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Investir dans les populations rurales

Rapport de synthèse d'évaluations sur la gestion des ressources naturelles et de l'environnement

Note aux membres du Comité de l'évaluation

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Résumé

I. Contexte

1. Cette synthèse d'évaluations examine l'appui que le FIDA a fourni à la gestion des ressources naturelles et de l'environnement (GRNE) au cours des dernières années. Comme d'autres institutions financières internationales (IFI), depuis quelques décennies, le FIDA s'attache à faire une plus large place à la GRNE dans ses opérations. Mais, comme la quasi-totalité des autres IFI, le FIDA fait l'objet d'un examen attentif de la part de diverses parties prenantes pour savoir s'il y parvient aussi bien qu'il le devrait. En approuvant le programme de travail 2014 du Bureau indépendant de l'évaluation du FIDA (IOE), le Conseil d'administration a donc demandé à IOE d'effectuer une synthèse d'évaluations sur les interventions du FIDA relatives à la GRNE.
2. Dans la Politique de gestion des ressources naturelles et de l'environnement (2011) du FIDA, l'expression "gestion des ressources naturelles et de l'environnement" (GRNE) renvoie à "l'utilisation et à la gestion du milieu naturel, y compris des ressources naturelles prises au sens des matières premières remplissant une fonction socioéconomique et culturelle, et des écosystèmes et de la biodiversité, ce qui comprend les biens et les services qu'ils fournissent". Le concept sous-jacent est celui de la durabilité: veiller à ce que l'utilisation des ressources naturelles profite aux pauvres en appuyant les moyens de subsistance et les possibilités de revenus sans dégrader les ressources. Elle se distingue de l'interprétation plus classique de la gestion des ressources naturelles envisagée simplement comme des systèmes de production résultant de l'utilisation des ressources naturelles.
3. Depuis le Sommet de la terre de Rio de Janeiro tenu en 1992, il est généralement admis que les priorités en matière d'agriculture et en matière d'environnement ne sauraient être dissociées. La dégradation des ressources naturelles mine le fondement de la production agricole et accroît la vulnérabilité aux risques, ce qui nuit à la production, aux moyens de subsistance et au bien-être. Les petits agriculteurs dépendent au plus haut point de la base de ressources naturelles pour assurer leur subsistance, mais ils risquent aussi de dégrader l'environnement en adoptant des pratiques d'exploitation agricole non durables.
4. De récentes initiatives politiques mondiales ont fixé un objectif d'"intensification durable" de la production agricole – pari difficile – surtout dans le contexte de populations rurales marginales et pauvres qui doivent revoir la façon dont elles utilisent les ressources naturelles afin de maintenir leurs moyens de subsistance et accroître leurs revenus. Cette stratégie a été baptisée "révolution doublement verte".
5. Le groupe cible du FIDA est constitué de populations rurales pauvres, qui luttent pour parvenir à des moyens de subsistance durables et qui ont le plus grand besoin d'une révolution doublement verte. Mais le FIDA fait-il tout ce qu'il faut à travers ses programmes, notamment de prêt, pour "intégrer la gestion durable des actifs naturels dans les activités du FIDA et de ses partenaires", comme l'indique sa Politique de gestion des ressources naturelles et de l'environnement, pour améliorer le bien-être des ruraux pauvres grâce à une meilleure gestion des ressources naturelles productives tout en préservant l'environnement?
6. Ces dernières années, certains se sont demandé si le FIDA ne devait pas examiner sa performance dans le domaine de la GRNE. Le Rapport annuel sur les résultats et l'impact des opérations du FIDA (RARI) de 2009 a appelé l'attention sur le fait que la priorité du FIDA en matière de GRNE avait été surtout d'"éviter de nuire à l'environnement", alors qu'il avait une excellente occasion de "faire du bien à l'environnement" compte tenu de l'étendue de ses activités axées sur la gestion

des ressources naturelles. En outre, les notes de performance d'IOE pour le domaine d'impact de la GRNE étaient mauvaises.

7. L'approche actuelle du FIDA en matière de GRNE est fondée sur ses récents cadres stratégiques, les Consultations sur les reconstitution, sa Stratégie concernant le changement climatique et sa Politique de gestion des ressources naturelles et de l'environnement. Le but de cette politique est de permettre aux populations rurales pauvres d'échapper à la pauvreté de façon permanente grâce à des moyens d'existence et à des écosystèmes plus productifs et plus résilients. On constate manifestement un renforcement constant de l'engagement en faveur d'une meilleure intégration des préoccupations relatives à la GRNE dans les opérations du FIDA.
8. En particulier, de très importantes initiatives ont été lancées pour améliorer la capacité du FIDA à intégrer la GRNE avec de bons résultats, y compris la nouvelle Politique de gestion des ressources naturelles et de l'environnement, les Procédures d'évaluation sociale, environnementale et climatique (PESEC) mises à jour et la création en 2010 de la Division environnement et climat (ECD).
9. Si l'on utilise les sous-catégories d'investissement conventionnelles, l'appui du FIDA à la GRNE au cours de la période 2010-2015 a représenté 588,7 millions d'USD, soit 11,8% du financement total du FIDA, ainsi répartis: 58% sous forme de prêts, 41% au titre du Programme d'adaptation de l'agriculture paysanne (ASAP) récemment établi, et 1% sous forme de dons. Toutefois, étant donné les difficultés de mesure, il est probable que ces données ne rendent pas compte du soutien total en faveur de la GRNE.

II. Objectifs, méthodologie et processus d'évaluation

10. Compte tenu de la préoccupation concernant les résultats obtenus par le FIDA dans le domaine de la GRNE et des efforts déployés par l'institution afin de promouvoir l'intégration de la GRNE dans ses opérations, la présente synthèse d'évaluations aborde des questions clés afin de déterminer si le FIDA mène efficacement sa politique dans ce domaine. Ses objectifs spécifiques sont donc d'établir des conclusions, de faire l'inventaire des enseignements tirés et des bonnes pratiques et de formuler des recommandations pouvant apporter des éléments d'information utiles à la conception et à la mise en œuvre des politiques, stratégies et actions du FIDA, en cours et futures, en matière de GRNE.
11. L'analyse s'articule autour de quatre questions essentielles:
 - i) Avec quelle efficacité les programmes/projets agissent-ils sur les risques environnementaux potentiels?
 - ii) Dans quelle mesure les évaluations de programmes/projets mettent-elles en évidence d'éventuelles possibilités relatives à la GRNE négligées dans la conception du projet ou une prise en compte insuffisante du contexte environnemental?
 - iii) Peut-on tirer des enseignements sur l'efficacité des composantes et activités des projets touchant à la GRNE et les causes d'une bonne ou mauvaise performance?
 - iv) Que recommandent les rapports d'évaluation pour améliorer l'intégration des questions relatives à la GRNE dans la préparation, la conception et l'exécution des programmes/projets?
12. Cette synthèse d'évaluations s'appuie sur les évaluations de programme de pays¹ (EPP) et sur les évaluations de la performance du projet (EvPP) menées par IOE, ainsi que sur des auto-évaluations du FIDA/Fonds pour l'environnement mondial

¹ Conformément à la deuxième édition du Manuel de l'évaluation, les évaluations du programme de pays (EPP) sont désormais dénommées évaluations de la stratégie et du programme de pays (ESPP).

(FEM), des validations de rapports d'achèvement de projet et, dans une mesure limitée, sur des documents de projet et des programmes d'options stratégiques pour le pays (COSOP). L'échantillon des évaluations analysées, achevées entre 2010 et 2015, se compose de 72 rapports d'évaluation d'IOE, dont 30 sont des évaluations de projet représentant 52% de toutes les évaluations de projet. Cette période a été choisie dans le but d'inclure les évaluations menées après la publication du document thématique du RARI pour 2009 et afin de garantir que les évaluations les plus récentes soient incluses. Certains éléments ont également été examinés, qui montraient un apprentissage découlant des évaluations, pour ce qui est de nouveaux COSOP prenant en compte les recommandations issues d'évaluations, avec pour résultat une amélioration de la conception des projets de suivi.

13. Clairement, l'accent mis sur les évaluations réalisées entre 2010 et 2015 aboutit à un échantillon de projets approuvés, dans certains cas, il y a plus de dix ans. Il s'agit d'une contrainte inévitable de la méthodologie de la synthèse d'évaluations, compte tenue de l'importance accrue accordée à la GRNE ces dernières années.

III. Conception des programmes et projets

14. L'analyse des EPP a révélé que la plupart des COSOP accordent une certaine attention à l'intégration de la GRNE, conformément à la stratégie du FIDA en la matière. Comme on pourrait s'y attendre, l'éventail des questions relatives à la GRNE qui figurent parmi les objectifs des COSOP est très large et dépend en partie des enjeux propres au pays ou bien des secteurs ou sous-secteurs sur lesquels le FIDA a concentré ses efforts dans ses opérations. Cependant, il faut souligner qu'il est difficile d'évaluer clairement si l'orientation stratégique concernant la GRNE est adaptée quel que soit le contexte national, et de savoir exactement quelle est l'importance du rôle du FIDA.
15. Dans quelques cas, l'EPP couvre plus d'un COSOP, et l'on peut constater que l'importance accordée à la GRNE s'accroît d'un COSOP à l'autre. Toutefois, dans un petit nombre de cas, il semble que de nouvelles questions stratégiques aient été adoptées et aient détourné l'attention accordée à la GRNE. Dans deux cas, il est évident que l'accent s'est déplacé des questions de GRNE classiques à l'adaptation au changement climatique.
16. Dans l'ensemble, un certain nombre d'aspects surgissent lors de la conception des projets, souvent dans des évaluations de projets qui ne portent pas uniquement sur des projets de GRNE, mais qui sont essentiels à leur réussite. Il s'agit notamment de l'ajustement aux conditions environnementales du pays, de la prise en compte des facteurs sociaux et politiques, de la mise en place d'une structure institutionnelle bien conçue, du renforcement des capacités des organisations communautaires et de la mise à profit d'un processus participatif de planification et d'engagement.
17. Les rapports d'évaluation ne vérifient pas systématiquement si une évaluation de l'impact environnemental et social adéquates a été effectuée ou si des mesures de gestion appropriées ont été convenues et appliquées avec efficacité. Cependant, on constate que dans de nombreux cas, les risques environnementaux ont été négligés ou bien qu'il existe un risque de futur impact sur l'environnement par suite de la reproduction à plus grande échelle de l'intervention ou du lancement de projets de suivi.
18. Pour ce qui est de l'efficacité des projets, les rapports varient quelque peu. Dans des rapports d'évaluation, de très nombreux éléments font apparaître les résultats directs des activités concrètes de GRNE, comme la gestion des sols et des eaux, mais on dispose de beaucoup moins d'informations sur la manière dont la diversification de la production ou l'adoption de modes de production plus durables

ont contribué à une meilleure utilisation des ressources naturelles et donc à une amélioration des moyens de subsistance pour les agriculteurs. De plus, il est difficile d'analyser les résultats des activités relatives à la GRNE qui font partie intégrante de projets complexes offrant de multiples options pour élargir les possibilités de génération de revenus ou promouvoir une utilisation plus durable des ressources naturelles.

19. Quand on examine l'efficacité dans les rapports d'évaluation, certains facteurs récurrents de réussite apparaissent clairement. L'un d'entre eux consiste à combiner le renforcement institutionnel, la sensibilisation et la mise à l'essai des innovations dans des systèmes de production plus durables sur le plan écologique. En outre, les approches participatives, la participation des parties prenantes, l'appui aux organisations communautaires et les mesures visant à favoriser l'adhésion des bénéficiaires sont mises en évidence, compte tenu du défi de changer les comportements des agriculteurs, en particulier de ceux qui sont confrontés à la dégradation de l'environnement et des ressources naturelles.
20. Enfin, il est souvent difficile de créer les incitations adéquates pour que les agriculteurs adoptent des systèmes de production novateurs et plus durables ou qu'ils modifient la manière dont ils utilisent les ressources naturelles. Plusieurs rapports décrivent le rôle de la sensibilisation, de la mise à l'essai des innovations dans le domaine de la production et de l'attention particulière accordée à la viabilité commerciale des innovations de production. Dans certains cas, les projets incluent des mécanismes financiers pour inciter la participation des bénéficiaires, par exemple pour adopter des pratiques innovantes.

IV. Principales conclusions

21. L'engagement du FIDA en faveur de la GRNE a manifestement évolué ces dernières années. Le Fonds a conjugué une focalisation croissante sur "éviter de nuire à l'environnement", en évaluant et en gérant les impacts environnementaux et sociaux, et un ciblage de ses investissements pour "faire du bien à l'environnement" dans le domaine de la GRNE. Ce faisant, il a fait fond sur des années d'expérience dans la gestion communautaire des ressources naturelles.
22. Des mesures importantes au niveau institutionnel reflètent l'évolution de l'engagement du FIDA sur les questions relatives à la GRNE. La Division environnement et climat a été créée, les sauvegardes environnementales et sociales ont été mises à niveau pour devenir les PESEC, l'ASAP a été lancé. Il convient également de rappeler que le FIDA est un organisme d'exécution du FEM depuis 2001.
23. Cependant, les dépenses consacrées à la GRNE, mesurées par catégories de sous-composantes conventionnelles et en excluant l'ASAP, n'ont pas augmenté considérablement par rapport au budget global du FIDA au cours la période 2005-2015. Au cours de la période 2010-2015, les dépenses consacrées à la GRNE, y compris l'ASAP, ont représenté 11,8% de l'investissement total du FIDA, mais seulement 7,3% du financement par des prêts.
24. Sur le plan de la performance, il semble que la note pour le domaine d'impact de la GRNE ne se soit pas sensiblement améliorée ces dernières années, bien qu'elle soit plus élevée qu'il y a une dizaine d'années. Elle reste faible par rapport à d'autres critères, seules l'efficacité et la durabilité étant plus basses, comme l'indique le RARI de 2015. Les raisons pour cela sont difficiles à cerner, mais sont en partie imputables à de plus longs délais pour la réalisation des avantages et la difficulté de mesurer et de suivre les résultats.
25. Dans une perspective plus large, il est clair que le FIDA a cherché à accroître les revenus et à améliorer les moyens de subsistance des ruraux pauvres par le biais d'activités de GRNE traditionnelles, ainsi que de projets plus innovants visant une intensification durable. Ces projets impliquent une approche plus complexe et

intégrée et sont peut-être plus difficiles à suivre s'agissant de l'attribution des fonds et des objectifs de performance. De plus, contrairement aux enjeux environnementaux planétaires ciblés par le FEM et au changement climatique ciblé par l'ASAP, il manque à l'intensification durable l'impulsion d'un mécanisme de financement supplémentaire spécialisé.

V. Conclusions

Niveau stratégique

26. De grands efforts ont manifestement été déployés pour améliorer l'intégration de la GRNE dans les opérations du FIDA au cours des dernières années. L'examen des COSOP et des documents de politique du FIDA met en évidence un renforcement constant de l'engagement en faveur d'une meilleure intégration des préoccupations relatives à la GRNE dans les opérations du FIDA.
27. Dans l'ensemble, il ressort clairement de l'analyse des stratégies de pays, de la conception et de la performance des projets et des recommandations issues des évaluations que le FIDA a pris des mesures pour éviter de nuire à l'environnement et pour exploiter les possibilités de faire quelque chose de bon pour l'environnement. Il a aussi lancé des initiatives importantes à l'échelle institutionnelle.
28. Bien qu'on dispose de données précises sur les financements au titre de l'ASAP et du FEM, les données relatives au contenu de la GRNE dans les prêts sont incomplètes et sous-estiment probablement les montants effectifs. Malgré la place plus importante qu'elle a prise dans les cadres stratégiques et les consultations sur les reconstitutions, la GRNE reste un domaine que les systèmes du FIDA ont des difficultés à suivre de manière fiable.

Niveau national

29. L'analyse montre que l'alignement avec la Politique de gestion des ressources naturelles et de l'environnement dans les stratégie de pays du FIDA a été variable durant la période visée. Un petit nombre de COSOP montre une nette progression vers un renforcement de l'attention portée à la GRNE; d'autres révèlent un changement de direction vers d'autres domaines stratégiques prioritaires, tels que les investissements dans les filières.
30. Les recommandations pour intégrer plus étroitement les questions de GRNE dans les futurs COSOP sont généralement suivies. Souvent, les EPP recommandent que les questions relatives à la GRNE soient intégrées plus étroitement dans les futurs COSOP, en mettant parfois en relief les principaux sous-secteurs à privilégier.
31. Le changement climatique apparaît comme une orientation stratégique dans certains des nouveaux COSOP. Si l'on doit se féliciter qu'une plus grande attention soit accordée à la résilience face au changement climatique dans le secteur de l'agriculture, il est possible que cette évolution conduise à un fléchissement de l'appui en faveur du cadre plus vaste des préoccupations persistantes liées à la gestion des ressources naturelles pertinentes du point de vue des moyens de subsistance des populations rurales pauvres.
32. Il est clair que l'intégration réussie de la GRNE exige son intégration dans la concertation sur les politiques et les stratégies de pays, la mise en place de partenariats avec les organismes concernés et une participation plus ambitieuse et cohérente dans les processus de planification conduits par les pays. Ces exigences nécessitent l'appui du FIDA en matière de priorités institutionnelles, de ressources, de compétences et de savoir.

Au niveau du projet

33. Comme l'indique le RARI 2015, la performance pour l'impact de la GRNE demeure insuffisante, bien qu'on observe une légère amélioration depuis 2009. Les observations laissent penser qu'il s'agit en partie d'un problème de conception de

projet et en partie de problèmes dans l'exécution, y compris le suivi et la supervision.

34. Il ressort de l'analyse que l'insuffisance des budgets consacrés aux activités de GRNE compromet la mise en œuvre. L'échantillon des évaluations de projet se compose principalement de projets ayant un objectif ou une composante de GRNE, mais l'allocation de fonds moyenne ne représente que 17,8%. Cette allocation ne dépasse 30% que dans quatre projets.
35. Les facteurs de réussite de la conception de projet le plus souvent mentionnés comme contribuant à la performance dans le domaine de la GRNE sont les suivants: i) gouvernance et structure institutionnelle, particulièrement importantes dans les projets faisant intervenir de multiples organismes et dépendant de la participation des organisations communautaires locales; ii) planification participative: projets où le niveau de participation des parties prenantes et des populations cibles à la planification et à l'engagement à produire des résultats du projet est élevé; et iii) mesures incitatives – surtout pour les projets répondant à la demande – visant à encourager l'adoption de pratiques plus durables ou à influencer sur les comportements.
36. Il semble que les projets qui visent à promouvoir l'intensification durable partagent un certain nombre de caractéristiques, réunissant un ensemble de mesures au niveau institutionnel et communautaire, s'appuyant sur la sensibilisation, des approches participatives et des mesures incitatives.
37. Les liens entre GRNE, pauvreté et moyens d'existence ne sont pas bien cernés. De manière générale, de très nombreux éléments font apparaître les résultats directs des activités de GRNE, comme la gestion des sols et des eaux, mais on dispose de beaucoup moins de données sur la manière dont la diversification de la production ou l'adoption d'options plus durables contribuent à l'amélioration des moyens de subsistance pour les agriculteurs.
38. La majorité des observations formulées dans les rapports soulignent une négligence des risques environnementaux. En particulier, la reproduction à plus grande échelle, l'intensification de la production ou les investissements de suivi devraient déclencher une évaluation des potentiels effets préjudiciables.
39. Certaines préoccupations se manifestent quant à l'application de mesures de sauvegarde environnementale et sociale aux projets, mesures susceptibles d'aboutir à plusieurs sous-projets, comme les micro-investissements ou les micro-entreprises. Il s'agit d'un problème auquel sont confrontées la plupart des institutions financières internationales s'agissant d'appliquer des procédures de sauvegarde pour les projets exécutés par des intermédiaires financiers ou des organes communautaires.

VI. Recommandations

40. Recommandation 1: le FIDA doit examiner différentes possibilités de poursuivre et d'étendre l'utilisation du financement sous forme de dons pour stimuler l'intégration de la GRNE, et pas seulement l'adaptation au changement climatique, dans ses futures opérations. Bien qu'il y ait sans aucun doute une certaine sous-estimation, comme indiqué plus haut, les données sur le financement de la GRNE semblent bien insuffisantes dans le contexte de l'engagement du FIDA en faveur de la GRNE et ses efforts pour l'intégrer dans son portefeuille de placements. Sans l'ASAP, le niveau de financement apparaît encore plus bas. De plus, le financement de la GRNE joue un rôle important en termes relatifs, certainement dans le domaine de l'adaptation. En fait, ensemble, l'ASAP et le FEM sont presque équivalents aux prêts destinés à la GRNE au cours de la période 2010-2015.

41. Il est utile que le FIDA poursuive ses efforts d'intégration de la GRNE. Toutefois, si le FIDA doit vraiment réaliser l'objectif d'intensification durable, il a besoin d'un moyen de mettre en place des incitations substantielles, de préférence financières, au sein de l'organisation pour y parvenir. Bien qu'il existe des inconvénients à s'appuyer sur les instruments de financement que constituent les fonds supplémentaires, le déséquilibre actuel est flagrant et signifie dans la pratique que le défi de l'intégration de la GRNE pâtit de l'insuffisance des ressources qui lui sont consacrées. Le FIDA doit donc envisager des options de financement sous forme de dons. L'objectif serait d'imprimer un nouvel élan aux efforts pour concilier les incitations déjà en place en matière d'adaptation et les enjeux environnementaux planétaires. Davantage de ressources pourraient appuyer les approches novatrices pour améliorer les moyens de subsistance des agriculteurs pauvres par le biais de la gestion et de l'utilisation durables des ressources naturelles. C'est là l'avantage comparatif du FIDA.
42. Recommandation 2: Le FIDA doit redoubler d'efforts pour encourager la demande d'une plus grande intégration de la GRNE au niveau des pays. Tout en reconnaissant que le FIDA a récemment renforcé l'attention accordée à la GRNE lors de l'élaboration des COSOP, il est essentiel de renforcer la participation aux processus de planification sectoriels au niveau national – en s'appuyant sur leurs initiatives en termes de politiques et de stratégies et en associant un ensemble plus large de partenaires gouvernementaux et non gouvernementaux – si l'on veut que les stratégies du secteur agricole adoptent l'approche de la révolution doublement verte en faveur de laquelle le FIDA s'est engagé. Plusieurs EPP récentes font cette recommandation.
43. La demande d'interventions d'appui à la GRNE émanant de certains pays est limitée par les approches traditionnelles des secteurs agricole et des ressources naturelles et par le manque de coordination entre les organismes gouvernementaux lors de l'élaboration des stratégies sectorielles, en particulier les allocations budgétaires par le biais des procédures conventionnelles conduites par les pouvoirs publics. Avec son rôle spécialisé, le FIDA peut être utile pour définir la stratégie du secteur de l'agriculture, en s'appuyant sur les atouts existants et en favorisant une meilleure coordination entre les organismes gouvernementaux afin d'élever le degré de priorité des questions relatives à la GRNE. De toute évidence, le point d'entrée le plus réalisable est l'élaboration du COSOP, mais le FIDA peut jouer un rôle important en assurant le suivi des engagements pris dans le COSOP en appuyant les partenaires afin d'assurer l'intégration d'une orientation en faveur de la GRNE, surtout pour les populations rurales pauvres vivant dans des conditions environnementales difficiles.
44. Recommandation 3: Le FIDA doit se concentrer davantage encore sur la contribution des activités de GRNE à la réduction de la pauvreté. Le but ultime du FIDA est d'améliorer les moyens de subsistance et le bien-être des populations rurales pauvres. L'investissement dans la gestion des ressources naturelles et la production agricole durables est conçu pour contribuer à l'amélioration des moyens de subsistance et à la réduction de la pauvreté de manière générale. Le programme de GRNE du FIDA est un élément clé de cette mission.
45. Le FIDA doit parvenir à une meilleure compréhension, pour lui-même aussi bien que pour ses partenaires dans les pays, de la manière dont les interventions en matière de GRNE contribuent à la réduction de la pauvreté, et il doit à cette fin améliorer sa stratégie de communication et de gestion des savoirs. Ce point est important, tant dans l'amélioration des mesures visant à promouvoir l'intégration de la GRNE au sein de l'organisation que dans l'élaboration des politiques et stratégies au niveau du pays. Ceci peut être particulièrement utile pour promouvoir une valeur "intégration" pour la GRNE auprès des décideurs allouant les budgets et fixant les priorités de l'investissement. Parmi les différentes possibilités d'action,

il existe des produits du savoir conçus pour "faire valoir" une meilleure intégration de la GRNE dans le secteur de l'agriculture et dans les documents d'orientation sur l'estimation de la valeur des ressources naturelles dans les moyens de subsistance et les revenus des agriculteurs pauvres.

46. Recommandation 4: le FIDA doit améliorer sa gestion des données et le suivi des projets de GRNE. Malgré un certain nombre d'initiatives institutionnelles visant à renforcer l'intégration de la GRNE, il est décevant que les notes pour le domaine d'impact de la GRNE restent insuffisantes. Des données plus détaillées sont nécessaires pour remédier à cet état de fait. D'abord, le FIDA est à l'heure actuelle dans l'incapacité de rendre compte avec précision du niveau de l'investissement dans les projets de GRNE, malgré l'importance croissante accordée à ce domaine dans le Cadre stratégique et dans le processus de reconstitution. Le Fonds doit prendre des mesures pour assurer un meilleur suivi des investissements en faveur de la GRNE. Il faut pour cela examiner comment les allocations de fonds des projets du FIDA sont classées et suivies pour s'assurer que les interventions relatives à la GRNE peuvent être suivies.
47. Deuxièmement, en ce qui concerne la mesure, le suivi et même l'évaluation de la performance en matière de GRNE – et pour mieux comprendre les causes de cette faible performance – il sera important de se faire une meilleure idée de ce qui caractérise ce type de projet, et quelle est la meilleure façon de mesurer et de suivre les résultats des projets de GRNE.
48. Ce faisant, il conviendra en priorité d'obtenir davantage d'informations sur les avantages environnementaux directs ainsi que sur les avantages indirects qui découlent de la diversification de la production ou de l'adoption d'options plus durables contribuant à de meilleures conditions de subsistance pour les agriculteurs. Dans la mesure où un grand nombre des projets de GRNE plus innovants dépendent d'un ensemble de mesures pour améliorer les revenus et les moyens de subsistance, dont la GRNE n'est qu'une partie seulement, il est important de suivre et d'évaluer les résultats obtenus avec une approche intégrée, plutôt que dans une perspective traditionnelle qui distingue les critères sociaux, institutionnels, production et revenu de la GRNE. Il convient de faire bon usage des cadres de résultats qui reflètent la contribution importante des activités de GRNE à la lutte contre la pauvreté.

Environment and Natural Resource Management

Evaluation Synthesis

Main Report

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Abbreviations and acronyms

ARRI	Annual Report on Results and Impact of IFAD Operations
ASAP	Adaptation for Smallholder Agriculture Programme
COSOP	country strategic opportunities programme
CPE	country programme evaluation
DHCP	Dom Hélder Câmara Project
ECD	Environment and Climate Division
ENRM	Environment and Natural Resource Management
ES	evaluation synthesis
GEF	Global Environment Facility
GRIPS	Grants and Investments Projects System
IDB	Inter-American Development Bank
IFI	international financial institution
IOE	Independent Office of Evaluation of IFAD
LDC	Least Developed Country
MIC	Middle-income Country
PAPSTA	Support Project for the Strategic Plan for the Transformation of Agriculture
PCRv	project completion report validation
PMD	Programme Management Department
PPA	project performance assessment
PRISMA	President's Report on the Implementation Status of Evaluation Recommendations and Management Actions
PROMARENA	Proyecto de Manejo de Recursos Naturales en el Chaco y Valles Altos
SECAP	Social, Environmental and Climate Assessment Procedures
SF	Strategic Framework

Environment and Natural Resource Management

Evaluation Synthesis

I. Introduction

A. Background

1. Since the 1992 Earth Summit in Rio, it has been generally accepted that the agriculture and environment agendas are inseparable. Degradation of natural resources undermines the basis for agricultural production and increases vulnerability to risk, thus harming production, livelihoods and well-being.
2. Sustainable agriculture is vital for the livelihoods of the poor. IFAD's target group, the smallholders, provide over 80 per cent of the food consumed in a large part of the developing world, contributing significantly to poverty reduction and food security.¹ Of course, agricultural production can cause environmental harm. It is the main user of land and water, a major source of greenhouse gas emissions, and the main cause of conversion of natural ecosystems and loss of biodiversity.²
3. Sustainable agriculture depends on a healthy environment. The productivity of smallholder agriculture and its contribution to the economy, food security and poverty reduction depend on the services provided by well-functioning ecosystems, including soil fertility, freshwater delivery, pollination and pest control. But, smallholder farming practices, often located in ecologically fragile, marginal environments, can affect the condition of ecosystems.³
4. Poor smallholder farmers are therefore both victims and drivers of environmental degradation. They face a series of unprecedented challenges such as increasing competition for land and water, increased influence of changing markets, rising fuel and fertilizer prices, and climate change. They depend on the natural resources base for their livelihoods but face a growing challenge of depleted natural resources assets and vulnerability to environmental change. Too often, poor communities occupy marginal land and experience difficult environmental conditions, such as water scarcity or degraded soils. Lack of assets and access to markets often compels them to continue to follow unsustainable agricultural practices.
5. The policy context is evolving. Institutions working on global food security have started to look into possible answers to the need of feeding a growing population with increasingly scarce and impoverished resources. IFAD⁴ has recently endorsed the concept of 'sustainable intensification' along with FAO, research institutions including the Consultative Group on International Agricultural Research and its 15 research centres, agribusiness companies and organizations,⁵ foundations such as the Bill and Melinda Gates Foundation and governments such as the United Kingdom and the United States of America.
6. The use of the concept of sustainable intensification in current debates is based upon three fundamental assumptions about agricultural production systems in the 21st century: i) the world must produce significantly more food in the coming decades to feed a growing increasingly affluent population; ii) the arable land base cannot be expanded significantly; and iii) agricultural production must become

¹ IFAD-UNEP, 2013, *Smallholders, food security, and the environment*. International Fund for Agricultural Development, page 6.

² World Bank, 2008, *World development report – Agriculture for Development*. (Page 199).

³ IFAD Smallholder Agriculture, Environment and Climate Change e-learning: http://www.ifad.org/elearning/a001_mod1_why_enrm_is_important_5_pressure_on_ecosystems.html.

⁴ Sustainable agricultural intensification is the first core principle to guide IFAD's support for clients in ENRM. See IFAD, 2012, *IFAD's Environment and Natural Resource Management Policy*. International Fund for Agricultural Development, Rome.

⁵ Such as the International Fertilizer Industry Association and the Agricultural Biotechnology Council.

more sustainable and resource use efficient to preserve the natural capital on which agriculture relies. Considered together, these three assumptions imply that agricultural production on existing arable land must intensify in order to meet higher demand, but in a manner that does not damage the environment. This is in line with the formulation of the Sustainable Development Goal 2, which aims to "End hunger, achieve food security and improved nutrition and promote sustainable agriculture".

7. The challenge of pursuing a policy of sustainable intensification is all the greater in the context of rural poverty. Tackling poverty in rural areas requires a transformation of how poor farmers use the natural resources base to sustain their livelihoods and increase their income. This needs a combination of sustainable environmental and natural resource management practices, to regenerate and manage key natural resources assets more sustainably, to avoid unsustainable use of land, water and forest resources, to innovate and introduce diversification of natural resources based income generating opportunities and to integrate environmental considerations into all aspects of agricultural development.
 8. Bringing about this transformation inevitably involves confronting trade-offs perceived by both policy makers and by farmers on the ground. Policy makers face pressure to increase production and reduce poverty in the short term and may perceive a more sustainable agricultural system as a longer term goal. Farmers also face real pressure to meet their livelihood and income needs and rarely have the incentive to take steps to divert effort to longer term benefits. At the heart of the challenge is a better understanding of the linkages between sustainable natural resource management, improved livelihoods and income opportunities, and an appreciation of the economic and environmental costs of degrading the assets on which farmers depend for their wellbeing.
 9. What is needed is described in the IFAD Environment and Natural resource management Policy⁶ as an "evergreen revolution" – a sustainable agricultural system that balances livelihood-enhancing production of crops, livestock, fisheries and forest products with avoiding excess agricultural inputs, maintaining soil and water quality and protects the ecosystems on whose services the rural poor depend so directly. An evergreen revolution can enable the rural poor to increase and diversify production, improve livelihood opportunities, increase food security and enhance resilience to climate change. Essentially the goal is to redefine the relationship between agriculture and the environment, moving towards a "multiple-benefit" approach to agricultural development.
- B. The context of an evaluation synthesis report on environment and natural resource management (ENRM)**
10. IFAD's target group is the rural poor who struggle to achieve sustainable livelihoods and who are in greatest need of an "evergreen revolution". But is IFAD doing enough through its lending and other programmes to "integrate the sustainable management of natural assets across the activities of IFAD and its partners" as the ENRM Policy states - so that it can protect them from environmental degradation and improve their well-being through better management of productive natural resources? It is this issue that this evaluation synthesis seeks to explore.
 11. The term ENRM is used by IFAD in its Policy and in this evaluation synthesis to mean "the use and management of the natural environment, including natural resources defined as raw materials used for socio-economic and cultural purposes, and ecosystems and biodiversity – together with the goods and services they

⁶ IFAD 2012. *IFAD's Environment and Natural Resource Management Policy*, International Fund for Agricultural Development, Rome.

provide". The underlying concept is one of sustainability – ensuring the use of natural resources benefits the poor, through supporting livelihoods and income opportunities without degrading the resources. This is distinct from more traditional understanding of natural resource management simply as production systems deriving from the use of natural resources.

12. IFAD, in common with other international financial institutions (IFIs), has increased its attention to integrating ENRM issues over the past decades. But, like almost all other IFIs, IFAD faces scrutiny from various sources as to whether it is doing this as well as it should. So, in approving the 2014 Work Programme of the Independent Office of Evaluation of IFAD (IOE), the Executive Board requested IOE to prepare an evaluation synthesis on IFAD's interventions in ENRM.
13. It is worth noting that, in light of previous concerns about how IFAD has been integrating ENRM into its operations, the IOE, at the request of IFAD's Board, prepared an issues paper on ENRM, developed as part of the 2009 Annual Report on Results and Impact of IFAD Operations (ARRI). The decision to prepare this issues paper was based on the fact that ENRM had consistently been one of the weakest impact areas in IOE evaluations. But also there was greater awareness of serious ENRM issues and the mounting threat of climate change. The aim of the paper was to provide a better understanding of how ENRM issues were relevant to IFAD operations and how best to focus on ways to improve performance.
14. First, it highlighted that much of the environmental debate and analysis in IFAD had been focused on "avoiding harm" – managing or mitigating environmental risks associated with economic growth and development rather than on targeting financial support to achieving environmental benefits - that is, "doing good". This focus had led to the introduction of improved environmental and social safeguards. But it highlighted that IFAD's operations, more so than many other IFIs, included a wide range of ENRM investments. Its potential capacity to "do good", therefore, is very prevalent, if done successfully.
15. The paper stated that previous evaluation findings showed that performance had not matched IFAD's substantial investments in the ENRM area. The evaluations revealed that ENRM was rated weaker than most other impact areas. Projects rated unsatisfactory fell into two types: i) those projects where ENRM risks (avoiding harm) or opportunities (doing good) were overlooked or not adequately addressed, and ii) those where ENRM components have not been as successful as planned. In the first instance, apart from genuine oversights, some omissions resulted from a judgment during design that had to balance development priorities, financial resources, and the potential for a significant contribution. An overall conclusion was that most, but certainly not all, IFAD-funded projects have generally succeeded in 'avoiding environmental harm'. But perhaps of more concern is that IFAD, historically at least, has not been particularly successful at 'doing environmental good' and has not developed the means to monitor performance in this domain effectively.
16. As will be described in more detail in the next chapter, IFAD has taken a series of steps to address the issue of "avoiding harm". IFAD's first Environmental Assessment procedures date from 1994 and were a response to the surge in environmental awareness in the early 1990s. In the context of efforts to "do good", the paper also highlighted that historically, IFAD has recognized that sustainable ENRM is fundamental in delivering IFAD's poverty reduction and sustainable agriculture mandate. However, some ENRM issues were simply too large, long-term and complex to be substantially addressed by IFAD supported programmes. The need for long-term action to solve ENRM problems often makes the immediate investment of time and resources less attractive for programme beneficiaries and staff. However, IFAD projects are often small, local, and relatively short-term and therefore cannot always match the scale and complexity of the issues involved.

17. Looking forward, ENRM has been identified as an important subject for an evaluation synthesis for the following reasons. First, although improvements have occurred ENRM has continued to be rated as one of the weakest impact areas in IFAD-funded projects. Second, although ENRM is increasingly recognized as fundamental for sustainable agricultural productivity, there is more to be achieved in learning how best to identify ENRM opportunities and to improve the institutional capacity to deliver them.

C. Objectives, scope and methodology

18. The objective of this Evaluation Synthesis is to generate findings, document lessons and good practices, and provide recommendations that can inform the design and implementation of IFAD's ongoing and future policies, strategies and work in ENRM.
19. Evaluation synthesis reports were introduced in 2012, and are also grounded in IFAD's Evaluation Policy: "IOE shall also prepare an evaluation synthesis, which will identify and capture evaluative knowledge and lessons learned on a certain topic from a variety of evaluations produced by IFAD and the evaluation units of other organizations".
20. Evaluation synthesis reports are prepared primarily to promote learning and improve IFAD's development effectiveness and as such they should be distinguished from other IOE products such as corporate-level evaluations (where focus is equally on accountability and where collection of primary data takes place e.g. through field visits). The methodology used for Evaluation Synthesis consists of collection and review of secondary data and the budget is significantly lower and the timeframe shorter than corporate-level evaluations.
21. Evaluation Synthesis reports are knowledge products that aim to enhance the general understanding of a particular topic; this level of abstraction makes them more useful in highlighting the strategic implications of findings and raise strategic issues for further consideration by IFAD Management and the Governing Bodies. In this way, they facilitate wider use of evaluation findings by identifying and capturing accumulated knowledge and good practices on common themes across a variety of situations and sources. Synthesizing existing evaluation evidence allows evaluation synthesis reports to contribute to decision-making processes in an effective way, especially when neither adequate time nor resources are available to undertake a full-fledged evaluation.
22. The purpose of this evaluation synthesis is: i) create and share awareness and knowledge of IFAD's work on ENRM; ii) increase effectiveness, including widening the possible impact of evaluation work; and iii) provide a platform for reflection aimed at further sharpening IFAD's future role and approach in ENRM.
23. The objective of the evaluation synthesis report is twofold:
 - (i) Review and analyse IFAD's support to ENRM in its operations to identify enabling factors for success, constraints and incentives relevant to its contribution to sustainable agriculture practices and natural resource management; and
 - (ii) Identify lessons learnt for reflection and make recommendations for enhancing IFAD's approach to ENRM.
24. Scope. The time frame for the evaluation synthesis is 2010-2015. This period was chosen to include evaluations conducted after the ARRI 2009 Issues Paper and to ensure that the most recent evaluations were included.
25. The Evaluation Synthesis focuses on the following overarching question: 'How does the programme/project seek to deliver IFAD's evolving strategy on supporting ENRM and integrating ENRM in its operations and what lessons can be learned about factors that determine performance?'

26. The analysis of the material is broadly shaped by four sub-questions:
- (i) How effectively do programme/projects address potential environmental risks?
 - (ii) To what extent do programme/project evaluations reveal any ENRM opportunities overlooked in project design or inadequate consideration of the environmental context
 - (iii) Are there any lessons about the effectiveness of ENRM project components and activities and what causes good or poor performance?
 - (iv) What do the evaluation reports recommend about improving the integration of ENRM issues into programme or project preparation, design and implementation?
27. This Evaluation Synthesis addresses climate change only to the extent that it has figured in evaluation reports undertaken in the period 2010-2015. However, as the projects covered by these evaluations were prepared during the previous decade, relatively few make any significant reference to climate change. It should be noted that IFAD's principal instrument for climate change work is the Adaptation for Smallholder Agriculture Programme (ASAP) which started operations in 2012. The ASAP projects are included in the portfolio review in order to get a sense of overall investments for ENRM, but ASAP projects have not been included as part of the analysis of the evaluations as no projects have yet been completed. A separate progress review of ASAP has been commissioned and where appropriate references to it have been made. Finally, IFAD's recent work on climate change is taken account of in this report's conclusions and recommendations for future action as it forms an important element of the context for setting priorities and agreeing action.
28. Methodology. This Evaluation Synthesis draws on secondary sources mainly from evaluations conducted by IOE as well as IFAD/Global Environment Facility (GEF) self-evaluations, project completion report validations (PCRVs) and to a limited extent project documents and country strategic opportunities programmes (COSOPs). The total sample of evaluations consist of 72 IOE evaluation reports⁷ of which 30 are project evaluations representing 52 per cent of all project evaluations carried out by IOE between 2010-2015. Evidence has equally been drawn from evaluations conducted by other development agencies (IFIs, the UN, bilaterals, etc.) to broaden the evidence base for selected themes of the evaluation synthesis and to identify potential lessons of relevance to IFAD.
29. The evaluation has made use of an iterative approach to respond to the study objectives and key questions outlined above. The reports analysed have been selected as follows. An initial review was undertaken of all IOE country programme evaluations (CPEs), project evaluations, selected evaluation synthesis reports and ARRI, published since 2005, adding up to a total of 132 documents. Based on an initial screening of these and in order to align the scope better with the period covered by the Strategic Frameworks (SFs), a decision was taken to narrow the focus to evaluation reports issued since 2010 and to add PCRVs of projects approved after 2005.
30. Next, a sample of 51 evaluation reports and 9 PCRVs were chosen based on whether the reports contained evidence relevant to the scope of the evaluation synthesis. The methodology used to create this sample was based on a screening process that looked for clear references to "environmental impact",

⁷ Thirty project evaluations, 17 country programme evaluations and 6 other types of evaluations (such as evaluation synthesis, corporate-level evaluations and ARRI), 9 project completion report validations and 10 IFAD/GEF evaluations.

"natural resource management", "sustainable natural resource management", "sustainable development", "environment" and evidence of specific findings on the topic whether positive or negative. Moreover, based on the list of projects identified as ENRM by the Environment and Climate Division (ECD) on its regional webpages - the sample was double checked to ensure that all projects in the sample were also included in the ECD list. In addition, all IFAD/GEF self-evaluations undertaken by ECD were included (10 in total). A template for systematising data was developed and was applied to all the evaluations. In addition, projects with either good or poor performance were selected to identify the proximate causes.

31. In order to analyse uptake and follow up of evaluation recommendations, a review of the five last President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMAs) was undertaken and supplemented by a review of COSOPs prepared subsequently to the CPEs. Similarly, the level of uptake of recommendations were analysed in selected follow-on projects.
32. The exercise broadly consisted of the following key building blocks: (i) A review of IFAD corporate policies and guiding documents to provide an overall context for the synthesis and put IFAD's business model into perspective; (ii) a typology of interventions in technical fields with an analysis of funding; (iii) review and synthesis of relevant findings in the sample of IOE evaluations; (iv) review of evaluations of other IFIs, UN agencies and other relevant donors.
33. An in-house emerging findings workshop was held on the 19th November 2015 with IFAD staff to validate the information and to agree on key issues for future investments from which the recommendations will be formed.
34. Limitations: It is useful in this kind of exercise to be explicit about boundaries of robustness. The Evaluation Synthesis generates findings mainly from secondary sources (evaluation reports). Its understanding of the work carried out by IFAD is determined and constrained by the approach and methodology of the evaluations, the range of expertise in the evaluation teams, the scale of the evaluation (e.g. project vs country programme) in relation to the scale of the interventions relevant to the Evaluation Synthesis (e.g. full project vs component), and the purposive nature of project documents. The result is a snapshot that necessarily leaves out more than it captures and does not do full justice to the complexity, challenges, and nuances of putting together a project and seeing it to completion.
35. In addition, when considered in relation to the Evaluation Synthesis focus on ENRM, the sample is a highly heterogeneous collection. It consists of different kinds of IOE evaluations of projects, country programmes, final and mid-term evaluations as well as self-assessments in the shape of IFAD/GEF evaluations and PRCVs and to a limited extent COSOPs and project documents. ENRM sometimes forms the primary objective of the project and sometimes a minor component and in some cases ENRM was neither an objective nor a component of the project. The relevant projects are a mix of development projects with different objectives in 40 countries spread over the globe. In light of this heterogeneity, the Evaluation Synthesis has treated the sample as generally indicative of IFAD's engagement in ENRM, analysing it from a variety of angles without attempting to draw category-specific assessments or force it into a highly structured methodological framework.
36. The main focus of this Evaluation Synthesis is on lessons learnt from IFAD's investment programmes and GEF projects. The reason for this is that IOE identified very few grants through IFAD's regular grant mechanism and no evaluation had been undertaken of these. As mentioned above the ASAP projects are included in the portfolio review in order to get a sense of overall

investments to ENRM, but ASAP projects have not been included as part of the analysis of the evaluations as no projects have yet been completed. A separate progress review was commissioned by ECD and where appropriate references to it have been made.

37. Finally, an Evaluation Synthesis draws its evidence from evaluations conducted in recent years of completed projects prepared some years previously. In the ENRM domain, there have been significant steps taken to strengthen the organization's policy commitment and capacity that is not reflected in the evaluation reports. Most significant of these has been the establishment of the ECD. More detail on this and other relevant steps is provided in the next chapter.
38. Structure of the report. The report is organized in six chapters. Chapter I provides the background to the evaluation synthesis and describe the methodology. Chapter II and III describe the general traits of IFAD's engagement with ENRM during the period 2010-2015, including an analysis of the agencies' strategies, the type and focus of interventions and distribution of allocations. Chapter IV presents the findings based on the analysis of the sample of evaluations and answers the evaluation questions. Chapter V looks at wider lessons from the work in ENRM by a small group of other agencies. Finally, chapter VI provides a storyline of the findings and strategic implications including recommendations.

Key points

- Sustainable agriculture depends on a healthy environment. Smallholders, IFAD's target group, depend critically on the natural resources base for their livelihoods but they also risk harming the environment through unsustainable farming practices.
- Global policy initiatives set out a goal of "sustainable intensification" – a challenge particularly in the context of the poor marginal rural population. They need to transform how they use their natural resource base to sustain their livelihoods and increase their income. This has been termed an "evergreen revolution".
- IFAD, like other IFIs, has greatly increased its attention to ENRM issues in recent years, but continually faces scrutiny as to whether it is doing as well as it should.
- The 2009 ARRI Issues Paper drew attention to the fact that IFAD's focus had been mainly on "avoiding environmental harm" while it had a substantial opportunity to "do environmental good" given the extent of its operations focused on natural resource management. Also, performance ratings for the ENRM impact domain have been poor.
- There have however been very significant ENRM initiatives to improve IFADs capacity to integrate ENRM successfully, including the new ENRM Policy, upgraded Social, Environmental and Climate Assessment Procedures (SECAP) and the creation of the Environment and Climate Division (ECD).
- This is the context for the decision to undertake this Evaluation Synthesis with the objective of generating findings, documenting lessons and good practices, and providing recommendations that can inform the design and implementation of IFAD's ongoing and future policies, strategies and work in ENRM.
- The Evaluation Synthesis analyses a sample of CPEs and project evaluations to address a number of key questions about whether IFAD has delivered its strategy on ENRM, addressed risks of harmful impacts, integrated ENRM into project design and implemented its ENRM activities successfully.

II. IFAD's support to ENRM - the strategic and policy level

A. IFAD's Strategic Frameworks and Replenishment documents

39. IFAD's approach to ENRM is grounded in its SFs. There has been a significant increase in the emphasis placed on environment and climate change in the SF's from the 2002-2006 SF, through the 2007-2010 SF to the current 2011-2015 SF as well as the most recently adopted SF 2016-2025.
40. The 2002-2006 SF expressed a commitment to "enabling the rural poor to overcome their poverty" in line with the Millennium Development Goals. One of three strategic objectives was "Improving equitable access to productive natural resources and technology", recognizing that environmental sustainability was a key factor in addressing poverty.
41. In the 2007-2010 SF the overarching goal was "rural women and men in developing countries are empowered to achieve higher incomes and improved food security at the household level". It went on to state: "IFAD will improve the access of poor rural people to productive natural resources, the security with which they can use and hold them, and the practices they use to manage and conserve them." In the section dedicated to sustainability it mentions that "IFAD will conduct environmental assessments wherever necessary, to ensure that the projects it finances promote the sustainable use of natural resources."
42. The 2011-15 SF, in contrast, recognizes a changed overall context of environmental degradation and climate change. The overarching goal of the SF is enabling poor rural people to improve their food security and nutrition, raise their incomes and strengthen their resilience. The SF includes natural resources (land, water, energy and biodiversity), climate change adaptation and mitigation, and sustainability among its thematic focus areas and mainstreams environmental and climate change resilience.⁸ The Sustainability principle of engagement (No 8) states that IFAD will give high priority to sustainability by, among others, "systematically pursuing environmental sustainability and climate change adaptation and mitigation in all its projects and programmes".
43. In the most recent 2016-2025 SF, the overarching development goal is to "invest in rural people to enable them to overcome poverty and achieve food security through remunerative, sustainable and resilient livelihoods". ENRM is firmly embedded in the organization's vision of development. Not only is there again a focus on the importance of access to natural resources under Strategic Objective 1: Increase rural peoples' productive capacities but Strategic Objective 3 is entirely devoted to "strengthening, the environmental sustainability and climate resilience of rural peoples' economic activities with a thematic focus on environmental sustainability and climate change."⁹
44. The recent IFAD Replenishment Consultation reports reinforce this trend towards a stronger commitment to environment and natural resource management. In the report on the Eighth Replenishment in 2009, it was agreed that IFAD would consistently promote sustainable natural resource management and increased resilience by poor rural people. It was also agreed that the ARRI 2009 Issues Paper would focus on ENRM.

⁸ Three out of five objectives explicitly mention resilience: i) a natural resource and economic asset base for poor rural women and men that is more *resilient to climate change, environmental degradation* and market transformation; ii) access for poor rural women and men to services to reduce poverty, improve nutrition, raise incomes and *build resilience in a changing environment*; iii) poor rural women and men and their organizations able to manage profitable, sustainable and *resilient farm and non-farm enterprises* or take advantage of decent work opportunities.

⁹ IFAD 2015. IFAD Strategic Framework 2016-2025. Enabling Inclusive and Sustainable Rural Transformation. Executive Board – 116th Session.

45. In the Ninth IFAD Replenishment report (2012), the coverage of ENRM issues was more evident and the agreed commitments included "strengthen analysis of climate change and environmental issues in IFAD's operations to support innovative approaches to climate resilience and sustainable use of natural resources".
46. In the Tenth IFAD Replenishment report (2015), there is a strong focus on improving development effectiveness, recognizing a challenging backdrop of harsher environmental conditions, resource constraints and climate change. One of three cross-cutting themes is adaptation to climate change. Environmental sustainability and climate resilience features strongly in a commitment to an improved results framework. In addition, a dedicated indicator to assess "support for smallholder adaptation to climate change" is included in IFAD 10 Result Measurement Framework.
47. In recent years a number of significant initiatives have resulted in an increased emphasis on ENRM and climate change in order to achieve IFAD's mandate. Specifically in 2010, as a result of IFAD's corporate re-configuration the Global Environment and Climate Change Unit (GECC) was strengthened through the recruitment of a new Director and upgraded to a new Environment and Climate Division.¹⁰ Its staff capacity was increased to meet the growing workload and enhance mainstreaming of environment and climate issues.¹¹ The ECD mission is to work in close collaboration with Regional Divisions and the Policy and Technical Advisory Division (PTA) to integrate environment and climate change issues into IFAD's operations and activities. Recently a technical advisor on Natural Resource Management has furthermore been employed in IFAD's Policy and Technical Advisory Division and is working with the unit on Farmer Systems for Food Security to ensure integration of natural resource management into the various technical areas (i.e. cropping systems, livestock, water management, fisheries and land tenure). The ECD also has the responsibility to design (in collaboration with the Country Programme Manager (CPM) and supervise GEF projects and ASAP.
48. In 2010 IFAD approved its Climate Change Strategy and the Policy on Environment and Natural Resource Management followed in 2011. The goal of IFAD's ENRM Policy is to "enable poor rural people to escape from, and remain out of poverty through more productive and resilient livelihoods and ecosystems", and its purpose is "to integrate the sustainable management of natural assets across the activities of IFAD and its partners".
49. The policy sets out 10 core principles which include both the core issues to be addressed and suggested approaches.¹² The objective is "the scaling up of ENRM and its systematic integration into IFAD's portfolio". Four themes within a policy results and implementation framework are identified: i) IFAD's

¹⁰ ECD is the successor of the IFAD Global Environment Facility (GEF) Unit established under the Policy and Technical Advisory Division (PTA, Programme Management Department) in 2004 to meet its role as a GEF Executing Agency. In 2008 it was renamed the Global Environment and Climate Change (GECC) Unit to reflect the new mandate to lead IFAD's climate change activities.

¹¹ Staffing includes Regional Climate and Environment Specialists and Adaptation Specialist (one for each region). The five regional Climate and Environment Specialists help country programme managers to mainstream environment and climate issues and mobilize climate finance (ASAP, GEF) serve as IFAD's focal points for climate and natural resource management mainstreaming. In 2014, three ASAP dedicated staff were recruited to help expedite implementation of the Programme.

¹² The principles are: i) scaled-up investment in multiple benefit approaches for sustainable agricultural intensification; ii) recognition and greater awareness of the economic, social and cultural value of natural assets; iii) climate smart approaches to rural development; iv) greater attention to risk and resilience; v) engagement in value chains to drive green growth; vi) improved governance of natural assets for poor rural people by strengthening land tenure and community-led empowerment; vii) livelihood diversification to reduce vulnerability and build resilience for sustainable natural resource management; viii) equality and empowerment for women and indigenous peoples in managing natural resources; ix) increased access by poor rural communities to environment and climate finance; and x) environmental commitment through changing its own behaviour.

- operations; ii) Knowledge, innovation and advocacy; iii) Resource mobilization and; vi) Internal organization. Each theme includes a number of outcome indicators (16 in total). For example: an increased use of ENRM baseline studies, the development of coherent framework of tools and methods for integrating ENRM/climate into IFAD operations, a more accurate ENRM tracking system in place, and new international climate funds.
50. It should be noted that there are linkages between IFAD's ENRM Policy and other corporate policies, reflecting the intrinsic ties between ENRM issues and other policy focus areas, such as gender equality and women's empowerment, access to land and tenure security, engagement with indigenous peoples and IFAD's guidance documents on fragile states. For example, IFAD's 2012 Gender Equality and Women's Empowerment Policy states that gender equality is "central to biodiversity conservation and environmental sustainability". It also argues that although women use natural resources on a daily basis, "women have significantly less access than men to the assets and services that would enable them to increase their productivity."¹³ Equally, attention to mitigating and responding to the risks of natural disasters and conflict, particularly local conflicts over access to natural resources is highlighted in IFAD's guidance on working in fragile states.¹⁴
 51. A recent draft review of progress of the ENRM policy against the above mentioned Result Measurement Framework concludes, albeit based on self-assessment, that overall, there has been good progress against the result framework for the ENRM Policy and that it is possible that all indicators will be met by 2016. It goes on to note that the establishment of ECD and climate finance such as the ASAP (described in more detail below) has greatly boosted progress on related deliverables, and that the GEF 6 business planning process presents opportunities to continue to step up IFAD's engagement and visibility on ENRM issues.¹⁵
 52. The most important climate financing initiative is the ASAP, launched in 2012 to promote climate mainstreaming in IFAD projects. It was designed to build on IFAD's long history of work on natural resource management by incentivizing the more explicit inclusion of risk factors related to climate change in IFAD supported projects. ASAP is a multi-year and multi-donor programme which by mid-2015 had pledged US\$366 million from IFAD and 10 bilateral donors making it the largest source of dedicated finance for smallholder farmers' adaption to climate change.¹⁶ ASAP's approach is based on mainstreaming climate resilience across IFAD's approximately US\$1 billion per year investments in agricultural development programmes. ASAP blends dedicated grant co-financing for climate change adaptation with regular loan and grant-funded IFAD investments.
 53. This inclusion of climate risk has, according to the IFAD10 programme of work,¹⁷ led to three main ways in which projects are evolving: analysis, through the preparation and use of more detailed vulnerability analyses that take into account current climate-related (and other) threats; innovation, through the addition of more climate risk related activities to projects; and, the scaling up of sustainable agriculture techniques. ASAP provides a new source of co-financing to scale up and integrate climate change in IFAD's investment programmes, leveraging against

¹³ IFAD, 2012, *Gender Equality and Women's Empowerment Policy*, International Fund for Agricultural Development, Rome, Italy.

¹⁴ IFAD, 2015, *IFAD's Engagement in Fragile and Conflict –affected States and Situations*, International Fund for Agricultural Development, Rome, Italy. (Page 50).

¹⁵ For example IFAD as an agency will take the lead on Food Security in Sub-Saharan Africa under GEF 6 new pilots for integrated approaches.

¹⁶ ODI/IFAD, 2015, *Adaption for Smallholder Agriculture programme (ASAP) Progress Review*, Final version. (Page 13).

¹⁷ IFAD, 2014, *IFAD 10 programme of work, Consultation of the Tenth Replenishment of IFAD's Resources – Second Session*. (Page 13).

existing investments. In this way ASAP aims to achieve impacts beyond what could be expected from stand-alone climate projects. Although improvements have been made through integration of climate change issues in COSOPs and project designs according to IFAD10 about a third of projects are as yet not sufficiently assessing and protecting themselves from climate risk. This has led to a commitment to mainstream climate change 100 per cent into IFADs works programme between 2016 and 2018.¹⁸ ASAP has been IFAD's flagship programme to start this process and a 10-point plan has been developed in order to achieve this.

54. In addition, IFAD in late 2014 replaced its previous procedures to implement environmental assessments with new Social, Environmental and Climate Assessment procedures (SECAP). Whilst the 2009 Environmental Assessment Procedures (EAP) underpinned the Fund's commitment to environmental and social sustainability,¹⁹ the 2014 procedures most important new features include: integration of climate and social considerations; establishment of a complaints procedure and strengthening of social, environmental and climate risk classification of projects and the steps needed.
55. From the above, it can be clearly seen that over recent years there has been a step-change in IFAD's involvement with ENRM with a major increase placed on environment and natural resources at the strategic and other levels. The commitment in IFAD's work programme to mainstream climate change 100 per cent and the increase in resources, both human and financial, demonstrate that these issues are now given increased emphasis in IFAD's modus operandi.

Key points

- IFAD's approach to ENRM is grounded in its recent SFs, its Replenishment Consultations, its Climate Strategy and its Policy on ENRM. There has been a steady strengthening of the commitment to better integration of ENRM concerns in IFADs operations.
- The current SF includes natural resources (land, water, energy and biodiversity), climate change adaptation and mitigation, and sustainability among its thematic focus areas and mainstreams environmental and climate change resilience.
- The ENRM Policy's goal is to enable poor rural people to escape from, and remain out of, poverty through more productive and resilient livelihoods and ecosystems.
- In the past few years there have been a number of significant initiatives to increase IFAD's capacity to deliver this mandate, including the creation of ECD, the establishment of ASAP and continuing implementation of GEF projects. It has also upgraded its environmental and social safeguards system by adopting SECAP.
- A recent draft review of progress on the ENRM policy against the Result Measurement Framework concludes that overall, albeit based on self-assessment, there has been good progress and that it is possible that all indicators will be met by 2016.
- It is clear that there has been a step-change in IFAD's involvement in ENRM issues in recent years.

¹⁸ IFAD, 2014, *IFAD 10 programme of work, Consultation of the Tenth Replenishment of IFAD's Resources – Second Session*. (Page 13).

¹⁹ As expressed by: use of a precautionary approach; alignment with best practices of bilateral and multilateral financial institutions; improved cross sectorial approaches to environmental supports, provision of a framework for effective management of environmental and social risks; emphasis on early identification of challenges and opportunities with borrowing countries; establishing safeguards for human health; establishment of criteria for environmental categorization of projects (A, B or C) etc.

III. Portfolio analysis

A. Total ENRM funding (2010-2015)

56. IFAD invests in ENRM activities through a combination of different instruments including loans, country and regional grants, GEF and ASAP grants. For the purpose of this analysis IFAD's support to ENRM refers specifically to costs in loans and regular Debt Sustainability Framework and ASAP grants. In line with IFAD common practice, GEF funding (GEF Trust Fund, Special Climate Change Fund, Least Developed Countries Fund, and Adaptation Fund) will be dealt with separately.
57. Accurate data for the proportion of IFAD lending committed to ENRM continues to be challenging to identify as IFAD lacks an agreed upon approach for classifying projects as ENRM in its Grants and Investment Projects Management System (GRIPS). One challenge is that ENRM activities can be either the main focus of a project or in many cases part of a broader package of activities.
58. This Evaluation Synthesis builds on the approach used for previous evaluations by IOE, for example in the 2009 ARRI Issues Paper, and analysed cost data for nine of the GRIPS sub-component types²⁰ that deal most directly with ENRM issues. The choice of sub-components, as in previous IOE practice and in consultation with ECD, reflects the aim of including interventions that are designed to address environmental and natural resources degradation or to promote more sustainable natural resource management. However, it is likely that these nine sub-components understate the total ENRM contribution as there are undoubtedly ENRM interventions integrated into other sub-components.²¹
59. In order to reflect more recent ENRM funding, the ASAP Trust Fund allocations are also analysed.²² On this basis, table 1 below shows that IFAD has invested US\$588.7 million²³ in ENRM activities, including ASAP, over the period 2010-2015 – 11.8 per cent of total IFAD financing over the same period.
60. Most of IFAD support to ENRM has been channeled through loans (58.4 per cent of total ENRM funding in the period 2010-2015). Since 2012, ASAP has been playing an important role (accounting for 40.6 per cent of total ENRM cost). IFAD financing for national or regional grants accounts for 1 per cent of total ENRM support over this period.
61. It is important to recognize the contribution of ASAP to the overall investment in ENRM. Over the period 2010-2015, ENRM support, without ASAP, amounted to 7.3 per cent of total IFAD investment.

Table 1

IFAD support to ENRM (approved projects 2010-2015)* (USD)

<i>IFAD loans</i>	<i>IFAD grants</i>	<i>ASAP Trust Fund</i>	<i>Total</i>
343 772 337	6 045 500	238 868 622	588 686 459
58.4%	1%	40.6%	100%

* This table does not take into account GEF funding given IFAD's usual procedure in separating.

²⁰ The nine sub-component types selected for the analysis include: climate change adaptation, fisheries marine conservation, energy production, forestry, integrated pest management, land improvement, rangeland/ pastures, resource management/protection, and soil and water conservation.

²¹ For example, there may be some projects where environment is mainstreamed into all components of the project (e.g. community development) which will not be captured. Equally, strengthening land tenure security (which was been supported in a number of IFAD –funded projects) is recognized as indirectly contributing to the sustainable management of land and natural resources. Irrigation management and investment are not included although in some cases they may contribute to more sustainable natural resource management.

²² In the case of ASAP the sub-component analysis was not used as it was assumed that all ASAP projects could be considered as having an ENRM focus.

²³ As per GRIPS data November 2015.

Source: IFAD's Grants and Investment Project System consulted 1 December 2015.

62. Comparing ENRM funding with earlier years, the total ENRM funding in IFAD loans for the period 2005-2009 was US\$183 million, 6.7 per cent of total IFAD lending. Although the absolute amount has increased significantly in the period 2010-2015, the proportion of the total lending has only increased slightly to 7.3 per cent (excluding ASAP). The amounts allocated to ENRM were relatively unchanged year by year from 2005 until 2008. In 2009, the amount increased significantly and despite year to year variability the amount has not been at a higher level since then.
63. This Evaluation Synthesis will account for GEF funding separately. IFAD has since 2001 been a GEF Executing Agency and has worked in 45 countries, with a total portfolio of US\$228 million. GEF projects approved during the period 2010-2015 account for US\$101 million.
- B. Allocation of ENRM funding by region (2010-2015) for IFAD loans, ASAP and the GEF**
64. As can be seen from the table below the Asia and the Pacific Division (APR) accounts for 42 per cent of all IFAD lending for ENRM activities over the period 2010-2015, followed by Near East, North Africa and Europe Division (NEN) (20 per cent), West and Central Africa Division (WCA) (17 per cent), and East and Southern Africa Division (ESA) (15 per cent). Latin America and the Caribbean (LAC) accounts for only 4 per cent.
65. As can be seen in table 2 below, it is interesting to compare the distribution of ENRM with the distribution of total IFAD lending. The ENRM share in Asia and the Pacific and in Near East and North Africa is greater than their share of total lending but it is lower in the other regions.
66. The ASAP projects are more evenly distributed. The Asia and the Pacific region receives the most financing (28 per cent) followed by West and Central Africa (25 per cent). East and Southern Africa received 21 per cent of ASAP funding and Near East and North Africa received 17 per cent. Latin American and Caribbean countries were allocated only 9 per cent of total ASAP support.
67. It is worth noting that the distribution of GEF funding is different. The region with the greatest allocation of GEF funds is Near East and North Africa (38 per cent), followed by West and Central Africa (29 per cent) and Latin America and the Caribbean (23 per cent). Asia and the Pacific received only 6 per cent while East and Southern Africa received 4 per cent.

Table 2
Allocation of ENRM funding by region and by type of funding between 2010-2015 (IFAD loans, ASAP and the GEF)

	APR	NEN	WCA	ESA	LAC
Loans	ENRM funding: (42%) Distribution: 12 countries, 20 projects Total funding: APR received 35% of total IFAD funding between 2010-2015	ENRM funding: (20%) Distribution: 9 countries, 16 projects Total funding: NEN received 13% of total IFAD funding between 2010-2015	ENRM funding: (19%) Distribution: 6 countries, 9 projects Total funding: WCA received 21% of total IFAD funding between 2010-2015	ENRM funding: (15%) Distribution: 7 countries, 9 projects Total funding: ESA received 22% of total IFAD funding between 2010-2015	ENRM funding: (4%) Distribution: 6 countries, 7 projects Total funding: LAC received 9% of total IFAD funding between 2010-2015
ASAP	28% 6 countries, 6 projects	17% 6 countries, 6 projects	25% 6 countries, 6 projects	21% 7 countries, 7 projects	9% 3 countries, 3 projects
GEF	6% 2 countries, 2 projects:	38% 8 countries, 10 projects:	29% 7 countries, 7 projects:	4% 1 country, 1 project :	23% 7 countries, 8 projects:
% of total funding allocated per region	32%	21%	23%	15%	9%

Source: IFAD Grants and Investment Project System consulted 1 December 2015 and GEF data provided by ECD May 2015.

C. Allocation of ENRM funding per country type (2010-2015)²⁴

68. The ENRM funding allocated by region can be further analysed by identifying the proportion of ENRM allocated to each country type: fragile states, Least Developed Countries (LDCs) and Middle-income Countries (MICs).
69. The figures below show that the largest share of IFAD lending for ENRM activities is allocated to non-fragile state MIC countries (50 per cent) compared to 27 per cent to non-fragile state LDCs. 23 per cent is allocated to fragile states – almost equally distributed between fragile state MICs and fragile state LDCs. This is generally in line with IFAD's overall funding pattern although it appears that non fragile state MICs are on average receiving a slightly higher proportion of ENRM resources compared to total funding (See figure 3).
70. The ASAP funding is, in contrast, more evenly distributed between LDCs and MICs. Interestingly, a somewhat higher proportion of the ASAP funding (33 per cent) is being allocated to fragile states than is the case for ENRM lending (23 per cent).
71. For the GEF, a very high proportion (68 per cent) is allocated to MICs – compared to 44 per cent of total IFAD funding. Of the rest, 14 per cent goes to LDCs and 18 per cent to fragile states.

Figure 1

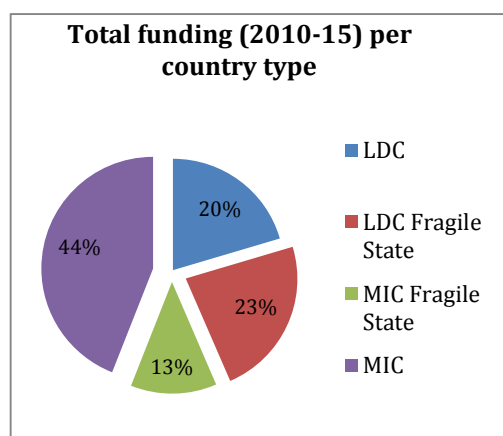


Figure 2

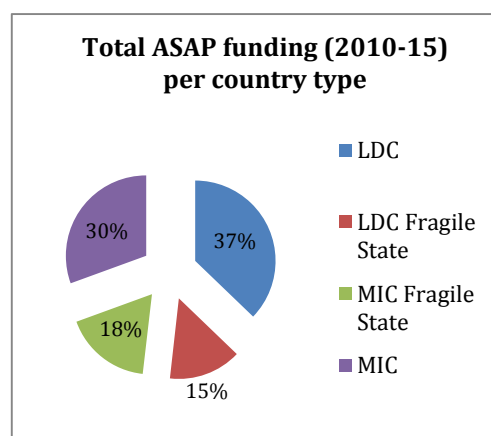


Figure 3

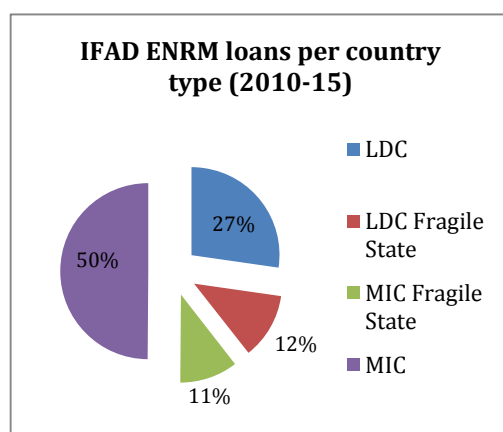
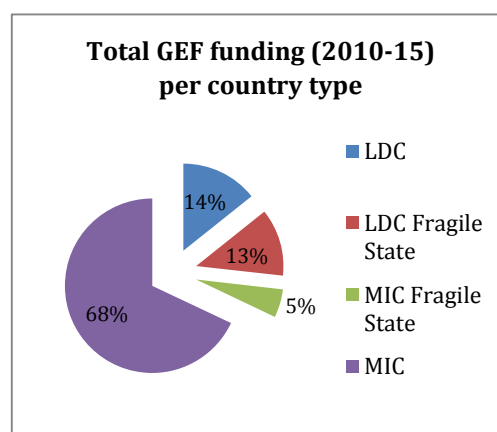


Figure 4

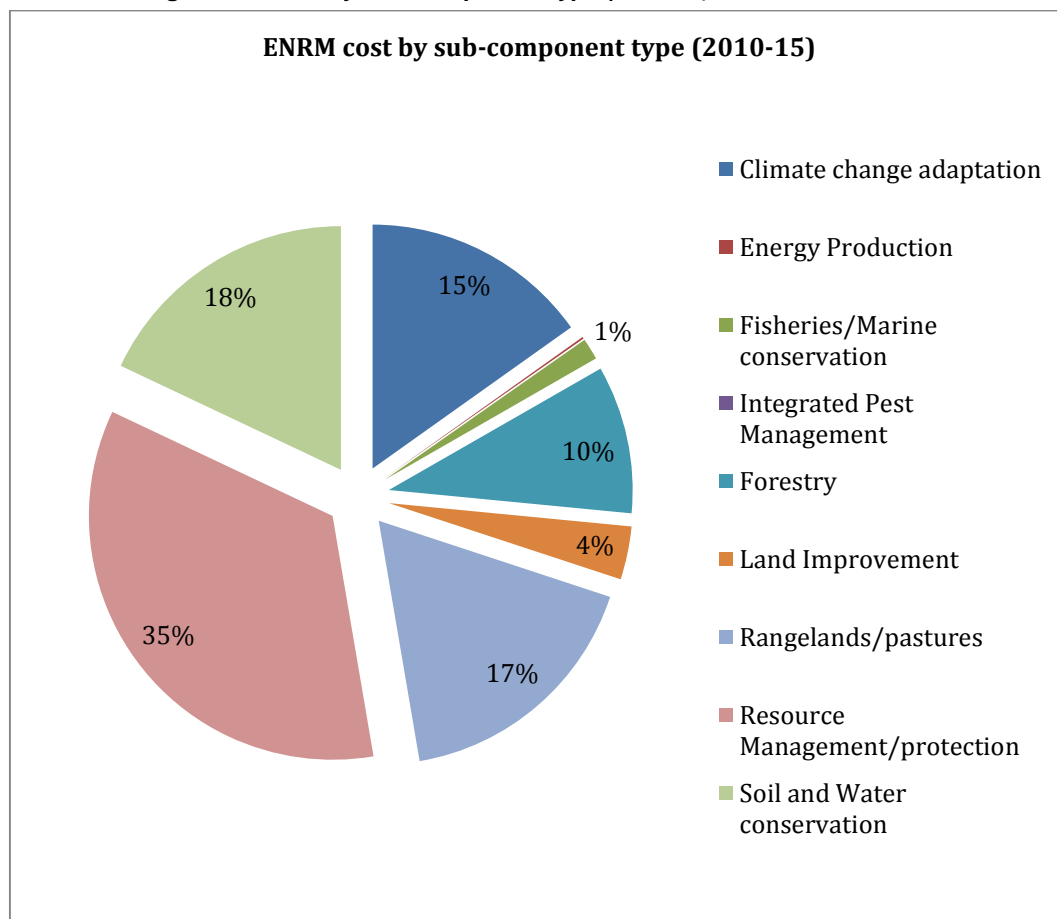


²⁴ For the purpose of this analysis, the countries were classified by using the latest World Bank database.

ENRM cost by sub-component type

72. Looking at the distribution of ENRM lending to different sub-component types, most was directed to resource management/protection²⁵ (35 per cent), followed by soil and water conservation (18 per cent), rangelands/pastures (17 per cent), climate change adaptation (15 per cent) and forestry (10 per cent). In contrast, land improvement and fisheries and marine conservation were allocated a very small share of total ENRM cost.

Figure 5

Loan financing: ENRM cost by sub-component type (2010-15)*

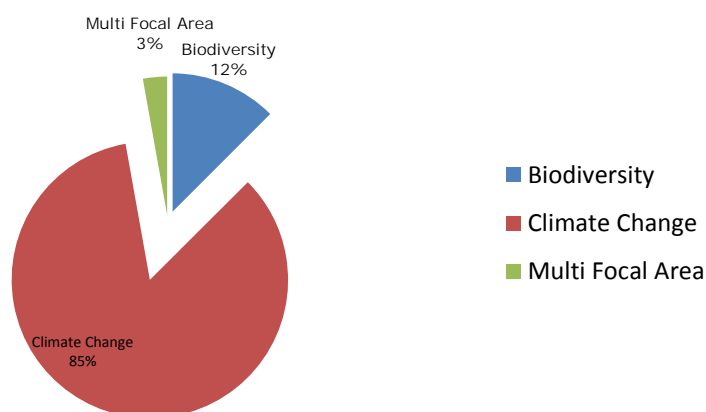
* Note that energy production and integrated pest management do not appear on the pie chart as the amount allocated is minimal in the case of energy production and deficient in the case of integrated pest management.

73. Interestingly, 42 per cent of the grant funding has been allocated to land improvements. The two other main sub-components include resource management/protection (33 per cent) and climate change adaptation (25 per cent).
74. The GEF Trust Fund supports six focal areas: climate change, biodiversity, land degradation, international waters, chemicals, and sustainable forest management. A project that receives GEF funding from the programming window of more than one focal area is generally referred to as a multi-focal area project.

²⁵ According to the IFAD GRIPS Reference Manual revised June 2013, Resource management/Protection includes activities to rehabilitate watershed, preserve biodiversity, restoration and development of protected areas, wilderness, animal habitats, etc. Slightly different than 'Soil and water conservation', which is more directed at productive activities.

75. The GEF also administers several funds established under the UNFCCC including the Least Developed Countries Trust Fund (LDCF), the Special Climate Change Trust Fund (SCCF) and is interim secretariat for the Adaptation Fund (AF).²⁶
76. Since 2010 IFAD has approved 25 GEF grants. Most funds came through the Least Developed Countries Fund (36 per cent) and Special Climate Change Fund (30 per cent). The GEF Trust Fund has accounted for 27 per cent of total GEF managed funds, whereas the Adaptation Fund for only 7 per cent.

Figure 6
IFAD-GEF funding by focal area* (2010-15)



* GEF, 2015, *GEF 5 Focal Area Strategies*. Available at: <http://tinyurl.com/omcz4bm>.

77. As can be seen in the figure above, the majority (85 per cent) of IFAD-GEF funding has been used for responding to climate change, 12 per cent for biodiversity conservation and 3 per cent have a crosscutting nature (multi-focal area).²⁷

²⁶ The Least Developed Countries Fund, the Special Climate Change Fund and the Adaptation Fund were established under the United Nations Framework Convention on Climate Change (UNFCCC) at its seventh session in Marrakech. The Adaptation Fund was officially set up in 2007. It should be noted that Climate Change Mitigation is financed through the GEF trust fund Climate Change focal area while Climate Change Adaptation is financed through Least Developed Countries Fund and the Special Climate Change Fund.

²⁷ Please note that this figure represents our sample of GEF projects. In terms of the complete GEF project portfolio, climate change remains the domain focal area (38 per cent), followed by Multi Focal areas (30 per cent), land degradation (18 per cent) and biodiversity (11 per cent). A disparity in the figures is explained by 2 projects with no focal area classification to date.

Key points

- IFAD financial support to ENRM activities over the period 2010-2015 amounted to US\$588.7 million, 11.8 per cent of total IFAD funding, with loans making up 58 per cent and the ASAP 41 per cent.
- In terms of regional distribution, nearly half of lending for ENRM activities went to the Asia and Pacific region, compared to 35 per cent of total IFAD lending. Also, 20 per cent went to the Near East and North Africa region, compared to 13 per cent of total lending. ENRM lending to other regions fell short of those regions' share of total lending.
- ASAP funding was more evenly distributed across the regions, although Asia and the Pacific received the largest share. The largest allocation of GEF funds is for Near East and North Africa (38 per cent). Latin America and the Caribbean had the smallest share of lending and ASAP, but a relatively larger share of GEF funds.
- A high proportion of ENRM lending is in non-fragile state MICs which is a relatively higher proportion of total ENRM lending compared to that country types' proportion of total IFAD lending. On the other hand, ASAP funds are almost equally distributed between MICs and LDCs. Notably, almost half of ASAP funding is taking place in fragile states.
- Over half of ENRM lending is allocated to resource conservation and soil and water conservation, with 15 per cent going to climate change. ASAP is, of course, solely focused on climate change adaptation and 85 per cent of the GEF resources in the review period are allocated to this issue.

IFAD evaluation findings

78. This section provides an analysis of evidence about IFAD's ENRM activities from the evaluation reports covered by this Evaluation Synthesis. The analysis is structured around the questions set out in the concept note and is based on findings from CPEs, project evaluations (project performance assessments, interim evaluations and completion evaluations, PCRVs, IFAD GEF Terminal Evaluations) and other evaluation syntheses. Evidence of learning that has taken place as a result of evaluations – both in terms of new COSOPs taking account of recommendations in CPEs and also project evaluations leading to improved design of follow-on projects will also be explored.

D. Alignment with IFAD's ENRM strategy and policy

79. In chapter II, this report sets out the evolution of IFAD's strategic commitment to ENRM, as set out in the most recent Strategic Frameworks, Replenishment Commitments and more recently the 2012 Policy on Environment and Natural resource management.
80. In this section, the Evaluation Synthesis addresses the question of how IFAD's country strategies and operations portfolios align with its strategy and commitments to ENRM, drawing on evidence from CPEs. In later sections, the analysis is based on evidence from project evaluations.
81. Clearly the strategy on ENRM has evolved over the period covered by this Evaluation Synthesis, as is described in chapter II. However, recognition of the importance of environmental sustainability to addressing poverty in the rural sector, mainly through improved access to productive natural resources, was quite clear in the 2002-2006 SF. The next SF (2007-2010) states "IFAD will improve the access of poor rural people to productive natural resources, the security with which they can use and hold them, and the practices they use to manage and conserve them." It also commits IFAD to conducting environmental assessments where necessary.
82. From a current perspective, the key strategic goal for IFAD has been the systematic integration of ENRM into IFAD's operations, to ensure ENRM factors are fully taken into account in project design, to avoid adverse environmental or social

impacts and to ensure effective implementation of ENRM components and activities. The current SF (2011-2015) states that IFAD will systematically pursue environmental sustainability and climate change adaptation and mitigation in all its projects and programmes.

83. The overarching question addressed by this Evaluation Synthesis is:
How does the programme/project seek to deliver IFAD's evolving strategy on supporting ENRM and integrating ENRM in its operations and what lessons can be learned about factors that determine performance?
84. The principal source of evidence for tackling this question is the sample of CPEs. First, the CPEs, in many cases, reveal a change in emphasis on ENRM from one COSOP to the next. Second, the review of IFAD's country portfolios over the period covered by the CPEs provides some insight into the extent to which ENRM is an important strategic element in IFAD's operations in the country concerned. These are discussed below.

Analysis of COSOPs in CPEs

85. There are 17 CPEs in the sample for this Evaluation Synthesis. The review of these shows the extent to which COSOPs include a focus on ENRM issues and in some cases how this evolves from one COSOP to the next. Seven CPEs cover more than one COSOP, and in a couple of those cases, it is clear that the focus has increased. In others it has changed emphasis slightly and in three cases however, there is evidence of decreased focus.
86. The CPEs reveal a good range of ENRM issues that have been given prominence in COSOPs. For example, these include better access to natural resources for marginal populations (India), rehabilitation of degraded land (Niger), improved water management (Yemen) (Jordan); soil conservation (Yemen); watershed management (Rwanda) (Gambia) (Ethiopia); forest management (Viet Nam) (Nepal); promotion of natural resources based enterprises (Nepal); rangeland rehabilitation (Jordan).
87. An example of evolution to stronger alignment is Jordan. The 2001 COSOP had two strategic "thrusts" one on rangelands and one on agricultural resource development. It also mentioned "three inter-related areas of concentration", one being on environmental protection, including conservation of natural resources, soil, water and rangelands. In 2007, the new COSOP had a stronger focus with ENRM elevated to one of three strategic objectives. This included "improved and sustainable access to land and water resources for poor rural men and women", involving "an integrated approach to natural resource management" covering watershed management, water use efficiency, better water infrastructure and highland and rangeland rehabilitation.
88. As one would expect, the CPEs reveal a growing focus on climate change.²⁸ In Zambia, the CPE reveals a change in emphasis, with the 2004 COSOP addressing a concern for forestry and other environmental issues and then the 2011 COSOP shifting priority to climate change. In Bangladesh, the CPE revealed a perceptible shift from an emphasis on natural resource management and water infrastructure to climate change adaptation from the 2006 to the 2012 COSOPs.
89. In several cases, the CPEs reveal a change in emphasis towards other strategic priorities, perhaps at the expense of attention to ENRM issues. In the case of Viet

²⁸ The range of climate change adaptation activities can be quite broad and typically focused on increased intutional and physical resilience within the agriculture sector to climate variability. There is of course overlap with conventional ENRM activities but the profile of adaptation measures will be more narrowly focused. There are significant areas of focus within national ENRM strategies that would not be covered by targeting climate change. For example, IFAD provides a high level of support for ENRM activities designed to encourage adoption by small farmers of natural resources based income generating activities suited to fragile or stressed environments.

Nam, the CPE highlights a shift from area based to market based interventions from the 2003 to the 2008 COSOPs, but it concludes there should be greater focus on natural resource management. The Nepal CPE noted that the 2000 COSOP had a strong focus on community based natural resource management while the 2006 prioritized the commercialization of agriculture and promotion of high-value crops. While this may not result in a worse ENRM outcome in the long term, this strategic thrust needs to be accompanied by a focus on ENRM issues.

90. A number of CPEs contain some critical comments on the absence of adequate strategic focus on ENRM despite challenging environmental conditions. The Senegal CPE reveals an inadequate alignment. The 2004 COSOP has very little focus on ENRM issues, despite a number of environmental challenges. By 2010, the COSOP does recognize these challenges but includes very little activity to address them. Also, the Ghana CPE notes that the COSOP has a strategic thrust towards sustainable livelihoods but little attention to improving natural resource management in support of this objective.
91. Finally, the Bolivia CPE reported that the 2007 COSOP included an objective of promoting the integrated management and development of natural resources in defined territorial areas – consistent with the IFAD 2007 SF. The COSOP made a contribution to highlighting the importance of environmental management although there was limited follow up in new investments.

Analysis of portfolios in CPEs

92. The CPEs also evaluate the country portfolios. This can reveal some general trends in how IFAD is integrating ENRM into its operations. This evidence can provide some insight into what types of ENRM activity are being prioritized, whether pervasive environmental problems are being addressed adequately or how effective different thematic types of ENRM activities within the portfolio have been.
93. It should be noted that the CPEs do not typically address the question of whether there has been sufficient attention to ENRM issues across the portfolio nor would it be easy for them to make this judgment. However, in some cases, it may be evident that the strategic priorities on ENRM in the COSOP may not be fully reflected in the content of the portfolio.
94. For example, the Zambia CPE reports that the emphasis on ENRM has increased from the 2004 to the 2011 COSOP but there is little ENRM content in the country portfolio, just a forestry component amounting to 11 per cent of the portfolio. Similarly, the Bolivia CPE noted that the COSOP's strategic objectives include the promotion of integrated and sustainable management and development of natural resources. However, the portfolio analysis highlights poor integration of ENRM into project design and implementation.
95. In other cases, such as Senegal, Madagascar and Kenya, the CPE portfolio analysis simply reported that there was limited or fragmented focus on ENRM issues within the portfolio despite evident environmental and natural resources problems. The Ghana CPE notes that the portfolio contains limited ENRM activities despite pervasive environmental problems and that there has been inadequate attention to environmental risk in a number of instances.
96. Many CPEs comment on the predominant design and performance issues evident from a theme in the portfolio. The India CPE, for example, notes that the objective of improving natural resources based livelihoods for marginalized populations applying shifting cultivation in degraded environmental conditions requires careful analysis of social, political and physical factors to succeed. Looking across the portfolio allows lessons to be learned about the approach adopted.
97. A number of CPEs reflect lessons from a focus on watershed management. In Rwanda, the CPE notes that three out of five projects covered by the portfolio analysis have components on watershed management and soil and water

conservation. The analysis of the portfolio reveals a good level of success in soil and water conservation and participatory watershed management activities across a number of projects. However, it concluded that there should be better integration of the implementation measures into local government structures.

98. Another CPE that reveals a strong focus on watershed management to support smallholder agricultural productivity is the Gambia. The CPE reports that over 50 per cent of the investments in the latest five IFAD projects are related to watershed management. The CPE notes that the watershed management approach emphasized community participation and demand driven interventions. These efforts have helped control water movement in the upper catchment and lowland areas, by increasing the area of land available for cultivation and by reducing soil erosion and flooding. The resulting increased production however does not appear to match the amount assumed in project design.
99. Another thematic issue that is evident is rangeland management. The Jordan CPE provides a thematic perspective on rangeland management in the portfolio analysis. It reports that the focus on rangelands improvement had limited success, partly because it was too diffuse to tackle the challenge effectively. In addition, the approach adopted required a high level of participation by landowners that proved hard to achieve.
100. A number of portfolios contain support for forestry management. The Nepal CPE highlighted positive results from the support for leasehold forestry in the portfolio. It also reported that the application of the approach was somewhat inflexible and needs to be more responsive to differing local conditions.

Key points

- In most cases, the CPEs report that COSOPs contain some level of focus on integrating ENRM in line with the evolving IFAD ENRM strategy. As one would expect, the range of ENRM issues that appear in the COSOPs' objectives is quite broad, depending in part on issues specific to the country or on sectors or sub-sectors that IFAD has focused on in its operations. However, it must be stressed that it is hard to make a clear judgment on whether the strategic focus on ENRM is adequate in any specific country context and the scope of IFAD's role.
- There are a few cases where the CPE covers more than one COSOP and one can see that this ENRM focus has strengthened from one COSOP to the next. However, in a small number of cases, it appears that new strategic issues, such as increased market focus have been adopted and have displaced a focus on ENRM. In a couple of cases, it is evident that the emphasis has shifted from conventional ENRM issues to climate change adaptation.
- Overall, the evidence from the CPE reviews of portfolio performance is diverse. CPEs do in some cases comment on whether portfolios adequately reflect the COSOP strategic objectives, noting that the ENRM content is limited compared to what is in the COSOP as is the case with respect to other areas of strategic focus. In others, the CPEs simply comment that there is limited or fragmented focus on ENRM in a country context where the focus should be stronger.

E. Integrating ENRM into programme/project design

101. In this section, the focus turns to the evidence from project evaluations. Clearly, the integration of ENRM into project design is a key element of this Evaluation Synthesis. It is during project preparation that a project can be designed to align with the prevailing environmental conditions, to target pervasive environmental problems affecting the beneficiaries and to identify opportunities to achieve environmental benefits. The aim is to secure the long-term sustainability of the agricultural systems on which the rural poor depend.

102. The question guiding the review of the evaluation reports is:

To what extent do programme/project evaluations reveal any ENRM opportunities overlooked in project design or inadequate consideration of the environmental context?
103. The 2009 ARRI Issues Paper drew attention to concerns about how ENRM was integrated into project design and highlighted the issue of “opportunities overlooked”. Project design needs to be responsive to the prevailing environmental and natural resources conditions and in particular not overlook opportunities to address them. This includes the challenge of designing operations to respond to serious environmental degradation, or of ensuring proposed solutions to ENRM issues can work in the physical and socio-economic context.
104. Of course, not every IFAD intervention can take on the challenge of pervasive long-term environmental problems, but they do need to ensure that the livelihoods of the rural poor can be improved sustainably and through good management of the natural resources base.
105. It must be emphasized that there is significant level of judgment in determining whether the project design has taken sufficient account of environmental issues or not. Evaluation reports rarely assess whether a project should or could respond significantly to wider environmental conditions. Projects that involve multiple components or demand led activities that include ENRM activities may be designed with a number of parallel objectives.
106. In principle, the amount of resources allocated to the ENRM component of a project provides some perspective on how well a project has taken account of ENRM issues. In fact, a couple of the evaluations in the sample comment critically on this – concluding that insufficient resources have been allocated to meet the stated ENRM objectives.
107. It is possible to look at the data on the investment cost of the ENRM sub-components of the projects included in the Evaluation Synthesis sample using the same source (GRIPS database) and method used for the portfolio analysis described in the previous chapter. If those projects in the sample that had no environmental objectives or components are excluded, the amount allocated to sub-components identified as ENRM in the database averages 17.8 per cent of the total costs. Out of 20 projects, there are four whose ENRM allocation exceeds 30 per cent of total cost. However, this method almost certainly understates the ENRM allocation significantly in some projects because the ENRM activities are not identified as a specific ENRM sub-component in the database.
108. In addition, it is hard to draw conclusions simply from the amount of resources allocated to ENRM activities in a project without looking carefully at the project's overall objectives, the activities designed to meet those objectives and how much cost is typically involved in delivering them. It may well be quite appropriate for the ENRM activities to involve a relatively small investment in relation to the other project activities depending on the overall project design. Also, ENRM activities that are identified as ENRM sub-components in the database may be accompanied by other activities integral to their implementation but not identified as ENRM, such as training, capacity development, market viability analysis and others.
109. The scope of this line of investigation is quite wide. Unsurprisingly, the evidence available is varied, ranging from the relevance of projects to the key challenges facing the rural poor who live in areas where there is serious environmental degradation, to the inclusion in project design of factors that affect the potential success of projects aiming to change the behaviour of poor households or promote different forms of production, to identification of opportunities stemming from the overall ENRM context of a project.

110. In addition, the review of how ENRM is factored into design covers a range of different project types that can broadly be defined as follows.
- Projects whose primary objectives include tackling pervasive environmental or natural resource issues that affect the livelihoods and well-being of the rural poor.
 - Projects that seek to improve livelihoods through innovation in natural resources based production, diversification of income sources and better management of natural resources to support “sustainable intensification” – usually in challenging environmental conditions.

Projects with a primary ENRM objective

111. First, there is the evidence in the evaluation reports relating to projects that have a primary objective of tackling an ENRM issue. In broad terms, the reports highlight positive design factors such as engaging effectively with stakeholders and supporting local community organizations on which the implementation of natural resources measures depends. But they are critical of project design that does not match the interventions to the scale of the ENRM issue or that fails to address market viability of new production options. Although these types of projects are more traditional in tackling natural resources problems directly, it is clear that in a number of cases, the project design was too complex or ambitious. Box 1 provides a number of examples of design factors that contributed negatively to project outcomes.
112. An example of a key design factor that contributed positively to a successful outcome is highlighted in the project performance assessment (PPA) of the Philippines Northern Mindanao Community Initiatives and Resource Management Project (NMCIRSMP). One of the primary objectives was to promote the improvement and conservation of the natural resources base, with a strong focus on enhancing the capacity of local governments and community organizations to plan and execute environmental projects. The evaluation makes it clear how important the focus on community organizations was to achieving strategic environmental planning at the local level.
113. The Terminal Evaluation of the GEF Association of Southeast Asian Nations (ASEAN) Peatland Forest Project highlighted the challenges of a project with a regional and four country components. It is reported that the success of the project had much to do with identifying and involving the multiple stakeholders to create an effective framework for coordination and cooperation, delivering capacity building tailored to the local conditions and raising awareness.

Box 1

Examples of design factors for projects with an environmental objective

- One of the primary objectives of the Jordan Yarmouk Agricultural Development Project (YARDP) (PPA) was to improve food security and incomes for farmers by arresting degradation and restoring soil fertility. The evaluation report highlighted that the coverage of the measures were fragmented and the intended “ridge-to-valley” integrated approach was not implemented, concluding that the project design had not anticipated the challenge of ensuring the participation of a critical mass of land owners.
- In the case of the Bolivian Proyecto de Manejo de Recursos Naturales en el Chaco y Valles Altos (PROMARENA), the prime objective was to improve the livelihoods of the rural population by promoting natural resource management and by reducing desertification. However, the orientation of the project’s approach to the individual family unit seriously limited its impact and sustainability and it did not consider large-scale territorial interventions in line with the scale of the environmental problems.
- In Zambia, the Forest Resources Management Project aimed to increase the incomes of poor people who depend on forest resources for their livelihoods. The PPA report showed that the project did not achieve the overall result expected. It concluded that the single most critical design factor was the inadequate development of linkages between the producers and their markets.
- The issue of excessively complex and ambitious project design was highlighted in two GEF project evaluations. The FTE of the GEF Integrated Ecological Planning and Sustainable Land Management in Coastal Ecosystems in the Comoros stated as a key lesson learned that there was an excess of ambition and complexity in project coverage. Similarly, the Terminal evaluation report of the GEF Promotion of Sustainable Forest and Land Management in the Viet Nam Uplands project reported that the main lesson learned was the critical importance of ensuring realistic project design that match the local conditions and capacities.

Projects addressing income and well-being through improved natural resource management

114. There are a good number of projects in the Evaluation Synthesis sample focused on improving the incomes and well-being of rural communities through diversifying production in challenging environmental conditions or from promoting innovative natural resources based enterprises or from seeking to encourage “sustainable intensification” through better natural resource management. The evaluation reports highlight lessons learned relating to project design. Good design can be seen to include a combination of measures focused on raising awareness, piloting innovations, ensuring market viability and responding well to the specific environmental conditions. On the negative side, the reports noted the difficulties of finding viable production or income options in some settings, of taking full account of the local political and institutional factors and of not allocating adequate resources, reinforcing some of the findings from the CPEs.
115. An example of an evaluation that concluded that the project design had been well suited to the environmental conditions is the Brazil Gente de Valor- Rural Communities Development Project in the Poorest Areas of the State of Bahia project. The PPA report notes that the range of activities aiming to improve livelihoods in tough environmental conditions had been well suited to the particular constraints and opportunities. Factors such as a strong focus on awareness, piloting options and changing the behavior of beneficiaries to enhance better use of natural resources and a good focus on market viability of diversified production options were highlighted. In addition, a single partner agency with good technical capacity was a major success factor. See box 2 for further examples.
116. In Rwanda, the evaluation reported on successful soil and water conservation and watershed management activities in the Support Project for the Strategic Plan for

the Transformation of Agriculture (PAPSTA). The design was well suited to the environmental conditions, employed a strong participatory approach and strengthened local community organizations, backed up by effective project management. Where innovative diversification of production was included, there was good attention to market viability.

Box 2

Examples of design factors for projects aimed at improved income generation

- In the Lao PDR Oudomxai Community Initiatives Support Project (OCISP), one of the five components focused on better natural resource management, part of which was targeted at replacing uplands shifting cultivation and opium production. The Completion Evaluation noted that it proved more difficult than had been anticipated at the design stage to identify and promote sustainable alternative production systems, partly due to insufficient attention to market viability of production.
- In Lesotho, the Sustainable Agriculture and Natural resource management Project (SANReMP) had one (of four) objective to promote agricultural diversification and intensification with due attention to sustainable natural resources use and management. The PPA indicated positive results overall but highlighted a key design weakness – namely a failure to pay due attention to human resource constraints affecting the extension services and research bodies involved in delivering project activities.
- In some cases, the evaluation reports highlighted that insufficient resources had been allocated to achieve the ENRM results. The Cambodia Rural Poverty Reduction Project in Prey Veng and Svay Rieng deployed a broad range of activities aimed at reducing poverty, including natural resources based diversification of production. The PPA noted that in the case of the natural resources activities the resources allocated were quite inadequate to meet the intended target, being only 1 per cent of the total budget.
- Similarly in Bhutan, the Agriculture, Marketing and Enterprise Promotion Programme also deployed a range of activities to improve livelihoods, including soil and water conservation. But it was reported that there were limited natural resources and environment benefits due to minimal budget resources being available.
- Design issues relating to natural resource management investments designed to support existing agricultural production systems are both negative and positive. In Sudan, the Gash Sustainable Livelihoods Regeneration Project (GSLRP) aimed to regenerate the Gash spate irrigation scheme to benefit the local economy and livelihoods. The evaluation report noted that the project design underestimated the complexities of the social, political and institutional contexts resulting in poor results.

117. Overall, it is hard to judge if IFAD has done enough to “do good” in the ENRM domain. Few if any IFAD projects simply aim to tackle an environmental or natural resources issue. Most are focused on improving livelihoods of the rural poor, partly through addressing better natural resource management or by promoting opportunities of production that are well suited to fragile environmental conditions. But, the evidence on design issues would suggest that well understood issues are not always adequately taken into account at the project design stage.

Key points

- In many cases reports comment on how well project design is suited to the local conditions and what approach is realistic. The scale or geographical scope of ENRM interventions designed to tackle pervasive environmental problems is not always appropriate to the local context. There are also cases where the budget and time-scale is too limited. Some reports comment on project design being too complex or ambitious.
- A good number of projects employ an approach that involve a complex package of multiple measures or options to be adopted by beneficiaries to enable them to diversify their income opportunities in challenging environmental conditions. It is clear from the evaluations that the design of such projects is challenging, and ENRM activities are sometimes a relatively minor option.
- In several cases, the reports conclude that it is very important for ENRM project designs to have a strong focus on encouraging buy-in through participatory approaches and enhancing the awareness and capacity of community organizations. Similarly, it is important to create incentives for beneficiaries to adopt diversification of production during project design, particularly through a good analysis of market viability.
- The evaluation reports consistently highlight that effective project design depends in part on a good institutional set up with the right capacity and good coordination between government partners, community organizations and project management.
- Overall, the project design issues that come up most often are being responsive to the prevailing environmental conditions, taking account of social and political factors, creating good institutional set up, enhancing capacity of community organization and building on participatory planning and engagement.

F. Managing environmental risks

118. A key question in addressing IFAD's integration of ENRM in its operations is that of avoiding or managing adverse environment impacts from IFAD operations. The 2009 ARRI Issues Paper, distinguished between the "avoid harm" and the "do good" element of the ENRM domain. Here the focus is on "avoiding harm".
119. All major development finance institutions have addressed the risk of their operations causing harmful environmental and social impacts for several decades. These institutions have continued to develop what are often referred to as "safeguard" procedures and the effort to improve these continues today. Furthermore, assessing and managing these impacts tends to dominate the focus on ENRM in the context of international development.
120. IFAD has had its own procedures for managing environmental and social risk for many years and the issue is routinely addressed in evaluation reports. But it must be emphasized again that the preparation of the projects covered by this Evaluation Synthesis precedes the recent adoption of more systematic and rigorous environmental and social assessment procedures than were in place before. In 2009 the Environmental and Social Assessment Procedures (ESAP) were introduced and in 2014 a revised system, SECAP, was adopted. Prior to 2009, IFAD employed environmental assessment procedures, dating back to 1994.
121. This report is based upon what is covered by the evaluation reports in the sample, not all of which address this issue directly – either by reporting on whether an appropriate decision was taken on undertaking an assessment, whether such an assessment was done well and whether as a result appropriate mitigation or management measures were implemented. In fact, it is unlikely that an evaluation report would mention that this process had been conducted well, except in extreme cases.

122. Given these limitations, the questions that this Evaluation Synthesis addresses are: What evidence is there of assessing environmental risks effectively or of overlooking environmental risks? What can be learned about why this was done well or not?
123. About half of the evaluation reports in the sample do not make any mention of environmental risks being assessed, managed or overlooked. It is reasonable to assume that in some of these cases, adequate environmental assessment was undertaken but did not come to the attention of the evaluators. In others, of course, there may have been no need identified and no or minimal impacts observed during implementation. The following paragraphs, as well as box 3, provide concrete examples of environmental and social risks being overlooked.
124. The greatest environmental risk associated with a project in the sample was the Uganda Vegetable Oil Development Project. The interim evaluation report highlighted the high profile environmental risks associated with the oil palm component of this project. The report does conclude that the level of controversy was such that IFAD initiated three environmental impact assessments, leading to a detailed environmental management plan being put in place that has been closely monitored. However, from the outset the project was beset with public opposition including environmental concerns. The environmental assessment work, undertaken to respond to several stages of project design, involved considerable efforts to address these concerns, clarify misconceptions and engage with stakeholders. The environmental management plan, approved by the government environmental agency, was detailed and the monitoring has been rigorous, resulting in a high degree of compliance. The report recommends that for the second phase, there needs to be a full environmental and social impact assessment and a new environmental management plan with an emphasis on public communications. The evaluation does note that because of the high profile risk the environmental assessment work was beyond any IFAD safeguards requirement in place in the early stages but that IFAD exercised its responsibilities in a pragmatic fashion.
125. For the China West Guangxi Poverty Alleviation Project, the Completion Evaluation noted that environmental and social assessment had been taken into account in project design. However, the assessment overlooked a major hydropower project that had been developed in the area. This project displaced 80,000 people and some of those displaced have become beneficiaries of the project. The report states that the impacts of a project of this scale should have been taken into account but does not describe any effects on the project performance as a result.
126. The Bhutan [Agriculture, Marketing and Enterprise Promotion Programme](#) highlighted the need to allocate sufficient resources to effective environmental risk assessment. The project design specified that environmental impact assessment should be applied to all new roads but such practices were not widely applied. Training for engineers, contractors and farmers on environmental considerations in road construction and maintenance had insufficient budget to be effective.
127. In other cases, it is clear that specific environmental risks have been overlooked in the course of following the environmental and social assessment procedures.

Box 3

Examples of environmental and social risks overlooked

- The PPA of the Jordan Yarmouk Agricultural Resources Development Project (YARDP), for example, reports that the project had been deemed to be “category B” at the preparation stage but included activities with a higher level of risk, such as road construction and SWC infrastructure.
- The China Qinling Mountain Area Poverty Alleviation Project Interim Evaluation report highlights the environmental risks associated with large scale tree planting, intensification of farming using chemical inputs and processing of produce, although other project activities have had substantial environmental benefits.
- In the case of the Yemen Raymah Area Development Project, the Completion Evaluation report noted that the project lacked a systematic environmental assessment of the design of water infrastructure such as dams.
- The environmental assessment of the Burundi Programme de relance et de développement du monde rural (PRDMR) overlooked some project activities with environmental and social risks such as the management of marshland and building of social infrastructure.

128. A number of evaluation reports recommend better environmental and social assessment in the future for scaling up or follow on projects. The scaling up of the Rwanda PAPSTA would require environmental and social assessment to ensure appropriate environmental management measures to protect biodiversity related to converting marshland into irrigated land, for example.
129. In the case of projects that will promote multiple investments or enterprises, some evaluation reports highlight the need to take account of environmental and social risks. The Bangladesh Financer for Enterprise Development and Employment Creation (FEDEC) has supported environmental awareness training and has reviewed compliance with environmental measures by micro-enterprises. The PPA report indicates however that much more needs to be done as some of the microenterprise units engaged in manufacturing showed no awareness of pollution and noise impacts of operating in urban areas and those in agriculture did not reduce the use of chemicals. The Albania Programme for Sustainable Development in Rural Mountain Areas (SDRMA) PPA notes that in the future there may be environmental risks from over grazing brought about by the project investments and the promotion of exploitation of wild aromatic plants.

Key points

- It is clear from the evaluation reports that they do not systematically examine whether an adequate assessment has been carried out or whether suitable management measures were agreed and have been implemented effectively. However, a significant number of cases are reported where environmental risks have been overlooked or there is a risk of future environmental impacts as a result of scaling up the intervention or launching follow on projects.
- Some of the evaluation reports conclude that there is a need to be more alert to the environmental risks arising from projects that intend to achieve increased or intensified agricultural production. Although, they may not currently pose any risk, increased or intensified cropping or tree planting, for example, may cause unsustainable pressure on the natural resources base.
- In addition some reports draw attention to the challenge of assessing and managing the environmental risk of projects that generate multiple infrastructure investments or finance multiple micro-enterprises investments. In such cases, projects need to incorporate awareness raising on risk and mechanisms for assessing the individual sub-projects.
- The Uganda case suggests that the preparation of a project with a high profile environmental risk that significantly raises public concern cannot avoid a full-scale environmental assessment and thorough environmental management plan. The continuing focus on environmental assessment and management during the project lifetime highlights the importance of effective monitoring and applying an adaptive approach to environmental management.

G. Effectiveness of ENRM from the implementation of projects and programmes

130. This section examines the evidence presented in the evaluation reports on the implementation of ENRM activities with the aim of identifying lessons to be learned and gaining insight into key success.
131. The evaluation reports are in large part focused on how well the ENRM components or activities achieve their targets. They also include an ENRM criterion within the analysis of Rural Poverty Impact. The type of evidence presented can vary substantially from report to report, but mostly refers to how well activities have been implemented, what environmental benefits have been achieved and in some cases where environmental impacts have occurred. However, the reports do not often go into much detail and importantly they rarely explore why implementation was successful or not, although some do refer back to design flaws.
132. Specifically, the questions that the Evaluation Synthesis addresses are:
- Are there any lessons about the effectiveness of ENRM project components and activities and what causes good or poor performance?

ENRM ratings

133. All evaluations allocate a rating for Natural Resources, the Environment and Climate Change. According to the IOE evaluation manual, this criterion is defined as follows: the focus on natural resources and the environment involves the extent to which a project contributes to changes in the "protection, rehabilitation or depletion of natural resources and the environment". In 2010 climate change was added to the criterion with a focus on mitigating the negative impacts of climate change or promoting adaptation measures.²⁹
134. First, it is worth noting that the ratings³⁰ given by evaluations to the ENRM impact domain have been poor relative to other domains and have not improved

²⁹ In the draft revised Evaluation Manual emphasis is on adaptation rather than mitigation.

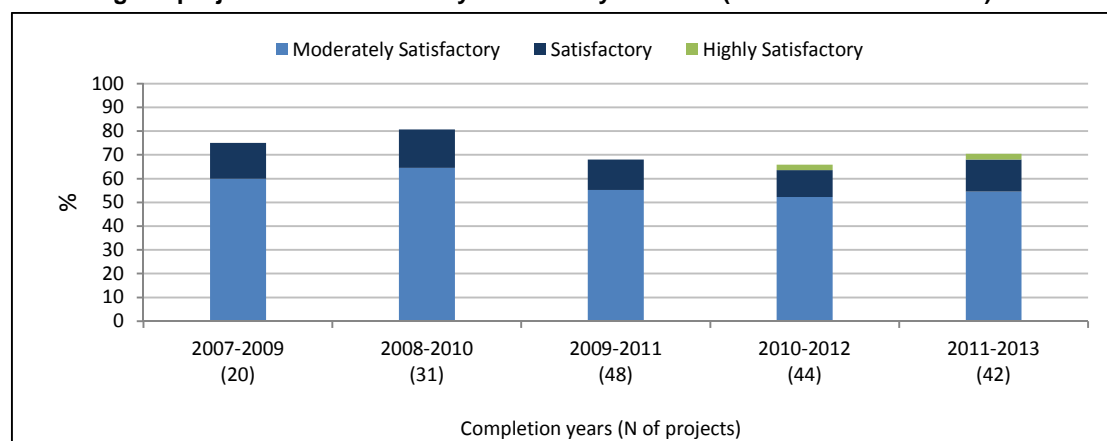
³⁰ IOE applies a rating scale from 1 to 6. A rating of 6 represents a good score and 1 the worst score.

significantly in recent years, as can be seen in figure 7. In the ARRI 2015 which covers project evaluations completed since 2002, the ENRM criterion scores a mean of 3.9, with only "efficiency" and "sustainability" scoring lower. It goes on to say:

135. This (ENRM) impact domain is one of the weakest areas in the performance of IFAD operations and there is no marked trend although there is some improvement since 2009. As may be seen from figure 7, 70 per cent of projects are moderately satisfactory or better in this domain, but only a small proportion are rated satisfactory (14 per cent) and highly satisfactory (2 per cent). In fact, 55 per cent of the projects are moderately satisfactory and another 30 per cent are in the unsatisfactory zone. The mean rating also does not show improvement. In 2007-2009, the mean rating was 3.85 with a Standard Deviation of 0.73, as compared to 3.84 with a Standard Deviation of 0.80 in 2011-2013.³¹
136. It should be noted that the ENRM impact domain rating has improved significantly since those projects completed in 2004-2006, according to the 2014 ARRI but have remained fairly stable since projects completed in the period 2008-2010.

Figure 7

Natural resources and environment and climate change – by year of completion
Percentage of projects rated moderately satisfactory or better (PCR/PPA data series)



Source: ARRI 2015.

Implementation of ENRM activities

137. Turning to the analysis of the evidence on the implementation of ENRM components and activities in the evaluation reports, this Evaluation Synthesis distinguishes between three broad categories of factors. First, there are issues relating to the delivery of specific ENRM targets through the project activities. Second, there are issues related to governance and institutional set-up. Third, the reports identify issues related to community participation, uptake and incentives.
138. The majority of evaluation reports present some evidence on the achievement of ENRM targets, although the way they are presented is not consistent. In some cases, it is relatively easy to identify the direct results of ENRM activities such as reforestation or soil conservation measures, although their overall impact on productivity and livelihoods may be more complex. See box 4 for examples of achievement of ENRM targets. While there is generally information on outputs many reports, however, note that monitoring of environmental impacts did not take place. For example the evaluation of the Oudomxai Community Initiative Support project in Laos noted that: "There was no monitoring of the impact of land use planning on the environment, or the effect of agricultural intensification on soil fertility or erosion. The indicator on forest cover was only added at the end of the

³¹ IFAD, 2015, *Draft Annual Report on Results and Impact of IFAD Operations evaluated in 2014*. (Pages 19-20).

project, and there is no information on changes over the project period".³² The evaluation of the Forest Resource Management project in Zambia highlighted that: "there had been no systematic monitoring of indicators or any other issues related to the natural resources or environment".³³ It went on to state that no M&E of the capacity built was undertaken. Likewise the evaluation of the Gente de Valor – Rural Communities development Project in the Poorest Areas of the State of Bahia in Brazil reported that the demand-driven nature of the project (activities and targets for outputs in itinere by the beneficiaries) and some weakness in the reporting system made it challenging to lay out a set of indicators ex ante that could be consistently monitored.³⁴

139. Some types of projects prove particularly challenging in terms of providing data. For example, the results of efforts to promote innovative natural resources based enterprises to raise the incomes of farmers living in degraded environmental conditions are harder to identify. In few cases do the reports analyse the outputs of ENRM activities or the achievement of environmental benefits in detail or focus on why some activities produce good results or not.
140. In some cases, ENRM activities are part of a broad range of activities aimed at improving the livelihoods of poor farmers. Some evaluations reflect the challenge of evaluating the results of multiple activity projects that involve some ENRM measures among many or that contribute to the improvement of natural resources conditions by offering one option for promoting diversification of production. The evaluation reports may not analyse their implementation in close focus but as one, sometimes minor, element of a total effort. In addition, it may be hard to separate the direct results of specific interventions from parallel financing, capacity-building or awareness raising efforts.

³² IFAD, 2011, *Project Completion Evaluation, Oudomxai Community Initiatives Support Project- Lao People's Democratic Republic*, Rome, Italy. (Page 34).

³³ IFAD, 2012, *Project Performance Assessment, Forest Resource Management Project- Republic of Zambia*, Rome, Italy. (Page 17).

³⁴ IFAD, 2015, *Project Performance Assessment, Gente de Valor- Rural Communities Development Project in the Poorest Areas of the State of Bahia- Federative Republic of Brazil*, Rome, Italy. (Page14).

Box 4

Examples of how the achievement of ENRM targets is reported

- The China Qinling Mountain Area Poverty-Alleviation Project involves soil conservation and water infrastructure to improve agricultural productivity. The evaluation report states that soil improvement and land development activities have been one of the most effective interventions in underpinning improvements in agricultural productivity. The report states that this was measured on the basis of targets achieved for terracing and soil deepening for example, and reports of increased productivity by farmers that applied technical training on land development.
- The Lesotho Sustainable Agriculture and Natural resource management Project (SANReMP) PPA states that measures aimed at reclaiming gullies and degraded areas, rehabilitating pastures and rangelands, improving water conservation and establishing community woodlots have contributed strongly to improved environmental quality. There was some positive impact on increased soil fertility, reduced erosion and improved awareness by farmers on natural resource management. However, it is not clear how the evaluation arrived at any measurement of improved environmental conditions.
- Some evaluations report on poor implementation of ENRM activities. In Zambia, the Forest Resources Management Project did not achieve the results intended beyond mobilizing a range of community groups and there was minimal evidence of increased incomes. The main factors included a lack of agreement between the government and IFAD on the project concept and purpose as well as a number of institutional and market analysis issues.
- The Bhutan Agriculture, Marketing and Enterprise Promotion Programme PPA had a beneficial impact on the environment, according to the evaluation's use of data from the PCR, through a range of soil and water conservation activities, although the benefits have been partially offset by increased livestock numbers and limited by the cost of land terracing. It notes, however, that watershed management plans were not adequately implemented due to inadequate resources.
- The Cambodia Rural Poverty Reduction Project in Prey Veng and Svay Rieng aims to reduce poverty through a broad range of activities, including diversification and more market-oriented production. The evaluation notes that the diversity of project activities has not necessarily had a positive impact on how farmers manage the natural resources base in a systematic way. The interventions were, it states, sporadic and it cannot be claimed that target farmers are now managing their natural resources more sustainably.

141. Many evaluation reports highlight the importance of issues related to governance and institutional set-up to achieving success. Getting the institutional responsibility and project management right is a major factor in successful performance, especially in cases where the local community organizations are strengthened and empowered to lead on natural resource management initiatives. Evaluations also noted the positive influence of coordination among partner agencies that have an appropriate level of technical capacity for their role. In other cases, government policy reforms can have a positive impact on ENRM activity performance, for example through forest use licenses. But a lack of government agreement on the project goal and approach can seriously harm its performance.
142. Two successful examples of getting the institutional set-up right are worth highlighting. The Rwanda PAPSTA, judged to be a successful project, adopted a strong focus on strengthening the institutions involved, especially at the local level, so that the local communities were enabled to participate in identifying and designing watershed management options. The project also devoted considerable effort to ensuring the project management team had the capacity to get the best results from the local institutional set-up and from the piloting approach. These measures, it was reported, contributed to good monitoring and adaptive management of the project during implementation. See box 5 below for additional examples.

143. In Brazil, the Gente de Valor project's approach involved the transformation of production systems to adapt to the challenging environmental conditions, in part through mobilizing and strengthening grassroots organizations. The evaluators highlighted the importance of the institutional set-up for the implementation of a relatively complex project. Of particular significance was the role of a single government agency, with strong technical capacity, in steering the project. Nevertheless, the evaluation report makes some critical observations about the coordination with other public initiatives and programmes.

Box 5

Examples of experiences/lessons related to governance and institutional set-up

- In the Philippines Northern Mindanao Community Initiatives and Resource Management Project (NMCIRMP), the natural resources component of this complex project depended significantly on the capacity of the local government units to meet the needs of community organizations. One key conclusion was that local government units that had a track record in supporting natural resources work by local communities succeeded best.
- The Terminal Evaluation of the Lower Usuthu Sustainable Land Management Project (LUSLM) GEF project in Swaziland reported that a key lesson learned was that effective coordination of the different partners and agencies involved is vital to achieve a harmonized vision and message that contributes to effective awareness-raising and good performance.
- Another GEF project, the Sahelian Areas Development Fund Programme (FODESA) in Mali benefited from a decentralized approach that helped to strengthen grass-roots democracy and building the capacity of local organizations to pursue better natural resource management.
- A specific governance reform in support of better natural resource management is illustrated by the Viet Nam Rural Income Diversification Project in Tuyen Quang Province which supported the government's policy of issuing forest land use certificates to farmers. This enabled farmers to adopt productive use of forest resources leading to income diversification and provided an incentive to invest in forest management.
- However, in the case of the Zambia Forest Resources Management Project, serious governance and institutional issues limited the effectiveness of the project. First the government and IFAD did not achieve consensus on the project's conceptual framework and purpose. Second, there was no agreed strategy on how to deal with the government's failure to establish the Zambia forestry commission.

144. The importance of community participation, uptake by beneficiaries and incentives to participate is a very strong theme in the evaluation reports' discussion of implementation. A good number of evaluations highlighted the importance of participatory planning, combined with awareness raising and capacity development, to ensure the full engagement of the local community. In other cases, there is a strong focus on incentives, some related to market opportunities and some involving direct financial payments, for beneficiaries to participate in demand-led projects and adopt more sustainable agricultural practices. Box 6 provides a number of examples where evaluation reports have considered participation planning, buy-in and incentives.

Box 6

Examples of evaluation reports that have considered participation, planning, buy-in and incentives

- The Brazil Dom Hélder Câmara Project (DCHP) had a strong focus on empowering local organizations to develop better natural resource management and income generation plans, ensuring greater relevance to local needs, stronger participation and good buy-in.
- In Albania, the Programme for Sustainable Development in Rural Mountain Areas (SDRMA) targeted participatory planning in communities living in challenging environmental conditions. The project supported five participatory environmental management plans that raised people's awareness of the importance of natural resources and environmental protection.
- The Rwanda Support Project for the Strategic Plan for the Transformation of Agriculture (PAPSTA) promoted an innovative form of participatory planning described as "self-targeting" strategies that enabled the full engagement of farmers in implementing soil and water conservation investments.
- In the Morocco Project de développement rural dans les zones montagneuses de la province d'Al-Haoz (PDRZMH) the level of participation of the population in defining their needs and priorities and in adopting better natural resource management measures has increased but increased levels of participation in community level planning to improve levels of commitment is needed.
- In Jordan, the National Programme for Rangeland Rehabilitation and Development embodied a strong participatory planning element to address rangeland rehabilitation and development. However, the participatory planning process was not well handled, too top-down and had difficulties in site selection and formation of the planning groups.
- The Brazil Gente de Valor project was demand driven in large part but some environmental activities were promoted through a grant mechanism, creating incentives for clean energy, eco-efficient stoves bio-digesters and effluent treatment for cassava processing.
- In the Terminal Evaluation of the GEF Mount Kenya East Pilot Project for Natural resource management (MKEPP) in Kenya, one of the key lessons learned was the importance of using short-term financial incentives to ensure good project uptake and sustainability.
- Similarly, in the case of the GEF Sustainable Land Management in the Semi-arid Sertão in Brazil, the FE report emphasizes the importance of incentives for sustainable practices, through a combination of policy measures, awareness raising and a strong focus on market opportunities.

145. An interesting case of resolving conflicting incentives is described in the Terminal evaluation report of the GEF Promotion of Sustainable Forest and Land Management in the Viet Nam Uplands project. It reports that the project designed and piloted options for Payment for Ecosystem Services schemes to address the conflicting incentives of upstream and downstream communities and stakeholders in relation to protecting the environment. The report concludes that, although the project targets were not fully met, the potential for replication is of interest, depending on the involvement of suitable organizations that are equipped to broker and facilitate the schemes.

Analysis of good and poor performance

146. In order to gain more insight into factors that influence the performance of projects in the sample, the Evaluation Synthesis has identified 19 projects (out of a total of 39 projects in the sample) for a review of the reported causes of good or less good ENRM performance. These projects are deemed to be of interest on the basis of either scoring 5 or more (satisfactory) or 3 or less (unsatisfactory) for the ENRM impact domain. Seven project evaluations were given an ENRM rating in the

satisfactory category³⁵ and 12 were rated in the unsatisfactory category.³⁶ These 19 projects represent all IFAD regions.

147. In the case of the projects with a satisfactory ENRM rating, they all showed evidence of achieving positive results for the environment and natural resources as one would expect. The factors that influenced performance vary depending on the type of project but are consistent with the evidence presented above.
148. In particular, the Brazil Dom Hélder Câmara Project (DHCP) and Gente de Valor projects and the Rwanda PAPSTA are characterized by an integrated project design that combines good institutional set-up, awareness raising, participatory planning and effective project management to deliver a programme specifically designed to respond to the needs of poor farmers in fragile environmental settings. The focus on incentives for income generation and alternative production options to make more sustainable use of natural resources.
149. The [Qinling Mountain Area Poverty-Alleviation Project](#) and West Guangxi Poverty Alleviation Project in China delivered positive results for a range of direct investments in natural resources rehabilitation and management, such as erosion control, water management, reforestation and introduction of biogas. Strong government backing and effective implementation measures have contributed to the good performance. In Vietnam the project promoted sustainable use of forest resources and conservation, and raised villagers' awareness of the importance of conserving natural resources.
150. Turning to the evaluations with unsatisfactory ENRM ratings, the factors that contributed to poor performance are more varied, many of which have been highlighted above. Out of the 12 projects with ratings of 3 or below, 8 did not achieve the expected ENRM benefits and 3 projects led to negative impacts.
151. The reasons that ENRM benefits were not achieved included design shortcomings, such as not taking account of the environmental conditions, overlooking potential environmental risks, poor integration with other project components, inadequate attention to incentives for beneficiaries to participate or poor institutional set-up.
152. In other cases, the problems related to implementation difficulties, such as poor coordination with government partners, limited capacity for project management or insufficient attention to monitoring and supervision. In some cases it was noted that there was no systematic monitoring of the indicators relating to ENRM and that there was little evidence of ENRM management being sustained.
153. Three evaluations reported that the project did not include measures for coping with climate change and some interventions were unsuccessful as a result. In the Jordan National Programme for Rangeland Rehabilitation and Development for example, the planted shrub species did not meet climate change requirements such as low water use and extreme heat tolerance.

³⁵ West Guangxi Poverty Alleviation Project (China), ECRP (Environment Conservation and Poverty-Reduction Programme in Ningxia and Shanxi) (China), [Qinling Mountain Area Poverty-Alleviation Project](#) (China), DHCP (Brazil), PAPSTA (Rwanda), Rural Communities Development Project Brazil, Rural Income Diversification Project in Tuyen Quang Province (Viet Nam).

³⁶ Raymah Area Development Project (Yemen), National Programme for Rangeland Rehabilitation and Development (Jordan), Forest Resources Management Project (Zambia), Rural Poverty Reduction Programme (Mongolia), Rural Development Programme for Mountainous and Highland Areas (Georgia), PROMARENA (Bolivia), GSLRP (Sudan), Azad Jammu and Kashmir Rural Support Programme (Pakistan), Restoration of Earthquake Affected Communities and Households (Pakistan), MIOP (Pakistan), Rural Rehabilitation and Community Development Project (Guinea Bissau), Rural Diversification Programme (Mauritius).

Key points

- First, there is a good deal of evidence in the evaluation reports on the direct results of tangible ENRM activities, such as soil and water management, but much less on how diversification of production or adoption of more sustainable production options have contributed to better use of natural resources and thereby to better livelihoods for farmers. Also it is hard to analyse the results of ENRM activities that form part of complex projects that offer multiple options to widen income generation opportunities or to promote more sustainable use of natural resources for production.
- Many of the reports do emphasize that the implementation of complex projects involving ENRM activities depends in many cases on governance reforms, effective institutional set up and strong project management, including effective monitoring.
- There are several cases that demonstrate that projects that combine institutional strengthening, awareness raising and piloting of innovations in production systems are more likely to succeed. Similarly, the evaluations include a number of cases that indicate the importance of participatory approaches, stakeholder engagement, support to community organizations and measures to encourage the buy-in of beneficiaries.
- Finally, the challenge of creating the right incentives recurs frequently. Several reports describe the role of awareness raising, piloting of production innovations and a strong focus on market viability of production innovations. In some cases, the projects include financial mechanisms to generate incentives for the involvement of targeted beneficiaries, for example to take up innovative practices.

H. Learning from ENRM recommendations

154. Securing institutional memory is an important challenge and requires an on-going analysis of whether past recommendations have been adequately addressed, to what extent, and how. In the case of this evaluation synthesis the evaluation team identified recommendations relating to ENRM issues in the sample of country and project evaluations and examined whether they were effectively addressed by Programme Management Department (PMD).
155. In the case of recommendations in CPEs, subsequent COSOPs were used to identify the response, and this was cross-checked with the respective PRISMAs. For recommendations in project evaluations, project designs of follow-on projects were examined where available, and this was cross-checked with the respective PRISMA. The PRISMAs cover CPEs, completion and interim evaluations and some more recent PPAs.³⁸
156. This exercise only included evaluations with an ensuing follow up of the ENRM recommendations. However, some of the evaluations in our sample did include ENRM recommendations that have not or have not yet been followed-up³⁹ (a detailed example is provided in the following paragraph). There are a number of reasons for this, most commonly because the evaluations are very recent and the follow-up COSOPs are not yet finalized. In other cases there are no ensuing project designs in which the recommendations could be considered. In some cases, although a PMD follow up was included in the PRISMA, it was unclear whether the ensuing project was a strict continuation. Accordingly, only the evaluations that had ENRM recommendations for which the PRISMAs reported on a specific follow-up were analysed. Therefore, this analysis is made of 13 evaluations that have ENRM recommendations and a subsequent follow up.

³⁸ PRISMAs do not report on GEF evaluations, ARRIs, and PCRVS. Reporting on recommendations from PPAs was only introduced in PRISMAs in 2015 following discussions during the Evaluation Committee's 84th session. Therefore, the PPAs in our evaluation sample that were published before 2014 were not included in the analysis.

³⁹ Jordan CPE (2014), Senegal CPE (2014), Zambia CPE (2014), Bangladesh CPE (2015), Ethiopia CPE (2015) and Gambia CPE (2015), Mongolia Rural Poverty-Reduction Programme PPA (2013), Georgia Rural Development Programme for Mountainous and Highland Areas PPA (2014), Bhutan Agriculture, Marketing and Enterprise Promotion Programme PPA (2014).

157. An example of an evaluation with ENRM recommendations that could not be included in this analysis is the 2015 Bangladesh CPE that recommended a continued focus on climate change and environmental integration while also recognizing the trade-offs that may be required. It recommends that in addition to maintaining the current effort in climate change adaptation, the future programme will have to carefully balance two competing priorities of environmental protection and poverty reduction in the face of increasing agricultural intensity and population pressure. This recommendation was not included in the analysis because a new COSOP has not yet been finalized.
158. The recommendations that refer explicitly to ENRM issues have been sorted into 11 categories (listed below in order of frequency). All recommendations relating to ENRM were counted and analysed. There were 31 relevant recommendations in the CPEs and project evaluations. The distribution into different categories is shown below:

<i>Categories</i>	<i>Percentage of recommendations</i>
Water conservation and management: This category ranges from water harvesting, to water reservoir construction, sustainable use of groundwater, irrigation systems and watershed management.	23
General integration of ENRM activities: This category includes any recommendations that broadly encourage greater environmental integration and the sustainable management of natural resources.	13
Soil erosion and land conservation	13
Analysis and assessment of ENRM: This category covers the inclusion of environmental risk assessment in the preparation of the next COSOP or project.	13
Climate change	6
Innovation: This category covers innovation relating to ENRM issues	6
Pollutants and chemicals	6
Partnerships and policy dialogue: This category covers collaborations, partnerships and policy dialogue with relevant agencies, such as the Ministry of the Environment.	6
Forestry: This category includes forestry development, forest cover rehabilitation and upland areas.	6
Protection of coastal zones	3
Fisheries	3

159. As can be seen, the highest frequency category of ENRM recommendations is water conservation and management. Overall, this information is consistent with the findings in the portfolio analysis (please see chapter III), where resource management and protection, soil and water conservation and climate change adaptation together account for 63 per cent of the total IFAD ENRM loan financing.
160. COSOP recommendations and follow up: The majority of the CPE recommendations can be described as anticipating greater ENRM integration or preventing risk. For example, the Ghana CPE "recommends that an assessment should deal with areas of potential negative impact". Overall, the recommendations suggest a greater emphasis and scaling up of ENRM activities that are already in place, as opposed to introducing new areas of activity.
161. In the cases where the CPEs recommend that the next COSOP embody a stronger focus on ENRM, they range from a general need to integrate ENRM more strongly to those that focus on particular thematic issues or risk areas, most frequently soil and water conservation and watershed management. Box 7 presents examples of ENRM recommendations and the corresponding follow up.

Box 7

Examples of follow up to CPE recommendations

- The Madagascar CPE recommends better integration of environment as a cross-cutting issue in the next COSOP as well as stronger partnerships with the relevant ministry and other donors to focus on watershed management, in particular. In response to this, the IFAD country office (ICO) facilitated the formulation by the Ministry of Agriculture, in collaboration with the Ministry of Environment, a strategy for integrating climate change adaptation into the portfolio. The design of the new ASAP project is being utilized as an opportunity to develop partnerships and exchange of experiences with main donors in the area of catchment area management. Also, the new COSOP will adopt a landscape approach as recommended by the Strategic Environmental Assessment.
- The Yemen CPE urges more focus on soil and water conservation in view of serious erosion issues. In response, PMD states that the focus on natural resource management and conservation, erosion control and mitigation, water scarcity and harvesting, wadi bank protection and water management is sharpened under the new country programme, with major emphasis on technology promoting water use efficiency and resource conservation under the Economic Opportunities Programme.
- In Viet Nam, the CPE notes that other donors are heavily engaged in ENRM issues, but IFAD is in a unique position to explore the impact of potential environmental damage and the effects of climate change on the rural poor. It is also well placed to introduce measures against erosion or salt-water intrusion or in support of forest cover rehabilitation. This should be an important feature of the next COSOP and, possibly, one of the key pillars of IFAD's future engagement in Viet Nam. In response to this, the third strategic thrust in the 2012-2017 COSOP is: "Enhance the capacity of poor rural households' to adapt to climate change". This thrust is being rolled out in the two on-going projects. Cooperation with other partners such as the Japan International Cooperation Agency (JICA) and THE German International Development Agency (GIZ) has been established to exchange knowledge on approaches on climate change adaptation in the Mekong.
- The Ghana CPE reported that there had been limited emphasis on ENRM and there should be greater mainstreaming and strategic assessment of environmental issues in the preparation of the next COSOP. The PMD response was to state that the Ghana Rural Growth project is taking this recommendation into consideration and that discussions are ongoing with the government and the AfDB to mobilize adequate co-financing for infrastructure investments in the Upper West Region, including on the theme of water management and irrigation highlighted in the evaluation.
- The India CPE requests an emphasis on promoting the viability and risk-management of farming activities by smallholder farmers, with specific attention to rain fed areas and in-situ water conservation. In response, the COSOP states that it will "promote sustainable and climate-variability-resilient agriculture in rain fed smallholdings" and that the "support for agriculture will include, inter alia: (i) in situ water conservation; (ii) sustainable crop and livestock development; and (iii) agricultural research and extension of low-cost, pro-poor technologies".
- The Kenya CPE recommends that the next COSOP should clearly highlight areas where innovation will be pursued in the country programme (including small scale participatory irrigation and water management in arid and semi-arid areas to ensure sustainable use of ground water). In response, the COSOP states that "innovations will cover the content of training in sustainable natural resource management and rainwater harvesting, formulation of community based plans aimed at improving natural resource management and rural livelihoods, integration of climate change adaptation for enhanced resilience of ecosystems with livelihoods, mechanisms of payment for ecosystem services, low-carbon technologies for value chain development and employment creation, improved access to land for cultivation in the forest reserve buffer zone, and use of mapping and the Geographic Information System (GIS) as ENRM tools".

162. Project evaluation recommendations and follow up: This analysis examined six project evaluations that had ENRM recommendations.⁴⁰ Overall, the lessons learned from projects are followed-up by being specifically addressed and incorporated into the design of newer projects. The following paragraphs present a few examples of ENRM recommendations being followed-up by PMD.
163. The majority of the recommendations addressed problems that had been identified during project implementation, arising either from design issues or from delivery factors, and suggested that newer designs target those problems. For example, in the case of the Yemen Raymah Area Development Project Completion Evaluation, one of the recommendations was that “Given the concerns for depletion of underground water resources in Yemen, the environmental impact implications of IFAD-financed operations and the proposed coping strategies should be clearly articulated in design”. This recommendation was then followed-up in the design of two new projects: the Fisheries Investment Project (FIP) and the Yemen Invest-Rural Employment Programme. PMD states that they will “promote sustainable economic opportunities in sectors with low water intensity (fisheries, natural stone, and textiles) and that where ice plants will be built, an assessment of available freshwater reserves will be undertaken; where sufficient freshwater is not available, saline or seawater may be used to make ice. An Environmental Impact Assessment will be undertaken in advance of any investment, and an assessment of impact on available freshwater resources will be included and water-recycling systems will be developed to reduce water use”.
164. The Completion Evaluation of the China West Guangxi Poverty Alleviation Project recommended that priority areas should encompass innovations that respond to global challenges, such as food security, soil fertility, alternative energy and climate change. This was followed up in the project design report of the Guangxi Integrated Agricultural Development Project (GIADP) in a component entitled ‘rural environment improvement’ which covers two modules, namely biogas system and village sanitation improvement. The report highlights that climate-related risks are analysed and measures to mitigate potential negative impacts of climate change are designed in line with IFAD’s climate change policy. Furthermore, potential negative environmental impacts should be analysed and measures designed to mitigate such impacts, in line with IFAD’s environmental policy.
165. The recommendations in the Interim Evaluation of the Uganda Vegetable Oil Development Project state that the second phase of the programme should address concerns about declining soil fertility and train farmers in the use of fertilizers and other agro-chemicals, conservation agriculture and other related activities. In response, the lessons learned from the first phase have been incorporated into the design of the second phase. PMD states that environmental concerns will be addressed through a full Environmental and Social Impact Assessment, a new environmental management plan with emphasis on communications, and activities to promote livelihood enhancement in the oil palm communities.
166. Recommendations in the Brazil Interim Evaluation on the DHCP I suggested that in the next phase of the project, agricultural activities should be implemented in line with the principle of environmental conservation. This was followed-up in the design report of the DHCP II where one of the main expected areas of innovation is environmental conservation and natural resources recovery in rural communities. Moreover, environment is an integral part of the project and will be taken into account in the three components, but special emphasis will be put under

⁴⁰ The five that were examined include the China West Guangxi Poverty Alleviation Project Completion Evaluation, the Uganda Vegetable Oil Development Project Interim Evaluation, the Bolivia PROMARENA PPA and the Brazil DHCP Interim Evaluation as well as the Yemen Raymah Area Development Project Completion Evaluation and the Laos PDR OCISP Completion Evaluation (these last two do not have follow-on projects, but the ENRM recommendations were considered in other new project designs and therefore these were included in the analysis).

Component 3. PMD highlights that it is expected that the project will contribute to the building of new knowledge and good practices in sustainable production systems.

167. It is important to note that some recent projects tend to have a strong environment/climate focus, even when ENRM is not their primary focus. For example, Bhutan's 'Comprehensive Market Focused Agriculture and Rural Livelihoods Enhancement Project' is about strengthening value chains, but it explicitly factors and addresses climate-related risks.
168. In some cases, such as that of the Bhutan PPA, it was stated that because ENRM recommendations depended on larger processes determined by national policy, they were beyond the control of IFAD and therefore no specific follow up was recorded. Despite this, the new project design does have a strong environment and climate focus. It therefore appears that in general, PMD response to ENRM recommendations for project evaluations has been to go beyond what has been asked.

Key points

- In summary, most of the recommendations in CPEs were for greater integration of environmental issues or assessment of risks in future COSOPs, with several identifying sub-sectors where continued or greater attention should be applied.
- Water conservation and management is the most recurrent theme among ENRM recommendations.
- It appears that in general, PMD response to ENRM recommendations for project evaluations is to go beyond what has been asked.

IV. Wider evaluation findings and lessons

169. This section does not pretend to present a comprehensive synthesis of the wider ENRM evaluation literature. Rather, it highlights where the emphasis has been in the last five years and presents some of the major findings from selected studies that may have general relevance and resonance for IFAD.
170. A rapid search revealed that most recent IFI evaluations that aim to synthesize or analyse the issue of environment have focused on implementation of strategies or policies related to climate change and that there is relatively less focus on issues related to integrating ENRM into their operations. The list of agencies that have recently published climate change evaluations includes, but is not limited to: World Bank⁴¹ (2011), GEF⁴² (2013), Swiss Agency for Development and Cooperation⁴³ (2014), Inter-American Development Bank (IDB)⁴⁴ (2014), Asian Development Bank⁴⁵ (2014), European Investment Bank⁴⁶ (2015). This section will only touch upon the findings from these evaluations to the extent that findings are relevant to the agricultural sector.
171. There are two principal topics covered by the evaluations reviewed that are relevant to this Evaluation Synthesis. One is the area that the IFIs have traditionally emphasized and have continued to address in the last five years - namely environmental and social safeguard policies and procedures. It is one of the objectives of introducing the SECAP to ensure greater harmonization between IFAD's safeguards system and similar procedures of MDBs and other IFIs. Indeed it is clear that SECAP does embody a greater harmonization with other IFIs given the process followed to prepare them and their scope and structure. Accordingly, this section will review lessons learned by other IFIs on this issue on the basis that they will have relevance for IFAD's own safeguard system.
172. The other area covered, but less often, is that of mainstreaming ENRM into the IFI's operations – ensuring that decisions about country programmes, project selection and design, as well as other forms of financial support such as policy or sector lending take full account of ENRM issues and the opportunities to “do good”. This evaluation topic is of direct relevance to this Evaluation Synthesis. This chapter is accordingly separated into two sections, the first focusing on lessons learnt related to safeguards and the second on other recurrent issues relevant to mainstreaming that have been found across the evaluations.

A. Safeguards

173. The Asian Development Bank recently published a Safeguards Operational Review⁴⁷ (2014) of the Safeguard Policy Statement (SPS) that was introduced in 2009.⁴⁸ Its aim was to look at the general implementation of the SPS, the strengthening of country systems and the application of the SPS to Financial Intermediaries (FIs). One conclusion is that SPS application for Category B projects⁴⁹ was not always of adequate quality. Also, the requirements for monitoring and supervision were not

⁴¹ World Bank, 2011, *Adapting to Climate Change: Assessing the World Bank Group Experience – Phase III*.

⁴² GEF, 2013, *Impact Assessment of GEF Support to Climate Change Mitigation*.

⁴³ Swiss Agency for Development and Cooperation. 2014. *Report on effectiveness, Swiss International Cooperation in Climate Change, 2000-2012*.

⁴⁴ IDB, 2014, *Thematic Evaluation, Climate Change at the IDB: Building Resilience and Reducing Emissions*.

⁴⁵ Asian Development Bank. 2014, *Real-time Evaluation of ADBs Initiative to Support Access to Climate Finance*.

⁴⁶ European Investment Bank. 2015. *Evaluation of EIB financing of Climate Action (mitigation) within the EU 2010-2014*.

⁴⁷ Asian Development Bank. 2014. *Safeguards Operational Review ADB Processes, Portfolio, Country Systems, and Financial Intermediaries, Corporate Evaluation Study, REG 2014-11*. Independent Evaluation Asian Development Bank, Manila

⁴⁸ Asian Development Bank. 2009. *Safeguard Policy Statement*.

⁴⁹ *Category B project impacts are less adverse than Category A and are site-specific, few if any of them are irreversible, and in most cases mitigation measures can be designed more readily than for category A projects. An initial environmental examination is required. See ADB, 2009, Safeguard Policy Statement.*

well defined and in some cases poorly implemented. There was evidence of safeguard implementation plans needing to be redone after Board approval, leading to delays.

174. Mainly, it was positive about the results of safeguard compliance in category A⁵⁰ projects although it highlights that in the case of environmental safeguards there remains scope for interpreting what constitutes a significant impact and that this room for interpretation can affect the effectiveness of the process. Overall, the review found that the SPS procedural steps were generally being followed properly and that the Asian Development Bank has made a considerable effort to ensure the successful delivery of the SPS. It recommended that improvements can be made with respect to: (i) the quality of safeguard studies and plans for category B projects; (ii) the quality and disclosure of safeguard monitoring reports; and (iii) the regularity of field-based supervision.
175. At the IDB, the Independent Advisory Group on Sustainability in 2011 addressed the effectiveness of the IDB's policies and procedures for both safeguards and mainstreaming.⁵¹ With respect to safeguards it found that the IDB had made significant improvements in implementing its policies, although it noted that there was excessive emphasis on compliance rather than problem solving. All in all, the work of the IDB's Environment and Social Safeguards Group (ESG) "arguably have moved the IDB into the front ranks of the MDBs" (p. 21).
176. The report does note that the ESG staff is spread too thinly to give adequate attention to high-risk projects and to support country offices in project supervision. In addition, the safeguards may not be well suited to more complex lending instruments, such as policy or sector based lending, or to taking account of cumulative impacts. The challenge of using country systems is highlighted as well as the IDB's capacity to supervise safeguards management plans for projects in collaboration with country institutions.
177. The World Bank conducted an evaluation in 2010 of the safeguards and sustainability policies of its member agencies.⁵² The World Bank has a set of ten separate safeguard policies that are now being updated following a lengthy consultation process. The International Financial Cooperation (IFC) and MIGA follow the unified Performance Standards on Environmental and Social Sustainability that were introduced in 2006 and revised in 2012.
178. Overall, the evaluation concluded that the safeguards and sustainability policies have helped to avoid or mitigate large-scale social and environmental risks in the projects financed by the World Bank during the review period. It notes however that categorization of risks has not been consistent across the World Bank and supervision and monitoring of results has not been sufficiently thorough. The report highlights that the World Bank does not have a clear framework to assess the performance and impacts of its safeguard policies. Performance indicators are rarely specified and integrated in projects' results frameworks, and data for monitoring and evaluation are not routinely collected or used.
179. The evaluation highlights that current World Bank social safeguards do not provide adequate coverage of community impacts, labor and working conditions, and health, safety, and security issues at the project level, provisions that are integral to International Financial Cooperation and MIGA Performance Standards. It also comments on the effectiveness of safeguards implementation for programmatic

⁵⁰ A proposed project is classified as category A if it is likely to have significant adverse environmental impacts that are irreversible, diverse, or unprecedented. These impacts may affect an area larger than the sites or facilities subject to physical works. An environmental impact assessment is required. See ADB, 2009, *Safeguard Policy Statement*.

⁵¹ Independent advisory group on sustainability, 2011, *Final report to the Inter-American Development Bank*.

⁵² World Bank, Independent Evaluation Group, 2010, *Safeguards and Sustainability in a Changing World*.

lending, where the assessment work is applied during project implementation in the process of designing and approving multiple sub-projects.

180. The evaluation makes recommendations in five areas: (1) policy frameworks to harmonize thematic coverage across the World Bank and enhance their relevance to client needs; (2) client capacity, responsibility, and ownership; (3) guidelines, instruments, and incentives to strengthen supervision; (4) monitoring, evaluation, completion reporting, verification, and disclosure; and (5) systems and instruments for accountability and grievance redress.
181. The evaluation addresses the experience of piloting the use of country systems. This was an attempt to adapt to the limitations of an external safeguards system, but the requirements spelled out in the operational policy governing the pilots were overly prescriptive and excessively focused at the project level. The pilots have not yet been effective in integrating social safeguards at the country level, and the piecemeal approach to safeguards in the pilots has reduced the likelihood that any borrower will be able to adopt the entire suite of safeguard policies or that the country systems approach can be scaled up.
182. As IFAD progresses with the implementation of its SECAP, it can benefit from some of the lessons learned from other IFIs – such as how to ensure consistency in categorizing projects and the importance of supervision and monitoring. It will also be valuable to review other IFIs experience of applying environmental and social risk assessment to “programmatic” lending, such as microfinance facilities. Clearly the use of country systems in implementing safeguard policies and procedures remains a significant challenge.

B. Mainstreaming environment

183. A briefing note by the Evaluation Cooperation Group on lessons from IFI evaluations on biodiversity from 2010⁵³ makes the observation that in many IFIs and UN agencies mainstreaming is currently restricted to “do no harm” efforts through safeguard and compliance policies. Where biodiversity issues have been identified in project design, these safeguard policies have often led to changes in design that have led to positive outcomes for biodiversity.
184. The evaluations reviewed found that most IFIs and UN agencies continue to depend on the GEF for funding of their biodiversity interventions. However, mainstreaming requires them to ensure that their own funds also become available for improving the health of ecosystems and for biodiversity conservation. The briefing note furthermore highlights that with the exception of increased funding at the GEF for biodiversity issues, funding in other IFIs seems to have gone down (suggesting that this is due to competing demands and an increased emphasis on climate change).
185. The IDB Independent Advisory Group on Sustainability report on sustainability specifically addressed the issue of mainstreaming of sustainability in the IDB’s operations – mainly integration into country programmes and strategies, financial support to operations that enhance environmental governance, policy and institutional capacity, and use of country systems. First it concludes that the allocation of responsibility of this issue is unclear which seriously hampers the achievement of the sustainability agenda.
186. Next, in terms of country strategies it shows that the IDB’s implementation of the requirement to analyse and integrate environmental issues into Country Strategies has been notably inconsistent and contributed little to cross-sector analysis of the sustainability of a country’s development strategy. It states that the IDB will be hard put to exercise a leadership role that illuminates sustainability issues and

⁵³ Evaluation Cooperation Group, 2010, *Ensuring biodiversity in a sustainable future: lessons from evaluations*, Briefing Note.

- develops the information and analysis required to assess the impact of its country operations, examine environmental issues related to alternative development strategies and actions, understand the broader cumulative impacts of its programmes or understand the interrelationships of its several sector operations.
187. Another notable weakness in the implementation of the IDB's mainstreaming policy is the scant effort that has gone into supporting environmental and natural resource management operations that improve environmental governance. The review underlines the lack of explicit funding and strategic action to foster better environmental governance. The Independent Advisory Group on Sustainability advises that IDB invest in the development of sustainability strategies at the country level and then develop an overarching framework to help guide investment approaches.
 188. Overall, the review concludes that for the IDB to provide effective leadership on sustainable development, it will have to reinvigorate its commitment to "mainstreaming" and correct the imbalances that have occurred due to focus on the environment and safeguards compliance policy. Also it should appoint a Chief Sustainability Officer to be responsible and accountable for mainstreaming environmental and social sustainability throughout Bank's strategies, programs and operations. This would allow for greater presence of environmental staff in the field to strengthen environmental management capacity of the Bank's country offices.
 189. In 2008, the World Bank undertook an evaluation of the full range of its work on environment and sustainability.⁵⁴ Overall its conclusion was that it had more success over the previous decade or more with tackling environmental risk than with integrating environmental issues systematically into country programmes, incorporating them as requirements for sustainable growth and poverty reduction, and providing lending to help borrowing countries address environmental priorities. Among the reasons is the size of resources available for country programmes, the lack of borrower demand, and the capabilities of relevant national and local institutions.
 190. The evaluation notes that treatment of ENRM issues in country programmes has been uneven, and not well coordinated between the World Bank, International Financial Cooperation IFC and MIGA. Also, the results of the World Bank's extensive analytical work have not been well integrated into lending activities in all cases. Based on assessments of completed operations in the case study countries and a review of the World Bank's ENRM portfolio as a whole, the effectiveness of project types has varied. Land and watershed management operations and community- based forest management projects, for example, have generally been satisfactory, as have most biodiversity conservation. Water resource management projects at the river basin level and urban environmental operations, despite shortcomings, have also been largely satisfactory based on overall project outcome ratings.
 191. In contrast, World Bank-supported operations to combat industrial pollution through credit lines have been only partially satisfactory from the perspective of environmental quality. Environmental capacity- building projects have often shown weak results as well, but such projects have generally been more successful when they have sought to achieve concrete environmental improvements, rather than focusing mainly or exclusively on institutional development. In Sub- Saharan Africa and elsewhere, integration of ENRM concerns into Poverty Reduction Strategy Credits, and the country- prepared Poverty Reduction Strategy Papers on which they are based, has not been given sufficient priority.

⁵⁴ Independent Evaluation Group, 2008, *Environmental Sustainability, An Evaluation of World Bank Group Support*.

192. The GEF (overall performance study (OPS5)⁵⁵ notes that the intervention logic of the GEF is successful at the national, regional and global level. However, the regional and global projects manifest extra challenges to achieve impact and more should be done to achieve the same level of effectiveness. The study recommends taking higher risks, with potential higher gains. The issue of scale and stronger focus is also raised, resulting in suggestions to improve focus and sharpen the model.
193. Several evaluations comment on the issue of scale. The Evaluation Cooperation Group comments that the downward spiral continues, because the interventions do not reach the scale that would change the overall trend. This is not just an issue of funding, but also one of compliance with existing laws and regulations and of mainstreaming biodiversity issues in development and poverty alleviation.
194. In the light of IFAD's strong commitment to integrating ENRM into its operations and building on its traditional focus on community based natural resource management, IFAD can learn from the experience of other IFIs in mainstreaming. There is evidence that IFIs find mainstreaming harder to do successfully than the focus on safeguards compliance. There are issues to do with fostering demand for greater mainstreaming through focusing effort on country strategies and working with country led planning processes. Supply issues hinge more on available resources, technical capacity and effective project design.

Key points

- Most IFI evaluations related to integrating ENRM in the past five years have focused on climate change.
- Implementation of safeguard policies in IFIs has progressed significantly in recent years and has been the priority for corporate effort in the ENRM arena. This has resulted in greater harmonization of safeguard policies among major IFIs.
- Concerns remain that they work well at the procedural level but less so in implementing effective environmental and social management plans; that they are less successful at assessing risks for category B projects and for more complex lending instruments; and that piloting the use of country systems for safeguards implementation has been of limited success.
- Most IFIs perform poorly at safeguards monitoring and supervision as well as reporting on compliance.
- IFIs have given less attention to the evaluation of their efforts to mainstream sustainability into their operations overall. Where they do, many conclude that the mainstreaming does not receive the priority given to safeguards and has had uneven success.
- The integration of ENRM issues into Country Programmes is considered to be of the greatest importance, enabling investments to be targeted at high priority issues and interventions to address weaknesses in country capacity.
- The availability of adequate resources is crucial to mainstreaming, with many agencies continuing to depend on GEF funds to follow through on ENRM interventions.

⁵⁵ Global Environment Facility, 2014, *Fifth Overall Performance Study (OPS5) Final Report*.

V. Conclusions, and recommendations

A. Storyline

195. IFAD's target group is the rural poor, many of whom live in fragile environments and depend largely on the natural resource base for their livelihoods. A large part of IFAD's mission is to help them to manage their natural resources more sustainably and to enable them to diversify their options for generating income through natural resources based production.
196. IFAD's commitment to this mission has clearly evolved in recent years combining a growing focus on "avoiding harm" by assessing and managing environmental and social impacts from its investments with targeting its investment at "doing good" in the ENRM domain, building on years of experience in community based natural resource management. IFAD's unique focus on the agriculture sector, broadly defined, creates a unique possibility to find opportunities to generate environmental and natural resources benefits for its beneficiaries.
197. Significant steps at the corporate level mirror the evolution of IFAD's commitment to ENRM issues. The ECD has been established, the environmental and social safeguards have been upgraded to become SECAP, the ASAP has been launched. Also it should not be forgotten that IFAD has been a GEF executing agency since 2001.
198. However spending on ENRM, measured by conventional sub-component categories and excluding ASAP, has not increased greatly as a proportion of IFAD's overall budget over the period 2005-2015. Over the period 2010-2015, ENRM spending, including ASAP, was 11.8 per cent of total IFAD investment, but only 7.3 per cent of loan finance. Although the reporting of expenditure under natural resources sub-components almost certainly understates ENRM expenditure, it seems a small proportion given the strategic importance of ENRM to IFAD.
199. It can be said that IFAD funding of some ENRM activities, especially climate change, is to some extent supply driven through grant and supplementary funds (GEF and ASAP). IFAD has successfully taken advantage of opportunities to mobilize supplementary and trust funds in this arena. However, this may in some cases lead to ENRM funding being perceived as merely a specialized "add on", focused on a limited set of issues, as opposed to a means of seriously advancing the "sustainable intensification" agenda throughout the lending operations. Also, such funding instruments operate over a limited time-frame.
200. In terms of performance, it is apparent that the rating for the ENRM impact domain has not improved significantly in recent years, although it is higher than it was a decade ago. It remains a low rating relative to other criteria, with only efficiency and sustainability lower, as was reported in the 2015 ARRI. But the reasons for this remain hard to pin down, but in part is likely to be due to a longer timeframe for achieving benefits and challenges in measuring and monitoring the results.
201. Taking a broader perspective, IFAD has clearly pursued the goal of improving the incomes and livelihoods of the rural poor through both traditional natural resource management activities as well as more innovative projects that seek to bring about "sustainable intensification". These projects involve a more complex integrated approach and are perhaps harder to track in terms of fund allocation and performance targets. Also, in contrast to the global environmental issues targeted by GEF and climate change targeted by ASAP, "sustainable intensification" lacks the impetus of a dedicated supplementary funding mechanism.
202. It also raises challenges in how to translate IFAD's commitment to integrating ENRM into rural poverty reduction into action on the ground. It is clear that this agenda requires mainstreaming into the country strategies and policy dialogue, the fostering of partnerships with relevant agencies and the participation in country led

planning processes in a more ambitious and coherent manner. This also needs back up from IFAD in terms of institutional priorities, resources, expertise and knowledge.

203. It is against this background that this Evaluation Synthesis has been launched. It seeks to address concern about ENRM performance, and focuses on how IFAD can enhance its results in both doing environmental good and avoiding harmful impacts of ENRM interventions. Clearly the focus on evaluations conducted between 2010 and 2015 results in a sample of projects approved in some cases more than a decade ago. The limitations of this approach are set out at the beginning of this report.

B. Conclusions

Strategic level

204. First, there has clearly been a strong effort to improve the integration of ENRM in IFAD operations in recent years. The review of IFAD Policy documents and COSOPs reveals that there has been a steady strengthening of commitment to better integration of ENRM concerns in IFAD operations. The current SF includes natural resources (land, water, energy and biodiversity), climate change adaptation and mitigation, and sustainability among its thematic focus areas and mainstreams environmental and climate change. (Para 42-53, 84, 85).
205. Overall, it is clear from the analysis of country strategies, project design and performance, and recommendations made by evaluations that IFAD has taken steps to avoid doing environmental harm as well as pursuing opportunities to do good. It has also taken significant initiatives at the corporate level. In 2015, the ECD issued a "Review of progress on results framework" for the 2011 ENRM Policy. It concludes, albeit on the basis of a "self-assessment" that overall there has been good progress against the results framework and that it is possible to meet all indicators by 2016 – in part due to the establishment of ECD and the introduction of a new financing mechanism: ASAP. (Para 14-16, 49).
206. While accurate data exists on ASAP and GEF funding, the data regarding ENRM content in loans is incomplete and probably understates the actual amount. Despite the increased prominence of ENRM in SFs and Replenishment consultations ENRM remains an area that IFAD systems have difficulty in tracking reliably. (Para 27, 55-61, 66-69, 72-74).
207. But, based on the current methodology for identifying ENRM projects the analysis demonstrates that over half of ENRM content in lending is allocated to resources conservation and soil and water conservation. ASAP is of course solely focused on climate change adaptation, some of which include broader ENRM activities, and 85 per cent of the GEF resources in the review period have been allocated to this issue. (Para 70-75).

Country level

208. Looking at the overarching question for this Evaluation Synthesis, the evidence from the analysis is that alignment with ENRM policies in IFAD country strategies is mixed during the period covered. A small number of COSOPs show a clear progression to a stronger focus on ENRM; others reveal a shift in the direction to other priority strategic areas, such as value chain investments. (Para 83-89).
209. It is worth noting that often CPEs recommends that ENRM issues are more strongly integrated in future COSOPs, in some cases highlighting key sub-sectors on which to focus. Recommendations on integrating ENRM issues more strongly in future COSOPs are generally followed up and the actions taken have in some cases gone beyond the recommendations. (Para 85, 162-164, 170).

210. Unsurprisingly, climate change emerges as a strategic focus in some newer COSOPs. While more focus on climate resilience in the agriculture sector is to be welcomed, it is possible that this could lead to less support for the broader scope of persistent natural resource management issues relevant to the livelihoods of the rural poor. In some cases, for example, climate change appears to have displaced a strategic ENRM focus for the agriculture sector in newer COSOPs which will change the profile of IFAD's support for ENRM in a specific country. While this may not always be a problem, it should be assessed carefully. In addition, ASAP and the GEF are the most important instruments for funding climate change activities. While both programmes do include support for traditional ENRM activities, they can affect the balance in IFAD's portfolio between climate change and broader ENRM priorities by virtue of being dedicated grant funds. (Para 75, 86).

Project level

211. As reported by the ARRI 2015, performance on ENRM impact remains weak although there has been some modest improvement since 2009. The evidence suggests that this is partly a matter of project design and partly related to issues arising from implementation, including monitoring and supervision. The findings presented in this report stem from the Evaluation Synthesis questions on whether project design results in ENRM opportunities being overlooked and on what lessons can be learned about the performance of ENRM components or activities. (Para 13, 99-103, 132-142).

212. Turning to the evidence from project evaluations, the first key question is how well has ENRM been integrated at the project design stage. This is a challenging question. Sometimes it is clear that environmental conditions have not been taken into account; but in other situations, it is hard for the evaluators to say how much focus in ENRM is enough.

There is evidence from the analysis that inadequate budgets for ENRM activities compromise implementation. The sample of project evaluations consist mainly of projects with an ENRM objective or component but the average allocation of funds is only 17.8 per cent. In only four projects is the allocation over 30 per cent. It is accepted that this data almost certainly understates the amounts, but this level of allocation seems low. Furthermore, several evaluation reports cite inadequate budget as a factor for weak performance. (Para 104-106).

213. There is also evidence that project design success factors most frequently mentioned as contributing to ENRM performance are: i) governance and institutional set-up; of particular importance where projects that involve multiple agencies and depend on the involvement of local community organizations; ii) participatory planning; projects that have a high level of participation by stakeholders and the target population in planning and committing to delivering project results; iii) incentives: especially for demand led projects, incentives for the uptake of more sustainable practices or for influencing behavior. (Para 109-114, 139-146, 150).
214. Many success factors apply to all kinds of projects but it appears that projects that aim to promote "sustainable intensification" have certain features in common, bringing together a package of measures at the institutional and community level, relying on awareness raising, participatory approaches, and incentives. As this type of project is relatively complex, it is of great importance to understand well how to ensure they are successful. (Para 112, 150, 151).
215. The findings also reveal that the ENRM poverty and livelihood linkages are not captured well. In general there is more evidence of direct results of ENRM activities, such as soil and water management, but much less on how diversification of production or adoption of more sustainable options have

contributed to better use of natural resources thereby to better livelihoods of farmers. (Para 115, 141, 142).

216. Turning to the question of how IFAD deals with environmental risk, the majority of comments in the reports highlight risks overlooked; others comment that the assessments did not take certain issues into account; some recommend that scaling up or intensification of production or follow up investments should trigger an assessment of future risk of harmful impacts. (Para 121, 125, 126).
217. The analysis also reveals some concern about applying safeguards measures to projects that may result in multiple sub-projects such as micro-investments or enterprises. This is an issue that challenges most IFIs in applying their safeguard procedures for projects implemented by financial intermediaries or community level bodies, as is evident from some of the evaluation reports reviewed. (Para 127).
218. The findings do reveal that many evaluation reports, particularly CPEs, include recommendations for stronger integration of ENRM in future country strategies and projects that have been well followed up. In the case of CPEs, the follow-up could be identified in a subsequent COSOP and reported through the PRISMA process. In the case of project evaluations, there were some cases of follow-on projects that provided evidence of the recommendation being followed up. Many of the recommendations concerned a greater degree of ENRM integration or attention to risk, but a good number had a sub-sector focus, particularly soil and water conservation. Overall, the findings revealed that there has been a high degree of follow-up of the ENRM recommendations. (Para 162-164, 170).

C. Recommendations

219. IFAD has taken a number of steps to strengthen its integration of ENRM issues into its operations – relating to both avoiding harm and doing good. These will undoubtedly continue and it will be important to monitor their effectiveness. From the analysis of the evaluation reports, it is clear that these measures are responding to evidence from the projects in the Evaluation Synthesis sample. The evaluations of other agencies often tell a similar story.
220. These evaluation synthesis recommendations however should look further than these initiatives. First, how can the incentives be strengthened for IFAD to increase its commitment to ENRM in its country strategies and portfolio? Second, how can IFAD foster greater priority for ENRM issues at the country level? Third, how can IFAD promote greater understanding and focus on the crucial linkages between poverty alleviation and ENRM issues? Finally, how can IFAD address the relatively weak performance as shown by the ratings for the ENRM impact domain?
221. Recommendation 1. IFAD should explore options to continue and broaden the use of grant finance to boost the integration of ENRM, not just climate change adaptation, into its future operations. Although, there is undoubtedly some understatement as indicated above, the data on ENRM funding appears to be quite low in the context of IFAD's ENRM policy commitment and its efforts to mainstream ENRM into its investment portfolio. Without ASAP the level of funding looks even lower. Also, GEF funding plays a large role in relative terms, certainly in the adaptation arena. In fact, ASAP and GEF combined are almost equivalent to ENRM lending over the period 2010-2015.
222. There is significant value in IFAD's continuing efforts to mainstream ENRM. However, if IFAD is really to implement the goal of "sustainable intensification", it needs a means to generate substantial incentives, preferably financial, within the organization to make this happen. While there are disadvantages to relying on supplementary funding instruments, there is clearly an imbalance at present, leaving the challenge of mainstreaming ENRM effectively under resourced. IFAD

should therefore pursue options for grant finance to galvanize efforts to balance the incentives already in place to tackle adaptation and global environmental issues by supporting the innovative approaches to improving poor farmers' livelihoods through sustainable management and use of natural resources. This is IFAD's comparative advantage. (Para 206-209, 212, 215).

223. Recommendation 2. IFAD should strengthen its efforts to foster demand for greater integration of ENRM at the country level. To complement the policy direction and the financial and technical resources that IFAD can provide for ENRM, there is significant scope for addressing demand at the country level for more ENRM integration. While recognizing that IFAD has recently adopted a specific focus on better treatment of ENRM during COSOP preparation, the value of strong engagement with country level sector planning processes, building on their policy and strategy initiatives, and engaging with a wider set of partners at government and non-government levels is essential if agriculture sector strategies are to embody an "evergreen revolution" approach to which IFAD is committed. A good number of recent CPEs make this recommendation.
224. The demand from some countries for ENRM interventions is constrained by traditional approaches to the agriculture and natural resources sectors and poor coordination among different government agencies when developing sector strategies and especially budget allocations through conventional government processes. IFAD, in its specialized role, can help to shape agriculture sector strategy, building on existing strengths, and promote greater coordination between government bodies to ensure an improved level of priority for ENRM issues. Clearly, the most feasible entry point is COSOP preparation, but IFAD can play an important role in following up commitments in the COSOP through support to partners to ensure mainstreaming of an ENRM focus, especially for the rural poor living in difficult environmental conditions. (Para 204, 211).
225. Recommendation 3. IFAD should enhance its focus on the contribution of ENRM activities to poverty reduction. IFAD's ultimate goal is to improve the livelihoods and wellbeing of the rural poor. The investment in sustainable agriculture production and natural resource management is designed to contribute to livelihoods enhancement and poverty reduction for the rural poor, especially the smallholder farmer, as well as to improve sustainability overall. IFAD's ENRM agenda is a key element of this mission.
226. IFAD should increase its, and its country partners', understanding of how ENRM interventions contribute to poverty reduction and upgrade its knowledge management and communication strategy for this issue. This is important both for enhancing the incentives for integrating ENRM within the organization as well as shaping policy and strategy at the country level. This can be especially powerful in promoting a "mainstream" value for ENRM among decision makers dealing with budgets and setting priorities for investment. Among the options for action are knowledge products designed to "make the case" for better integration of ENRM in the agricultural sector and guidance materials on how to estimate the value of natural resources assets for the livelihoods and incomes of poor farmers. (Para 217, 218).
227. Recommendation 4. IFAD should enhance its data management and monitoring of ENRM projects. Despite corporate initiatives to strengthen the integration of ENRM, it is disappointing that the ENRM impact domain ratings remain low. Addressing this requires better data. First, IFAD is currently unable to account accurately for the level of investment in ENRM projects. This is despite an increasing emphasis on this domain in the SF and the Replenishment process. IFAD should take measures to track ENRM investments better, taking account of the nature of much of IFAD's ENRM focus, especially ENRM activities that are part of integrated packages of measures aiming at improved livelihoods. This implies a

focus on how IFAD project fund allocations are classified and tracked to ensure that ENRM interventions can be monitored.

228. Second, in terms of measuring, monitoring, and indeed evaluating ENRM performance and in order to better understand the causes of weak performance, it will be important to get a better grasp of what can be understood to be specific to this type of projects and how the results of ENRM projects are best measured and monitored. It should be noted that IFAD is currently strengthening its Result Impact and Measurement framework to integrate environmental sustainability and climate resilience indicators and more can be done to enhance the monitoring of ENRM activities through this initiative.
229. In doing so, focus should be on providing more data on direct environmental benefits but equally on indirect benefits that arise from diversification of production or adoption of more sustainable options which have contributed to better use of natural resources thereby to better livelihoods of farmers. Given that many of the more innovative ENRM projects depend on a package of measures, including ENRM, combined to bring about improvements income and livelihoods, it is important to monitor and evaluate the results with an integrated approach rather than with a traditional perspective that separates income, social, institutional, productivity criteria from ENRM. Good use of results frameworks that reflect the important contribution of ENRM activities to poverty alleviation is needed. Such an approach might require the use of indicators of how better natural resource management measures contribute to income and livelihoods or to reduced pressure on the resource base. (Para 208, 213, 218, 220).

Data on IFAD, ASAP and GEF ENRM loans and grants

Data on **IFAD** ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(2010)

BU	Country	Project Id	Project short name	Sector	Approval Date	Component	Sub component	Sub component Type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
APR	Bangladesh	1100001537	CDSP IV	Rural development	22/04/2010	Protection from climate change	Social forestry	Forestry	IFAD	IFAD	LOANS	30/06/2018	Available for Disbursement	4157450
APR	Bangladesh	1100001537	CDSP IV	Rural development	22/04/2010	Protection from climate change	Water resources management	Resource mgmt/protection	IFAD	IFAD	LOANS	30/06/2018	Available for Disbursement	16 245 364
APR	Bhutan	1100001482	MAGIP	Agricultural development	15/12/2010	Support to poor subsistence farming communities	Community forestry management	Forestry	IFAD	IFAD	LOANS	30/06/2016	Available for Disbursement	55 621
ESA	Eritrea	1100001518	FDP	Fisheries	22/04/2010	Strengthen institutional capacity of MMR	Integrated Coastal Area Management Authority	Fisheries/marine conservation	IFAD	IFAD_DSF	COMGR	30/09/2016	Available for Disbursement	369 489
LAC	Honduras	1100001535	Emprende Sur	Rural development	16/09/2010	Human & territorial development	Food security and mitigation of climate risk	Soil and Water conservation	IFAD	IFAD	LOANS	31/03/2017	Available for Disbursement	622 734
NEN	Djibouti	1100001366	PROMES-GDT	Agricultural development	16/09/2010	Mobilization of surface water and land management	Soil and water conservation	Soil and water conservation	IFAD	IFAD_DSF	TU-CG	31/12/2014	Project Completed	142 589
NEN	Sudan	1100001524	SUSTAIN-Sinnar	Agricultural development	15/12/2010	Technology transfer	Conservation agriculture	Soil and water conservation	IFAD	IFAD_DSF	COMGR	30/06/2018	Available for Disbursement	2 948 335
NEN	Syrian Arab Republic	1100001542	ILDPA	Livestock	15/12/2010	Rangeland imprvmt & dev of feed resources	Rangeland improvement in the Badia	Rangelands/pastures	IFAD	IFAD	LOANS	31/12/2019	Available for Disbursement	2 448 277
NEN	Yemen	1100001387	FIP	Fisheries	15/12/2010	Sustainable resource management	Fisheries research and management	Fisheries/marine conservation	IFAD	IFAD_DSF	COMGR	31/03/2018	Available for Disbursement	318 036
WCA	Niger	1100001591	EFSRDP	Agricultural development	15/12/2010	Restoration of productive assets for food-insecure	Soil and water conservation	Soil and Water conservation	IFAD	IFAD	LOANS	31/03/2014	Project Completed	592 000

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)**(2010) - continued**

BU	Country	Project Id	Project short name	Sector	Approval Date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
WCA	Niger	1100001591	EFSRDP	Agricultural development	15/12/2010	Restoration of productive assets for food-insecure	Soil and water conservation	Soil and water conservation	IFAD	IFAD_DSF	COMGR	31/03/2014	Project completed	592 000
WCA	Sierra Leone	1100001054	Rehabil.and community	Rural development	15/12/2010	Support smallholder agric intensification	Inland valley swamp cultivation	Land improvement	IFAD	IFAD	TU-LN	31/03/2016	Available for disbursement	1 648 707
WCA	Sierra Leone	1100001054	Rehabil.&and community	Rural development	15/12/2010	Support smallholder agric intensification	Inland valley swamp cultivation	Land improvement	IFAD	IFAD_DSF	TU-CG	31/03/2016	Available for disbursement	1 648 707
														31 789 309

(2011)

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount
APR	Bangladesh	1100001585	HILIP - CALIP	Rural development	15/09/2011	Community resource management	Community resource management	Resource mgmt/protection	IFAD	IFAD	LOANS	30/09/2020	Available for disbursement	5 980 340
APR	China	1100001555	GIADP	Rural development	13/12/2011	Rural environment Improvement	Biogas system construction	Energy production	IFAD	IFAD	LOANS	31/03/2017	Available for disbursement	416 020
APR	India	1100001617	ILSP	Agricultural development	13/12/2011	Participatory watershed development	Participatory watershed development	Resource mgmt/protection	IFAD	IFAD	LOANS	31/03/2019	Available for disbursement	52 731 948
APR	Lao People's Democratic Rep	1100001301	Attapeu and Sayabouri	Rural development	11/05/2011	Economic dev and natural resource mgt	Natural resources mgt	Resource mgmt/protection	IFAD	IFAD_DSF	TU-CG	31/03/2014	Financial closure	150 000
APR	Lao People's Democratic Rep	1100001608	SSSJ	Agricultural development	13/12/2011	Integrated farming system	Improving upland conservation and production system	Soil and Water conservation	IFAD	IFAD_DSF	COMGR	31/12/2017	Available for disbursement	2 937 670
APR	Mongolia	1100001455	PMPMD	Livestock	11/05/2011	Pasture mgnt and climate change adaptation	Herders group plan implem and climate change adaptat.	Rangelands/pastures	IFAD	IFAD	LOANS	30/09/2016	Available for disbursement	2 699 168
APR	Mongolia	1100001455	PMPMD	Livestock	11/05/2011	Pasture mgnt and climate change adaptation	Pasture management	Rangelands/pastures	IFAD	IFAD	LOANS	30/09/2016	Available for disbursement	2 257 244
ESA	Comoros	1100001241	NPSHD	Agricultural development	13/12/2011	Sustainable natural resource management	Management of marine resources	Fisheries/marine conservation	IFAD	IFAD_DSF	TU-CG	30/06/2014	Project completed	22 490
ESA	Comoros	1100001241	NPSHD	Agricultural development	13/12/2011	Sustainable natural resource management	Protection of land resources	Soil and water conservation	IFAD	IFAD_DSF	TU-CG	30/06/2014	Project completed	401 780

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(2011) - continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
ESA	Rwanda	1100001320	PAPSTA	Agricultural development	10/09/2011	Pilot actions through Innovative models	Watershed protection and hedging	Soil and water conservation	IFAD	IFAD	TU-LN	31/03/2013	Financial closure	50 000
ESA	Rwanda	1100001320	PAPSTA	Agricultural development	10/09/2011	Pilot actions through Innovative Models	Watershed protection and hedging	Soil and water conservation	IFAD	IFAD_DSF	TU-CG	31/03/2013	Financial closure	50 000
LAC	Honduras	1100001595	Horizontes del Norte	Agricultural development	29/08/2011	Value chain and competitiveness	Food security & environmental vulnerability	Soil and water conservation	IFAD	IFAD	LOANS	31/03/2018	Available for disbursement	248 562
NEN	Tajikistan	1100001575	LPDP	Livestock	11/05/2011	Livestock and pasture development	Improved pasture management	Rangelands/pastures	IFAD	IFAD_DSF	COMGR	30/09/2017	Available for disbursement	8 700 439
NEN	Tunisia	1100001213	PRODESUD	Agricultural development	13/12/2011	Basic infrastructure	Livestock water supply	Rangelands/pastures	IFAD	IFAD	TU-LN	30/06/2015	Project completed	1 223 058
NEN	Tunisia	1100001213	PRODESUD	Agricultural development	13/12/2011	Basic infrastructure	Soil and water conservation	Soil and water conservation	IFAD	IFAD	TU-LN	30/06/2015	Project completed	414 996
NEN	Tunisia	1100001213	PRODESUD	Agricultural development	13/12/2011	Integrated socio-territorial development schemes	Pastoral improvement	Rangelands/pastures	IFAD	IFAD	TU-LN	30/06/2015	Project completed	429 847
NEN	Tunisia	1100001299	Siliana Phase II	Agricultural development	13/12/2011	Integrated local development (UST)	Soil and water conservation	Soil and water conservation	IFAD	IFAD	TU-LN	31/12/2014	Project completed	134 306
WCA	Mauritania	1100001577	PASK II	Rural development	15/09/2011	Soil restoration,surface water mobiliz and mgmnt	Soils and water conservation	Soil and water conservation	IFAD	IFAD	LOANS	30/06/2020	Available for disbursement	2 698 150
WCA	Mauritania	1100001577	PASK II	Rural development	15/09/2011	Soil restoration,surface water mobiliz and mgmnt	Soils and water conservation	Soil and water conservation	IFAD	IFAD_DSF	COMGR	30/06/2020	Available for disbursement	2 698 150
WCA	Niger	1100001625	PASADEM	Rural development	13/12/2011	Improve household food & nutritional security	Increase agricultural and pastoral household produ.	Resource mgmt/protection	IFAD	IFAD	LOANS	31/03/2018	Available for disbursement	5 033 094
WCA	Senegal	1100001614	PADAER	Agricultural development	15/09/2011	Enhancing supply of agric. production	Livestock infrastructure	Rangelands/pastures	IFAD	IFAD	LOANS	31/12/2017	Available for disbursement	4 852 444
														94 129 706

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)
(2012)

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project Type	Current completion date	Project status	Approved amount (US\$)
APR	China	1100001627.00	HARIIP	Agricultural development	21/09/2012	Sustainable agric. dev. and market access	Agro-forestry development	Forestry	IFAD	IFAD	LOANS	30/09/2017	Available for disbursement	1 145 672
APR	India	1100001649	JTELP	Agricultural development	21/09/2012	Integrated natural resource management	Land and water resources management	Resource mgmt/protection	IFAD	IFAD	LOANS	31/12/2021	Available for disbursement	3 525 000
APR	India	1100001649	JTELP	Agricultural development	21/09/2012	Livelihoods support	Innovative Interventions	Forestry	IFAD	IFAD	LOANS	31/12/2021	Available for disbursement	1 218 000
APR	Indonesia	1100001621	CCDP	Marketing/storage/processing	21/09/2012	Community empowerment, devt and resource mgt	Coastal resource assessment, planning and co-mgt	Fisheries/marine conservation	IFAD	IFAD	LOANS	31/12/2017	Available for disbursement	4 253 687
APR	Nepal	1100001285	LFLP	Agricultural development	03/04/2012	Leasehold forestry & group formation	Land and forest development	Forestry	IFAD	IFAD	TU-LN	31/12/2014	Project completed	93 381
APR	Nepal	1100001285	LFLP	Agricultural development	03/04/2012	Leasehold forestry & group formation	Land and forest development	Forestry	IFAD	IFAD_DSF	TU-CG	31/12/2014	Project completed	92 527
APR	Philippines	1100001475	INREMP	Agricultural development	13/12/2012	River basin/watershed management	River basin/Watershed management	Resource mgmt/protection	IFAD	IFAD	LOANS	30/06/2020	Available for disbursement	1 319 848
APR	Philippines	1100001475	INREMP	Agricultural development	13/12/2012	Smallholder/commercial/instrn al investment	Conservation rehab and protection of URB state	Forestry	IFAD	IFAD	LOANS	30/06/2020	Available for disbursement	5 305 520
ESA	Eritrea	1100001556	NAP	Agricultural development	03/12/2012	Agric water resources development	Improvement of Meteorology & Hydrometry Systems	Resource mgmt/protection	IFAD	IFAD_DSF	COMGR	31/12/2018	Available for disbursement	1 010 560
ESA	Eritrea	1100001556	NAP	Agricultural Development	03/12/2012	Agric water resources development	Watershed Characterization	Resource mgmt/protection	IFAD	IFAD_DSF	COMGR	31/12/2018	Available for disbursement	138 188
ESA	Kenya	1100001544	UTaNRMP	Agricultural development	03/04/2012	Sustainable water and natural resource management	Sustainable management forest and agricultural ec.	Forestry	IFAD	IFAD	LOANS	30/06/2020	Available for disbursement	6 044 916
ESA	Kenya	1100001544	UTaNRMP	Agricultural development	03/04/2012	Sustainable water and natural resource management	Sustainable management of water resources	Resource mgmt/protection	IFAD	IFAD	LOANS	30/06/2020	Available for disbursement	6 555 222
LAC	Haiti	1100001532	PPI 3	Agricultural development	08/09/2012	Irrigation development	Remedial environmental actions	Resource mgmt/protection	IFAD	IFAD_DSF	COMGR	31/12/2017	Available for disbursement	668 247
LAC	Paraguay	1100001611	Paraguay inclusivo	Credit and financial services	02/04/2012	Promotion and pre-investment	Sustainable prod & adaptation to climate change	Resource mgmt/protection	IFAD	IFAD	LOANS	31/03/2018	Available for disbursement	85 640
LAC	Peru	1100001498	Highlands local devplmt	Research/extension/training	21/09/2012	Valuing assets of small-scale farmers	Funding of territorial management plans	Land improvement	IFAD	IFAD	LOANS	31/03/2018	Available for disbursement	4 486 243
NEN	Kyrgyzstan	1100001626	LMDP	Livestock	17/12/2012	Community-based pasture management	Community pasture management and investments	Rangelands/pastures	IFAD	IFAD	LOANS	30/09/2018	Available for disbursement	6 173 893

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(2012) – continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project Type	Current completion date	Project status	Approved amount (US\$)
NEN	Kyrgyzstan	1100001626	LMDP	Livestock	17/12/2012	Community based pasture management	Community pasture management and investments	Rangelands/pastures	IFAD	IFAD_DSF	COMGR	30/09/2018	Available for disbursement	4 172 744
NEN	Lebanon	1100001421	HASAD	Agricultural development	03/12/2012	Soil and water conservation development	Soil and water conservation development	Soil and water conservation	IFAD	IFAD	TU-LN	31/12/2018	Available for disbursement	187 772
NEN	Tunisia	1100001622	PRODESUD II	Agricultural development	17/12/2012	Agro-pastoral development	Improvement of rangelands productivity	Rangelands/pastures	IFAD	IFAD	LOANS	31/03/2020	Available for disbursement	2 251 111
NEN	Turkey	1100001623	MRWRP	Agricultural development	13/12/2012	Invest. in natural resources and environm. assets	Invest. in natural resources and environm. assets	Forestry	IFAD	IFAD	LOANS	31/03/2020	Available for disbursement	11 568 000
NEN	Turkey	1100001623	MRWRP	Agricultural development	13/12/2012	Natural resource and environmental management	Natural resource and environmental management	Resource mgmt./protection	IFAD	IFAD	LOANS	31/03/2020	Available for disbursement	2 394 784
WCA	Burkina Faso	1100001580	Neer-Tamba Project	Agricultural development	13/12/2012	Village smallholdings and productive potential dev.	Village smallholdings & productive potential dev.	Soil and water conservation	IFAD	IFAD_DSF	COMGR	30/09/2021	Available for disbursement	18 151 965
														80 842 920

(2013)

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
APR	Viet Nam	1100001664	AMD	Rural development	11/12/2013	Building adaptive capacity	Climate-informed planning	Climate change adaptation	IFAD	IFAD	LOANS	31/03/2020	Available for disbursement	1 818 874
ESA	Rwanda	1100001431	KWAMP	Agricultural development	06/07/2013	Agricultural intensification	Soil and water conservation	Soil and water conservation	IFAD	IFAD	TU-LN	30/06/2016	Available for disbursement	1 542 000
ESA	Rwanda	1100001431	KWAMP	Agricultural development	06/07/2013	Agricultural intensification	Soil and water conservation	Soil and water conservation	IFAD	IFAD_DSF	TU-CG	30/06/2016	Available for disbursement	1 543 000
ESA	Rwanda	1100001431	KWAMP	Agricultural development	06/07/2013	Local institutional development	Water and land use management	Resource mgmt./protection	IFAD	IFAD	TU-LN	30/06/2016	Available for disbursement	138 000
ESA	Rwanda	1100001431	KWAMP	Agricultural development	06/07/2013	Local institutional development	Water and land use management	Resource mgmt./protection	IFAD	IFAD_DSF	TU-CG	30/06/2016	Available for disbursement	138 000
LAC	Nicaragua	1100001683	NICADAPTA	Marketing/storage/processing	25/11/2013	Institutional strengthening	Improve productivity adapting to climate change	Climate change adaptation	IFAD	IFAD	LOANS	30/09/2020	Available for disbursement	1 335 537
LAC	Nicaragua	1100001683	NICADAPTA	Marketing/storage/processing	25/11/2013	Institutional strengthening	Improve productivity adapting to climate change	Climate change adaptation	IFAD	IFAD_DSF	COMGR	30/09/2020	Available for disbursement	1 335 537

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(2013) - continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
NEN	Kyrgyzstan	1100001709	LMDP II	Livestock	11/12/2013	Comm-based pasture mgmt. and vulnerability reduction	Comm risk mitigation pasture Mgmt.	Rangelands/pastures	IFAD	IFAD	LOANS	30/09/2019	Available for disbursement	9 881 103
NEN	Kyrgyzstan	1100001709	LMDP II	Livestock	11/12/2013	Comm-based pasture mgmt. and vulnerability reduction	Comm risk mitigation pasture management	Rangelands/pastures	IFAD	IFAD_DSF	COMGR	30/09/2019	Available for disbursement	6105141
NEN	Yemen	1100001672	RGP	Rural development	09/12/2013	Agricultural development	Agriculture production and diversification	Climate change adaptation	IFAD	IFAD_DSF	COMGR	31/03/2021	Enter into force	776 029
WCA	Burkina Faso	1100001580	Neer-Tamba Project	Agricultural development	10/04/2013	Village smallholdings and productive potential dev.	Village smallholdings & productive potential dev.	Soil and water conservation	IFAD	IFAD	TU-LN	30/09/2021	Available for disbursement	4 083 846
WCA	Burkina Faso	1100001580	Neer-Tamba Project	Agricultural development	10/04/2013	Village smallholdings and productive potential dev.	Village smallholdings & productive potential dev.	Soil and water conservation	IFAD	IFAD_DSF	TU-CG	30/09/2021	Available for disbursement	4 083 846
WCA	Nigeria	1100001692	CASP	Rural development	11/12/2013	Productivity enhancements and climate resilience	Climate change resilience adaptation	Climate change adaptation	IFAD	IFAD	LOANS	31/03/2021	Enter into force	2 050 112
WCA	Senegal	1100001693	PAFA - E	Agricultural development	11/12/2013	Improvement in the supply, enhancement & marketing	Pastoral infrastructure and pastoral unit management	Rangelands/pastures	IFAD	IFAD	LOANS	30/06/2022	Available for disbursement	3 690 000
														38 521 025

(2014)

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved Amount (US\$)
APR	Cambodia	1100001703	ASPIRE	Research/extension/training	16/12/2014	Infrastructure supporting climate-resilient agriculture	infrastructure supporting climate-resilient agriculture	Climate change adaptation	IFAD	IFAD	LOANS	31/03/2022	Available for disbursement	7 362 000
APR	India	1100001715	LAMP	Rural development	08/04/2014	Natural Resources & Food Security	Integrated natural resource management	Resource mgmt/protection	IFAD	IFAD	LOANS	31/12/2022	Available for disbursement	8 759 303
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Climate resilience of vulnerable smallholders improved	Small-scale climate-adapted community infrastructure operation	Climate change adaptation	IFAD	IFAD_DSF	COMGR	31/03/2021	Enter into force	2 048 100
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Climate resilience of vulnerable smallholders improved	Smallholder climate adapted production profitable	Climate change adaptation	IFAD	IFAD_DSF	COMGR	31/03/2021	Enter into force	2 534 700
APR	Viet Nam	1100001663	CPRP	Rural development	01/09/2014	Planning for sustainable market-led development	Testing and development of climate-smart technology	Climate change adaptation	IFAD	IFAD	LOANS	31/03/2020	Available for disbursement	596 800

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(2014) - continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved Amount (US\$)
ESA	Uganda	1100001681	PRELNOR	Marketing/storage/processing	16/12/2014	Rural livelihoods	Climate resilient crop production	Climate change adaptation	IFAD	IFAD	LOANS	30/09/2022	Enter into force	4 432 000
NEN	Sudan	1100001277	WSRMP	Rural development	01/09/2014	Natural resource management	Natural resource management	Resource mgmt./protection	IFAD	IFAD_DSF	TU-CG	31/12/2016	Available for disbursement	861 900
NEN	Sudan	1100001732	LMRP	Credit and financial services	16/12/2014	Community-led natural Resources mgt and enhanced adaptive capacities	Development & Implementation of community adaptive plans	Resource mgmt./protection	IFAD	IFAD_DSF	COMGR	31/03/2022	Available for disbursement	18 5000
NEN	Tunisia	1100001704	PRODEFIL	Rural development	24/03/2014	Making agropastoral systems more resilient	Improved rangeland management	Rangelands/pastures	IFAD	IFAD	LOANS	30/06/2021	Enter into force	5 200 000
														31 979 803

2015)

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
APR	India	1100001743	OPELIP	Rural development	22/04/2015	Natural resource management and livelihood improvement	Natural resource management	Resource mgmt/protection	IFAD	IFAD	LOANS	30/06/2021	Board/President approved	8 584 000
APR	Myanmar	1100001730	ESAP	Agricultural development	22/04/2015	Strategic Investments	Community agro-forestry	Forestry	IFAD	IFAD	LOANS	01/04/2020	Board/President approved	4 457 000
APR	Myanmar	1100001730	ESAP	Agricultural development	22/04/2015	Strategic Investments	Land development	Land improvement	IFAD	IFAD	LOANS	01/04/2020	Board/President approved	4 513 500
APR	Viet Nam	1100001663	CPRP	Rural development	07/09/2015	Planning for sustainable market-led development	testing and development of climate-smart technology	Climate change adaptation	IFAD	IFAD	TU-LN	31/03/2020	Available for disbursement	768 200
ESA	Madagascar	2000000850	AD2M Phase II	Rural development	15/09/2015	Promotion of effective and climate change resilient production systems	Promotion of effective and climate change resilient production systems	Climate change adaptation	IFAD	IFAD	LOANS	25/08/2045	Signed	27 700 000
ESA	Swaziland	1100001665	SMLP	Marketing/storage/processing	22/04/2015	Infrastructure for soil and water conservation	Infrastructure for soil and water conservation	Soil and water conservation	IFAD	IFAD: KfW loan	LOANS	01/04/2014	Board/President approved	2 200 000
LAC	Bolivia	1100001721	PRO-CAMELIDOS	Rural development	16/09/2015	Primary production and management of natural resources	Primary production and management of natural resources	Resource mgmt/protection	IFAD	IFAD	LOANS	31/12/2021	Board/President approved	5 361 000

Data on IFAD ENRM loans retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

2015) - Continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
WCA	Niger	1100001688	ProDAF	Marketing/storage/processing	22/04/2015	Strengthening sustainable family farming	Structured, productive farms resilient to climate risks	Soil and water conservation	IFAD	IFAD	LOANS	30/09/2023	Enter into force	7 887 250
WCA	Niger	1100001688	ProDAF	Marketing/storage/processing	22/04/2015	Strengthening sustainable family farming	Structured, productive farms resilient to climate risks	Soil and water conservation	IFAD	IFAD_DSF	COMGR	30/09/2023	Enter into force	7 887 250
														69 358 200

Data on Adaptation for Smallholder Agriculture Programme (ASAP) retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(ASAP)

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
APR	Bangladesh	1100001585	HILIP - CALIP	Rural development	19/09/2013	Capacity & knowledge-building for resilience	Capacity & knowledge-building for resilience	Disaster mitigation	IFAD	ASAP	TU-CG	30/09/2020	Available for disbursement	1 963 210
APR	Bangladesh	1100001585	HILIP - CALIP	Rural development	19/09/2013	Community infrastructure	Community infrastructure	Rural infrastructure	IFAD	ASAP	TU-CG	30/09/2020	Available for disbursement	84 531 67
APR	Bangladesh	1100001585	HILIP - CALIP	Rural development	19/09/2013	Livelihood protection	Livelihood protection	Food crop production	IFAD	ASAP	TU-CG	30/09/2020	Available for disbursement	4 263 887
APR	Bangladesh	1100001585	HILIP - CALIP	Rural development	19/09/2013	Project management	Project management	Management/co-ordination	IFAD	ASAP	TU-CG	30/09/2020	Available for disbursement	366 929
APR	Bhutan	1100001739	CARLEP	Marketing/storage/processing	07/09/2015	Institutional support	Institutional support and policy development	Institutional support	IFAD	ASAP	COMGR	30/06/2022	Board/President approved	268 909
APR	Bhutan	1100001739	CARLEP	Marketing/storage/processing	07/09/2015	Market-led agricultural production	Market-led agriculture production	Market infrastructure	IFAD	ASAP	COMGR	30/06/2022	Board/President approved	3 024 639
APR	Bhutan	1100001739	CARLEP	Marketing/storage/processing	07/09/2015	Value chain	Value chain development and marketing	Marketing: inputs/outputs	IFAD	ASAP	COMGR	30/06/2022	Board/President approved	1 729 067
APR	Cambodia	1100001703	ASPIRE	Research/extension/training	16/12/2014	ASPIRE Secretariat	ASPIRE Secretariat	Management/co-ordination	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	7 497 000
APR	Cambodia	1100001703	ASPIRE	Research/extension/training	16/12/2014	Capacity development for extension services	Capacity development for extension services	Institutional support	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	2 887 000

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(ASAP) - continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
APR	Cambodia	1100001703	ASPIRE	Research/extension/training	16/12/2014	Evidence-based policy development	Evidence-based policy development	Policy support/development	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	1 648 000
APR	Cambodia	1100001703	ASPIRE	Research/extension/training	16/12/2014	Improved extension services	Improved extension services	Technology transfer	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	1 865 000
APR	Cambodia	1100001703	ASPIRE	Research/extension/training	16/12/2014	Infrastructure supporting climate-resilient agriculture	Infrastructure supporting climate-resilient agriculture	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	1 098 000
APR	Lao People's Democratic Rep	1100001680	FNML	Rural development	08/05/2015	Smallholder adaptation to climate change	Climate change adaptation fund	Climate change adaptation	IFAD	ASAP	TU-CG	30/09/2019	Available for disbursement	3 208 000
APR	Lao People's Democratic Rep	1100001680	FNML	Rural development	08/05/2015	Smallholder adaptation to climate change	Strengthening of enabling environment for climate change adaptation	Climate change adaptation	IFAD	ASAP	TU-CG	30/09/2019	Available for disbursement	1 503 000
APR	Lao People's Democratic Rep	1100001680	FNML	Rural development	08/05/2015	Smallholder adaptation to climate change	Project management	Management/co-ordination	IFAD	ASAP	TU-CG	30/09/2019	Available for disbursement	289 000
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Climate resilience of vulnerable smallholders improved	Small-scale climate-adapted community infrastructure operation	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2021	Enter into force	6 313 700
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Climate resilience of vulnerable smallholders improved	Smallholder climate adapted production profitable	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2021	Enter into force	3 247 500
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Framework for local-level climate adaptation strengthened	Enhanced climate adaptation knowledge disseminated	Knowledge management	IFAD	ASAP	COMGR	31/03/2021	Enter into force	1 550 500
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Framework for local-level climate adaptation strengthened	Strengthened LAPA development process implemented	Institutional support	IFAD	ASAP	COMGR	31/03/2021	Enter into force	2 173 300
APR	Nepal	1100001723	ASHA	Rural development	13/09/2014	Project management	Project management	Management/co-ordination	IFAD	ASAP	COMGR	31/03/2021	Enter into force	1 714 000
APR	Viet Nam	1100001664	AMD	Rural development	11/12/2013	Building adaptive capacity	Climate change knowledge enhancement	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2020	Available for disbursement	6 628 861

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(ASAP) – continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
APR	Viet Nam	1100001664	AMD	Rural development	11/12/2013	Building adaptive capacity	Climate-informed planning	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2020	Available for disbursement	3 427 733
APR	Viet Nam	1100001664	AMD	Rural development	11/12/2013	Investing in sustainable livelihoods	Investing in climate change adaptation	Rural infrastructure	IFAD	ASAP	COMGR	31/03/2020	Available for disbursement	1 500 000
APR	Viet Nam	1100001664	AMD	Rural development	11/12/2013	Project management	Project management	Management/ co-ordination	IFAD	ASAP	COMGR	31/03/2020	Available for disbursement	443 542
ESA	Burundi	2000001009	PRODEFI Phase II	Irrigation	15/09/2015	Sustainable growth in productive capital and institutional capacity-building for value chain actors	Adaptation to climate change	Resource mgmt./protection	IFAD	ASAP	COMGR	31/12/2021	Enter into force	3 645 558
ESA	Burundi	2000001009	PRODEFI Phase II	Irrigation	15/09/2015	Sustainable growth in productive capital and institutional capacity-building for value chain actors	Agricultural intensification	Food crop production	IFAD	ASAP	COMGR	31/12/2021	Enter into force	525 338
ESA	Burundi	2000001009	PRODEFI Phase II	Irrigation	15/09/2015	Sustainable growth in productive capital and institutional capacity-building for value chain actors	Hydro-agricultural improvements and infrastructure	Irrigation management	IFAD	ASAP	COMGR	31/12/2021	Enter into force	754 760
ESA	Kenya	1100001651	KCEP-CRAL	Agricultural development	22/04/2015	Capacity building for climate-resilient productivity enhancement and natural resource management	Community-based sustainable natural resource management and adaptation to climate change	Climate change adaptation	IFAD	ASAP	COMGR	30/09/2022	Enter into force	10 000 000
ESA	Lesotho	2000000053	WAMPP	Rural development	19/09/2014	Climate smart rangeland management	Climate smart participatory rangeland management	Local capacity-building	IFAD	ASAP	COMGR	30/06/2022	Enter into force	4 486 000
ESA	Lesotho	2000000053	WAMPP	Rural development	19/09/2014	Climate smart rangeland management	Effective information for climate smart rangeland management	Institutional support	IFAD	ASAP	COMGR	30/06/2022	Enter into force	1 990 000
ESA	Lesotho	2000000053	WAMPP	Rural development	19/09/2014	Improved livestock production and management	Improved animal health	Animal health	IFAD	ASAP	COMGR	30/06/2022	Enter into force	63 000
ESA	Lesotho	2000000053	WAMPP	Rural development	19/09/2014	Improved livestock production and management	Improved livestock nutrition	Animal feed	IFAD	ASAP	COMGR	30/06/2022	Enter into force	349 000
ESA	Lesotho	2000000053	WAMPP	Rural development	19/09/2014	Wool and mohair fibre handling and marketing	Value chain based enterprise enhancement	Local capacity-building	IFAD	ASAP	COMGR	30/06/2022	Enter into force	112 000
ESA	Madagascar	2000000850	AD2M Phase II	Rural development	15/09/2015	Project management and monitoring and evaluation	Project management and monitoring and evaluation	Management/ co-ordination	IFAD	ASAP	COMGR	25/08/2045	Signed	200 000

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)**(ASAP) – continued**

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
ESA	Madagascar	2000000850	AD2M Phase II	Rural development	15/09/2015	Promotion of effective and climate change resilient production systems	Promotion of effective and climate change resilient production systems	Climate change adaptation	IFAD	ASAP	COMGR	25/08/2045	Signed	5 800 000
ESA	Mozambique	1100001618	PROSUL	Agricultural development	21/09/2012	Cassava	Cassava	Food crop production	IFAD	ASAP	COMGR	31/12/2019	Available for disbursement	634 231
ESA	Mozambique	1100001618	PROSUL	Agricultural development	21/09/2012	Financial services	Financial services	Rural financial services	IFAD	ASAP	COMGR	31/12/2019	Available for disbursement	1 285 250
ESA	Mozambique	1100001618	PROSUL	Agricultural development	21/09/2012	Horticulture	Horticulture	Horticulture	IFAD	ASAP	COMGR	31/12/2019	Available for disbursement	556 767
ESA	Mozambique	1100001618	PROSUL	Agricultural development	21/09/2012	Institutional support and project management	Institutional support and project management	Management/ co-ordination	IFAD	ASAP	COMGR	31/12/2019	Available for disbursement	657 128
ESA	Mozambique	1100001618	PROSUL	Agricultural development	21/09/2012	Red meat	Red meat	Animal production	IFAD	ASAP	COMGR	31/12/2019	Available for disbursement	1 774 184
ESA	Rwanda	1100001497	PASP	Credit and financial services	11/12/2013	HUB capacity dev. prog & bus. coaching	HUB capacity dev. prog and bus. coaching	Local capacity-building	IFAD	ASAP	COMGR	31/03/2019	Available for disbursement	2 499 579
ESA	Rwanda	1100001497	PASP	Credit and financial services	11/12/2013	Post-harvest clim. resil. agri-bus invest.	Post-harvest clim. resil. agri-bus invest.	Rural financial services	IFAD	ASAP	COMGR	31/03/2019	Available for disbursement	4 172 435
ESA	Rwanda	1100001497	PASP	Credit and financial services	11/12/2013	Project management and coordination	Project management and coordination	Management/ co-ordination	IFAD	ASAP	COMGR	31/03/2019	Available for disbursement	251 851
ESA	Uganda	1100001681	PRELNOR	Marketing/storage/processing	16/12/2014	Market linkages and infrastructure	Market Access Infrastructure	Market infrastructure	IFAD	ASAP	COMGR	30/09/2022	Enter into force	226 000
ESA	Uganda	1100001681	PRELNOR	Marketing/storage/processing	16/12/2014	Rural livelihoods	Climate resilient crop production	Climate change adaptation	IFAD	ASAP	COMGR	30/09/2022	Enter into force	9 774 000
LAC	Bolivia	1100001598	ACCESOS	Rural development	25/11/2013	Capacity-building for community adaptation	Capacity-building for community adaptation	Local capacity-building	IFAD	ASAP	TU-CG	30/09/2018	Available for disbursement	932 515
LAC	Bolivia	1100001598	ACCESOS	Rural development	25/11/2013	Climate risk management	Climate risk management	Climate change adaptation	IFAD	ASAP	TU-CG	30/09/2018	Available for disbursement	7 350 249
LAC	Bolivia	1100001598	ACCESOS	Rural development	25/11/2013	Programme management	Programme management	Management/ co-ordination	IFAD	ASAP	TU-CG	30/09/2018	Available for disbursement	1 717 051

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(ASAP) – continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
LAC	Ecuador	1100001734	FAREPS	Credit and financial services	07/09/2015	Capacity-building	Capacity-building	Local capacity-building	IFAD	ASAP	COMGR	30/06/2021	Board/President approved	840 000
LAC	Ecuador	1100001734	FAREPS	Credit and financial services	07/09/2015	Enterprise development and commercial exchange	Enterprise development and commercial exchange	Business development	IFAD	ASAP	COMGR	30/06/2021	Board/President approved	3160 000
LAC	Nicaragua	1100001683	NICADAPTA	Marketing/storage/processing	25/11/2013	Institutional strengthening	Monitoring climate variability	Technology development	IFAD	ASAP	COMGR	30/09/2020	Available for disbursement	1 341 216
LAC	Nicaragua	1100001683	NICADAPTA	Marketing/storage/processing	25/11/2013	Sustainable development of coffee and cocoa productivity	Invest water mgmt. and environm. management	Climate change adaptation	IFAD	ASAP	COMGR	30/09/2020	Available for disbursement	6 659 077
NEN	Djibouti	1100001671	PRAREV-PECHE	Rural development	12/12/2013	Capacity-building	Capacity-building	Institutional support	IFAD	ASAP	COMGR	30/09/2020	Available for disbursement	978 642
NEN	Djibouti	1100001671	PRAREV-PECHE	Rural development	12/12/2013	Fishing value chain promotion	Value chain promotion	Fisheries infrastructure	IFAD	ASAP	COMGR	30/09/2020	Available for disbursement	1 717 753
NEN	Djibouti	1100001671	PRAREV-PECHE	Rural development	12/12/2013	Programme management	Programme management	Management/ co-ordination	IFAD	ASAP	COMGR	30/09/2020	Available for disbursement	20 134
NEN	Djibouti	1100001671	PRAREV-PECHE	Rural development	12/12/2013	Resilient coastlines and costal inhabitants support	Resilient coastlines and costal inhabitants	Climate change adaptation	IFAD	ASAP	COMGR	30/09/2020	Available for disbursement	3 279 471
NEN	Egypt	1100001745	SAIL	Credit and financial services	16/12/2014	Agriculture development and diversification	Crop and livestock extension services	Technology transfer	IFAD	ASAP	COMGR	30/06/2023	Enter into force	2 799 700
NEN	Egypt	1100001745	SAIL	Credit and financial services	16/12/2014	Agriculture development and diversification	Marketing services	Marketing: inputs/outputs	IFAD	ASAP	COMGR	30/06/2023	Enter into force	576 300
NEN	Egypt	1100001745	SAIL	Credit and financial services	16/12/2014	Agriculture development and diversification	Strengthening of FBOs	Local capacity-building	IFAD	ASAP	COMGR	30/06/2023	Enter into force	270 400
NEN	Egypt	1100001745	SAIL	Credit and financial services	16/12/2014	Agriculture development and diversification	Water and energy infra	Irrigation infrastructure	IFAD	ASAP	COMGR	30/06/2023	Enter into force	813 200
NEN	Egypt	1100001745	SAIL	Credit and financial services	16/12/2014	Community and livelihood development	Vocational train and enterprise development	Business development	IFAD	ASAP	COMGR	30/06/2023	Enter into force	540 400

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)**(ASAP) – continued**

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
NEN	Kyrgyzstan	1100001709	LMDP II	Livestock	11/12/2013	Comm-based pasture mgmt. and vulnerability reduction	Comm. risk mitigation pasture management	Rangelands/ pastures	IFAD	ASAP	COMGR	30/09/2019	Available for disbursement	9 036 903
NEN	Kyrgyzstan	1100001709	LMDP II	Livestock	11/12/2013	Comm-based pasture mgmt. and vulnerability reduction	Pasture institutional strengthening	Institutional support	IFAD	ASAP	COMGR	30/09/2019	Available for disbursement	742 617
NEN	Kyrgyzstan	1100001709	LMDP II	Livestock	11/12/2013	Market and value chain initiatives	Market and value chain initiatives	Development funds	IFAD	ASAP	COMGR	30/09/2019	Available for disbursement	220 000
NEN	Morocco	1100001727	PDRZM	Rural development	17/09/2014	Agricultural value chain development and value addition	1.1 Tree value chain	Fruit trees/orchards	IFAD	ASAP	COMGR	31/03/2020	Enter into force	550 000
NEN	Morocco	1100001727	PDRZM	Rural development	17/09/2014	Agricultural value chain development and value addition	1.3 Infrastructure and hydro-agricultural development	Rural infrastructure	IFAD	ASAP	COMGR	31/03/2020	Enter into force	1 454 000
NEN	Sudan	1100001732	LMRP	Credit and financial services	16/12/2014	Community-led natural resources mgmt. & enhanced adaptive capacities	Development and implementation of community adaptive plans	Resource mgmt./protection	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	7 000 000
NEN	Yemen	1100001672	RGP	Rural development	09/12/2013	Agricultural development	Agriculture production and diversification	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2021	Enter into force	258 676
NEN	Yemen	1100001672	RGP	Rural development	09/12/2013	Agricultural development	Extension support and inputs provision	Technology transfer	IFAD	ASAP	COMGR	31/03/2021	Enter into force	1 880 217
NEN	Yemen	1100001672	RGP	Rural development	09/12/2013	Community empower. and livelihoods diversification	Community institutions-building	Community development	IFAD	ASAP	COMGR	31/03/2021	Enter into force	5 730 152
NEN	Yemen	1100001672	RGP	Rural development	09/12/2013	Community empower. and livelihoods diversification	Livelihoods diversification	Micro-enterprises	IFAD	ASAP	COMGR	31/03/2021	Enter into force	801 550
NEN	Yemen	1100001672	RGP	Rural development	09/12/2013	Programme management and coordination	Programme management and coordination	Management/ co-ordination	IFAD	ASAP	COMGR	31/03/2021	Enter into force	1 520 420
WCA	Chad	1100001691	PARSAT	Agricultural development	01/12/2014	Increased security against climate risks and intensification of agricultural production	Increased security against climate risks and intensification of agricultural production.	Food crop production	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	2 082 000
WCA	Chad	1100001691	PARSAT	Agricultural development	01/12/2014	Optimization of production and support for economic activities of rural households	Optimization of production and support for economic activities of rural households	Marketing: inputs/outputs	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	2 428 000
WCA	Chad	1100001691	PARSAT	Agricultural development	01/12/2014	Project coordination, management, and monitoring and evaluation	Project coordination, management, and monitoring and evaluation	Management/ co-ordination	IFAD	ASAP	COMGR	31/03/2022	Available for disbursement	490 000

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)**(ASAP) – continued**

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
WCA	Cote D'Ivoire	1100001590	PROPACOM/WNW	Agricultural development	17/09/2014	Coordination, M&E, knowledge management	Support to national climate change adaptation programme	Climate change adaptation	IFAD	ASAP	COMGR	31/12/2020	Enter into force	694 105
WCA	Cote D'Ivoire	1100001590	PROPACOM/WNW	Agricultural development	17/09/2014	Sustainable improvement in agricultural production	Access to factors of production	Input supply	IFAD	ASAP	COMGR	31/12/2020	Enter into force	6 300 645
WCA	Ghana	1100001678	GASIP	Credit and financial services	08/04/2014	Knowledge management, policy support and coordination	Knowledge management and policy support	Policy support /development	IFAD	ASAP	COMGR	07/11/2017	Enter into force	740 000
WCA	Ghana	1100001678	GASIP	Credit and financial services	08/04/2014	Rural value chain infrastructure	Enabling public infrastructure	Roads/tracks	IFAD	ASAP	COMGR	07/11/2017	Enter into force	1 510 000
WCA	Ghana	1100001678	GASIP	Credit and financial services	08/04/2014	Value chain development	Climate change resilience	Climate change adaptation	IFAD	ASAP	COMGR	07/11/2017	Enter into force	7 750 000
WCA	Mali	1100001444	PAPAM	Agricultural development	11/12/2013	Compreh. progrtic. approach, sect. mont & proj. coor.	Delivery of core public services	Institutional support	IFAD	ASAP	TU-CG	31/12/2017	Available for disbursement	171 428
WCA	Mali	1100001444	PAPAM	Agricultural development	11/12/2013	Compreh. progrtic. approach, sect. mont & proj. coor.	Policy dialogue and coordination	Policy support/ development	IFAD	ASAP	TU-CG	31/12/2017	Available for disbursement	636 015
WCA	Mali	1100001444	PAPAM	Agricultural development	11/12/2013	Compreh. progrtic. approach, sect. mont & proj. coor.	Project coordination and monitoring	Management/ co-ordination	IFAD	ASAP	TU-CG	31/12/2017	Available for disbursement	1 044 178
WCA	Mali	1100001444	PAPAM	Agricultural development	11/12/2013	Compreh. progrtic. approach, sect. mont & proj. coor.	Sector monitoring and evaluation	Monitoring and evaluation	IFAD	ASAP	TU-CG	31/12/2017	Available for disbursement	693 509
WCA	Mali	1100001444	PAPAM	Agricultural development	11/12/2013	Irrigation infrastructure	Small-scale irrigation	Irrigation infrastructure	IFAD	ASAP	TU-CG	31/12/2017	Available for disbursement	5 683 958
WCA	Mali	1100001444	PAPAM	Agricultural development	11/12/2013	Tech. transfer & service provision to agricult. producers	Transfer of technology and producer services	Energy production	IFAD	ASAP	TU-CG	31/12/2017	Available for disbursement	1 713 616
WCA	Niger	1100001688	ProDAF	Marketing/storage/processing	22/04/2015	Programme management & coordination, M&E and knowledge management	Programme management and coordination, M&E and knowledge management	Management/ co-ordination	IFAD	ASAP	COMGR	30/09/2023	Enter into force	1 482 800
WCA	Niger	1100001688	ProDAF	Marketing/storage/processing	22/04/2015	Strengthening sustainable family farming	Capacity-building for rural dwellers	Local capacity-building	IFAD	ASAP	COMGR	30/09/2023	Enter into force	1 365 400
WCA	Niger	1100001688	ProDAF	Marketing/storage/processing	22/04/2015	Strengthening sustainable family farming	Structured, productive farms resilient to climate risks	Soil and water conservation	IFAD	ASAP	COMGR	30/09/2023	Enter into force	10 122 300

Data on **Adaptation for Smallholder Agriculture Programme (ASAP)** retrieved from IFAD's Grants and Investment Projects System (consulted 1st December 2015)

(ASAP) – continued

BU	Country	Project Id	Project short name	Sector	Approval date	Component	Sub component	Sub component type	Financier type	Financier	Project type	Current completion date	Project status	Approved amount (US\$)
WCA	Nigeria	1100001692	CASP	Rural development	11/12/2013	Institutional development	Support for formation and strengthening of CDAs	Local capacity-building	IFAD	ASAP	COMGR	31/03/2021	Enter into force	6 477 000
WCA	Nigeria	1100001692	CASP	Rural development	11/12/2013	Productivity enhancements and climate resilience	Agricultural extension delivery strengthened	Technology transfer	IFAD	ASAP	COMGR	31/03/2021	Enter into force	840 000
WCA	Nigeria	1100001692	CASP	Rural development	11/12/2013	Productivity enhancements and climate resilience	Climate change resilience adaptation	Climate change adaptation	IFAD	ASAP	COMGR	31/03/2021	Enter into force	7 632 000
														238 868 622

Data on **Global Environment Facility Projects (GEF)** – provided by ECD May 2015

(GEF)

BU	Country	Project ID	Project name	Amount approved (US\$)	Project status
APR	Cambodia	9103	Building Adaptive Capacity through the Scaling-up of Renewable Energy Technologies in Rural Cambodia (S-RET)	5 000 000	Design L Recent
APR	Mongolia	3695	1000004019 SCCF 01	Mongolia Livestock Sector Adaptation Project	1 500 000 Implementation L 03-Feb-11
ESA	Lesotho	4453	2000000855	Adaptation of Small-scale Agriculture Production (ASAP)	4 330 000 Endorsed L 01-May-14
LAC	Ecuador	3717	1000003997 GEF 21	SFM Sustainable Management of Biodiversity and Water Resources in the Ibarra-San Lorenzo Corridor	2 700 000 Implementation M 04-May-11
LAC	Honduras	4657	2000000160 SCCF 05	Competitiveness and Sustainable Rural Development Project in the Northern Zone (Northern Horizons-GEF)	3 000 000 Implementation H 16-May-13
LAC	Mexico	4149	1000004105 GEF 28	SFM Mitigating Climate Change through Sustainable Forest Management and Capacity Building in the Southern States of Mexico (States of Campeche Chiapas and Oaxaca)	5 000 000 Implementation H 18-Oct-11
LAC	Panama	4098	1000004231 GEF 24	Sustainable and Climate-friendly Development in Veraguas Province -Proyecto Participa	1 500 000 Implementation H 13-Feb-12
LAC	Peru	4773	2000000447 2000000447	Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion in Peru	5 354 545 Endorsed M 04-Oct-13
LAC	Peru	3933	1000004219 GEF 22	SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru	1 720 000 Implementation M 21-Jul-11

Data on **Global Environment Facility Projects (GEF)** – provided by ECD May 2015**(GEF) - continued**

BU	Country	Project ID	Project name							Amount approved (US\$)	Project status		
LAC	Venezuela	3963	1000004367	GEF 23	Social Integral Development and its Interrelation with Climate Change in Watersheds in Lara and Falcon States (PDELAFA)	Climate change	GEF 4	GEF	FSP	3 635 000	Implementation	H	27-Sep-12
NEN	Georgia	5147	2000000827		Enhancing Resilience of Agricultural Sector in Georgia (ERASIG)	Climate change	SCCF	SCCF	FSP	5 300 000	Endorsed	L	02-Feb-15
NEN	Jordan	3932	1000004027	GEF 025	Mainstreaming Biodiversity in Silvo-Pastoral and Rangeland Landscapes in the Pockets of Poverty of Jordan	Biodiversity	GEF 4	GEF	MSP	1 000 000	Implementation	M	31-May-11
NEN	Jordan	4036	1000004413	SCCF 03	TT-Pilot (GEF-4) DHRS: Irrigation Technology Pilot Project to face Climate Change Impact	Climate change	SCCF	SCCF	FSP	2 000 000	Implementation	M	25-Apr-12
NEN	Lebanon	7860 825	1000004460	COFIN-AF-1-LB	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon - AgriCAL	Climate change	AF	AF	FSP	7 245 000	Implementation	H	20-Dec-12
NEN	Moldova	4366	2000000452		Climate Resilience Through Conservation Agriculture	Climate change	SCCF	SCCF	FSP	4 260 000	Implementation	L	21-Nov-13
NEN	Morocco	5685	2000000733		Increasing Productivity and Adaptive Capacities in Mountain Areas of Morocco (IPAC-MAM)	Climate change	SCCF	SCCF	FSP	6 510 000	Endorsed	L	14-Apr-15
NEN	Sudan	5651	2000000911		Livestock and Rangeland Resilience Program	Climate change	LDCF	LDCF	FSP	8 526 000	Implementation	L	08-Jan-15
NEN	Sudan	3915	2000000305	GEF 27	Integrated Carbon Sequestration Project in Sudan	Climate change	GEF 5	GEF	FSP	3 650 000	Implementation	M	13-Mar-13
WCA	Chad	5376	2000000926		Project d'amélioration de la résilience des systems Agricoles au Tchad (PARSAT)	Climate change	LDCF	LDCF	FSP	7 305 936	Endorsed	L	15-May-15
WCA	Ghana	4368	1000004203	SCCF 04	Promoting Value Chain Approach to Adaptation in Agriculture	Climate change	SCCF	SCCF	FSP	2 500 000	Implementation	H	27-Feb-12
WCA	Mauritania	3893	1000004060	LDCF 02	Support to the Adaptation of Vulnerable Agricultural Production Systems	Climate change	LDCF	LDCF	FSP	3 500 000	Implementation	H	27-Jul-11
WCA	Sao Tomé and Príncipe	4494	1000004361	GEF 29	Integrated Ecosystem Approach to Biodiversity Mainstreaming and Conservation in the Buffer Zones of the Obo and Príncipe Natural Parks	Biodiversity	GEF 5	GEF	FSP	2 418 182	Implementation	L	10-Sep-12
WCA	Senegal	4234	1000004202	LDCF 03	Climate Change adaptation project in the areas of watershed management and water retention	Climate change	LDCF	LDCF	FSP	5 000 000	Implementation	L	27-Feb-12
WCA	Sierra Leone	3716	1000004059	LDCF 01	Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone	Climate change	LDCF	LDCF	FSP	2 644 800	Implementation	M	04-Feb-11
WCA	Togo	4570	2000000362	2000000362	Adapting Agriculture Production in Togo (ADAPT)	Climate change	LDCF	LDCF	FSP	5 354 546	Implementation	H	10-Oct-13
										100 954 009			

Data on IFAD ENRM Grants retrieved from IFAD Grants and Investment Projects System (consulted 1st December 2015)

(Grants)

BU	Country	Project Id	Project short name	Current Completion Date	Approval Date	Component	Sub component	Sub component type	Financier Type	Financier	Project Type	Project status	Approved amount
ILC	Philippines	2000000371	ILC: NES 1326 CARRD	02/05/2014	30/11/2013	NES 1326 CARRD: NES Philippines Quick Response Fund for relief from land and communications isolation due to Typhoon Yolanda (Haiyan)	NES 1326 CARRD: NES Philippines Quick Response Fund for relief from land and communications isolation due to Typhoon Yolanda (Haiyan)	Land improvement	IFAD	IFAD		Financial closure	20 500
OVP	Italy	2000000880	Conference COP20	30/04/2015	27/11/2014		Policy dialogue on climate change	Climate change adaptation	IFAD	IFAD_OPV		Board/President approved	200 000
PMD	China	2000000529	South South Knowledge	30/09/2016	12/09/2014	Land Improvement	South South knowledge transfer	Land improvement	IFAD	IFAD_PMD	NONE	Available for disbursement	500 000
PMD	Colombia	2000000176	Climate Change	31/10/2017	09/12/2013	land improvement		Land improvement	IFAD	IFAD_PMD	NONE	Available for disbursement	2 000 000
PMD	Italy	2000000526	Agro biodiversity	03/08/2018	01/12/2014	Improved crops, methods, approaches and tools for coping with climate change	Survey stress-tolerant crops and assess their conservation status	Climate change adaptation	IFAD	IFAD_SKM	NONE	Enter into force	1 000 000
PMD	United Arab Emirates	2000000530	Climate Change Impacts	30/09/2016	13/08/2014	Climate Change		Climate change adaptation	IFAD	IFAD_PMD	NONE	Available for disbursement	325 000
PTA	Sri Lanka	2000000119	Invest. in Water for Poverty R	30/06/2017	09/12/2013	Scaling up AWM solutions		Resource mgmt./protection	IFAD	IFAD_SKM	NONE	Available for disbursement	2 000 000
												6 045 500	

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