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Investing in rural people

President's report on a proposed grant under the global/regional grants window to the PRI SMA Foundation for support to the Programme for Rural Regional Dialogue – Central America and Dominican Republic

Note to Executive Board representatives

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For: Approval

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Abbreviations and acronyms

CAC	Central American Agricultural Council
FRM	World Rural Forum
MERCOSUR	Common Market of the South
PDRR	Programme for Rural Regional Dialogue
PRISMA	PRISMA Foundation (Fundación PRISMA [Programa Salvadoreño de Investigación sobre Desarrollo y Medioambiente])
REAF	Commission on Family Farming (MERCOSUR)
RIMISP	Latin American Center for Rural Development
SOE	statement of expenditure

Recommendation for approval

The Executive Board is invited to approve the recommendation for a proposed grant under the global/regional grants window to the PRISMA Foundation for support to the Programme for Rural Regional Dialogue – Central America and Dominican Republic, as contained in paragraph 5.

President's report on a proposed grant under the global/regional grants window to the PRISMA Foundation for support to the Programme for Rural Regional Dialogue – Central America and Dominican Republic

Part I – Introduction

1. This report recommends the provision of an IFAD grant in the amount of US\$1.5 million under the global/regional grants window to the PRISMA Foundation for support to the Programme for Rural Regional Dialogue – Central America and Dominican Republic. The grant proposal document is contained in the annex to this report.
2. The goal of IFAD grants is to significantly broaden and add value to the support provided to smallholder farming and rural transformation, thereby contributing to rural poverty eradication, sustainable agricultural development, and global food security and nutrition. In order to achieve this goal, IFAD grants should adhere to three basic principles: (i) make a significant contribution to a global, regional or national public good related to IFAD's mandate; (ii) focus on interventions where grant financing has clear added value and a comparative advantage over regular loans; and (iii) not be used as a substitute for resources from IFAD's administrative budget.
3. The objectives of IFAD grant financing are to: (i) promote innovative, pro-poor approaches and technologies with the potential to be scaled up for greater impact; (ii) strengthen partners' institutional and policy capacities; (iii) enhance advocacy and policy engagement; and (iv) generate and share knowledge for development impact. Rural poor people and their organizations should constitute the centre of each grant submission to fulfil IFAD's mandate to enable poor rural people to improve their food security and nutrition, raise their incomes and strengthen their resilience.
4. The proposed programme is in line with the goal and objectives of IFAD grant financing, as stated in the IFAD grant policy. The proposed programme aims to support policies and planning processes, at local and national levels, through which the rural population can effectively participate – thus strengthening the organizations and institutions of poor rural people. The proposed programme is also in line with the IFAD strategy under which grants should be used as tools to promote innovative activities to improve opportunities for IFAD target groups, supported by IFAD investment projects. Within IFAD's strategic intervention in support of family farming, the programme helps diversify IFAD support to middle-income countries in Latin America and the Caribbean to increase public and private investment in favour of family farming.

Part II – Recommendation

5. I recommend that the Executive Board approve the proposed grant in terms of the following resolution:

RESOLVED: that the Fund, in order to finance, in part, support to the Programme for Rural Regional Dialogue – Central America and Dominican Republic, shall provide a grant not exceeding one million five hundred thousand United States dollars (US\$1,500,000) to the PRISMA Foundation for a three-year programme, upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

Kanayo F. Nwanze
President

PRI SMA Foundation: Support to the Programme for Rural Regional Dialogue – Central America and Dominican Republic

I. Background

1. In 2007, the professional and social organizations representing small and medium-scale farmers and the indigenous peoples of Central America created a space for dialogue on public policies – the Programme for Rural Regional Dialogue (PDRR) – which benefited from the technical and financial support of IFAD, as well as from the technical support of the Regional Unit for Technical Assistance (RUTA). Since its formation, the overall objective of the PDRR has been to enhance policies related to family farming and rural development in Central America. It has established an official venue allowing farmer and indigenous organizations to discuss policies and regulations with local and national governmental authorities.
2. The PDRR has a layered governance system to address both regional- and national-level issues, and is composed of national committees, and the General Assembly and Board of Directors at the regional level. The PDRR has national partners in most countries of the Central American Integration System (SICA), more specifically in Belize, Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and Panama.
3. Since its creation, the PDRR has established and maintained close dialogue with the Central American Agricultural Council (CAC) by means of hearings – attended by representatives of the organizations involved in the PDRR – and through establishment of a channel for close communication and coordination with SECAC (the executive secretariat of CAC). CAC has acknowledged the PDRR as the main regional venue for dialogue between family farmers and governments in Central America. Moreover, as a further recognition of the relevance of family farming in Central America, CAC has delegated SECAC to design an action plan for family farming jointly with the PDRR.

II. Rationale and relevance to IFAD

4. IFAD has been promoting public policy engagement in Latin America, and particularly policy dialogue on issues related to family farming and rural development, for more than 10 years. At least two successful models for encouraging policy dialogue (and strengthening the institutional capacity of rural organizations) have now emerged in the region. The first aims to facilitate dialogue and policy harmonization at the regional level. This model is best illustrated by the highly successful Commission on Family Farming (REAF) of the Common Market of the South (MERCOSUR), which was created in 2004 with the support of IFAD. REAF aims to discuss and make recommendations on policies, actions and projects related to family farming in MERCOSUR countries. The PDRR has engaged with REAF on several occasions and, as explained below, one aim of the grant is to encourage greater cooperation and lesson learning between the two platforms.
5. In contrast, a second and more recent model, funded by an IFAD grant to the Latin American Center for Rural Development (RIMISP), has focused on promoting dialogue among high-level policymakers and relevant national stakeholders in a number of Latin American countries (Colombia, Ecuador, El Salvador and Mexico). This, too, has yielded a number of discreet successes in encouraging a more-inclusive public policy framework for rural development.
6. While neither of these approaches has been stand-alone (they have been pursued in the context of IFAD's larger lending and grant programme in the region, many elements of which also focus on policy engagement on similar issues), they present

two different models for achieving inclusive policymaking on issues related to family farming and rural development.

7. This grant acts in response to the challenge of creating a system of policy dialogue and engagement suited to the Central American region, where IFAD has not yet worked at the regional level to enhance dialogue on rural development (save the inclusion of El Salvador in the regional Rural Dialogue Group). Thus the current grant allows IFAD to: build on its successful experiences elsewhere in the Latin American region; continue to support a promising network for policy dialogue (the PDRR), consolidating its previous work; combine successful approaches regionally and nationally; and experiment to see which is most likely to succeed in Central America – where there are a number of shared challenges and a need for coordination on policy frameworks.
8. Based on this background, the ability of the PDRR should be strengthened to develop an appropriate system for drafting policy proposals that reflect the interests of the organizations involved – and that will subsequently be agreed on by participating organizations. At the same time, it will be useful to establish a more permanent dialogue and negotiation space for participating organizations at national and regional levels. This would also serve to strengthen existing dialogue and negotiation platforms within the framework of Central American integration processes.

III. The proposed programme

9. The overall goal of the programme is to strengthen the institutional capacity and strategic vision of the PDRR and of organizations working on the topic of family farming in Central America and the Dominican Republic. Within this, it seeks to facilitate or improve spaces for dialogue on national and regional policies focused on rural development and family farming. It will achieve its goal by working at a number of levels, and with diverse actors, drawing on the strengths of three organizations: the PRISMA Foundation (Fundación PRISMA [Programa Salvadoreño de Investigación sobre Desarrollo y Medioambiente]), Oxfam and RIMISP.
10. The programme has multiple objectives related to the strengthening of PDRR institutions and the secretariat itself, as well as enhancing dialogue on relevant policy topics. It will work in the following countries: Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and Panama. Among the current strengths of the PDRR are: its recognition as an important forum for discussing policy on family farming and rural development; the participation of several key national committees representing indigenous and rural peoples; and its norms of practice, which encourage transparency and collaborative decision-making. The grant will instead seek to strengthen the PDRR's capacity to engage with a representative number of organizations across all target countries, improve its internal structure and efficiency, and encourage clarity in the relationships between regional and national policymaking and the related discussions and objectives.
11. The target group comprises member organizations of the PDRR and, indirectly, family farmers in the region who will benefit from an improved policy environment.
12. The three-year programme will achieve its objectives through three main components:
 - (a) Institutional capacity-strengthening for the PDRR and its member organizations. Improve the leadership and strategic vision of the PDRR and its members in order to improve their capacity to influence the cycle of public policies at regional and national levels; and help these actors promote public policies related to family farming at both levels.

- (b) Knowledge management and lesson learning. Create a strategy to capture, analyse and share lessons learned in good practice for policies on family farming and for influencing policies at the national level.
- (c) Consolidation of South-South Cooperation. Create and strengthen opportunities to work with other regional networks, and to learn from them and apply their strategies to the work of the PDRR and its members. The consortium partners should facilitate these exchanges with groups such as REAF, the Committee on World Food Security (CFS) and the World Rural Forum (FRM).

IV. Expected outputs

13. The benefits of engaging with the PDRR are several. First, and most broadly, the advantage of engaging in country- and regional-level policy dialogue is that it helps create enabling conditions in Central America and the Dominican Republic for poor rural people to move out of poverty. While family farmers are not direct beneficiaries of the grant, they are the indirect beneficiaries of the policy work. Second, and more directly, both the PDRR secretariat and the national organizations that belong to the network will be strengthened.
14. The programme is expected to have the following outputs:
 - Creation and implementation of a plan to strengthen the PDRR and its members;
 - Formulation and implementation of regional and national plans for PDRR to influence the policy framework for family farming, as well as the policy cycle;
 - Creation of a monitoring and evaluation system capable of capturing lessons on the policy process and sharing them with regional and national actors;
 - Strengthening of cooperative relationships between the PDRR and other regional policy networks focused on rural development and family farming.

V. Implementation arrangements

15. The PRISMA Foundation will implement the programme in partnership with Oxfam and RIMISP. The Foundation will establish subgrant agreements with these partners.
16. Since its founding, the PRISMA Foundation has worked in policy-related research and in promoting dialogue on public policies focused on rural development and the environment in El Salvador and at the regional level. It has an important network of allies in each country of the region and has its regional headquarters in El Salvador. The Foundation has published more than 190 publications on rural development, climate change and family farming. It also participates in regional and national policy dialogue forums such as the Regional Advocacy Group for Family Farming and Territorial Development, which forms part of the Rural Dialogue of Central America and the Andean Region. An important element of its work is facilitating the implementation of policies and projects.
17. Oxfam America offers extensive experience with methodologies and tools designed to enhance actors' capacity to engage in policy and achieve policy outcomes. Its focus is on land, rural women's empowerment, food security and helping family farmers adapt to climate change, many of which are key themes for this proposal. Working with its counterparts and offices across the region, it has recently elaborated a diagnostic programme and strategy for drought in the Central American region.
18. RIMISP works to create institutional, economic and social change focused on making Latin America a more prosperous, just and sustainable region. Under this grant, it will contribute its experience in promoting, monitoring and evaluating public policy dialogue and engagement.

19. The programme will be overseen by a steering committee composed of representatives of the three organizations, as well as two representatives of the board of the PDRR. Additionally, the programme will have a programme coordinator supported by the technical adviser and the financial and administrative officer of PDRR.
20. The recipient will submit semi-annual unaudited statements of expenditure (SOEs) to IFAD. It will ensure that the entire implementation period is covered by audit through submission of separate audit opinion letters on SOEs submitted to IFAD, duly completed by independent auditors. Both SOEs and audit reports should be programme-wide and consolidate expenditures incurred by the recipient and implementing partners, if any. However, the recipient will remain solely and ultimately responsible for management of grant funds and financial reporting to IFAD. In addition, it will have its institutional accounts audited annually by independent auditors in accordance with international audit standards, and will deliver a copy of its audited financial statements to IFAD, inclusive of a reference to the IFAD grant, within six months of the end of each fiscal year.

VI. Indicative programme costs and financing

21. The total cost of the programme is US\$1,796,336. IFAD's contribution amounts to US\$1,500,000 (84 per cent of the total cost). Partner organizations (PRISMA Foundation, Oxfam and RIMISP) will contribute with US\$296,336 (16 per cent of the total cost).

Table 1
Costs by component and financier
(Thousands of United States dollars)

<i>Components</i>	<i>IFAD</i>	<i>Cofinanciers</i>	<i>Total</i>
1. Institutional capacity-strengthening for the PDRR and its member organizations	993	196	1 189
2. Knowledge management and lesson learning	419	83	502
3. Consolidation of South-South Cooperation	88	17	105
Total	1 500	296	1 796

Table 2
Costs by expenditure category and financier
(Thousands of United States dollars)

<i>Expenditure category</i>	<i>IFAD</i>	<i>Cofinanciers</i>	<i>Total</i>
1. Salaries and allowances	120	170	290
2. Consultancies	733	50	783
3. Goods, services and inputs	31	48	79
4. Workshops	422	-	422
5. Training	52	-	52
6. Travel and allowances	33	6	39
7. Overheads	109	22	131
Total	1 500	296	1 796

Results-based logical framework

Descripción resumida	Indicadores	Medios de verificación	Supuestos
Objetivo general del proyecto			
Fortalecer la estructura organizativa y la capacidad de incidencia del PDRR y las organizaciones relacionadas con la Agricultura Familiar (AF) Centroamérica y República Dominicana en espacios de diálogo de políticas públicas regionales y nacionales.	Al finalizar el Programa: <ul style="list-style-type: none"> El PDRR se convierte en referente en temas de agricultura familiar frente a tomadores de decisión sobre la formación de políticas públicas tanto al nivel nacional como regional 	<ul style="list-style-type: none"> El PDRR está presente en las memorias de las reuniones de CAC y otros organismos nacionales y regionales vinculados con la agricultura familiar. Documentos de propuestas de instrumento de política pública favorables a la AF. Sistema de Monitoreo, Evaluación y Aprendizaje (MEL) 	<ul style="list-style-type: none"> Prioridades de los gobiernos en favor de la AF se mantienen
Resultados esperados			
R.1a Las capacidades institucionales (técnicas y de funcionamiento), de liderazgo y visión estratégica del PDRR, los Espacios Nacionales y otros actores de la AF se han fortalecido permitiéndoles influir a nivel nacional y de SICA en el diálogo y capacidad propositiva en el ciclo de las de políticas públicas en AF	Mecanismos e instrumentos del PDRR/Espacios Nacionales fortalecidos de acuerdo con Protocolos ^{1/} desarrollados para influir en el ciclo de las políticas públicas en el marco del proyecto para el III trimestre del II año del proyecto <ul style="list-style-type: none"> Una línea de base y análisis situacional sobre capacidad institucional, liderazgo, visión estratégica terminada Formulación e implementación del Plan de Fortalecimiento de PDRR y el PDRR incorpora a nuevas organización en su membresía^{2/} Formulación e implementación del Plan de Capacitación en incidencia, liderazgo y visión estratégica para la membresía del PDRR/Espacios Nacionales y otros actores^{3/} Formulación del Plan Regional de influencia en el ciclo de políticas públicas del PDRR y la formulación y acompañamiento participativo de los Planes Nacionales de Incidencia en AF^{4/} 	<ul style="list-style-type: none"> Evaluación institucional de desempeño del PDRR, la Secretaría Ejecutiva del PDRR y los Espacios Nacionales Informe de línea base, Documentos del Planes y actas de entrega de documentos, Bitácoras de asistencia a las capacitaciones, Comprobantes administrativos, Fotos y videos de talleres 	<ul style="list-style-type: none"> Protocolo se refiere a los mecanismos mejorados (técnicos, funcionamiento, visión estratégica, representatividad, participación, transparencia, revisión de cuentas, metodologías de incidencia, planificación, organización, capacidad propositiva entre otras) que son formuladas para la mejora de incidencia del PDRR/Secretaría ante el CAC y otros actores relevantes.
R.1b El PDRR/Espacios Nacionales y otros actores promueven el diálogo de políticas públicas en AF a nivel nacional y regional	Las iniciativas de diálogo de políticas públicas a nivel regional y nacional incidieron en la aplicación de Buenas Prácticas en AF en la membresía del PDRR/Espacios Nacionales/otros actores para el III trimestre del III año de proyecto <ul style="list-style-type: none"> 2 reuniones anuales del PDRR con el CAC asistidas^{5/} 3 Asambleas regionales del PDRR facilitadas y 36 asambleas de los Comités Nacionales asistidos^{6/} Representantes del PDRR participan en 3 espacios de diálogo de la AF a nivel internacional 	<ul style="list-style-type: none"> Informe de Evaluación de BP en AF en la membresía de PDRR/Espacios Nacionales y otros actores Memorias de reuniones y bitácoras de asistencia, Comprobantes administrativos, Fotos y videos de reuniones 	<ul style="list-style-type: none"> La membresía del PDRR/Espacios Nacionales/otros actores están dispuestos a la adopción de BP Existe voluntad política del sector gubernamental y privado de apoyar la promoción e implementación de BP en AF a nivel nacional y región. Hay interés de la cooperación internacional y gubernamental de apoyar con recursos técnicos y financieros para la implementación de iniciativas de BP

¹ Protocolo se refiere a los mecanismos mejorados (técnicos, funcionamiento, visión estratégica, representatividad, participación, transparencia, revisión de cuentas, metodologías de incidencia, planificación, organización, capacidad propositiva entre otras) que son formuladas para la mejora de incidencia del PDRR/Secretaría ante el CAC y otros actores relevantes.

² 8 organizaciones nuevas de AF afiliadas al PDRR (una por país)

³ 100 mujeres, 50 hombres y 50 jóvenes (de ambos sexos) capacitadas ocupan puestos de toma de decisión en el PDRR/Espacios Nacionales/otros actores

⁴ 1 Plan Regional implementado y 8 Planes Nacionales de incidencia en AF implementados

⁵ 6 reuniones implementadas entre PDRR-CAC

⁶ 100% de las asambleas regionales del PDRR fueron facilitadas por PRISMA, implementadas durante el II trimestre de cada año del proyecto; 75% de las asambleas de los Comités Nacionales implementadas para el IV trimestre del III año de proyecto

Descripción resumida	Indicadores	Medios de verificación	Supuestos
<p>R.2 El PDRR/Espacios Nacionales y los actores de la AF promueven a nivel nacional y regional, las lecciones aprendidas sobre políticas públicas y la estrategia de influencia en el sector agrícola que han generado las buenas prácticas del dialogo e incidencia política</p>	<p>Mecanismos implementados por PDRR/Espacios Nacionales/otros actores, para la promoción de lecciones aprendidas y buenas prácticas en aplicación de políticas públicas en el sector de AF para el IV trimestre del II año del proyecto</p> <ul style="list-style-type: none"> ▪ Una estrategia de gestión del conocimiento y comunicación desarrollada e implementada^{7/} ▪ Un sistema de seguimiento y evaluación de diálogo de políticas desarrollada e implementada ▪ Asesoría especializada de alto nivel para la incidencia en el desarrollo de políticas públicas en AF a nivel regional y nacional^{8/} ▪ Elaboración de propuestas de políticas públicas favorables a la AF lideradas por el PDRR/Espacios Nacionales en conjunto con otros actores^{9/} ▪ Implementación y difusión de 6 investigaciones / estudios relacionadas al tema de AF a solicitud del PDRR en función de sus prioridades ▪ 10 auto reflexión locales que rescatan los saberes y procesos de las organizaciones sobre la AF realizadas para empoderamiento y autoestima interna 	<ul style="list-style-type: none"> ▪ Informe de Evaluación intermedia y final del proyecto ▪ Documentos (de la Estrategia, Sistema de Seguimiento y Evaluación, y Publicaciones), Actas de entrega de documentos, Comprobantes administrativos, Fotos y videos de talleres y casos de auto reflexión 	<ul style="list-style-type: none"> ▪ La membresía del PDRR/Espacios Nacionales/otros actores logran identificar y capitalizar las BP para la incidencia en políticas públicas ▪ Existe voluntad política del sector gubernamental y privado de apoyar la incidencia de las BP en AF a nivel nacional y región para la formulación de propuestas que mejore el impacto de las acciones en AF para las poblaciones en pobreza y extrema pobreza.
<p>R.3 El PDRR consolida alianzas de cooperación (Sur-Sur y otras) con redes/plataformas de AF</p>	<p>Al menos dos convenios de cooperación (REAF, FRM, CELAC, otras) para el PDRR negociados y firmados</p> <ul style="list-style-type: none"> ▪ Un documento diagnóstico de las plataformas de diálogo rural existentes en la región desarrollada ▪ Un seminario/taller de trabajo con participación del PDRR, representantes de organizaciones participantes del REAF, CFS el FRM y otros potenciales espacios de diálogo facilitado. ▪ Representantes del PDRR participan en al menos 2 actividades internas de la REAF, el FRM, CELAC y/u otro espacio regional de diálogo. ▪ Elaboradas rutas críticas para la implementación de los convenios establecidos y actividades facilitadas de formación e intercambio derivadas de dichos convenios 	<ul style="list-style-type: none"> ▪ Informes de cumplimientos de acuerdos de convenios de cooperación ▪ Documentos (de diagnóstico, convenios, Rutas Críticas), Actas de entrega de documentos, Comprobantes administrativos, Fotos y videos de actividades 	<ul style="list-style-type: none"> ▪ Diálogo internacional sobre AF se mantiene activo

⁷ Incluye el diseño y asistencia técnica a la implementación del sistema de Monitoreo, Evaluación y Aprendizaje (MEL) para la membresía del PDRR; el diseño y mejora del sitio web, Información en los sitios Web de las organizaciones del PDRR y de las organizaciones del Consorcio y medios masivos de comunicación sobre resultados de estudios y del proyecto divulgada

⁸ Incluye análisis de los procesos de diálogo de políticas específicas y recomendaciones para futuros pasos y procesos de diálogo

⁹ 6 propuestas de políticas públicas favorables a la AF formuladas