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## Report on IFAD's Development Effectiveness

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### Note to Executive Board representatives

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Executive Board — 118<sup>th</sup> Session  
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For: Review

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## Abbreviations and acronyms

ASAP	Adaptation for Smallholder Agriculture Programme
COSOP	country strategic opportunities programme
DSF	Debt Sustainability Framework
ENRM	environment and natural resources management
FAO	Food and Agriculture Organization of the United Nations
GRIPS	Grants and Investments Projects System
IFAD9	Ninth Replenishment of IFAD's Resources
IOE	Independent Office of Evaluation of IFAD
IPoA	Istanbul Programme of Action
LDC	Least Developed Countries
M&E	monitoring and evaluation
PCR	project completion report
PMD	Programme Management Department
PTA	Policy and Technical Advisory Division
QA	quality assurance
QE	quality enhancement
RIDE	Report on IFAD's Development Effectiveness
RIMS	Results and Impact Management System
RMF	Results Measurement Framework
SECAP	Social, Environmental and Climate Assessment Procedures
SIDS	small island developing states
UN-SWAP	UN System-wide Action Plan on Gender Equality and the Empowerment of Women
WCA	West and Central Africa Division

## Summary and conclusions

### I. Introduction

1. The Report on IFAD's Development Effectiveness (RIDE) is the Fund's main corporate document reporting on the organization's institutional and development effectiveness. In particular, the RIDE summarizes progress against targets for 2015, as contained in the Fund's results measurement framework (RMF).<sup>1</sup> Also, as agreed with the governing bodies, the RIDE reports against progress in four specific areas: the implementation of the IFAD Policy on Gender Equality and Women's Empowerment; the Adaptation for Smallholder Agriculture Programme (ASAP); the quality assurance of IFAD's projects and programmes; and the Istanbul Programme of Action for Least Developed Countries for the Decade 2011-2020. The RIDE is therefore a key instrument for promoting accountability and learning.
2. The 2016 RIDE is different from past editions for several reasons. First, it constitutes the full-term report for the period of the Ninth Replenishment of IFAD's Resources (IFAD9), 2013-2015. In this regard, it should be noted that starting in 2016<sup>2</sup> the discussion of the RIDE has been moved from the December to the September session of the Executive Board. All results contained therein use the same reporting cut-off date (year-end 2015 in this report's case), providing the Board with a more current picture of performance.<sup>3</sup> Moreover, for the first time, it reports on impact-level indicators, which have been assessed through the pioneering IFAD9 Impact Assessment Initiative (IAI), another new feature for the RIDE. This will complement the rural poverty impact as measured through project completion reports (PCRs), which have different scope and methodology.
3. The 2016 RIDE has benefited from a more extensive internal and external quality assurance process with respect to past editions. The draft report underwent a systematic internal peer review process within the Strategy and Knowledge Department. Two in-house learning events were held with IFAD Management and staff to discuss the findings and strengthen dialogue and learning around the issues contained in the RIDE. Two eminent figures<sup>4</sup> in the field of aid effectiveness and results measurement took part in the workshops and stimulated debate and reflection.
4. This is a milestone year. It marks the tenth edition of the RIDE, and it denotes a period of transition wherein the organization has reflected upon lessons learned while moving to the next level of results management and delivering on its mandate. One of the most significant lessons learned is the inadequacy of the poverty line as the only metric to assess the impact of the Fund's operations. The recently concluded IFAD9 IAI<sup>5</sup> has demonstrated this through the use of a rigorous, scientific methodology for attributing the impact of IFAD's interventions on its target group.
5. The Fund's commitment to generating lessons and strengthening its instruments and processes in order to increase its development effectiveness is clearly

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<sup>1</sup> The RMF is an instrument for high-level performance monitoring and accountability by IFAD Management and its governing bodies. It consists of key indicators and targets (organized in five levels) to assess and drive improvement in the Fund's development, institutional effectiveness and efficiency.

<sup>2</sup> Document EB 2015/115/R.4.

<sup>3</sup> The transition to a single reporting cut-off date at year-end 2015 means results for a number of Level 5 RMF indicators reported in this year's RIDE will be the same as last year's, since they used a year-end 2015 cut-off.

<sup>4</sup> Ms Alison Evans, Chief Commissioner, Independent Commission for Aid Impact (ICAI), and Mr Richard Manning, Senior Research Fellow at the Blavatnik School of Government at Oxford University, and current independent coordinator of the 14<sup>th</sup> Replenishment of the African Development Fund.

<sup>5</sup> Document EB 2016/117/R.8/Rev.1.

illustrated by several initiatives and processes it has undertaken to enhance the way that results are measured.

6. Analytical work to redefine the indicator for assessing IFAD's poverty-reducing impact is currently under way, and the refined indicator will be incorporated into the IFAD10 RMF as part of the revision to the framework. Among the initiatives planned to advance IFAD's development effectiveness agenda in the coming years are the formulation of a new "development effectiveness framework" involving an overhaul of the Results and Impact Management System (RIMS) and a partnership with Centers for Learning on Evaluation and Results (CLEAR) to provide training and certification in monitoring and evaluation to partners at the country level; corporate planning and budgeting firmly based on the pillars of the IFAD 2016-2025 Strategic Framework; and the forthcoming harmonization of IFAD's self-evaluation and independent evaluation systems.

## II. Performance overview

7. During IFAD9, 90 new investment projects in 77 countries were approved (a significant share of which were in least developed countries)<sup>6</sup> with IFAD financing of US\$2.88 billion and an overall value of US\$6.59 billion taking into consideration domestic and international cofinancing.<sup>7</sup> Of these projects, 40 (around 44 per cent) were in countries with fragile situations, and were supported by IFAD financing of US\$1.52 billion. Over the same period, IFAD's portfolio of active investment projects grew by about US\$1 billion, while the number of ongoing projects declined from 281 to 250 reflecting increases in average project size and yielding cost-efficiencies in project design and management.
8. The IFAD9 RMF introduced several important improvements to strengthen and more clearly demonstrate the results achieved by the Fund; it set ambitious outreach and impact targets with a strong emphasis on value for money. Marking a fundamental departure from the past, the IFAD9 RMF was the first to hold IFAD accountable for directly measured impact, involving a major effort in the implementation of state-of-the-art impact assessments, referred to as the IFAD9 IAI. Crucially, these impact assessments highlighted the inadequacy of using only the income metric to gauge the impact of IFAD's interventions (more discussion in the main report, paragraph 5, RMF level 2).
9. The IFAD9 IAI<sup>8</sup> has provided IFAD with significant lessons that will help it advance its results agenda. The initiative demonstrated that IFAD's investments in rural people generate results in a number of critical areas, including assets, resilience, livestock ownership, agricultural revenues, nutrition and women's empowerment. Projections indicate that some 44 million beneficiaries are enjoying substantial increases in agricultural revenues, and 28.8 million and 22.8 million beneficiaries have realized significant gains in poultry and livestock asset ownership, respectively. Moreover, impact estimates suggest that IFAD investments can reduce poverty by up to 9.9 per cent, corresponding to an aggregate result of 23.8 million people moved out of poverty in the 2010-2015 period.
10. The above achievements are underpinned by strong project performance across all outcome areas assessed in the IFAD9 RMF.
  - Performance has improved in all outcome areas compared to the baseline, and by a substantial margin for the following dimensions: effectiveness, efficiency, rural poverty impact, sustainability, replication and scaling up, and government performance.

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<sup>6</sup> See annex V for further details.

<sup>7</sup> IFAD Annual Report 2016.

<sup>8</sup> For further details on the IFAD9 IAI refer to document EB 2016/117/R.8/Rev.1.

- All outcome targets for 2015 have been either met or surpassed, and for the first time in IFAD's history all indicators register 80 per cent or more projects in the satisfactory zone; most notably, 94 per cent of projects are in the satisfactory zone for rural poverty impact, 93 per cent for effectiveness, and 87 per cent for sustainability.
  - High performance was maintained for all other indicators, namely: relevance, gender equality, innovation and learning, and environment and natural resource management. Data for the indicator on adaptation of smallholders to climate change reveal that 90 per cent of projects are in the satisfactory zone.
11. With regard to project outputs, only the indicator on the number of people receiving services from IFAD-supported projects has a target for 2015; all other indicators are tracked.
- Total beneficiary outreach for projects under implementation in 2015 stood at almost 113 million people, slightly lower than last year's figure of 114 million, yet still far exceeding the 2015 target of 90 million. The ratio of male-to-female beneficiaries improved to 50:50, reflecting a high and increasing share of women beneficiaries.
  - The most significant increases are registered for indicators measuring delivery of rural finance, marketing and microenterprise services.
12. Most operational effectiveness targets for 2015 have been met, but progress in some areas has been challenging.
- All country programme implementation targets for 2015 have been met, spurred on by expanded IFAD country presence and efforts to engage more systematically in partnership-building and policy engagement activities at the country level.
  - All project design quality indicators have improved from their baselines and all targets for 2015 can be considered met.
  - Targets have been met for several indicators related to portfolio management, but progress on disbursements remains a challenge.
  - Achievement of a cofinancing ratio of 1.39 falls short of the very ambitious IFAD9 target of 1.6, but puts performance for the IFAD9 period substantially above historical averages and is a remarkable feat given the current global economic context.
13. Encouraging progress is being made in enhancing IFAD's institutional effectiveness and efficiency owing to the steadfast implementation of relevant IFAD9 commitments.
- IFAD9 pledges stand at a record high both in absolute and in relative terms reaching US\$1.42 billion, equivalent to 95 per cent of the IFAD9 target of US\$1.5 billion.
  - In the human resource management area, both the staff engagement index and the time to fill Professional vacancies have improved. Planned increases in IFAD Country Office (ICO) positions have been realized, in line with IFAD's decentralization strategy. Action taken by the Human Resources Division in many areas including the IFAD workplace is yielding positive results, as reflected in the staff engagement index; however, raising the share of women in senior positions remains a challenge.
  - Indicators reflecting shifts in human and financial resource allocations by results cluster are partly on target. In this regard, a review of IFAD's

approach to planning and budgeting revealed that these indicators have borne limited benefit and should be discontinued.

- All key efficiency ratios show improvement with performance for two indicators virtually on target.

### III. Way forward to improve performance

14. The picture that emerges from this report is clearly a positive one: thanks to far-reaching reforms and ongoing business model refinements, IFAD's programme of work keeps growing and the quality and impact of its operations continue to improve; moreover, the majority of IFAD9 RMF targets and commitments have been fulfilled (see annex II). Taken together, results show that IFAD-supported projects increasingly embody effective models of inclusive and sustainable rural development that will be critical to the fulfilment of Agenda 2030. Notwithstanding the very encouraging progress, IFAD does not intend to rest on its laurels; much to the contrary, as is unequivocally stated in its new Strategic Framework 2016-2025, it aims to deliver results in a "bigger, better and smarter" way. Towards this, the bar for its performance will be steadily raised.
15. Continuous learning and pursuit of actions to improve results are ingrained in IFAD's dynamic performance management processes. Indeed, many such actions are under way, including as part of the implementation of commitments for the IFAD9 and IFAD10 periods. However, more can and needs to be done and several important new initiatives to strengthen results and impact are being considered in the following areas: IFAD's results agenda, problem projects and disbursements.
16. While demonstrating the substantial impact of IFAD-supported projects, the IFAD9 IAI highlighted areas of challenge in IFAD's approach to measuring results. To address these concerns, a comprehensive and coherent plan is under preparation, encapsulated in what is termed a development effectiveness framework. The main elements of the framework include: enhancing self-evaluation tools; a development effectiveness checklist to ensure compliance and quality of project documents, including with regard to logical frameworks (log frames) and monitoring and evaluation (M&E) systems; improving M&E capacity through training of government and IFAD staff; and pursuing a strategy for impact assessments whereby they are increasingly designed ex ante rather than ex post and are structured to maximize learning and accountability.
17. Reducing the share of projects at risk in IFAD's portfolio of ongoing projects is key to enhancing overall development impact, yet despite efforts in recent years the share has climbed from 18 to 20 per cent. Analysis shows this phenomenon is not confined to countries with fragile situations but transcends country context and income level. A range of concrete measures are under consideration by Management along the following lines: (i) ensuring that project design reviews pay closer attention to the realism of development objectives and plausibility of implementation arrangements, and to assuring project implementation readiness; (ii) wider use of retroactive financing and start-up facilities to implement comprehensive start-up packages with strong emphasis on capacity development; and (iii) earlier and bolder action to restructure, suspend or cancel underperforming projects or components and transfer funds to performing projects where possible.
18. Intensified efforts will be required to boost disbursement performance. Towards this, Management has commissioned a thorough study to understand and remedy the issues constraining IFAD's progress. Preliminary analysis suggests a strong relation between project performance and disbursements, and therefore many if not all the above measures to address projects at risk would by default contribute to reducing delays and increasing levels of disbursements. However, it appears



there are additional drivers at play needing further investigation in the context of the ongoing study which will be completed by year-end 2016.

# Report on IFAD's Development Effectiveness

## I. Structure of the report

1. Progress against RMF targets is summarized in sections II to VI below. Annex I presents results tables related to the five levels of the RMF, annex II provides a summary status of IFAD9 commitment implementation and annex III includes a summary of findings and lessons from the IFAD9 IAI. Annexes IV to VII contain the following four reports: Annual Report on IFAD Policy on Gender Equality and Women's Empowerment; Implementation of the Istanbul Programme of Action for Least Developed Countries; Annual report on quality assurance in IFAD's projects and programmes; and Progress report on the Adaptation for Smallholder Agriculture Programme.

## II. Global trends in poverty, hunger and agriculture (RMF level 1)<sup>9</sup>

2. Following revision of the international poverty line,<sup>10</sup> the number of extremely poor people in developing countries in 2012 stood at 14.9 per cent, reflecting a remarkable reduction of two thirds compared to 1990 (annex I, table 1), which was achieved notwithstanding rapid population growth in developing countries. World Bank projections show that this downward trajectory will continue. In comparison, although the reduction in both hunger and child malnutrition has been slower, it has nonetheless been halved in developing countries since 1990.
3. The aggregate volume of agricultural production (tracked by the crop production index) has been gradually expanding, while agriculture value added – a measure of the net value of agriculture – has fluctuated since 2007, touching a peak of 4.4 per cent for two years following the food price hike but going back to the 2007 level more recently. Official development assistance to agriculture fell from US\$11.7 billion in 2012 to US\$10.2 billion in 2013, but recovered marginally in 2014 (US\$10.4 billion). Investment gaps in sustainable agriculture, food security and nutrition are difficult to quantify but there is general consensus that they are huge, with estimates of required increases in investments ranging from 50 per cent to more than 100 per cent. Data on increased support to agriculture show that only 21 per cent of countries had surpassed the target of allocating 10 per cent of national budgets to the agricultural sector in any given year between 2003 and 2012.

## III. IFAD's contribution to development outcomes and impact (RMF level 2)<sup>11</sup>

4. Impact-level results presented in table 2 of annex I are based on the studies carried out in the context of the IFAD9 IAI.<sup>12</sup> Specifically, 16 million beneficiaries exhibited a significant increase in their assets and about 24 million beneficiaries

<sup>9</sup> RMF level 1 indicators track global progress in meeting the first Millennium Development Goal (MDG 1) targets for reducing poverty and hunger, together with agricultural productivity and the level of official development assistance and public investment destined for the agriculture sector. They embody the broader development goals to which IFAD contributes with other development partners.

<sup>10</sup> Global poverty estimates have been updated to reflect a re-estimated international poverty line of under \$1.90 a day, new 2011-based purchasing power parity prices, and revisions to complementary data.

<sup>11</sup> RMF level 2 indicators assess impact and outcome level performance of IFAD-supported projects. Impact results are based on impact assessments carried out as part of the IFAD9 IAI. Outcome results are based on project completion reports (PCRs) prepared by client governments, to which ratings are assigned through an internal IFAD review process. Responsibility for results achieved is shared by client governments, other partners accountable for project implementation and IFAD. The three-year project cohorts are organized according to project completion date, ensuring alignment with practice in the Annual Report on Results and Impact of IFAD Operations (ARRI).

<sup>12</sup> For a full set of results refer to document EB 2016/117/R.8/Rev 1.

were moved out of poverty under the entire portfolio of projects closed and ongoing from 2010 to 2015.

5. However, it is important to note that the result of 24 million was measured using only one metric of poverty: number of people that increased their incomes to above the poverty line. This measure, on its own, is inadequate to assess the impact on the well-being of IFAD's beneficiaries (see annex III for further explanation). The true impact of IFAD-supported projects on rural poverty is actually far greater when viewed in conjunction with the fact that 44 million IFAD beneficiaries enjoyed substantial increases in agricultural revenues, and 28.8 million and 22.8 million beneficiaries witnessed significant gains in poultry and livestock asset ownership, respectively.
6. As far as nutritional outcomes are concerned, the latter were measured through proxies for dietary diversity. Anthropometric data and length of hungry season were only collected for a handful of studies and were not deemed of suitable quality. Dietary diversity is also considered a better proxy for nutritional outcomes at household level. The evidence therefore suggests that 11 million beneficiaries exhibited improved nutritional outcomes relative to comparison groups over the same reporting period.
7. Table 3 in annex I provides an overview of the performance of closed IFAD-financed projects using a set of internationally recognized evaluation criteria such as relevance, effectiveness, efficiency, rural poverty impact, and sustainability of benefits. These criteria are embedded in level 2 of the corporate RMF agreed with the governing bodies. The data for assessing and reporting on performance against these criteria are derived from project completion reports.
8. With regard to "rural poverty impact" in level 2, it is important to clarify that both the definition and the approach to measurement of this indicator are different from those of the impact indicator used in the IFAD9 IAI. There are at least two major differences. First, rural poverty impact in level 2 of the RMF is a composite of five impact domains: household income and assets, agriculture and food security, human empowerment and social capital, institutions and policies, and markets. PCRs tend to assess results under these criteria at the outcome rather than the impact level. Second, the measurement of rural poverty impact through PCRs is not usually based on quantitative and quasi-experimental methods and therefore does not lend itself to attributing impact to IFAD operations, as in the IFAD9 IAI.
9. Nonetheless, the outcome-level results presented in table 3 show marked improvement across the board. All projects are rated positively for relevance, again confirming the alignment between project designs, national rural development strategies, and IFAD policies and strategies. Likewise, effectiveness continues to be among the highest rated indicators suggesting that, overall, projects are meeting or likely to meet their objectives. Key to this is a demand-driven approach to serving the target group, combined with increasing flexibility to adapt to evolving circumstances during implementation.
10. Results for rural poverty impact are positive, and performance has improved under all impact domains within this composite indicator when compared to previous years. Market access is the area with most scope for improvement, and indeed gains are expected given the greater attention to sustainably linking smallholders to markets in recent project designs, which include support for more in-depth analysis of value chains, and expansion of multi-stakeholder approaches such as IFAD's public-private-producer partnership mechanism.
11. Performance with respect to the sustainability of benefits has largely exceeded targets. The early formulation and implementation of exit strategies with a clear definition of the roles and responsibilities of institutions mandated to take over activities after project completion have been critical in this regard. Yet, dependency

of local institutions on donor funding as well as limited technical capacity to absorb responsibilities without further external support in some cases continue to undermine the institutional and economic sustainability of interventions. In view of this, IFAD will continue to strategically incorporate institutional strengthening activities at design, tailored to identified needs. IFAD will also continue moving towards country programme approaches with greater synergy between investments and non-lending activities to scale up successes for expanded and sustainable impact.

12. Efficiency ratings have surpassed the set target and have registered significant improvements since 2010. Further progress is necessary, but this will be challenging particularly given IFAD's focus on the poorest people in remote areas where implementing agencies' capacities tend to be weaker. Project efficiency is often hampered by: (i) elevated operating costs related to the remoteness of targeted areas; (ii) lengthy project start-ups linked to delays in project management unit staff recruitment processes and lengthy public procurement processes, which have also affected disbursement rates; and (iii) weak financial management practices leading to flow of funds inefficiencies. However, IFAD continues to pursue the strengthening of partner government capacities, clearer institutional arrangements, and simpler and implementation-ready project designs.
13. Performance in the area of environment and natural resources management (ENRM) is virtually on target. As the focus on ENRM is relatively recent, the outcomes of ongoing efforts to ensure better natural resource management and limit the environmental impact of IFAD's operations are still gaining momentum. IFAD will continue to work on mainstreaming of ENRM and climate resilience in all projects and country strategies, combined with efforts to enhance M&E of interventions related to ENRM and climate change. Performance on the indicator "adaptation of smallholders to climate change" reported on for the first time in this edition of the RIDE, is promising. This has been spurred by the Adaptation for Smallholder Agriculture Programme (ASAP) that, since 2012, has been supporting enhanced climate resilience of poor smallholder farmers in more than 30 countries.
14. Government performance has improved considerably since 2010, and has exceeded the 2015 target. More recently, numerous actions have been initiated to further support the capacity of partner governments, including: (i) expediting selection of project staff; (ii) streamlining of results measurement tools to enhance results management and reporting; (iii) training on project and financial management, including on procurement through targeted regional and country workshops; (iv) revised project completion guidelines and processes to ensure that key lessons are systematically fed into future project designs; and (v) revised guidelines for country strategies to promote increased synergies between lending and non-lending activities.

#### IV. IFAD's contribution to country programme and project outputs (RMF level 3)<sup>13</sup>

15. Table 4 in annex I presents output results achieved by IFAD's active project portfolio (196 projects in total) as at year-end 2015.<sup>14</sup> IFAD's RIMS provides a menu of indicators from which IFAD-funded projects select those most relevant to the specific features of the project. Therefore, with the exception of the outreach indicator, projects report only on the RMF indicators that are better suited to their characteristics. The total financial commitment of the active portfolio<sup>15</sup> in terms of

<sup>13</sup> RMF level 3 indicators measure the number of beneficiaries reached and the outputs delivered through active IFAD-supported projects. Responsibility for performance in this area is shared with client governments and other implementing partners, and is reported directly by the projects through IFAD's RIMS.

<sup>14</sup> This excludes projects in countries whose portfolios have been suspended.

<sup>15</sup> All projects approved and not completed or closed that have been ongoing for at least one year.

the programme of work in 2015 was almost US\$10.0 billion, of which IFAD's share was US\$4.8 billion, or 48 per cent of the total; domestic financiers including financial institutions and governments accounted for 34 per cent (US\$3.3 billion), and cofinanciers for 18 per cent (US\$1.8 billion).

16. Results show IFAD-financed projects providing services to 112.7 million people in 2015, far exceeding the IFAD9 target of 90 million, though slightly lower than the level of 114.25 million achieved last year, apparently due to project entry-exit dynamics of the portfolio. The five projects with the greatest outreach in the portfolio are three rural finance projects in Ethiopia, Ghana and Nigeria, which together provide services to 54.7 million people; and two community-based natural resources management projects in Ethiopia and Nigeria that provide services to 5.5 million people. When these projects exit the project cohort under consideration, it is likely that their absence will have a significant impact on the individual indicators' performance.<sup>16</sup>
17. Overall, data in the table 4 also reveal the importance of non-farm activities (for example rural financial services, business planning and entrepreneurship) as complementary to IFAD's agricultural interventions for promoting sustainable and inclusive rural development. In 2015, Management initiated a comprehensive review of the RIMS to streamline and align project indicators to priorities in the IFAD Strategic Framework 2016-2025.

## V. Operational effectiveness of country programmes and projects (RMF level 4)<sup>17</sup>

18. County programme management. Table 5 in annex I summarizes progress against country-programme-related indicators, monitored through the IFAD client survey. The survey tracks the percentage of country programmes rated 4 or better by IFAD's public, private-sector and civil society clients, on four indicators reflecting areas in which IFAD has made specific commitments in the context of the development effectiveness agenda. Latest survey responses confirm that IFAD is performing well in all areas, with small variations year-on-year explained partially by variations in sample countries.
19. Project quality at entry. Table 6 in annex I summarizes progress against project quality-at-entry indicators (a full account of IFAD's quality-at-entry performance is provided in annex VI). The overall quality of project design continues to increase, including for projects in countries with fragile situations. All other dimensions assessed have improved considerably from their baseline: all 2015 targets have been met except for gender, which is now assessed against more rigorous standards compared to those used at the time the baseline was established.
20. Portfolio management. Table 7 in annex I summarizes progress against portfolio management indicators. Performance is satisfactory in many areas, but further progress is needed in others. The target for the indicator on the time to process withdrawal applications and project time overrun have been exceeded, signalling that performance issues related to these two indicators have been tackled in the course of IFAD9. IFAD's decentralization and advances in information and

<sup>16</sup> This is valid not only for outreach but also for other performance indicators. Some of the projects that completed operations in 2014 and are no longer part of the cohort of reporting projects have contributed substantially to a variation in performance: over 2.7 million individuals in the outreach figures (the number of people reached by the Finance for Enterprise Development and Employment Creation Project in Bangladesh); over 78,000 hectares of land under improved management practices (in addition to the over 720,000 hectares of land under improved management practices corresponding to projects that exited the cohort the previous year, as reported in the RIDE 2015); about 215,000 people trained in crop production practices and technologies; and almost 600,000 in the number of voluntary savers.

<sup>17</sup> RMF level 4 indicators relate to variables over which IFAD exercises greater control and are more expressive of its management performance. They are used to track what IFAD does to maximize programme outcomes and impact. Several indicators are reported by external parties or at arm's length, for example by the Quality Assurance Group for project quality at entry, and through client surveys for country programme performance.

communications technology (ICT) systems – for example improvements to the Loans and Grants System – are two contributing factors to better portfolio management.

21. Time from project approval to first disbursement has remained unchanged compared to the baseline. While delays are in part beyond IFAD's control as some countries require parliamentary ratification before projects enter into force, a variety of new modalities to support pre-implementation activities and expedite project start-up are being explored. Connected to the timeliness of first disbursements, IFAD's disbursement ratio has decreased further, to 13 per cent for the overall portfolio and 12 per cent in countries in fragile situations compared to the baseline values. The ratio is influenced inter alia by the age of the portfolio: younger projects tend to disburse more slowly than mature ones. To address this important issue, Management has initiated an in-depth study to identify causes of low and slow disbursements and present a comprehensive set of recommendations and remedial actions.
22. Projects at risk<sup>18</sup> continue to account for 20 per cent of the ongoing portfolio.<sup>19</sup> Proactivity has improved since the previous reporting period and has reached 50 per cent: 21 of the 42 projects that were at risk in the previous review changed status;<sup>20</sup> however, there is room for improvement in the future. In line with the at-completion results on gender outlined in annex IV, gender focus in implementation has reached its target. IFAD's performance as a partner remains well above the 2015 target.
23. In this context, a major update of IFAD's supervision guidelines is under way to enhance overall portfolio performance.<sup>21</sup> Envisioned changes include: (i) shifting from a culture of supervision "by mission" to a culture of "continuous supervision"; (ii) anchoring supervision in results by updating log frames and streamlining project performance ratings to be supported with evidence; and (iii) streamlining supervision reporting tools into one single action-oriented instrument.
24. Project monitoring and evaluation. Table 8 in annex I summarizes progress against project M&E indicators. Given the importance of M&E for better project performance, these indicators were introduced in the IFAD9 RMF to draw attention to this area. Revised guidelines to improve the quality of project log frames issued in 2015 aim at strengthening linkages between the log frames and the projects' economic and financial analyses, and at reinforcing log frames as tools to monitor project achievements from design to completion. Prizes for the best log frames have also been introduced to incentivize sharing and adoption of best practices.
25. The results reported in table 8 show the good progress made on all indicators, particularly with respect to the percentage of projects with baseline surveys, which is well above the target. Considerable progress has also been made with regard to the percentage of projects conducting impact surveys, although the target has not been achieved. The focus on project impact evaluation that started in IFAD9 is expected to contribute to improved performance in this area.

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<sup>18</sup> Projects at risk include actual and potential problem projects.

<sup>19</sup> At the end of the review period, i.e. 31 December 2015, IFAD's ongoing portfolio (238 projects, excluding the suspended portfolio) contained 41 projects considered as "actual problem" projects and seven projects considered as "potential problem" projects.

<sup>20</sup> Of the 21 projects that exited problem status, 13 have become not at risk, 1 has moved to potential problem status and 7 have been completed or cancelled

<sup>21</sup> In 2013 the Independent Office of Evaluation of IFAD (IOE) undertook a corporate-level evaluation of IFAD's supervision and implementation support (SIS) Policy. Although the CLE came to positive conclusions about the effectiveness and efficiency of the policy, it also made recommendations for further improvements both at the operational and the strategic levels. Management committed to revising the SIS guidelines in order to address these recommendations. The ongoing update is in line with IOE recommendations.

26. The quality of PCRs has improved and largely exceeded the 2015 target. The quality of 98 per cent of the PCR sample was rated moderately satisfactory and better.<sup>22</sup> Further improvements in the quality of PCRs are expected thanks to IFAD's new provisions for PCR production and review. The new operational procedures for completion reporting introduced in November 2015 have increased IFAD's involvement throughout the process to ensure better PCR quality and a stronger focus on lesson learning.
27. Cofinancing. Table 9 in annex I presents the cofinancing ratio, which as at end 2015 stood at 1.39. This ratio includes the exceptionally high cofinancing for the Integrated Participatory Development and Management of the Irrigation Project in Indonesia approved in December 2015.<sup>23</sup> Excluding this project, cofinancing stands at 1.2. This is in line with the IFAD10 cofinancing ratio target (1.2), which is more in line with long-term trends.

## VI. Institutional effectiveness and efficiency (RMF level 5)<sup>24</sup>

28. Table 10 in annex I presents results for level 5 indicators of the RMF 2013-2015 covering performance relative to replenishment, human resource management, risk management and administrative efficiency. For IFAD9, donors have pledged US\$1.42 billion, equivalent to 95 per cent of the IFAD9 target of US\$1.5 billion.
29. IFAD's human resource management improved across all indicators, save one, as compared to their baselines. The staff engagement index at 74 per cent is very close to target and the share of workforce from Lists B and C has increased. The average time to fill Professional vacancies has surpassed the target, and compared to baseline, the time needed was cut by 42 per cent. This is driven in large part by automation and the streamlining of the recruitment process, for example, a reduction in the period required for shortlisting candidates. The only area where further improvement is desired is the percentage of women in P-5 posts and above. Improved risk management is also bearing fruit: the number of overdue high-priority audit recommendations has fallen to just one.
30. Improved administrative efficiency is reflected in several indicators. IFAD's administrative expenditures have increased at a slower pace with regard to both annual disbursements of loans and grants and IFAD's financing commitments. IFAD's commitment to decentralization is evident in the ratio of budgeted staff positions in IFAD Country Offices to budgeted staff in country programme divisions having exceeded the set target. The share of budget allocated to clusters 1 and 4 is smaller due to lower staff costs as a result of the strengthening of the United States dollar. Those for clusters 2 and 3 remain more or less the same as compared to the previous RIDE.

<sup>22</sup> Since the issuance of the new operational instructions for project completion, PCR quality is no longer rated by PMD. As a result the percentage has been calculated using a sub-sample of the 59 PCRs rated for PCR quality before the issuance of the new instructions.

<sup>23</sup> A borrower contribution of US\$102.4 million as well as US\$600 million in cofinancing by the Asian Development Bank are foreseen for the project.

<sup>24</sup> RMF level 5 indicators relate to variables over which IFAD exercises greater control and are more expressive of its management performance. They reflect what IFAD does to maximize its value for money in terms of cost, timeliness and human resources management.

## Results on indicators for levels 1-5 of RMF 2013-2015

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

<i>Indicators</i>	<i>Baseline (Year)</i>	<i>Results (year)</i>
<b>1.1 Global poverty and nutrition outcomes</b>		
1.1.1 Population living on less than US\$1.90 a day <sup>a</sup>	44.4% (1990)	14.9% (2012)
1.1.2 Prevalence of undernutrition in population <sup>b</sup>	23.3% (1990-92)	12.9% (2012)
1.1.3 Children under 5 who are underweight <sup>a</sup>	25% (1990)	14% (2015)
<b>1.2 Global agricultural development and investment outcome</b>		
1.2.1 Crop production index (2004-06 = 100) <sup>c</sup>	105.2 (2007)	131.5 (2013)
1.2.2 Agricultural value added (annual percentage growth) <sup>c</sup>	2.8 (2007)	2.8 (2014)
1.2.3 Level of official development assistance to agriculture <sup>d</sup>	US\$5.6bn (2006)	US\$10.4bn (2014)
1.2.4 Proportion of countries complying with the Maputo Declaration commitment of 10 per cent of total public expenditure on agriculture <sup>e</sup>	9% (2005)	21% (2003-12)

<sup>a</sup> World Bank, *Development Goals in an Era of Demographic Change*, Global Monitoring Report 2015/2016. Figures reported for developing countries.

<sup>b</sup> Food and Agriculture Organization of the United Nations, *The State of Food Insecurity in the World* (2015). Figures reported for developing countries.

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

<sup>d</sup> Organisation for Economic Co-operation and Development, *StatExtracts* (official development assistance commitments in United States dollars constant 2012 prices; for the agriculture, forestry, fishing sector; by bilateral and multilateral donors).

<sup>e</sup> International Food Policy Research Institute (IFPRI), *Statistics on public expenditures for economic development (SPEED)*, 2015.

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

<i>Indicators</i>	<i>RIDE 2016</i>	<i>Target 2015</i>
<b>2.2 Impact indicators</b>		
2.2.1 Household asset ownership index	16 million	Tracked
2.2.2 Level of child malnutrition (3 sub-indicators – acute, chronic and underweight), disaggregated for girls and boys	N/A	Tracked
2.2.3 Length of hungry season	N/A	Tracked
2.2.4 Dietary diversity	11 million	N/A
<b>2.3 People moved out of poverty</b>		
2.3.1 People moved out of poverty	24 million	80 million

**Note:** Data are based on projections undertaken as part of the IFAD9 Impact Assessment Initiative methodology.



Table 3  
**Level 2 RMF 2013-2015: IFAD's contribution to development outcomes**

<i>Indicators</i>	<i>PCR 2010</i>	<i>RIDE 2015<sup>a</sup></i>	<i>RIDE 2016<sup>b</sup></i>	<i>Target 2015</i>	<i>Progress</i>
<b>2.1 Outcome indicators (percentage of projects rated moderately satisfactory or better) at completion</b>					
2.1.1 Relevance	98	99	100	100	●*
2.1.2 Effectiveness	80	90	93	90	●*
2.1.3 Efficiency	69	76	82	75	●*
2.1.4 Rural poverty impact	81	90	94	90	●*
<i>Household income and assets</i>		90	94		
<i>Agriculture and food security</i>		92	95		
<i>Human empowerment and social capital</i>		91	91		
<i>Institutions and policies</i>		92	90		
<i>Markets</i>		79	85		
2.1.5 Gender equality	90	95	91	90	●*
2.1.6 Sustainability of benefits	73	84	87	75	●*
2.1.7 Innovation and learning	86	89	94	90	●*
2.1.8 Replication and scaling up	85	93	97	90	●*
2.1.9 Environment and natural resource management (ENRM)	88	89	89	90	●
2.1.10 Adaptation of smallholders to climate changed <sup>c</sup>	-	-	90		
2.1.11 Government performance	73	79	90	80	●*

<sup>a</sup> Results are obtained from PCRs and are for the cohort of projects completing in the 2011-2013 period. As reported in the RIDE 2015, this includes the projects that were in the 2014 RIDE cohort and an additional 21 projects that completed during that time frame and were reviewed in 2014-2015.

<sup>b</sup> Results are for the cohort of projects completing in the 2012-2014 period. The analysis is based on the 2012-2014 PCR cohort, the latest representative sample of PCRs, which includes PCRs completed in 2012, 2013 and 2014, for a total of 97 projects reviewed up to December 2015.

<sup>c</sup> Of the PCRs included in the cohort 34 reported on this indicator up to December 2015. As over time further PCRs report on smallholders' adaptation to climate change the project sample and the performance ratings will become more robust.

**Note 1:** The asterisk next to the green colour code signifies that results have exceeded targets.

**Note 2:** Status indicator description (for all tables in the document):

- = target has been met
- = significant progress compared to baseline (i.e. result exceeds 50 per cent of the baseline-to-target gap)
- = unsatisfactory progress

Table 4  
**Level 3 RMF 2013-2015: IFAD's contribution to country programme and project outputs**

<i>Indicators</i>	<i>Baseline value</i> <sup>a</sup>	<i>RIDE 2015</i> <sup>b</sup>	<i>RIDE 2016</i> <sup>c</sup>
<b>Natural resource management</b>			
3.1 Common-property-resource land under improved management practices (hectares)	5.5 million	2.28 million	3.57 million
3.2 Area under constructed/rehabilitated irrigation schemes (hectares)	373 thousand	191 thousand	168 thousand
<b>Agricultural technologies</b>			
3.3 People trained in crop production practices/technologies	4.51 million	2.47 million	2.01 million
Male: female ratio (percentage)	65:35	49 : 51	48:52
3.4 People trained in livestock production practices/technologies	1.2 million	1.04 million	721.0 thousand
Male: female ratio	44:56	52:48	47:53
<b>Rural financial services</b>			
3.5 Voluntary savers	7.86 million	20.76 million	22.16 million
Male: female ratio	47:53	45:55	37:63
3.6 Active borrowers	2.70 million	4.82 million	3.97 million
Male: female ratio	43:57	31:69	46:54
3.7 Value of savings mobilized	US\$495 million	US\$4.28 billion	US\$6.12 billion
3.8 Value of gross loan portfolio	US\$338 million	US\$1.96 billion	US\$3.16 billion
<b>Marketing</b>			
3.9 Roads constructed/rehabilitated (kilometres)	17.6 thousand	17.36 thousand	16.46 thousand
3.10 Marketing groups formed/strengthened	13.2 thousand	22.67 thousand	31.74 thousand
<b>Microenterprises</b>			
3.11 People trained in business and entrepreneurship	716 thousand	1.01 million	1.02 million
Male: female ratio	39:61	18:82	19:81
3.12 Enterprises accessing facilitated non-financial services	57 thousand	38.73 thousand	67.07 thousand
<b>Policies and institutions</b>			
3.13 People trained in community management topics	2.13 million	1.82 million	1.75 million
Male: female ratio (percentage)	33:67	18:82	18:82
3.14 Village/community action plans prepared	28 thousand	37.08 thousand	36.75 thousand
3.15 People receiving services from IFAD-supported projects (number)	59.1 million (target 2015: 90 million)	114.25 million	112.75 million
Male: female ratio (percentage)	52:48	51:49	50:50





Source: RIMS online.

<sup>a</sup> All baseline values are as at 2010, except for people receiving services from IFAD-supported projects, which is for 2011.

<sup>b</sup> Results are at year-end 2014.

<sup>c</sup> Results are at year-end 2015.

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

<i>Indicators</i>	<i>Baseline value</i> <sup>a</sup>	<i>RIDE 2015</i> <sup>b</sup>	<i>RIDE 2016</i>	<i>Target 2015</i>	<i>Progress</i>
<b>4.1 Country programme quality at entry</b>					
4.1.1 Percentage of RB-COSOPs rated 4 or better <sup>c</sup>	100	n/a	n/a	100	
<b>4.2 Percentage of country programmes rated 4 or better during implementation for:</b>					
4.2.1 Contribution to increased incomes, improved food security, and empowerment of poor rural women and men	78	99	97	90	 *
4.2.2 Adherence to the aid effectiveness agenda	93	100	100	100	
4.2.3 Engagement in national policy dialogue	55	96	95	70	 *
4.2.4 Partnership-building <sup>d</sup>	88	99	97	90	 *

**Source:** IFAD client survey.






<sup>a</sup> All baseline values are as at 2011, except for country programme quality at entry (2010) and partnership-building (2013).

<sup>b</sup> Results for 4.2 refer to 2014 and 2015 client survey results.

<sup>c</sup> This indicator is no longer measured following rationalization of the quality enhancement process.

<sup>d</sup> This indicator is new and has been measured for the first time in 2013. The baseline value is equivalent to the 2013 actual value, and the target has been set on that basis.

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

<i>Indicators</i>	<i>Baseline value</i> <sup>a</sup>	<i>RIDE2015</i>	<i>RIDE 2016</i>	<i>Target 2015</i>	<i>Progress</i>
<b>4.3 Percentage of projects rated 4 or better at entry / average rating</b>					
4.3.1 Overall average	79	92	91	85	 *
4.3.2 Overall average for projects in fragile states only	n/a	90	90	80	 *
4.3.3 Gender	86	89	89	90	
4.3.4 Monitoring and evaluation	70	89	88	80	 *
4.3.5 Percentage of projects receiving positive ratings on scaling up	72	94	92	80	 *

**Source:** IFAD's Quality Assurance Group

<sup>a</sup> All baseline values are as at 2010/2011.

Table 7  
**Level 4 RMF 2013-2015: Portfolio management**

<i>Indicators</i>	<i>Baseline value<sup>a</sup></i>	<i>RIDE 2015</i>	<i>RIDE 2016</i>	<i>Target 2015</i>	<i>Progress</i>
<b>4.4 Portfolio management</b>					
4.4.1 Time from project approval to first disbursement (months)	17	18	17	14	●
4.4.2 Proactivity index	50	33	50	75	●
4.4.3 Projects at risk	18	20	20	Tracked	
4.4.4 Project time overrun (percentage)	22	9	11	18	●*
4.4.5 Time for withdrawal application processing (days)					●*
4.4.6 Percentage disbursement ratio – overall portfolio <sup>b</sup>	15.7	14	13	18	●
4.4.7 Percentage disbursement ratio – for countries in fragile situations	15	12	12	17	●
4.4.8 Percentage of projects for which gender focus in implementation is rated moderately satisfactory or better	88	89	91	90	●*
4.4.9 Percentage of projects for which IFAD performance is rated moderately satisfactory or better at completion <sup>d</sup>	73	91	95	80	●*

<sup>a</sup> All baseline values are as at 2010/2011, except time for withdrawal application (2009/2010), disbursement ratios and gender focus (mid-2011) and IFAD performance (2012/2013).

<sup>b</sup> Denominator understood as commitments approved by the Executive Board.

<sup>c</sup> This figure relates to disbursements for countries in IFAD's list of fragile states.

<sup>d</sup> The baseline value for this indicator was revised (from originally 71 per cent) in line with IOE's new methodology for reporting IFAD performance, which is now based on completion cohorts.

Table 8  
**Level 4 RMF 2013-2015: Project monitoring and evaluation**

<i>Indicators</i>	<i>Baseline value<sup>a</sup></i>	<i>RIDE 2015</i>	<i>RIDE 2016</i>	<i>Target 2015</i>	<i>Progress</i>
<b>4.5 Project monitoring and evaluation</b>					
4.5.1 Percentage of projects with RIMS or equivalent baseline surveys (cumulative percentage)	23	47	59	40	●*
4.5.2 Percentage of projects submitting RIMS impact survey	70	69	78	95	●
4.5.3 PCR quality (percentage rated 4 or better)	80	96	98	90	●*

**Note:** Percentage of projects conducting impact/completion surveys based on projects effective since 2004 that conducted baseline surveys and completed by December 2015.

<sup>a</sup> All baseline values are as at mid-2011, except PCR quality for which the baseline period is 2010/2011.

Table 9  
**Level 4 RMF 2013-2015: Cofinancing**

<i>Indicator</i>	<i>Baseline value<sup>a</sup></i>	<i>RIDE 2015</i>	<i>RIDE 2016</i>	<i>Target 2015</i>	<i>Progress</i>
4.6.1 Cofinancing ratio	1.34	1.27	1.39	1.6	●

<sup>a</sup> The baseline value is for the period 2008-2010.

Table 10  
**Level 5 RMF 2013-2015: Institutional effectiveness and efficiency**

<i>Indicator</i>	<i>Baseline value<sup>a</sup></i>	<i>RIDE 2015</i>	<i>RIDE 2016</i>	<i>Target 2015</i>	<i>Progress</i>
<b>5.1 Improved resource mobilization and management</b>					
5.1.1 Percentage achieved of IFAD9 replenishment target	NA	95	95	100	●
<b>5.2 Improved human resource management</b>					
5.2.1 Staff engagement index: percentage of staff positively engaged in IFAD objectives	70	74	74	75	●
5.2.2 Share of workforce from Lists B and C Member States	40	42	42	Tracked	
5.2.3 Percentage of women in P-5 posts and above	28	28	26	35	●
5.2.4 Time to fill professional vacancies (days)	144	116	84	100	●*
<b>5.3 Improved risk management</b>					
5.3.1 Number of actions overdue on high-priority internal audit recommendations	21	4	1	15	●*
<b>5.4 Improved administrative efficiency</b>					
5.4.1 Ratio of administrative budget to the planned programme of loans and grants (PoLG)	14.1	16.3	16.3	Tracked	
5.4.2 Share of budget allocations to: (baseline 2011)					
Cluster 1	62	60.6	60.6	65	●
Cluster 2	7	8.7	8.7	9	●
Cluster 3	23	25.3	25.3	20	●
Cluster 4	8	5.4	5.4	6	●*
5.4.3 Ratio of staff positions to total budgeted positions:					
Cluster 1	57	56.1	56.1	61	●
Cluster 2	7	10.2	10.2	9	●*
Cluster 3	25	27.1	27.1	22	●
Cluster 4	11	6.6	6.6	8	●*
5.4.4 Ratio of budgeted staff positions in IFAD Country Offices to budgeted staff in country programme divisions	38	45.5	45.5	45	●*
5.4.5 Ratio of actual administrative expenditures (including expenditures financed by management fees) to IFAD's PoLG augmented by the value of the programmes and projects managed by IFAD but funded by other agencies	14.7	13.9	13.1	12.5	●
5.4.6 Ratio of actual administrative expenditures (including expenditures financed by management fees) less actual expenditures on "technical support" to developing Member States to the integrated programme of work	12.5	11.8	11.1	10.6	●
5.4.7 Ratio of actual expenditures (including expenditure financed by management fees) to annual disbursements	22.1	19.2	19	18.8	●
5.4.8 Ratio of actual costs of General Service staff to total staff costs	30	25.2	21.8	25	●*

**Note:** RIDE 2015 results for indicator 5.4.1 were revised from 14.7 (a provisional estimate) to 16.3 based on information in the approved administrative budget for 2016.

<sup>a</sup> All baseline values are as at 2011, except staff engagement index, overdue audit recommendations and actual GS to total staff costs for which the baseline year is 2010, and the other ex-post efficiency indicators (2008-2010).

## Summary status of IFAD9 commitment implementation

Table 1

### Summary status of IFAD9 commitment implementation as at May 2016

Area	Total deliverable	On track (green)	Minor issues (yellow)	Major issues (red)
1. Increasing IFAD's operational effectiveness	32	28 (88%)	4 (12%)	-
2. Increasing IFAD's institutional effectiveness and efficiency	10	10 (100%)	-	-
3. Strengthening IFAD's financial capacity and management	7	7 (100%)	-	-
4. Enhancing IFAD's results management system	7	7 (100%)	-	-
<b>Total (percentage of total)</b>	<b>56</b>	<b>52 (93%)</b>	<b>4 (7%)</b>	<b>-</b>

**Note:** Status indicator description:

**Green** = implementation on track

**Yellow** = on track with minor issues

**Red** = major issues

## Summary of lessons learned from the IFAD9 Impact Assessment Initiative

1. Over recent decades, IFAD has consistently increased its focus on achieving and measuring results. In 2011-2012 resources were invested in the IFAD9 Impact Assessment Initiative (IFAD9 IAI) to: (i) explore methodologies to assess impact; (ii) measure – to the degree possible – the results and impacts of IFAD-financed activities; and (iii) summarize lessons learned and advise on rigorous and cost-effective approaches to attributing impact to IFAD interventions. The initiative reflects a recognition of IFAD's responsibility to generate evidence of the success of IFAD projects and to learn lessons for future ones. Overall, the approach to the IFAD9 IAI was scientific, systematic and comprehensive. It has provided IFAD with significant lessons that will help advance a results-based agenda.
2. The analysis shows that IFAD projects active during the 2010-2015 period have already reached 139 million beneficiaries and 24 million families, providing them with substantial services through a community-led approach. These include 18 million active borrowers and 26.6 million voluntary savers, highlighting IFAD's focus on financial inclusion. Numerous farmers have been trained in agricultural practices, including 4.4 million in crop production technologies, 1.6 million in livestock production and 1.4 million in natural resource management. Improvements in agricultural activities have been promoted, leading to 5 million hectares under improved land management practices.
3. The IFAD9 IAI has demonstrated that IFAD beneficiaries are, on average, better off in percentage terms when compared with a control group. IFAD's investments in rural people have generated returns in a number of critical areas, including assets, resilience, livestock ownership, agricultural revenues, nutrition and women's empowerment. Projections indicate that 44 million beneficiaries will see substantial increases in agricultural revenues, and 28.8 and 22.8 million beneficiaries will obtain significant gains in poultry and livestock asset ownership, respectively. More than 10 million beneficiaries will experience an increase in each of the following domains: overall assets, productive assets, gender empowerment, dietary diversity and reduction in shock exposure. Overall, the analysis paints a portrait of IFAD improving the well-being of rural people in terms of asset accumulation and higher revenue and income.
4. On methods, the clear challenges of designing data collection and conducting impact assessments ex post has been highlighted. The initiative also draws attention to the fact that using a representative sample of projects and focusing on one aggregate indicator ("people moved out of poverty") limit the potential for accountability and learning and are unnecessarily restrictive. Projects should be identified with indicators selected to comprehensively represent IFAD's success and where learning will be the greatest. Moreover, the initiative underlines areas where M&E and data collection should be strengthened.
5. The IFAD9 IAI provides some key considerations for assessing IFAD's impact. First, future impact assessments should be selected and structured to facilitate and maximize impact reporting and learning. Second, IFAD should focus on a comprehensive set of indicators that reflect the three strategic objectives as articulated in the IFAD Strategic Framework 2016-2025. Third, creating an impact assessment agenda requires systematically reviewing the portfolio to understand the impact potential of IFAD-funded projects and to identify where there are gaps in the evidence. Fourth, a framework for ensuring development effectiveness must be developed. Fifth, IFAD must focus on impact assessments designed ex ante to ensure adequate data collection. Sixth, the IFAD impact assessment agenda must reflect a multistakeholder and participatory process.

6. These lessons from the IFAD9 IAI have profound implications for IFAD and for the manner in which it measures the impacts of its investments in rural people. It requires a series of coherent actions that allow IFAD to continue the process it began a decade ago of focusing on a results-based agenda. By taking these actions, not only will the impacts of IFAD's investment in rural people be better understood, but greater knowledge will be generated, which will allow IFAD and others to be more effective in promoting rural development.

**Percentage of estimated impacts (average effects) on beneficiaries compared with the control group, overall and by project grouping**

<i>Impact domain</i>	<i>Outcome</i>	<i>Overall %</i>	<i>Project type</i>			
			<i>% Agriculture</i>	<i>% Credit</i>	<i>% Irrigation/ Research/ Settlement</i>	<i>Rural development</i>
Economic mobility	Overall asset index	<b>6.6</b>	6.6	5.5	1.9	13.3
	Durables asset index	<b>2.7</b>	4.0	2.0	11.0	-7.1
	Productive asset index	<b>5.6</b>	7.5	3.8	4.0	4.4
	Income	<b>4.0</b>	8.3	0.4	8.3	1.4
Resilience	Ability to recover	<b>1.5</b>	6.3	N/A	1.1	-3.1
	Reduced shock severity	<b>1.8</b>	3.6	0.4	2.8	1.4
	Reduced shock exposure	<b>4.5</b>	2.7	N/A	11.1	4.7
Nutrition	Dietary diversity	<b>4.6</b>	6.2	0.3	13.9	1.7
Agriculture	Agricultural revenue	<b>18.0</b>	10.3	N/A	34.0	19.8
	Yields	<b>3.8</b>	1.5	N/A	8.8	-0.3
Livestock	Livestock asset index	<b>9.5</b>	5.5	25.4	2.6	19.4
	Poultry count index	<b>12.0</b>	3.9	11.0	21.1	17.6
Gender	Gender dimensions	<b>4.8</b>	5.1	-1.6	-1.8	22.5

Note: N/A signifies an estimate is not available due to data constraints.



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

1. This annex reports on progress in the implementation of the IFAD Policy on Gender Equality and Women's Empowerment. It was an exciting year as the global community adopted the post-2015 development agenda and, within that framework, Member States and partners committed to achieving gender equality no later than 2030.

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

2. Women's representation among people receiving services from IFAD-supported projects increased to 56 million in 2015, and women now account for half of all beneficiaries.<sup>25</sup> The best-performing projects in addressing gender inequalities and empowering women were recognized at the Gender Awards event held in Rome on 25 November 2015, the International Day for the Elimination of Violence against Women.<sup>26</sup>

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

3. The gender policy is implemented through five action areas, each with specific output indicators. Action areas 1 to 3 relate to IFAD's core activities, while action areas 4 and 5 relate to the institutional structures and resources for policy delivery.

Action area 1: IFAD-supported country programmes and projects

4. Specialist gender staff at headquarters and regional levels provide technical support during the design and implementation of country programmes and projects. The ongoing revision to IFAD's Results and Impact Management System (RIMS), coupled with the piloting of the Women's Empowerment in Agriculture Index (WEAI), will establish a more systematic approach for tracking project performance and impact from a gender perspective.

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

5. The ex ante analysis of the gender sensitivity of the value of the IFAD loan portfolio assesses the degree to which gender issues have been addressed in each loan component or subcomponent, using the IFAD six-point rating system.
6. Figure 1 presents data for loans approved by the Executive Board each year.<sup>27</sup> The most recent data show that of the 38 loans approved from September to December 2015, with a total value of US\$935 million, 86 per cent by value is rated moderately satisfactory or above with respect to gender. The proportion of the total loan value that can be classified as gender transformative<sup>28</sup> increased to 21 per cent in 2015. The proportion classified as partial gender mainstreaming<sup>29</sup> in 2015 is dominated by two large investments, which account for almost 20 per cent of the value of total investments made during the period.

<sup>25</sup> See table 4 in main text: Women continue to dominate training in business and entrepreneurship and community management topics, and account for over half of those trained in crop and livestock production practices. Women are also actively engaged in rural financial services, both as borrowers and savers.

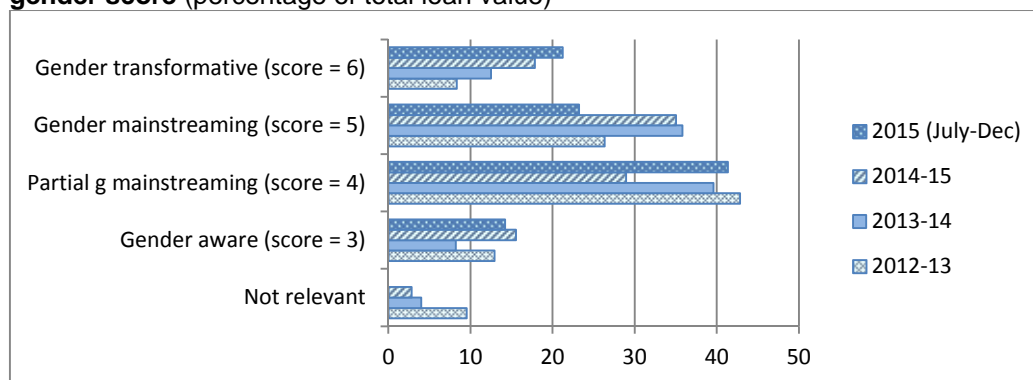
<sup>26</sup> Rural Finance Programme, Belize; Community-based Integrated Natural Resources Management Project, Ethiopia; Tejaswini Maharashtra Rural Women's Empowerment Programme, India; Rural Financial Services and Agribusiness Development Project, Republic of Moldova; and Agricultural Value Chains Support Project, Senegal.

<sup>27</sup> 2012-2013: 35 loans, total value US\$825 million; 2013-2014: 34 loans, total value US\$882 million; 2014-2015: 30 loans, total value US\$829 million.

<sup>28</sup> Gender transformative: where activities go beyond addressing the symptoms of gender inequality to tackling the underlying social norms, attitudes, behaviours and social systems.

<sup>29</sup> Partial gender mainstreaming: where gender considerations have been mainstreamed in a limited number of aspects of component design; full gender mainstreaming: where the commitment to gender equality is fully integrated within the component activities and is reflected in the allocation of financial and human resources, as well as in operational measures and procedures.

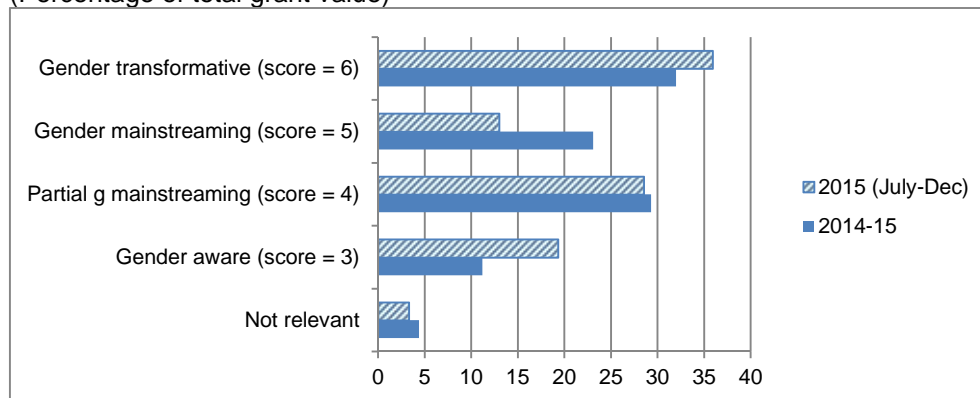
Figure 1  
**Distribution of total loan value approved between September 2012 and April 2015 by gender score (percentage of total loan value)**



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

7. Project design has improved from a gender perspective, rising from 86 per cent of projects being rated as moderately satisfactory at the baseline to 89 per cent in 2016.<sup>30</sup> Indeed, in 2015, 43 per cent were rated as satisfactory (full gender mainstreaming).
8. Figure 2 presents a gender analysis of the value of 52 grants approved between July and December 2015, with a total value of US\$56.6 million. One third of the value can be described as gender transformative and a further 13 per cent as gender mainstreaming. The increase in value of grants rated as only gender aware is attributable largely to four grants of over US\$1.5 million each.

Figure 2  
**Distribution of total grant value approved in 2014 and 2015 by gender score (Percentage of total grant value)**



<sup>30</sup> See table 6 in main text.

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

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

9. Key activities included:

- At EXPO 2015 hosted by Italy, IFAD's Associate Vice-President, Strategy and Knowledge Department, and the United Nations Deputy Commissioner-General for EXPO spoke at an event highlighting the importance of investing in rural women to reduce hunger and malnutrition, and improve rural livelihoods. IFAD also contributed to sessions on agricultural biodiversity, value chains and women's empowerment.
- To celebrate International Rural Women's Day at the United Nations in New York, the Rome-based agencies (RBAs) and UN Women jointly organized an event on the empowerment of rural women through the sustainable development goals (SDGs).
- Contributions on gender and youth were made to discussions on inclusive agricultural markets at the African Green Revolution Forum in Lusaka.
- The Director of the Near East, North Africa and Europe Division participated in a panel at the G20 round table in Turkey on financing to support women in the agricultural sector.
- In collaboration with the Consultative Group to Assist the Poor (CGAP), IFAD is strengthening approaches to financial inclusion that will benefit women in particular.

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

10. Knowledge management and communications are central to the work of the PTA gender desk, including the bimonthly e-newsletter, the IFAD gender website (<http://www.ifad.org/gender/>) and publications.<sup>31</sup>
11. On International Rural Women's Day, the AgTalk series was dedicated to rural women.

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

12. IFAD partnered with the Huairou Commission, an NGO network of grass-roots women's organizations, to develop an advocacy plan to communicate rural priorities within the context of the post-2015 agenda and the SDGs.
13. IFAD co-organized side events with a gender focus at the Committee on World Food Security on sustainable water governance, climate-smart agriculture and healthy diets.
14. The second Indigenous Terra Madre held in India – with delegates from 140 tribes from 58 countries – highlighted the role played by women, youth and the elderly as protectors of local economies and biocultural diversity.
15. IFAD is scaling up household methodologies as an innovative approach for empowering families and groups. To strengthen outreach to Francophone Africa, a new IFAD grant with Oxfam Novib, Integrating household methodologies into agricultural extension, value chains and rural finance in sub-Saharan Africa, was

<sup>31</sup> Two publications were released: Promoting the leadership of women in producers' organizations: Lessons from the experiences of FAO and IFAD; and Gender in Climate-Smart Agriculture, Module 18 for the Gender in Agriculture Sourcebook (with FAO and the World Bank). A chapter on youth was contributed to Africa Agriculture Status Report 2015.

launched in September 2015, focusing on Burundi, the Democratic Republic of the Congo and Rwanda.

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

16. IFAD and partners organized the first IFAD Week on Rural Development in El Salvador to celebrate 30 years of project implementation. During the week, which was attended by 500 participants, gender equality and women's empowerment were highlighted as among the strongest components of IFAD's work.
17. Under the joint programme Accelerating Progress towards the Economic Empowerment of Rural Women (RWEE), implemented with the RBAs and UN Women in seven countries, IFAD is contributing to research on the WEAI in Ethiopia, Guatemala and Niger and promoting household methodologies in Kyrgyzstan and Rwanda. IFAD chairs the International Steering Committee and Technical Advisory Committee.
18. IFAD participated in annual meetings of the United Nations Inter-Agency Network on Women and Gender Equality, the Multilateral Development Banks Working Group on Gender and the OECD/DAC Network on Gender Equality, and contributed to various United Nations workstreams on women.

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

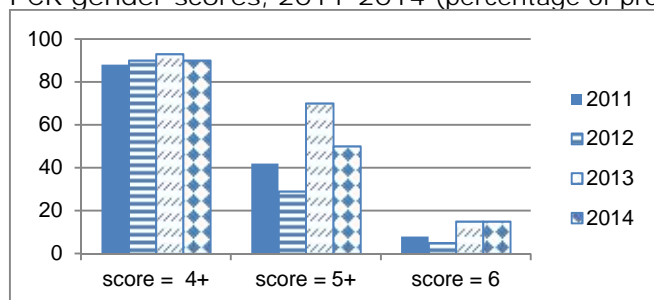
19. The PTA gender desk organizes monthly gender breakfasts that explore different thematic areas with a gender dimension. Regional and country capacity-building initiatives included: integrating gender and nutrition-sensitive approaches in Zambia and India; training at the APR and ESA regional workshops; and training staff and implementing partners in Guatemala (covering Central America), Kenya and Nigeria.

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

20. Since 2012, at least 90 per cent of projects have been rated at least moderately satisfactory on completion.<sup>32</sup> In the last two years, over 50 per cent have been rated as satisfactory, and 11 per cent highly satisfactory (figure 3).

Figure 3

PCR gender scores, 2011-2014 (percentage of projects)



21. The 2015 ARRI noted an improvement in gender equality and women's empowerment since 2008-2010, when 78 per cent of projects evaluated were moderately satisfactory or better, compared to 89 per cent in 2011-2013. Performance and results were found to be better in countries with IFAD Country Offices.

<sup>32</sup> See table 3 in main text.

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

22. IFAD is supporting the implementation plan of the Gender Equality Policy recently launched by the Ministry of Agriculture in Guatemala, through the RWEE joint programme, a small grant and two loan-funded projects.
23. In El Salvador, IFAD and UN Women have strengthened the economic empowerment focus of the Ciudad Mujer model, which originally offered services only to battered women.
24. In Malawi, the agricultural extension services of the Ministry of Agriculture, Irrigation and Water Development has institutionalized the use of household methodologies, based on a pilot experience in an IFAD-funded project.
25. IFAD-funded projects in Niger and Senegal are reference projects for governments and other partners because of their inclusive targeting and gender equality plans.

Action area 4: Gender and diversity balance in IFAD

26. Gender considerations have been mainstreamed into the IFAD competency framework. Gender issues are addressed in corporate training, including induction and security awareness training.

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

27. Women account for 59 per cent of the total IFAD staff of 654, 80 per cent of General Service staff and 50 per cent of Professionals (31 December 2015). The organization is making progress appointing women at the P-4 level and above, where they now account for 38 per cent, but appointments at P-5 and above are proving more challenging (26 per cent). Regarding the 61 IFAD field staff paid through other United Nations agencies, 41 per cent were women. The proportion of the workforce from List B and C Member States is 42 per cent and the gender balance is equitable.<sup>33</sup>

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

28. Overall, the improvements associated with working with IFAD have continued since 2010, with no significant differences between women and men in these responses. Following the findings from the gender analysis of the 2014 Global Staff Assessment survey, a gender perspective was added to the career development guidelines and a draft gender staffing parity plan prepared.

Action area 5: Resources, monitoring and professional accountability

29. The Operations Management Committee (OMC) is the reporting mechanism for gender issues and the Associate Vice-President, PMD is the Senior Management gender champion. The midterm review of the gender policy was completed in 2015 and the management report will be presented to the Executive Board in September 2016.

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

30. The gender staffing at IFAD headquarters in 2015 comprised two Professional staff members (P-5 and P-4), one Temporary Professional Officer, one Junior Professional Officer funded by the Government of the Netherlands and 0.5 General

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<sup>33</sup> See table 10 in the main text.

Service staff member. The West and Central Africa and East and Southern Africa Divisions have full-time outposted regional gender coordinators.<sup>34</sup>

31. The Budget and Organizational Development Office's analysis of commitments to gender-related staff and activities during the preparation of the 2016 regular budget indicated that around 10 per cent of total staff costs are spent on gender-related activities, which is on a par with 2015 and significantly higher than the 6 per cent estimated for 2014.

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

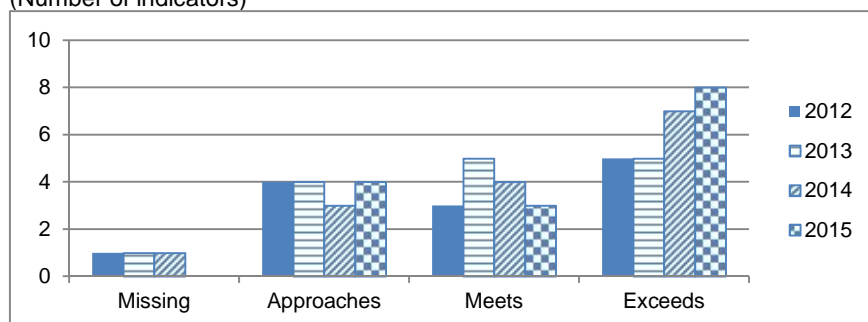
32. From July to December 2015, the President delivered seven speeches, and 43 per cent referred to aspects of gender that were relevant to the topic under discussion.

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

33. The United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP) provides an accountability framework with 15 indicators. IFAD has continued to improve its overall performance with an increase in the number of indicators it has met or exceeded, rising from eight in 2012 to 11 in 2015 (figure 4). IFAD has been commended by UN Women as one of the leaders among United Nation entities in terms of progress on meeting the UN-SWAP indicators. Additional work is needed on gender architecture, defining the indicator on financial resource allocation, and staff capacity assessment and development.

Figure 4

**IFAD's performance with 15 UN-SWAP indicators, 2012-2015**  
(Number of indicators)



<sup>34</sup> IFAD's full gender architecture comprises: (i) the gender team: staff (see above) and divisional gender focal points and alternates; at present, the latter include five P-5s, three P-4s, seven P-3s and one G-6; 10 women and six men; (ii) the thematic group on gender (110 IFAD staff drawn from over 20 divisions) and 118 IFAD Country Office staff; and (iii) the wider IFAD community: project staff and implementing partners (308), consultants (163) and external partners (964).

## Implementation of the Istanbul Programme of Action for Least Developed Countries for the Decade 2011-2020

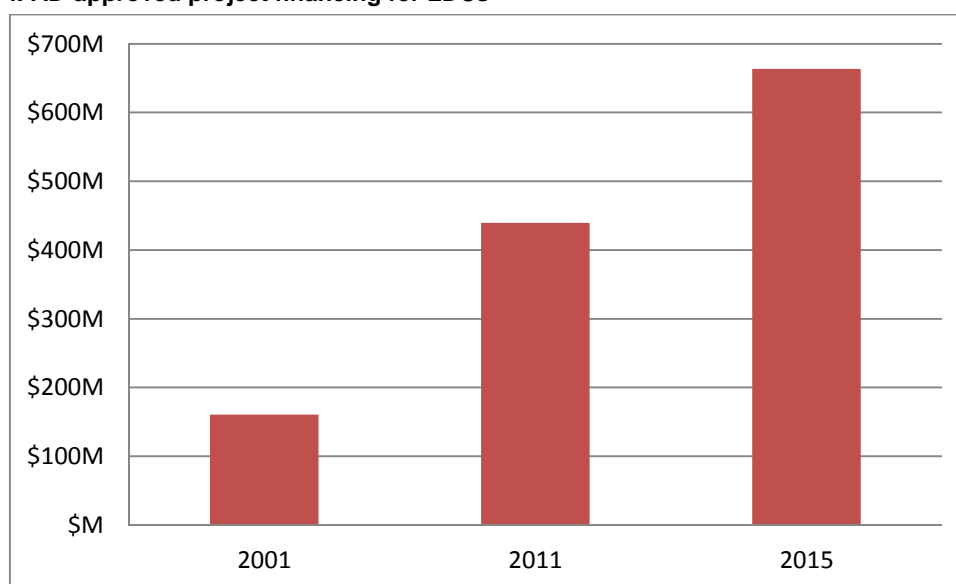
### A. Background

1. The year 2016, as the midpoint in the Istanbul Programme of Action (IPoA) implementation, is critical for the Least Developed Countries (LDCs) and IPoA itself. The decade-long programme (2011-2020) was adopted at the Fourth United Nations Conference on LDCs held in Istanbul, Turkey in May 2011 and endorsed in 2012 by IFAD's Governing Council during its thirty-fifth session (GC 35/L.11; resolution 170/XXXV). The goal of the IPoA is to enhance international cooperation to support the LDCs to overcome the structural challenges they face and graduate from the LDC category.
2. There are 48 countries currently classified as LDCs: 34 in Africa, 13 in Asia and the Pacific, and one in Latin America and the Caribbean. LDCs represent the weakest segment of the international community and are highly vulnerable to shocks of various kinds. Many LDCs are also states with fragile situations, according to IFAD's classification.<sup>35</sup>
3. LDCs are home to about 12 per cent of the world's population, but account for less than 2 per cent of world GDP and about 1 per cent of global exports, mainly primary commodities such as oil and minerals. Their largely agrarian economies are characterized by low productivity and low investment. In recent years agricultural productivity in LDCs has remained stagnant, although the sector employs the largest share of the population (on average 60 per cent) and plays a crucial role in promoting food security and alleviating poverty.
4. While some LDCs are also middle-income countries in terms of gross national income (GNI), as a group they have the lowest development index and the highest incidence of poverty in the world. The proportion of their population living in extreme poverty is double that of developing countries taken as a whole, and in some cases the poverty rate is higher than 80 per cent. The same applies to the prevalence of hunger and food insecurity. They also face low levels of social and human development. Over 880 million people live in LDCs, and most of them live in rural areas and depend on small-scale agriculture for their lives and livelihoods. The populations of these countries are expected to double over the next 40 years, and although the urbanization process is capturing a lot of attention, the rural population is expected to continue to increase over the next 35 years at least, particularly in sub-Saharan LDCs.
5. LDCs in IFAD-funded operations. As of 2016 all LDCs are members of IFAD, which has 112 ongoing projects in these countries. Since its inception, IFAD has targeted around 252 million beneficiaries in its projects. LDCs represent a core IFAD constituency and receive around 50 per cent of IFAD's resources. The share of resources allocated to LDCs has increased over time, in line with evolving international commitments in their favour, such as the Brussels Programme of Action adopted in 2001, followed by the IPoA in 2011. In 2015 alone, IFAD approved financing for new projects in the LDCs for around US\$663 million (see figure below).

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<sup>35</sup> IFAD combines the lists of four organizations: the Asian Development Bank, the African Development Bank, the Development Assistance Committee of the Organization for Economic Co-operation and Development (OECD/DAC) and the World Bank.

Figure  
**IFAD-approved project financing for LDCs**



Source: Grant and Investment Projects System (GRIPS), IFAD.

6. Financing terms. Since IFAD's financing terms are, inter alia, determined by per capita income, LDCs receive financing on softer terms for projects and programmes. Most operations are financed through highly concessional loans or grants under the Debt Sustainability Framework (DSF). Often highly concessional loans are combined with grants, or DSF grants (see table below).

Table  
**IFAD financing terms for LDCs (2011 – May 2016)**  
 (Approved project financing)

<i>Financing terms</i>	<i>US\$ million</i>
DSF grant	596.714
DSF grant/highly concessional loan	693.804
Highly concessional loan	1 004.663
Blend	25.506
<b>Total 2011-2016</b>	<b>2 320.687</b>

Source: GRIPS, IFAD.

7. In addition to regular project financing and DSF grants, IFAD provides grants to governments, farmers and producers' organizations, indigenous people's organizations, research institutes and NGOs in the LDCs. These grants primarily support capacity-building, knowledge-sharing and community resilience. Since its inception in 1979, IFAD has provided 315 such grants to LDCs.
- B. Midterm review of the implementation of the IPoA
8. From 27 to 29 May 2016 IFAD took part in the High-Level Conference on the Midterm Review of the IPoA, held in Antalya, Turkey. The objective of the midterm review, mandated by the United Nations General Assembly, was to assess implementation by the LDCs and their development partners. The Conference provided an opportunity to share best practices among partners and identify emerging challenges and gaps in LDCs. The midterm review resulted in an inter-governmentally negotiated political declaration that underlines that economic growth in LDCs has been volatile and below the average of the last decade, and in order to place LDCs on a sustainable development path, building productive capacity in agriculture, manufacturing and services is essential.



9. All IPoA priority areas are relevant to IFAD's work, and some are particularly close to IFAD's core mandate, such as productive capacity; agriculture, food security and rural development; mobilizing financial resources for development and capacity-building; and good governance at all levels. At the Conference, IFAD engaged proactively in a number of high-level round-table events to highlight the importance of tying investments in infrastructure to the needs of rural areas and smallholder agriculture in order to boost their development and poverty reduction impact.
10. In addition, IFAD organized two side events during the Conference in collaboration with other partners on mobilizing investments in the rural agenda in the LDCs, and building resilience for food security in LDCs. As a contribution to the IPoA midterm review process, IFAD also undertook a review of its engagement in LDCs and its work towards the implementation of the programme of action, and distributed a brochure on the subject at the Conference.
11. IFAD regularly contributes to the IPoA, both by supporting LDC strategies and investments in rural and agricultural development in the projects it finances, and through its participation in the Inter-Agency Consultative Group (IACG) of the United Nations system and international organizations on the implementation of the IPoA. At meetings of the IACG, IFAD is the only institution consistently and proactively raising issues of specific importance for smallholder agriculture and rural poverty. It does so building on its long experience in LDCs, and in line with its vision of inclusive and sustainable rural transformation as outlined in the IFAD Strategic Framework 2016-2025. IFAD also continues to engage with the United Nations Office of the High Representative for the Least Developed Countries (OHRLLS) on a regular basis.
12. The 2030 Agenda for Sustainable Development. The 2030 Agenda adopted at the United Nations Sustainable Development Summit on the post-2015 agenda, held in New York in September 2015 recognizes that progress has been uneven and highlights the special situation of LDCs. Before the adoption of the agenda, within the context of IACG, IFAD supported the identification of a common set of targets and possible indicators for LDCs in the areas of food security, nutrition and sustainable agriculture, as part of the LDCs' joint contribution to the post-2015 negotiations.
13. Small Island Developing States. Among the LDCs, there is a distinct group of developing countries with specific social, economic, environmental, food and nutrition-related vulnerabilities. The Small Island Developing States (SIDS) include some of the poorest countries in the world, nine of them LDCs.
14. In 2014, IFAD reviewed its approach to SIDS, recognizing their specific challenges and food security needs and the importance of taking into account SIDS-specific vulnerabilities in defining the post-2015 development agenda. IFAD's approach for these countries is focused on three thematic areas: (i) sustainable small-scale fisheries and aquaculture; (ii) opportunities and employment for smallholder agriculture; and (iii) environment and climate change. This approach is in line with the commitment to support the IPoA and to advance the sustainable development agenda of LDCs. It was presented during the Third International Conference on Small Island Developing States held in Samoa in September 2014, which resulted in the SAMOA Pathway.
15. IFAD has many ongoing projects in the least-developed SIDS, and its renewed approach provides an opportunity to position IFAD as a partner of choice in addressing the needs of some of the most vulnerable LDCs, supporting them to graduate from LDC status under the umbrella of Agenda 2030 and the Addis Ababa Action Agenda.

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

### A. Summary findings of the 2015 Quality Assurance review process

1. In 2015, the Quality Assurance Group (QAG) reviewed 43 project design documents for investment projects prior to presentation to the Executive Board, 19 concept notes for entry into the pipeline and four results-based country strategic opportunities programmes (COSOPs). This constitutes the highest number of reviews conducted since the quality assurance (QA) process was implemented in 2008. Overall, the 43 reviewed projects amounted to total IFAD financing of US\$1.1 billion, and aimed to support beneficiary households in 38 countries, 16 of which are with fragile situations.
2. Of the 43 project design documents reviewed, 34 were new projects and nine were requests for additional financing for ongoing projects. Results indicate that, of the 34 new designs rated, 15 projects (44 per cent) were cleared with only minor changes required; and 19 projects (56 per cent) required some further refinements during loan negotiations and/or implementation.

**Table 1: QA review results 2008-2015**

	2015	2014	2013	2012	2011	2010	2009	2008
Number of new projects reviewed	34	32	27	35	40	36	33	32
Projects judged ready to proceed with minor changes (percentage)	44	66	63	60	37	42	30	28
Projects judged ready to proceed, subject to additional assurances during loan negotiations and/or further modifications/reviews during implementation (percentage)	56	28	37	37	60	58	67	56
Projects requiring substantive changes entailing a delay in presentation to Executive Board (percentage)	0	6	0	3	3	0	0	6
Projects dropped from the lending programme (percentage)	0	0	0	0	0	0	3	3

3. Project designs cleared by the QAG are rated across the following dimensions: overall quality of design (disaggregated to include states with fragile situations), gender, monitoring and evaluation and scaling up. The results of this "at-entry" rating exercise are presented in table 2, showing that targets have been exceeded in almost every indicator. Of the 34 new projects cleared for submission to the Executive Board, 94 per cent were judged by the QA reviewers as likely to fully meet their development objectives.

Table 2  
**At-entry Results Measurement Framework ratings and percentage of projects with satisfactory or better overall ratings<sup>a</sup>**

<i>Indicators</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Results 2014</i>	<i>Results 2015</i>	<i>Results 2014-15</i>	<i>Target 2015</i>
<b>4.3 Percentage of projects rated 4 or better at entry/average rating</b>						
4.3.1 Overall quality of design	2010/2011	79	90	94	91	85
4.3.2 Overall quality of design for projects in fragile states only <sup>b</sup>	2010/2011	n/a	86	94	90	80
4.3.3 Gender	2010/2011	86	83	94	89	90
4.3.4 Monitoring and evaluation	2010/2011	70	90	85	88	80
4.3.5 Scaling up <sup>c</sup>	2010/2011	72	89	95	92	80

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

<sup>b</sup> In 2015, 17 projects cleared for Executive Board submission were located in 16 states with fragile situations. This rating reflects only this sub-set of projects.

<sup>c</sup> The 2015 scaling up ratings are based on 20 projects explicitly identified as scaling-up activities.

4. Some recommendations were common to many of the project designs reviewed in 2015, and have been consistently flagged in QA annual reports in previous years. More could be done at the quality enhancement (QE) stage to ensure that known weaknesses are adequately remedied before advancing to the QA stage.
  5. Logical frameworks. The use of the log frame has been among the top three issues noted by QAG since 2008. Projects reviewed by QAG that followed the operational instructions issued by PMD in 2015 were notably of better quality, although there is still scope for improvement in showing closer linkages between the farm budget and the log frame indicators, reducing the number of indicators, improving links to the RIMS, and making better use of baseline data.
  6. Economic analysis. Progress has been made on integrating economic and financial analysis systematically into project design, with the support of IFAD-specific guidelines on economic and financial analyses and staff training. Issues encountered during 2015 related to clarifying the appropriate methodology for including or excluding subsidies in the economic analysis and farm income models, and the use of discount rates.
  7. Lessons learned. Despite the emphasis on scaling up, the analysis of outcomes (lessons learned) from previous IFAD experience is not consistently presented as a basis for informing design approaches, and considerable scope remains to ensure that the context of IFAD's history of engagement in a given environment is fully leveraged as a core aspect of every design.
  8. Social, Environmental and Climate Assessment Procedures (SECAP). Implementation of IFAD's new Social, Environmental and Climate Assessment Procedures (SECAP) triggered discussions on how best to operationalize the new requirements, and to define roles and responsibilities for developing, reviewing and clearing environmental and social assessments, frameworks and plans. The optimal timing and scope of the assessments in the context of design processes and during the implementation phase were also discussed. In 2016 QAG, working with PMD, will further clarify and strengthen the operational modalities of SECAP implementation.
- B. Efficacy of IFAD's quality assurance system**
9. Restructuring. In October 2014 the newly restructured QAG was formally established, reporting to the Vice-President, with three core functions: (i) to support the IFAD President as Chair of the Operational Strategy and Policy Guidance Committee (OSC) in the clearance and further development of COSOPs, loan and grant concept notes and operational strategy and policy papers for IFAD's governing bodies; (ii) to further enhance the high quality of the loans and grants cleared by the QA review committees chaired by the Vice-President; and (iii) to deliver robust knowledge products and facilitate knowledge-sharing within IFAD,

based on lessons learned from QA review processes, and as an outcome of the IFAD grants policy.

10. Efficacy of QAG. Efforts continue to be made to provide greater coherence in the QA review process, linking OSC recommendations made at concept note and COSOP stage with QA reviews at final design, strengthening the link to the QE process and identifying synergies with relevant grant proposals. During 2015, there was a shift to review the grant components of larger loan investments together at the QA stage. QAG started to shape the concept for the development of a community of practice with other institutions who are also managing quality-at-entry assessments, as a basis for improving IFAD's QA process, approach, data collection and documentation.
11. QUASAR system. The Quality Assurance Archiving System (QUASAR) was expanded to integrate other review processes beyond the QA of loans. The QA concept note review is carried out in QUASAR, a prototype of the QE review workflow is currently being developed by PTA and ICT, and QUASAR for grants is being developed. Future expansion includes COSOP reviews, QA at QE reviews, and the OSC issues paper. One of the focuses of future development will be knowledge management and related aspects, such as generating reports and running statistical analysis.

### C. Preliminary reporting on the Policy for Grant Financing

12. During 2015, there were significant changes as a result of the new policy and its implementing procedures, although the policy entered into force in January 2016. These changes include: (a) submission of global/regional grant proposals according to pre-determined priority areas, to ensure greater strategic focus and alignment to corporate priorities; (b) allocation of global/regional grant resources based on a competitive review of grant concept notes; (c) introduction of the QA Grant Committee, chaired by the Vice-President; and (d) strong emphasis on competitive selection of grantees, knowledge management, supervision and interdivisional collaboration.
13. OSC for grant concept notes review 2015. A total of 55 global/regional grant concept notes were submitted to and reviewed by the OSC. Of these, 47 were cleared to enter the pipeline, two were to be resubmitted with changes and six were rejected. The recurrent strengths of these concept notes were their high relevance to IFAD priorities, increasingly competitive selection of recipients, a high degree of intradivisional and intradepartmental collaboration and better profiling of cofinancing. The more common weaknesses included the need to further develop the knowledge management dimension and the need to include indicative quantifications of target groups and their gender disaggregation.
14. Grant QA in 2015. QA reviews took place for 60 grant proposals; of these, only one proposal was rejected and the remaining 59 were cleared. Of these 59 grant proposals, the President subsequently rejected one, taking the total number of grants approved in 2015 to 58. In general, QAG and the QA Committee noted that there had been an overall improvement in the quality of grant proposals, many of which were significantly more strategic and aligned with corporate priorities than in previous years. This was considered a result of the introduction of the grants OSC process. Recurrent issues raised at QA stage were the need to fine-tune targeting, strengthen the links between the proposed grants and country programmes, and further develop the knowledge management and learning dimensions.
15. Preliminary data. The 2015 Policy for Grant Financing includes a commitment for QAG to report on the implementation of the policy, as specified in the results framework and performance indicators included as annex 1 of the policy. Although the policy only came into effect in 2016, this RIDE report includes some preliminary data for 2014 and 2015<sup>36</sup> (see table below).

<sup>36</sup> However, because the policy was not yet implemented in 2015, indicator 1a is not available while indicators from grant status reports (GSRs) (i.e. 2a, 2b, 2c, and 4b) only reflect PMD data (i.e. 98 GSRs were analysed).

## Results framework and performance indicators for Policy for Grant Financing implementation<sup>37</sup>

Expected results and performance indicators	2014 (baseline)	2015	2018 target
<b>1. Improved relevance and focus of grant-funded projects</b>			
(a) Percentage of grant-funded projects with an overall rating of 4 or better at entry	Not available for 2014	Not available for 2015	90%
(b) Percentage of grantees selected via competitive processes	Global/regional: 4%	Global/regional: 30%	Global/regional: 70%
<b>2. Increased effectiveness and impact of grant-funded projects</b>			
(a) Percentage of grant-funded projects rated 4 or better at completion for effectiveness	Not available for 2014	100% <sup>38</sup>	80%
(b) Percentage of grant-funded projects rated 4 or better for overall implementation progress	92%	95%	95%
(c) Number of grants resulting in scaled up development interventions, including IFAD investment projects	Not available for 2014	31	30
(d) Cofinancing mobilized by partners of IFAD grant-funded projects per IFAD dollar <sup>39</sup>	1.3 : 1 <sup>40</sup>	1.3 : 1	1.5 : 1
<b>3. Greater efficiency in grant management</b>			
(a) Number of (working) days required to process both small and large grants, from clearance of concept note to final approval	Small: 186 Large: 193 <sup>41</sup>	Small: 125 Large: 174	Small: 150 Large: 180
(b) Number of ongoing grants in the IFAD portfolio <sup>42</sup>	205	187	150
(c) Average size of grants <sup>43</sup>	USD 0.81 m	USD 1.11	USD 1.44 m
(d) Proportion of the value of small grants approved versus the total grant allocation (does not include loan component grants)	25.6%	15% <sup>44</sup>	10%
<b>4. Enhanced knowledge generation and dissemination</b>			
(a) Percentage of grants with a knowledge management plan and budget at quality assurance	88%	92%	90%
(b) Percentage of grants rated 4 or better for knowledge management and sharing in grant status reports	94%	97%	95%

<sup>37</sup> The 2015 Policy for Grant Financing only came into effect in 2016. Therefore indicator 1a is not available, as ratings will only be introduced for the QaE in the 2016 cohort, while indicators from GSRs (i.e., 2a, 2b, 2c, and 4b) only reflect PMD data (i.e. 98 GSRs were analysed).

<sup>38</sup> Only one division (PTA) reported on this indicator in 2015, thus the total number of GSRs analysed for PTA-managed grants completed is 13.

<sup>39</sup> Does not include loan component grants.

<sup>40</sup> Excluding cofinancing for grants to World Food Programme for the Ebola emergency response and to the Jordan River Foundation for the Zaatari refugee camp, which are considered outliers and where IFAD contributed a relatively small amount of funding to major multi-donor contributions.

<sup>41</sup> The baseline refers to the divisional strategic workplan for global regional grants cleared, and excludes country-specific grants, as no concept notes were submitted.

<sup>42</sup> Does not include loan component grants and projects completed.

<sup>43</sup> Refers to grants approved.

<sup>44</sup> With reference to global/regional grants only, this figure is equivalent to 9 per cent of the total value of grant operations.

## Progress report on the Adaptation for Smallholder Agriculture Programme

### Adaptation for Smallholder Agriculture Programme financial status

1. The Adaptation for Smallholder Agriculture Programme (ASAP) financial position in May 2016 was as follows:

Table 1

<i>Donor</i>	<i>Year</i>	<i>Currency</i>	<i>Amount</i>	<i>US\$ equivalent</i>
Belgium	2012	EUR	6 000 000	8 583 691
Canada	2012	CAD	19 849 000	20 347 514
Finland	2014	EUR	5 000 000	7 153 076
Flanders (Belgium)	2014	EUR	2 000 000	2 861 230
Netherlands	2012	EUR	40 000 000	57 224 607
Norway	2013/2014/2015	NOK	63 000 000	11 580 031
Republic of Korea	2015	USD	3 000 000	3 000 000
Sweden	2013	SEK	30 000 000	4 729 027
Switzerland	2013	CHF	10 000 000	11 844 131
United Kingdom	2012/2013/2014	GBP	115 300 000	239 175 551
<b>Total</b>				<b>366 498 858</b>

### ASAP programming status

2. Since the programme's inception in September 2012, 36 ASAP-supported projects were approved by the Executive Board, committing an amount of US\$285 million from the ASAP Trust Fund to concrete actions that help smallholder farmers adapt to the impacts of climate change (see table 2).

### ASAP implementation

3. As at May 2016, 36 ASAP-supported projects have signed government agreements and commenced implementation. Of these, 17 ASAP-supported projects have begun to disburse ASAP grant financing. One ASAP-supported project (in Yemen) has been suspended due to a violent conflict situation. Total disbursements under the ASAP Trust Fund in June 2016 amount to US\$28.3 million, including design funds.
4. The first generation of results from projects actively disbursing ASAP financing is captured in project supervision reports and includes the intermediate deliverables summarized in table 3. Aggregated results projections for ASAP-supported projects approved by the Executive Board as of May 2016 are summarized in table 4.

### ASAP knowledge management and communications

5. ASAP knowledge management processes are rooted in field-based analytical work. The main activities at project level that generate knowledge are:
  - External research and studies to support investment design and portfolio-level learning. This includes climate risk and vulnerability assessments, thematic working papers on climate information, climate-smart technologies, gender equality in climate change adaptation, carbon benefits of adaptation and economic benefits of climate adaptation. It also includes dedicated research undertaken by academic institutions or Master's/PhD students on specific project aspects.
  - Supervision missions, which are expected to identify and capture lessons learned from project implementation and document good practices.
  - Project activities/events focusing on knowledge generation and dissemination, such as participatory adaptation planning workshops,

capitalization workshops, farmers' exchanges, farmer field schools, and other training and awareness activities. Many of these activities are captured in written reports, audio or video files.

- Impact assessments of ASAP-supported projects that are developing sets of baseline data that go beyond business as usual, capturing the livelihood situation of project beneficiaries in a more comprehensive way and with a counterfactual in mind. To date, such impact assessments are planned or under way for ASAP-supported projects in the Plurinational State of Bolivia, Mali, Nepal and Nicaragua.
6. The clients for knowledge generated by the ASAP portfolio are IFAD donors, with a view on scaling up what works and better decision-making around climate finance; IFAD staff, for improved climate mainstreaming and policy dialogue with governments on resilience issues; other IFAD and ASAP-supported projects, to support the transfer of appropriate technologies and know-how; IFAD knowledge partners, for mutual learning, collaborative efforts and advocacy; and the international community for stronger positioning and support of smallholders in climate negotiations. A number of mechanisms and dissemination channels have been set up to ensure that knowledge reaches these clients, including:
- A web-based platform, currently under construction in collaboration with the CGIAR research programme on Climate Change, Agriculture and Food Security (CCAFS), that will allow users to browse and filter content generated by ASAP-supported projects, such as working papers, maps, videos, photos and thematic studies. Filtering will be by country and topic. The platform will be available for registered users, including the country offices of ASAP donors.
  - Technical publications developed in partnership with the Policy and Technical Advisory Division (PTA) and shared with internal and external partners. They include toolkits such as how to do notes and scaling up notes, guidelines and country policy learning briefs.
  - Learning events with IFAD partners and donors, such as webinars and lectures in collaboration with partner programmes. Webinars on climate-smart agriculture have been undertaken with the Dutch development cooperation and the United Kingdom's Department for International Development (DFID).
  - Study tours between projects, which are financed by project budgets and part of project learning commitments.
  - South-South exchange events, which bring together a number of projects on a regional/global basis to discuss topics of common interest (starting in 2016).
  - Global engagement, bringing project experiences and lessons to global forums such as the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties (COP). This also includes enabling project staff to participate in international and regional events that have climate relevance.
  - Advocacy publications, which reach a wider public and are experiences from project design and implementation.
7. Over the course of 2015, IFAD has produced and distributed 20 ASAP project factsheets and six how to do notes; three top line advantage reports on mitigation, policy and traditional knowledge; and nine recipe for change (R4C) recipe cards. The main target of advocacy and outreach was COP21 in Paris in December 2015. Media coverage from IFAD's outreach through media events and media releases can be valued in terms of advertising equivalency at an estimated US\$2 million.

Through the R4C campaign, ASAP was featured in 2,000 publications including major media outlets such as Associated Press, Thomson Reuters, Inter Press Service, New York Times, Devex International Development, Libération and Nuestra Tele Noticias 24 Horas (NTN24 TV). A media and donor event with IFAD's Vice-President and Italian celebrity chef Carlo Cracco included journalists from Thomson Reuters, Alertnet, The Guardian, Agence France-Presse, Devex International Development, Deutsche Welle and Le Monde.



Table 2  
**ASAP-supported projects approved by the IFAD Executive Board to date (as at April 2016)**

<i>Region*</i>	<i>Country</i>	<i>Project name</i>	<i>Country financial terms*</i>	<i>ASAP allocation US\$</i>	<i>Grant type*</i>	<i>Executive Board date</i>	<i>Total amount ASAP disbursed</i>	<i>Thematic focus</i>
APR	<b>Bangladesh</b>	Climate Adaptation and Livelihood Protection Project	HC	15 047 193	AG	Sep-13	3 317 847	Village protection to prevent flood damage; diversified food production and income generation systems; capacity-building on climate risk management; flash flood early warning system
APR	<b>Bhutan</b>	Commercial Agriculture and Resilient Livelihoods Enhancement Programme	DSF/HC	5 022 615	FB	Sep-15		Climate resilient agriculture systems (permaculture), value chains, dairy and irrigation; renewable energy technologies; and policy dialogue on building resilience to climate change in the agriculture sector
APR	<b>Cambodia</b>	Agriculture Services Programme for Innovation, Resilience and Extension (ASPIRE)	HC	14 995 000	FB	Dec-14	2 338 925	Mainstreaming climate risk resilience into agricultural extension services; participatory scenario development; climate risk information and early warning services; promotion of no-regrets technologies to manage climate variability and hazards (system of rice intensification, agro-silvopastoral systems, conservation agriculture, biogas)
APR	<b>Lao People's Democratic Republic</b>	Laos Food and Nutrition Security and Market Linkages Programme	D	5 000 000	AG	Apr-15		Participatory climate vulnerability risk assessment and scenario development; development of community-based adaptation investment plans; investments in small-scale water infrastructure and community-based forest management (adaptation fund); enhancing climate risk management capacity at policy and planning levels
APR	<b>Nepal</b>	Adaptation for Smallholders in Hilly Areas Project (ASHA)	DHC	14 999 000	FB	Sep-14	13 000	Participatory climate risk and vulnerability assessments; development of local adaptation plans; sustainable land, water and forest management; diversification of crops; improved storage systems
APR	<b>Viet Nam</b>	Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	HC	12 000 136	FB	Dec-13	1 299 163	Combined rice/aquaculture systems, salinity monitoring and management in soil and groundwater; saline-tolerant catfish breeding, institutional capacity development
ESA	<b>Burundi</b>	Value Chain Development Programme – Phase II (PRODEFI-II)	HC	4 926 000	FB	Sep-15		Improved livestock management to enable soil regeneration, improving infrastructure to protect agricultural production from extreme events, supporting the development of risk management plan at the landscape level, designing and applying revised building codes

ESA	<b>Kenya</b>	Kenya Cereal Enhancement Programme – Climate-Resilient Agricultural Livelihoods Window (KCEPCRAL)	HC	10 000 000	FB	Apr-15		Community-based vulnerability mapping and natural resources management; strengthening of agro-meteorological services; modelling food security; multiple benefit interventions for soil and water conservation that also reduce GHG emissions (e.g. conservation agriculture, agroforestry, renewable energy)
ESA	<b>Lesotho</b>	Wool and Mohair Promotion Project (WAMPP)	DSF/HC	7 000 000	FB	Sep-14		Climate change adaptation in wool and mohair value chains; community-based rangeland management; strengthening access of herders to agro-meteorological information; applied research to optimize livestock management practices; disease early warning
ESA	<b>Madagascar</b>	Project to Support Development in the Menabe and Melaky Regions – Phase II (AD2M-II)	HC	6 000 000	FB	Sep-15		Consolidation of existing and creation of new irrigation-based “development poles”; these are areas with high production potential combined with other necessary conditions for development. The ASAP is adding catchment management around these areas, climate “proofing” of irrigation system design and crops grown, diversification of water resource management options, spatially based planning capacity-building with local government, diversification of livelihood options for beneficiaries
ESA	<b>Malawi</b>	Programme for Rural Irrigation Development (PRIDE)	DSF/HC	7 063 000	FB	Dec-15		Watershed management; landscape-level ecosystem management; sustainable agricultural intensification; climate proofing of irrigation schemes
ESA	<b>Mozambique</b>	Pro-Poor Value Chain Development Project in the Maputo and Limpopo Corridors	HC	4 907 560	FB	Sep-12	494 256	Climate change adaptation in value chains for irrigated horticulture, cassava and red meat; improved water management and irrigation; strengthening of the weather station network; community-based natural resource management plans; pest and disease monitoring
ESA	<b>Rwanda</b>	Post-Harvest and Agribusiness Support Project	DSF/HC	6 923 865	FB	Dec-13	1 449 151	Climate-resilient post-harvest processing and storage for maize, cassava, bean, potato and dairy value chains; improvement of climate information services and storage building codes
ESA	<b>United Republic of Tanzania</b>	Bagamoyo Sugar Infrastructure and Sustainable Community Development Programme	HC	10 000 000	FB	Dec-15		Establishment of ecosystem buffer zones, landscape-level management and livelihood diversification around the Bagamoyo sugarcane outgrower scheme
ESA	<b>Uganda</b>	Programme for Restoration of Livelihoods in the Northern Region (PRELNOR)	HC	10 000 000	FB	Dec-14		Efficient and sustainable water management practices
LAC	<b>Bolivia (Plurinational State of)</b>	Economic Inclusion Programme for Families and Rural Communities in the Territory of the Plurinational State of Bolivia with funding from the Adaptation for Smallholder	Blend	9 999 815	AG	Dec-13	1 471 023	Inventorizing indigenous adaptation knowledge; community-based natural resource management at landscape-level; climate information management; competitions for community-based adaptation

		Agriculture Programme (ACCESOS-ASAP)						
LAC	<b>Ecuador</b>	Project to Strengthen Rural Actors in the Popular and Solidary Economy (FAREPS)	Blend	4 000 000	FB	Sep-15		Livelihood diversification and capacity development of popular solidary economy organizations, associations, cooperatives, communes and communities; development of climate resilient and culturally and environmentally sustainable market-oriented production models
LAC	<b>El Salvador</b>	National Programme of Rural Economic Transformation for Living Well - Rural Adelante	Blend	5 000 000	FB	Dec-15		Promotion of research, extension, education and training services to develop climate resilient value chains: the setting up of a climate information services is a key element of the programme.
LAC	<b>Nicaragua</b>	Adapting to Markets and Climate Change Project (NICADAPTA)	DHC	8 000 293	FB	Dec-13	800 000	Sustainable water resources management, agricultural diversification and strengthening of meteorological services in coffee and cocoa value chains
LAC	<b>Paraguay</b>	Project for Improved Family and Indigenous Production in Departments of Eastern Paraguay	O	5 093 000	FB	Dec-15		Focus on livelihood diversification and climate risk management in agricultural value chains
NEN	<b>Djibouti</b>	Programme to reduce vulnerability in coastal fishing areas	HC	5 996 000	FB	Dec-13	719 520	Reducing climate risks in fisheries value chains; participatory management of coastal resources; protection of coastal infrastructure; improved post-harvest cooling and storage; improving access to fresh water for fisheries value chains; protection of coastal mangrove ecosystems and coral reefs
NEN	<b>Egypt</b>	Sustainable Agriculture Investments and Livelihoods Project	O	5 000 000	FB	Dec-14	547 347	Climate-smart irrigation and rural infrastructure (with a focus on water management); diversified crop production; climate information services
NEN	<b>Kyrgyzstan</b>	Livestock and Market Development Programme II	DHC	9 999 520	FB	Dec-13	400 000	Protection of livestock from climate-related disasters and diseases; community-based management and restoration of degraded pastures and rangelands; climate-resilient dairy value chain; early warning systems
NEN	<b>Morocco</b>	Rural Development Programme in the Mountain Zones – Phase I	O	2 004 000	FB	Sep-14		Diversification of livelihoods and energy systems; water-efficient irrigation systems
NEN	<b>Sudan</b>	Livestock Marketing and Resilience Programme	D	7 000 000	FB	Dec-14		Food security, income diversification and climate resilience for poor households in pastoralist and agro-pastoralist communities; rehabilitation of depleted rangelands
NEN	<b>Tajikistan</b>	Livestock and Pasture Development Project II (LPDP II)	DSF	5 000 000	FB	Dec-15		Improved rangeland management and diversification of livestock-based livelihoods
NEN	<b>Yemen</b> (Suspended)	Rural Growth Programme	D	10 191 015	FB	Dec-13		Integrated watershed management; water conservation in drought prone areas; rehabilitation and improvement of rural feeder roads; diversifying energy systems in rural areas

WCA	<b>Benin</b>	Market Gardening Development Support Project	HC	4 500 000	FB	Dec-15		Improved water management and integrated pest control in horticulture
WCA	<b>Chad</b>	Project to Improve the Resilience of Agricultural Systems in Chad (PARSAT)	DHC	5 000 000	FB	Dec-14	291 597	Efficient water management for agricultural production; farmer field schools with climate change adaptation training; access to climate resilient farming inputs (such as drought-resistant crop varieties)
WCA	<b>Côte d'Ivoire</b>	Support to Agricultural Production and Marketing Project – Western expansion	DHC	6 994 750	FB	Sep-14	571 772	Integration of climate risk management into agronomic value chains; improved drainage in lowland field rice production; sustainable land management in uplands
WCA	<b>Gambia (The)</b>	National Agricultural Land And Water Management Development Project	HC	5 000 000	AG	Dec-15	800 000	Resilient lowland rice production and ecosystem rehabilitation (mangroves)
WCA	<b>Ghana</b>	Ghana Agricultural Sector Investment Programme (GASIP)	DHC	10 000 000	FB	Apr-14	800 000	Integration of climate risk management into agricultural value chains; scaling up efficient irrigation and sustainable land management technologies
WCA	<b>Liberia</b>	Tree Crops Extension Project (TCEP)	HC	4 500 000	FB	Dec-15		Resilience of coffee and cocoa production systems to climate change
WCA	<b>Mali</b>	Fostering Agricultural Productivity Project in Mali – Financing from the Adaptation for Smallholder Agriculture Programme (PAPAM/ASAP)	DHC	9 942 704	AG	Dec-13	2 351 280	Increased ecosystem and smallholder resilience through farmers' access to renewable energy technologies, local planning and access to weather information
WCA	<b>Niger</b>	Family Farming Development Programme (ProDAF) in the regions of Maradi, Tahoua and Zinder	DHC	13 000 000	FB	Apr-15	739 255	Improving the resilience of agro-sylvo-pastoral production systems through sustainable and integrated watershed management including sustainable land management and improved water management; strengthening the institutional and regulatory framework for sustainable natural resources management
WCA	<b>Nigeria</b>	Climate Change Adaptation and Agribusiness Support Programme in the Savannah Belt	HC	14 949 000	FB	Dec-13		Integration of climate risk management into rural agribusiness value chains; improving access to diversified, renewable energy sources; water harvesting, water points and erosion control

**\* LEGEND**

**Lending terms**

D = 100% grant – debt sustainability countries

DHC = 50% grant, 50% HC

DSF = Debt Sustainability Framework

HC = highly concessional – 40 years repayment, 0.75% annual cost, 10-year grace period

O = ordinary terms

Blend = same cost as HC but repayment over 20 not 40 years

**Regions**

APR = Asia and the Pacific

ESA = East and Southern Africa

LAC = Latin America and the Caribbean

NEN = Near East, North Africa and Europe

WCA = West and Central Africa

**Grant type**

AG = additional grant  
(added to an ongoing investment programme)

FB = fully blended grant  
(co-programmed with IFAD baseline investments)

Table 3  
Intermediate results delivered by ASAP-supported projects under implementation

Country	Project title	Entry into force	% of ASAP funding disbursed	Intermediate results*
Bangladesh	Climate Adaptation and Livelihood Protection Project	4 Sep 2014	22%	<ul style="list-style-type: none"> <li>• 3 units of village protection and 12 units of village service infrastructure (walkways, tube wells, drains, latrines) constructed</li> <li>• 1 raised earthen platform constructed for storing emergency rice harvest from flood damage</li> <li>• 1 km of road slopes protected</li> <li>• 1,810 people trained in village forestry, pond fishery and alternative livelihoods</li> </ul>
Viet Nam	Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	28 March 2014	10%	<ul style="list-style-type: none"> <li>• 8,171 individuals engaged in climate risk management and natural resource management planning</li> <li>• US\$306,000 worth of infrastructure protected from extreme weather events</li> <li>• Climate-informed socio-economic development planning established and rolled out in 92 communes</li> <li>• 149 climate change adaptation models identified and 48 models replicated through co-investments with 194 households</li> <li>• 160 infrastructure schemes in 60 communes approved for funding by Commune Investment Fund</li> </ul>
Cambodia	Agriculture Services Programme for Innovation, Resilience and Extension (ASPIRE)	5 March 2015	16%	<ul style="list-style-type: none"> <li>• Farmer needs assessment guidelines drafted for five provinces</li> <li>• Extension materials for climate-smart agriculture developed, including 5 videos on rice and vegetable production (stress-tolerant varieties, cropping calendars), chicken and pig raising and small-scale aquaculture</li> <li>• Farmer field school guidelines for provincial and district teams drafted for training courses with farmers and small learning groups</li> <li>• 5 provincial start-up workshops organized on Infrastructure Supporting Climate Resilient Agriculture</li> <li>• Prioritization of 15 districts and 60 communes for the targeting of programme interventions</li> <li>• Training courses delivered on post-harvest techniques (326 farmers) and rice seed production (562 farmers)</li> </ul>
Mozambique	Pro-poor Value Chain Development Project in the Maputo and Limpopo Corridors	3 Oct 2012	10%	<ul style="list-style-type: none"> <li>• 26,335 household members supported to cope with the impacts of climate change</li> <li>• 5,952 households in vulnerable areas with increased water availability for agricultural production and processing</li> <li>• 6 agricultural production/processing facilities in vulnerable areas with increased water availability</li> <li>• 26,335 Individuals and 161 groups involved in climate risk management and natural resources management</li> <li>• US\$ 567,851 worth of infrastructure protected from extreme weather events</li> <li>• Pilot shade cloth protected house established and community supplying shoprite with horticultural products</li> <li>• 4 national and international policy processes on climate issues to which the project is contributing</li> </ul>
Rwanda	Post-Harvest and Agribusiness Support Project	28 March 2014	21%	<ul style="list-style-type: none"> <li>• 18,168 household members supported to cope with the impacts of climate change</li> <li>• 2,600 individuals receiving daily weather forecasts by SMS in Ki-Rwandan</li> <li>• 10 Agricultural production/processing facilities in vulnerable areas with increased water availability</li> <li>• 30,000 households in receipt of hermetically sealed grain bags</li> <li>• 1156 individuals and 46 community groups involved in climate risk management and natural resources management</li> <li>• US\$885,462 worth of infrastructure protected from extreme weather events</li> <li>• 4 national and international policy processes on climate issues to which the project is contributing</li> </ul>
Nicaragua	Adapting to Markets and Climate Change Project (NICADAPTA)	1 July 2014	10%	<ul style="list-style-type: none"> <li>• Formulation of 40 investment projects to support climate-smart coffee and cocoa production</li> <li>• 1 investment project approved benefiting 250 families (establishment of 30 community nurseries; training on conservation agriculture and organic fertilizer management; provision of fruit trees and musaceous forest; establishment of 3,000 m<sup>3</sup> of irrigation canals and 5,000 m<sup>3</sup> of small dikes; training of 40 young people as promoters and technicians of climate-smart agriculture</li> <li>• 1 investment project approved benefiting 44 men and 23 women (9 young people). The project establishes 18 community coffee nurseries and promotes capacity-building on adaptation to climate change</li> </ul>
Bolivia (Plurinational State of)	Economic Inclusion Programme for Families and Rural Communities in the Territory of the Plurinational State of Bolivia with funding from the Adaptation for Smallholder	17 March 2014	15%	<ul style="list-style-type: none"> <li>• 10,626 household members supported to cope with the impacts of climate change</li> <li>• 86 hectares of land with rehabilitated or restored ecosystem services</li> <li>• Assessment of the status of agro-climatic information systems and practices in disaster risk reduction and climate change adaptation. Geo-referencing and inclusion of agro-climatic information in 55 "mapas parlantes" in 16 municipalities</li> </ul>

Agriculture Programme (ACCESOS-ASAP)				
Djibouti	Programme to reduce vulnerability in coastal fishing areas (PRAREV)	1 August 2014	9%	<ul style="list-style-type: none"> <li>• Geo-spatial analysis and field studies of mangrove forests (Godoria) and reefs (Seven frères, Les îles Mousha/Maskhali, Arta/Goubet) undertaken and adopted by Government for investment planning</li> <li>• Community mobilization for livelihood diversification and capacity development activities initiated</li> <li>• Convention signed with FAO in relation to the establishment of a monitoring and evaluation system for fishing resources and the establishment of natural resources co-management mechanisms</li> <li>• Convention signed with the Djiboutian Center for Studies and Research (CERD) in relation to the establishment of a monitoring and analysis system of marine environment</li> <li>• Convention signed with the Directorate of Maritime Affairs (DAM) for the execution of coral reefs protection strategies</li> </ul>
Kyrgyzstan	Livestock and Market Development Programme II	6 August 2014	4%	<ul style="list-style-type: none"> <li>• 80 community groups mobilized and engaged in the climate-proofing of pasture management plans</li> <li>• Mobilization of government departments to climate-proof pasture management activities across 3 additional regions in the country (expanding the projects' outreach and scale)</li> <li>• Remote sensing analysis of pastures to inform M&amp;E and impact assessment designs</li> </ul>
Egypt	Sustainable Agriculture Investments and Livelihoods Project	15 June 2015	11%	<ul style="list-style-type: none"> <li>• Preparatory works: establishment of project team, sensitization of implementing institutions</li> </ul>
Mali	Fostering Agricultural Productivity Project in Mali – Financing from the Adaptation for Smallholder Agriculture Programme (PAPAM/ASAP)	21 Jan 2014	24%	<ul style="list-style-type: none"> <li>• 5,485 household members supported to cope with the impacts of climate change</li> <li>• 6,235 Individuals and 10 groups engaged in climate risk management and natural resources management at landscape level</li> <li>• 155 biogas digesters and 50 solar panels installed</li> <li>• 10 municipal plans for adapting to climate change developed through participatory mapping</li> <li>• Partnership agreement with Mali Meteo, Agence de l'Environnement du Développement Durable (AEDD), Association des Organisations Professionnelles Paysannes (AOPP), Agence malienne pour le développement de l'électrification rurale, Agence nationale de développement des biocarburants, Système d'Information Forestier (SIFOR) established</li> </ul>
Chad	Project to Improve the Resilience of Agricultural Systems in Chad (PARSAT)	17 Feb 2015	6%	<ul style="list-style-type: none"> <li>• Preparatory works: Sensitization of implementing institutions, baseline analysis, identification of service providers</li> </ul>
Côte d'Ivoire	Support to Agricultural Production and Marketing Project – Western expansion	21 Nov 2014	8%	<ul style="list-style-type: none"> <li>• Preparatory works: Sensitization of implementing institutions, baseline analysis, identification of service providers</li> </ul>
Niger	Family Farming Development Programme (ProDAF) in the regions of Maradi, Tahoua and Zinder	21 Sep 2015	6%	<ul style="list-style-type: none"> <li>• Preparatory works: Three autonomous regional project management units established</li> <li>• Sensitization of implementing institutions and partners</li> <li>• Baseline analysis</li> </ul>
Ghana	Ghana Agricultural Sector Investment Programme (GASIP)	18 May 2015	8%	<ul style="list-style-type: none"> <li>• Preparatory works: Sensitization of implementing institutions (Environmental Protection Agency, Ministry of Food and Agriculture, Ghana Met Services, Centre for Remote Sensing and Geographic Information Services and Forestry Commission), baseline analysis, identification of service providers</li> <li>• Identification of sites for conservation agriculture</li> <li>• Evaluation of existing solar pump irrigation systems for adoption and scaling up</li> </ul>
Gambia (The)	Strengthening Climate Resilience of the National Agricultural Land and Water Management Development Project (CHOSSO)	11 March 2016	16%	<ul style="list-style-type: none"> <li>• 25 communities assessed and sensitized on communal watershed planning (beneficiary groups established for training, operation and maintenance of physical infrastructure)</li> <li>• Expansion of upland conservation works (contour bunds, diversion structures, gully plugs), lowlands development works (dikes, spillways, causeways, bridges) and tidal irrigation schemes prioritized</li> </ul>

\* Results extracted from project supervision reports (does not constitute a comprehensive listing of project results). For further details, please refer to the latest supervision reports published on [www.ifad.org/what](http://www.ifad.org/what) under the corresponding country page and project name.

Table 4  
Results programmed by ASAP-supported projects approved between September 2012 and April 2016<sup>45</sup>

<i>ASAP results hierarchy</i>	<i>ASAP results at global portfolio level</i>	<i>Portfolio results indicators</i>	<i>2020 target</i>	<i>Programmed to date</i>
<b>Goal</b>	<b>Poor smallholder farmers are more resilient to climate change</b>	1. # of poor smallholder household members whose climate resilience has been increased	8,000,000	6,140,664 household members
<b>Purpose</b>	<b>Multiple- benefit adaptation approaches for poor smallholders farmers are scaled up</b>	2.% of new investments in ENRM in IFAD9 compared to IFAD8 <sup>46</sup>	20%	376%
		3. Leverage ratio of ASAP grants versus non-ASAP financing	1:4	1:7.4
		4.% extent of land and ecosystem degradation in productive landscapes	minus 30%	Impacts to be aggregated across the global ASAP portfolio
		5. # of tonnes of GHG emissions (CO <sub>2</sub> e) avoided and/or sequestered	80,000,000	Impacts to be aggregated across the global ASAP portfolio
<b>Outcome 1</b>	<b>Improved land management and gender sensitive climate resilient agricultural practices and technologies</b>	6. # hectares of land managed under climate resilient practices	1,000,000 hectares	1,673,330 hectares plus 15 watersheds
<b>Outcome 2</b>	<b>Increased availability of water and efficiency of water use for smallholder agriculture production and processing</b>	7. # households, production and processing facilities with increased water availability	100,000 households	99,049 households plus 2,587 facilities
<b>Outcome 3</b>	<b>Increased human capacity to manage short and long-term climate risks and reduce losses from weather - related disasters</b>	8. # of individuals (including women), community groups engaged in climate risk management, ENRM or Disaster Risk Reduction activities	1,200 groups	598,767 individuals plus 8,734 community groups
<b>Outcome 4</b>	<b>Rural infrastructure made climate resilient</b>	9. \$ value of new or existing rural infrastructure made climate resilient	US\$ 80,000,000	US\$ 54,000,000 plus 827 kilometres of roads
<b>Outcome 5</b>	<b>Knowledge on Climate-Smart Smallholder Agriculture document and disseminated</b>	10. # of international and country dialogues on climate issues where ASAP-supported projects or project partners make an active contribution	40 dialogues	51 dialogues

<sup>45</sup> Aggregated from quantitative targets in the logical frameworks of 35 ASAP-supported projects (see table 2; ASAP Yemen excluded).

<sup>46</sup> Status July 2015. Based on the amount of climate and environmental finance (Global Environment Facility's Trust Fund, Least Developed Countries Fund, Special Climate Change Fund and Adaptation Fund; ASAP) included in IFAD investment designs during the IFAD8 (2010-2012) and IFAD9 (2013-2015) periods.

## Harmonized list of states with fragile situations agreed on by multilateral development banks and the Organisation for Economic Co-operation and Development<sup>47</sup>

Region	Country
APR	Afghanistan
APR	Bangladesh
APR	Timor-Leste
APR	Kiribati
APR	Democratic People's Republic of Korea
APR	Myanmar
APR	Nepal
APR	Pakistan
APR	Solomon Islands
APR	Sri Lanka
ESA	Burundi
ESA	Comoros
ESA	Eritrea
ESA	Ethiopia
ESA	Kenya
ESA	Madagascar
ESA	Malawi
ESA	Rwanda
ESA	South Sudan
ESA	Uganda
ESA	Zimbabwe
LAC	Haiti
NEN	Bosnia and Herzegovina
NEN	Egypt
NEN	Iraq
NEN	Kosovo
NEN	Libya
NEN	Palestine
NEN	Somalia
NEN	Sudan
NEN	Syrian Arab Republic
NEN	Yemen
WCA	Cameroon
WCA	Central African Republic
WCA	Chad
WCA	Congo
WCA	Democratic Republic of the Congo
WCA	Côte D'Ivoire
WCA	Guinea
WCA	Guinea-Bissau
WCA	Liberia
WCA	Mali
WCA	Mauritania
WCA	Niger
WCA	Nigeria
WCA	Sierra Leone
WCA	Togo

<sup>47</sup> The list comprises countries included in the World Bank Group's Harmonized List of Fragile Situations for FY15 and countries classified as fragile by the OECD for 2015. Data retrieved on 28 April 2016.