countries and projects for testing the evaluation hypotheses. A pilot study will be conducted to validate data collection tools and evaluation protocols. The field studies will provide an opportunity to gather information about the perspectives of the following groups: (i) IFAD managers and operations staff, (ii) the corresponding government and implementing units, (iii) rural smallholders, (iv) partners, research institutions, donors and other key rural development actors and (v) observers from civil society and farmers' organizations. The pilot study will also provide opportunities to make direct observations of promoted climate change activities and obtain feedback from focus group discussions with beneficiaries. Depending on the available time and resources, up to 10 case studies based on field visits are envisaged.
36. **Key informant interviews.** Semi-structured interviews will be held with IFAD managers, operations staff, government officials, members of research organizations and researchers, NGOs, private sector organizations, farmers' organizations and other civil society organizations, and selected Executive Board representatives. Based on desk reviews and the e-survey, a stakeholder map will be prepared as a basis for identifying interviewees that are in a good position to provide the necessary evidence. Focus group discussions with beneficiaries and members of their communities will also be a key source of evidence.
37. **Remote sensing data.** The available data from geographic information systems will be collected, analysed and validated during the site visits held in connection with

selected case studies in order to supplement and triangulate the evidence gathered by other means.

38. **Management self-assessment.** Management will be requested to provide a self-assessment based on key questions prepared by IOE. These assessments will be presented and discussed as part of the inception workshop in early 2020. This document will be an internal one and will not be for publication.
39. **Electronic survey(s).** Electronic survey(s) will capture information (knowledge, views and experiences) from IFAD managers and technical and operational staff, government implementing partners, managers of IFAD-funded projects and other relevant partners such as staff of research centres. The questions will be tailored to the relevant groups of respondents. The survey will be anonymous.

D. Limitations

40. *Challenges in the identification of results.* The complex interactions between human systems and ecosystems may not be fully visible during the life of a given project.
41. *Limitations related to the identification of climate risks at the project level.* Identifying climate risks at the local level provides critical inputs for the design of appropriate responses. Earlier interventions did not have the benefit of this expertise. Even when climate risks were identified at the national level, it was an added challenge to obtain information on risks at the geographic scale of the intervention. However, national and IFAD capacities are evolving towards a point where appropriate climate change models for the identification of climate risks can be developed.
42. *Limitations related to data availability.* In order for climate models to be verified and related risks to be assessed at the local level, time series data relating to climate change need to be documented and made available at the national and local levels. It will also be necessary to assess the extent to which adaptation responses have been integrated on a scale suited to smallholder practices where such data are available.
43. The design of the evaluation will address these limitations on the basis of further research, inputs from expert panels and selected field studies.

E. Finalizing the evaluation design

44. An advisory panel of external experts will provide quality enhancements for the evaluation products and processes. A core learning partnership (CLP) group of relevant technical specialists will be established in IFAD. As well as strengthening the inputs for the evaluation, the CLP will also promote the dissemination and use of the evaluative findings of the thematic evaluation in IFAD. An expert panel will provide high-level knowledge of use in assessing the environmental effects of different classes or types of interventions and in developing a scoring approach that will subsequently be employed in the evaluation. A more detailed ToC will be developed in consultation with key stakeholders to provide the operational logic and more granular descriptions of outcomes for these IFAD interventions. The portfolio review will be completed. A design workshop will be held in Rome to finalize the design. This event will also include an expert panel workshop, which will be open to all IFAD staff.

V. Evaluation process

45. **Phases.** The thematic evaluation will have six phases: (i) inception, during which the evaluation questions and methodologies will be further refined and specific data collection instruments will be developed; (ii) information gathering at headquarters using desk reviews and interviews with Executive Board representatives, Management and staff members; (iii) design, implementation and analysis of an e-survey;

(iv) piloting and the subsequent implementation of case studies; (v) data analysis; and (vi) reporting and sharing the draft report with Management and other key stakeholders for the purpose of checking factual and interpretive accuracy before finalizing the report, hearing Management’s response and disseminating the evaluation’s conclusions and recommendations.

46. **Evaluation team.** Under the overall strategic direction of the Director and Deputy Director of IOE, the thematic evaluation will be conducted by a lead evaluator at IOE with the support of two IOE evaluation officers, two Rome-based evaluation analysts and two to three senior external consultants. National consultants will support the case studies.
47. **Timetable.** The evaluation will be conducted in 2020 and completed in early 2021. Table 1 below presents a tentative schedule.

Table 1

Evaluation timetable (tentative)

Activity	Date
Peer review of approach paper	15 January 2020
Approach paper submitted to IFAD Management	22 January 2020
Management comments received	5 February 2020
Advisory panel review of approach paper	10 February 2020
Approach paper submitted to the Office of the Secretary	12 February 2020
Design workshop	March 2020
Design finalized	April 2020
Self-assessment workshop with Management	26 March 2020
Approach paper discussed with Evaluation Committee	1 April 2020
Desk reviews	Feb – April 2020
Field missions	May – August 2020
Analysis of evidence and other data	September 2020
Workshop for sharing emerging findings with Management	October 2020
Report drafting	October – December 2020
IOE peer review and advisory panel review of report	January 2021
Report shared with Management	February 2021
Management comments	March 2021
Report finalized	April 2021
Discussion – Evaluation Committee	June 2021
Discussion – Executive Board	September 2021

Evaluation matrix

<i>Evaluation Criteria</i>	<i>Potential evaluation questions</i>	<i>Information sources</i>
Overarching questions (OQ* below refers to Overarching Questions)	<ol style="list-style-type: none"> 1. What difference did IFAD interventions make in the ability of smallholders and their communities to adapt to climate change - particularly, of those most vulnerable to climate change such as women, youth and indigenous peoples? What worked and why? Were there missed opportunities? 2. To what extent was IFAD able to leverage its lending activities to strengthen smallholder farmers' climate adaptation at local, subnational and national levels through partnerships, scaling up successful interventions, promoting enabling policies, strengthening capacities of institutions, improving adaptation financial architecture? What worked and why? Were there missed opportunities? 3. To what extent is IFAD equipped to address the existing and projected adaptation challenges facing smallholder farmers and meet its commitments under IFAD 11 and beyond? 	
Effectiveness	<i>Extent to which climate focus reduces vulnerability and improves resilience of poor stakeholders and their communities to climate shocks, improves smallholder livelihoods and food security and does not impair ecosystems.</i>	<i>Key informant interviews, Expert panel, Literature review, Desk review, Portfolio review, Case studies, Survey</i>
OQ1	Did the climate risk assessed by IFAD interventions and COSOPs accurately reflect the local knowledge and available climate data?	
OQ1	Were IFAD interventions adequate to equip the most vulnerable to address the climate risk identified – in terms of their ability to maintain functionality, recover from losses, and improve by learning to face future risks?	
OQ1	Were IFAD interventions (including financial instruments) appropriate to the local context (productive and regenerative) to equip the most vulnerable smallholders farmers to address the climate risk identified?	
OQ1	To what extent did IFAD-supported interventions contribute to livelihoods and food security of smallholders and other poor and vulnerable groups?	
OQ1	What effects did the interventions impart to affected ecosystems and biodiversity?	
OQ 2	To what extent were IFAD able to scale up successful interventions at sub-national or national level? What were the best practices in scaling up? Why?	
OQ 2	To what extent was IFAD able to promote policies, strategies to help the most marginalized smallholder farmers and their communities adapt to climate change? What were the best practices in scaling up? Why?	
OQ 2	To what extent were IFAD interventions able to strengthen institutional capacities to support the most marginalized smallholder farmers and their communities adapt to climate change?	
OQ3	Are IFAD's commitments, policy, mainstreaming strategy, guidance and tools, knowledge-base, technical capacity, financial resources and financial instruments, fit-for-purpose to strengthen the most marginalized smallholder farmers' ability to adapt to existing and projected climate risks?	
Sustainability	<i>Are the benefits of adaptation measures sustainable after project closure? Includes risks and trade-offs especially between the humans and ecosystems?</i>	<i>Key informant interviews, Expert panel, Literature</i>

<i>Evaluation Criteria</i>	<i>Potential evaluation questions</i>	<i>Information sources</i>
OQ1	To what extent have local communities and their institutions assumed ownership of IFAD interventions and replicated successful climate adaptation practices?	<i>review, Desk review, Portfolio review, Case studies, Survey</i>
OQ1	Were the adaptation measures adequate to address varying intensities and frequencies of climatic and other shocks in the short and medium term (5-20 years)?	
OQ1	To what extent did IFAD integrate sustainable natural resource management into its adaptation interventions?	
OQ1	Are the farm and community interventions sustainable? For example are the returns to livelihoods and food security sufficient to sustain the adaptation efforts?	
OQ2	To what extent COSOPs offer clear strategies to leverage lending activities to inform government policy frameworks?	
OQ3	To what extent the new and ongoing IFAD interventions incorporate drivers of sustainability identified from past experience?	
Gender equality and women's empowerment	<i>Extent to which IFAD-supported interventions contribute to improving the equality and empowerment of women</i>	<i>Key informant interviews, Literature review, Desk review, Portfolio review, Case studies, Survey</i>
OQ1, OQ2, OQ3	To what extent have the past and present COSOPs and IFAD incorporated an adequate gender equality and gender empowerment perspective when strengthening smallholder farmers adapt to change?	
OQ1	Have IFAD innovation activities had any unintended adverse impacts on women as decision-makers, community leaders or beneficiaries?	
OQ1	What type of climate adaptation interventions have helped improve gender equality and empowerment? Are they embedded in the projects approved in the last two years?	
OQ1, OQ3	Has IFAD mainstreamed, scaled up and worked as an advocate for gender sensitive adaptation interventions?	
OQ1, OQ3	What are the best practices in designing and implementing gender sensitive adaptation interventions? Are they incorporated in ongoing interventions and new designs?	
Relevance	<i>Extent to which the intervention is sensitive to main conditions in which it occurs (especially IFAD strategies)</i>	<i>Key informant interviews, Literature review, Desk review, Portfolio review, Case studies, Survey</i>
OQ1, OQ2, OQ3	To what extent IFAD's climate strategies, policies, and operations are able to address the adaptation needs of the most marginalized and vulnerable in rural areas? Are they adapting to changing climate conditions?	
OQ2	To what extent COSOPs and projects accurately reflect the local knowledge and information in assessing climate risks? Recognize the need to conserve ecosystems and biodiversity? To what extent the COSOPs and projects reflect the local knowledge in designing the portfolio and projects?	
OQ1	Extent to which poor rural producers participate in the identification of climate adaptation products and models, in IFAD-supported climate adaptation interventions (women, Indigenous, youth)	
OQ3	How have IFAD's climate adaptation efforts responded to changing knowledge and forecasts about climate change?	

<i>Evaluation Criteria</i>	<i>Potential evaluation questions</i>	<i>Information sources</i>
OQ3	Are IFAD's strategies, policies, capacities, resources and knowledge base adequate and appropriate to deliver on its climate adaptation commitments? Are IFAD's efforts to mainstream climate adaptation in all its operations on track?	
Efficiency	<i>Timeliness and good use of resources to achieve results</i>	<i>Key informant interviews, Literature review, Case studies, Survey</i>
OQ2	To what extent IFAD used partnerships to promote knowledge acquisition and transfer, scaling up and influence policies to strengthen smallholder climate adaptation?	
OQ4	To what extent IFAD oversight and support responded in a timely manner to dynamic and evolving climate risks? ensure integration of climate adaptation into all programs and projects?	
Coherence	<i>Addressing how well climate adaptation and IFAD poor smallholder approaches and interventions fit together</i>	<i>Key informant interviews, Expert panel, Literature review, Desk review, Portfolio review, Case studies, Survey</i>
OQ1, OQ2	Are IFAD-supported smallholder interventions based on sound climate risk assessments and integrate a systematic integration of local knowledge in COSOP and project designs.	
OQ1, OQ2, OQ3	To what extent IFAD's finance instruments, including supplementary funds, address the gaps in adaptation finance architecture serving the most vulnerable to climate risks?	
OQ1, OQ2	Is there clarity on the concepts of climate, adaptation and resilience within IFAD and in-country, and have these been translated into COSOP and project designs?	
OQ2	Were national policies aligned with and supportive of smallholder adaptation to climate change?	
OQ3	To what extent were the climate adaptation approaches for poor smallholders and their communities in IFAD-supported projects compatible with principles of sustainable natural resources management?	
	Are IFAD's commitments to governing bodies and strategies pertaining to climate change adaptation supported by appropriate resource base, instruments, tools and capacities within IFAD?	
	What capacities, instruments and interventions should IFAD consider for the future?	
	Does IFAD have appropriate M&E frameworks, tools, and capacities to capture results of its adaptation interventions?	
Scaling up	<i>Extent to which the benefits of the IFAD-supported interventions spread climate-sensitive approaches through replication (scaling out) and through integration in programs and policies nationally and globally (scaling up)</i>	<i>Key informant interviews, Literature review, Portfolio review, Intensive review sample, Case studies, Survey</i>
OQ2	To what extent have governments and partners adopted and scaled up IFAD climate adaptation interventions?	
Innovations	To what extent has IFAD operations promoted innovations that i) promoted smallholder climate adaptation , ii) were disseminated and scaled up, iii) helped strengthen ecosystems	<i>Key informant interviews, Expert panel, Literature review, Desk review, Portfolio review, Case studies, e-Survey</i>

Key milestones of IFAD's support to climate change adaptation

1. Table 1 below presents the key milestones of IFAD's support to climate adaptation. The year 2004 marked the first time climate adaptation became an explicit objective of IFAD interventions when it became an accredited implementation partner to GEF with financing approved for climate adaptation related interventions.²⁷ The first corporate declaration of climate adaptation as an operational priority came with IFAD8 for the 2010-2012 cycle that was approved by the Executive Board in 2009. The first IFAD climate change strategy soon followed in 2010 and IFAD established an environment and climate division (ECD) to support related interventions. IFAD intensified its corporate commitments since 2010. Its Strategic Framework of 2011-15 recognized climate adaptation as a priority; and as mentioned earlier, the subsequent Strategic Framework of 2016-2025 included climate adaptation as one of the three corporate priorities. The Fund also made commitments towards climate action in successive replenishments, IFAD9, 10 and 11. In the tenth replenishment of its resources (2016-18), IFAD committed to mainstream climate adaptation in all its projects (100 percent). IFAD11 committed to invest at least 25 per cent of its Programme of Loans and Grants (PoLG) in climate-focused activities, including both climate change adaptation and mitigation. In 2018, IFAD released a new IFAD strategy and action plan for environment and climate change for the period of 2019-25 and restructured ECD to mainstream environment and climate change response in IFAD operations, as well as other mainstreaming priorities such as gender, youth and nutrition.
2. Operationally, IFAD launched its first major initiative to promote climate adaptation action through its Adaptation of Smallholder Agriculture Programme (ASAP) in 2012. This programme offered a supplementary funding window to finance additional qualitative and climate resilience dimensions in IFAD projects. In addition, to mainstream climate adaptation in programmes, the new Social, Environmental and Climate Assessment Procedures (SECAP) was established in 2015. SECAP was introduced to integrate social, environmental and climate change assessments into IFAD investment designs to ensure that, where appropriate, risk management measures were undertaken. It has been a key instrument for mainstreaming climate adaptation in IFAD operations. As a follow-up to the existing ASAP programme, in 2016 ASAP II was launched to support project design activities to be climate risk-informed, to forge new partnerships and carry out pilot testing of innovative initiatives for the duration of IFAD's 2016-2025 Strategic Framework. A mid-term review of ASAP-I was being completed as of the time of writing this Approach Paper.

²⁷ One of the earliest climate action related interventions of IFAD was the Special Programme for Sub-Saharan Africa (SPA) initiated in 1986, in response to the numerous famines during 1983-85. The project mobilized a total of US\$322 million. A second phase of SPA was initiated in 1993.

Table 1
Milestones of IFAD's engagement in the climate change agenda

<i>Year</i>	<i>Event</i>	<i>Reference Document</i>
2004	IFAD approved as an accredited implementing organization of GEF and approve financing the first intervention to explicitly address climate adaptation	
2009-2010	IFAD8 declares combating climate change as an operational priority	Report on the consultation on Eighth replenishment of IFAD resources
2010	IFAD's approves the first climate change strategy.	IFAD Climate Change Strategy 2010
2010	Environment and climate division (ECD) formed (restructured in 2019 as ECG, Environment, Climate, Gender and Social Inclusion Division)	
2011	IFAD strategic framework (2011-15) recognizes resilience to climate change adaptation as an objective. Commitment to address climate adaptation made a part of IFAD9 commitments.	IFAD Strategic Framework 2011-15. IFAD-9 resource replenishment consultations report.
2011	IFAD prepares the concept note for Adaptation of Smallholder Agriculture Programme (ASAP)	ASAP Concept Note
2011	IFAD has three commitments on climate change adaptation.	IFAD9 commitments
2012	ASAP-I approved	
2014	IFAD10 has 4 commitments related to climate adaptation, including a commitment to mainstream climate adaptation in 100 percent of project designs. In addition to IFAD9 indicator two new climate adaptation related indicators introduced in IFAD10.	IFAD10 commitment document
2015	Social, Environmental and Climate Assessment Procedures (SECAP) replaces IFAD's Environmental and Social Assessment Procedures (ESAP). Recognition of climate change in the safeguards document.	SECAP document 2015
2016	IFAD's 2016-25 strategic framework recognizes climate change adaptation as one of the three strategic objectives	IFAD 2016-25 strategic framework
2016	ASAP II designed as a technical assistance and knowledge management window for adaptation	ASAP II concept note
2017	Updated SECAP document released to account for the mainstreaming commitments of IFAD10	IFAD 2017 SECAP document
2017	IFAD11 commitment that <i>"project budgets will be categorized to respond to the Rio markers and, in addition to ensuring that 100 per cent of projects mainstream climate concerns, Management will ensure that at least 25 per cent of IFAD's PoLG is specifically climate-focused"</i> .	IFAD11 commitment document
2018	New IFAD strategy and action plan for environment and climate change 2019-25 released integrating climate adaptation and mitigation strategies with its environment strategy for the first time.	IFAD Strategy and Action Plan on Environment and Climate Change 2019-2025
2018	Environment, climate, gender and social inclusion division (known by acronym ECG) formed to mainstream these areas in IFAD Operations	
2020	Midterm review of ASAP-I ongoing and expected to be completed.	

Descriptive analysis of IFAD's projects supporting smallholder farmers' adaptation to climate change

Rationale: The aim of the portfolio analysis is to provide an evidence base to construct the theory of change for IFAD's climate interventions and to gain understanding of the climate related activities in IFAD loan-funded projects.

IFAD Interventions and activities in support of smallholder climate adaptation

IFAD supports on and off-farm strategies to diversify livelihoods of rural poor in areas facing climate risks. This includes developing micro/small enterprises, fisheries and other rural income-generation activities. This aims to minimise their exposure to adverse effects of climate change.

Portfolio and document review indicate that IFAD supports the following: integrated agricultural and livestock production systems, improved seed varieties, climate-resilient seeds/breeds, pest and disease management to improve yield, better water management through irrigation infrastructures and technologies to use water efficiently and building climate-resilient rural infrastructures. It acts to strengthen capacities of disaster-risk management and early warning systems and provides financial services for climate-risk management and weather-index insurance for smallholders to manage and recover from climate change effects. IFAD operations support improving smallholder practices and awareness of managing natural resources through restoration or improvement of soil, pastures/rangelands, coastal areas, forest and watersheds to minimize harm to ecosystems and manage them better.

IFAD non-lending activities (partnerships, capacity development, policy dialogue and knowledge management) support sustaining smallholder climate adaptation efforts. Policy dialogue and engagement at global, national and subnational level is critical for creating an enabling environment to sustain and promote climate adaptation actions of smallholders. Scaling up successful interventions is essential. Knowledge management is an important way to transmit and exchange good practices and lessons from IFAD operations and experiences to other countries/regions or to other partners.

Approach: The analysis constructs portfolios necessary to assess project level contributions of IFAD to smallholder adaptation as well as subnational and national level contributions. To this end, three portfolios were constructed, two involving projects and a third one comprising of COSOPs.

As discussed in the text, this analysis will assess not only the projects that have declared their intent to address climate resilience, but also those with activities that could contribute to smallholder climate resilience.

To identify these climate-related interventions, the team developed a list of categories of activities that could contribute to climate adaptation by analysing the portfolio of interventions that are explicitly focused on climate adaptation such as the ASAP-I. Evidence on contribution to climate change adaptation and corresponding ratings were compiled from the IOE evaluations in the ARRI database. This evidence provided the basis to construct the theory of change.

Scope of the Portfolios:

Portfolio I: Recognizing that an explicit focus on climate adaptation in IFAD began with the partnership with the Global Environmental Facility in 2004, IFAD loan projects approved in 2004 or after were considered for inclusion. Among these projects, only those completed by 2018, and evaluated by the IFAD Independent Office of Evaluations (IOE) were included. A total of 144 such projects were identified. Table 1 provides the type of evaluations conducted on these projects. The Annual Report on Results and Impact of IFAD Operations (ARRI) database was used to identify the evaluations and the evaluated projects. Table below provides the distribution of the types of evaluations in the database.

Table 1
Distribution by evaluation categories

<i>tion type</i>	<i>Frequency</i>
CPE/CSPE	9
IE	3
PCRV	97
PPA/PPE	35
Total	144

Portfolio II: The second portfolio included all projects approved during the period 2010²⁸-2019 which will assist in identifying the continuities and discontinuities in project activities with key milestones identified in Table 1 of Appendix II.

Portfolio III: The third portfolio includes 49 COSOPs approved during the period 2010-2019. Analysis of this portfolio will provide inputs to the assessment of related non-lending activities of IFAD such as policy dialogue, partnership building and knowledge management while also looking at the Fund's approaches to scaling up successful climate interventions and assessing climate risks.

Of these portfolios, the ongoing projects and active COSOPs will contribute to the formative component of the evaluation, while the completed projects and COSOPs (approved during 2010-2019) will provide the basis for the summative component of the evaluation.

Portfolio Analysis

A. Categories of Climate Adaptation Interventions

As the first step, interviews with IFAD Operations staff and managers and document review, were used to identify categories of related activities that are presented in Table 2.

The team reviewed the project completion report (PCR)²⁹ of each evaluated project to determine, and if the project had one or more activities that contributed to smallholder climate adaptation it was included in the database. For analytical purposes, it was necessary to adapt OECD DAC approach of identifying the intensity of climate adaptation interventions, and the intensity of the climate adaptation intervention was also identified through the review of activities of projects. Finally, information on the IOE evaluation rating of the climate adaptation was obtained from the ARRI database. The resulting database provided the basis to construct a high-level theory of change mentioned above.

²⁸ The year 2010 corresponds to the year when climate response became an organizational priority under IFAD8.

²⁹ It became clear that in a number of instances not all activities listed in the PDRs were pursued during implementation. Hence, it was decided to review the PCRs to determine the actual activities pursued by projects. While the PCRs provided information on the activities, the ratings of climate adaptation came only from the evaluations conducted by IOE.

Table 2
Climate Adaptation Interventions – Categories and subcategories

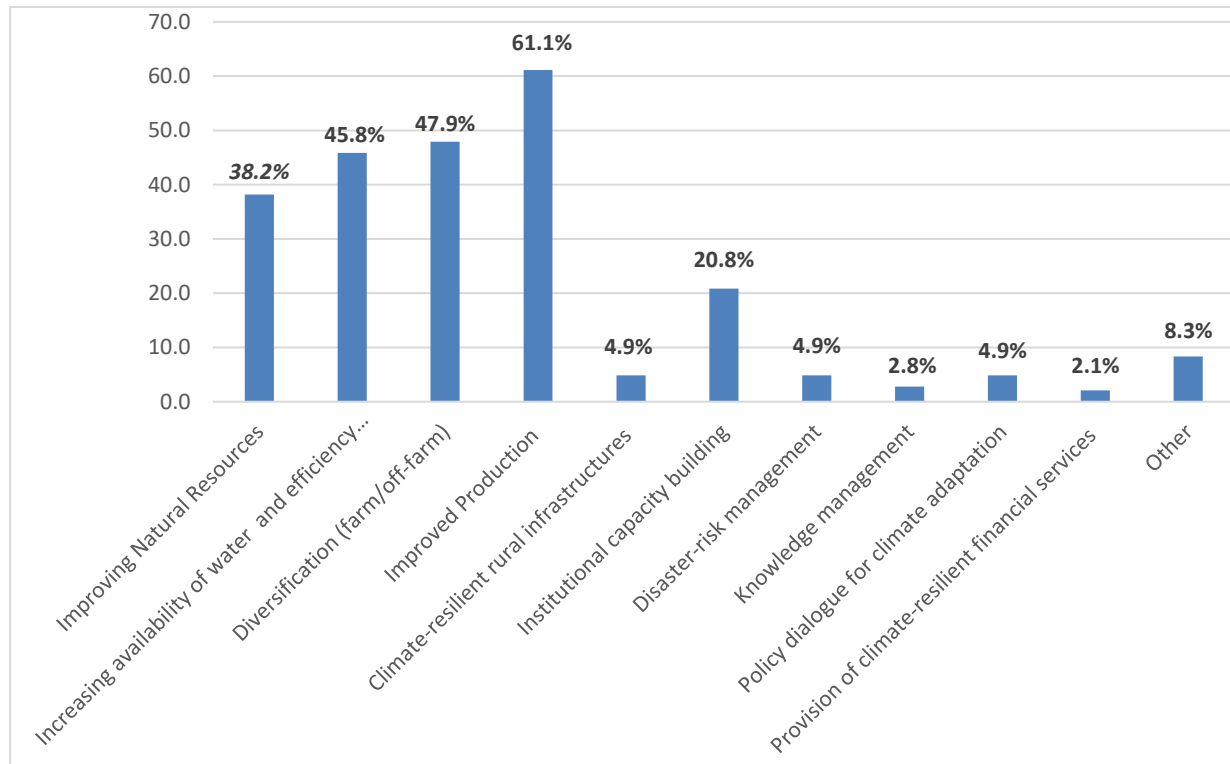
<i>Category</i>	<i>Subcategory</i>
Improving Natural Resources Management	Restoration and management of NR
	Integrated watershed management
Increasing availability of water and efficiency of water use	Water management
	Irrigation infrastructures/Technologies
Diversification	
Improved Production	Integrated production systems
	Improved Seeds/yields M&P
	Climate-resilient seeds/breeds
	Pest and disease management
	Livestock
Climate-resilient rural infrastructures	Irrigation, market places, storage, protections works
Institutional capacity building	Support to new extension systems including adaptation to climate change
Disaster-risk management	Capacity building on disaster risk management
	Early warning systems
Knowledge management	South-South Triangular Cooperation
Policy dialogue for climate adaptation	
Provision of climate-resilient financial services	Financial services for climate-risk management
	Weather-index insurance
Other	

As shown in Figure 1, the most common climate activity came under the category of improving production (61 percent of the projects). The other common activities include diversification of livelihoods (47.9 percent), and increasing the availability of water and efficiency of water use (45.8 percent). The least common categories were Provision of climate resilient financial services (2.1 percent) and knowledge management with 2.8 percent.

Figure 1 below shows the frequency of the main categories of climate adaptation among the selected projects, noting that each project may have activities in more than one category.

B. Distribution of Climate Action Categories

Figure 1
Frequency of Main Categories



The Table 3 below shows the frequency of the main categories of climate adaptation by year of approval.

Table 3
Categories by year

Year	Number of Evaluations	Improved Production	Diversification	Increasing availability of water and efficiency of water	Improving Natural Resources	Institutional capacity building	Other	Climate-resilient rural infrastructures	Policy dialogue for climate adaptation	Disaster-risk management	Knowledge management
2004	22	14	11	10	9	4	2	0	0	1	0
2005	25	13	12	10	11	3	0	1	1	1	2
2006	23	13	11	10	7	4	2	0	1	0	0
2007	28	15	10	11	11	7	3	3	1	0	2
2008	18	9	11	7	9	6	2	1	1	1	0
2009	16	9	9	9	5	3	2	1	2	1	0
2010	9	8	4	7	3	2	1	0	0	1	0
2011	2	1	1	1	0	0	0	0	0	0	0
2012	1	0	0	0	0	1	0	1	1	1	0
Total	144	82	69	65	55	30	0	7	7	6	4

C. Categories by Regions

The following figures shows the trends of the major categories of interventions by regional divisions.

Figure 2
Diversification – Regions

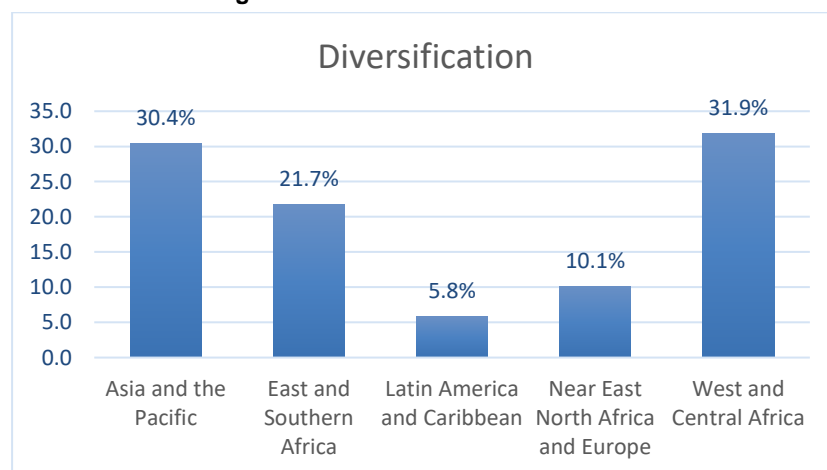


Figure 3
Improved Production category - Regions

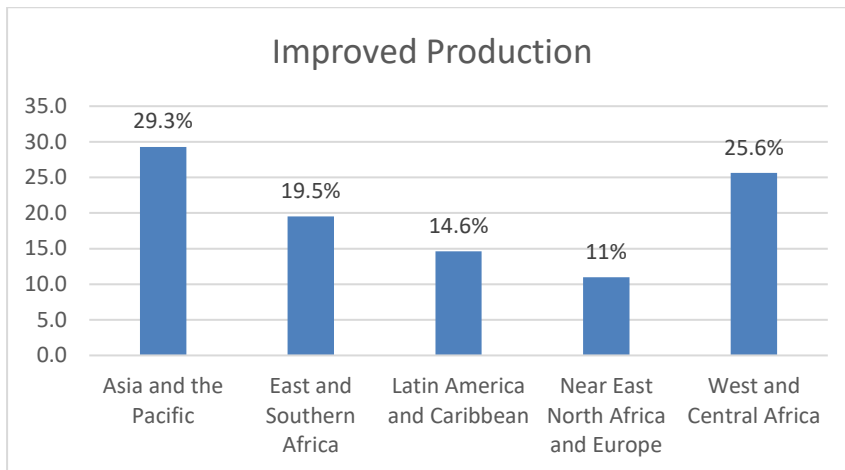


Figure 4
Increasing availability of water - Regions

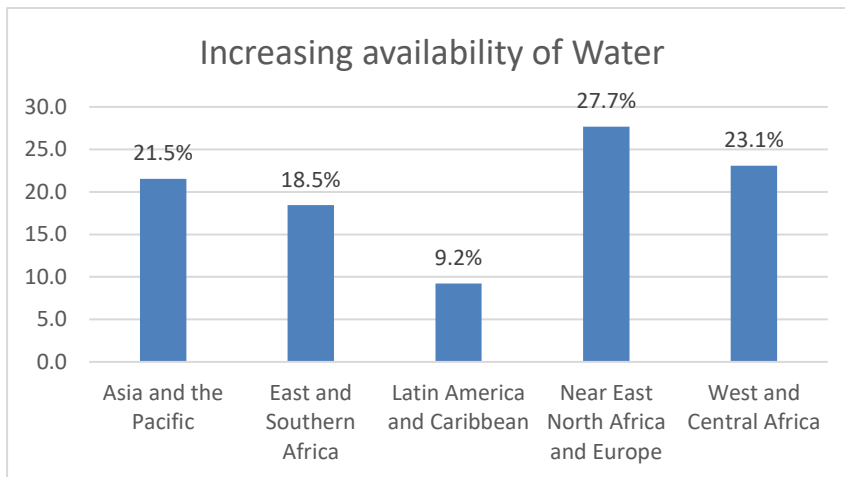


Figure 5
Improving ENRM - Regions

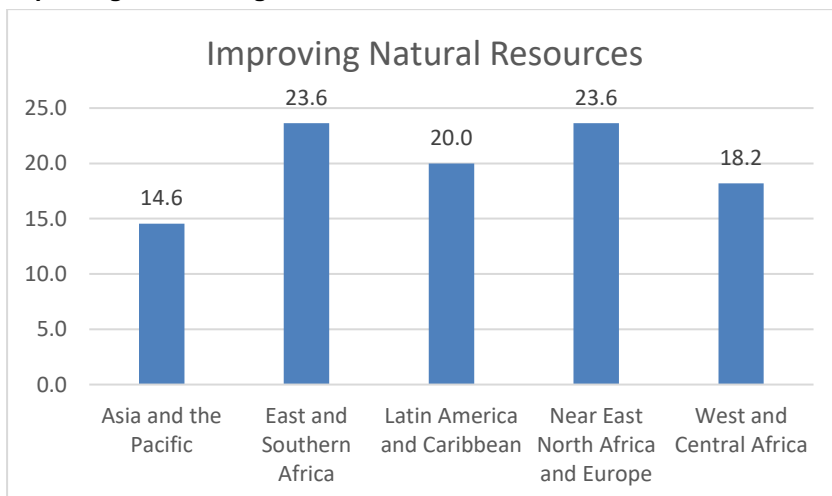
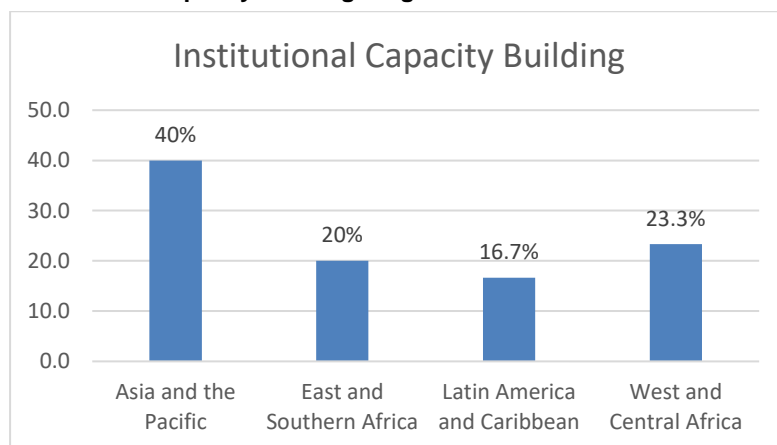


Figure 6
Institutional Capacity Building - regional divisions



D.Intensity of the Climate Adaptation Intervention

The following classification closely maps the Rio markers of OECD DAC denoting the intensity of focus of interventions on climate adaptation.

Table 1
Intensity of intervention's engagement with climate adaptation (OECD DAC RIO markers)

Category	Description
0	If project the project is not targeting climate adaptation
1	A project can be marked as significant (1) when the objective (climate adaptation) is explicitly stated but is not the fundamental driver or motivation for undertaken it. Instead, the activity has other prime objectives but it has been formulated or adjusted to help meet the relevant climate concerns.
2	A project can be marked as principal (2) when the objective (climate adaptation) of the project explicitly stated as fundamental in the design of, or the motivation for, the activity. Promoting the objective will thus be stated in the activity documentation as one of the principal reasons for undertaking it.
Null	Activities for which the answer is not known or the document not available

The following table shows the distribution of the intensity of interventions per project based on the desk review.

Table 2
Project Distribution by Intensity

Category	Number of projects	%
0	17	11.8
1	84	58.3
2	19	13.2
Null	24	16.7
Total	144	100

DI.IOE Ratings

The following tables shows the IOE ratings for the analysed projects on Adaptation to climate change and environment and natural resources according to ARRI database.

Table 3

Adaptation to Climate Change ratings

<i>Rating</i>	<i>Number of projects</i>	<i>%</i>
2	8	5.6
3	21	14.6
4	67	46.5
5	16	11.1
N.A	32	22.2
Total	144	100

Table 4

Environment and Natural Resources ratings

<i>Rating</i>	<i>Number of projects</i>	<i>%</i>
3	23	16.0
4	65	45.1
5	32	22.2
6	1	0.7
N.A	23	16.0
Total	144	100

People consulted

Name	Division	Title
Margarita Astralaga	ECG	Director
Liza Leclerc	ECG	Lead Technical Specialist
Riccie Symons	ECG	Environment and Climate Analyst
Massimo Giovanola	PMI	Technical Specialist, PARM
Sara Savastano	RIA	Director
Romina Cavatassi	RIA	Lead IA Group
Fabrizio Bresciani	APR	Regional Economist
Iaria Firmian	APR	Regional Specialist
Henrik Franklin	ESA	Lead Portfolio Adviser
Shirley Chinien	ESA	Regional Economist
Paolo Silveri	LAC	Regional Economist
Naoufel Telahigue	NEN	Head Hub/Country Director
Nicholas Tremblay	NEN	Regional Climate and Environment Specialist
Sylvie Marzin	WCA	Lead Portfolio Adviser
Amath Sene Pathe	WCA	Regional and Climate and Environment Specialist (ECG out-posted)
Ilyasse Elbaroudi	WCA	Consultant, Climate, Environment and Natural Resources Management, WCA
Alashiya Gordes	OPR	Technical Specialist
Edward Heinemann	OPR	Lead Technical and Policy Advisor to the Associate Vice President PMD
Soledad Marco	OPR	Senior Policy and Results Specialist
Raniya Sayed Khan	OPR	Policy and Results Specialist
Luna Montozzi	OPR	Consultant

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