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Investing in rural people

President's Report on a Proposed Grant under the Global Window to HELVETAS Swiss Intercooperation for the Development of Self-Assessment Tools of In-Country Results-Based Management Capacity in Agriculture

For: Approval

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Recommendation for approval

The Executive Board is invited to approve the recommendation for the proposed grant as contained in paragraph 19.

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I. Background and compliance with IFAD Policy for Grant Financing

1. In the global efforts towards 2030 Agenda for Sustainable Development and achieving the 17 Sustainable Development Goals (SDGs), the development community agreed with governments on 230 indicators to actualize these goals. The opportunities and challenges for the global community are immense, and IFAD is strategically positioned, given its specialized mandate, to promote rural transformation through smallholder agriculture. The universal challenge is to be able to track and measure progress, and to produce evidence to support decision-making in achieving the SDGs. A second challenge is monitoring against the SDGs, as there is a lack of in-country monitoring and evaluation (M&E) capacity to do so effectively. In this regard, capacities in IFAD's recipient countries need improvement to be able to report on progress and achievements.

2. Without adequate in-country M&E capacities and systems in place, achieving and tracking development outcomes is challenging. Recognizing this limitation, most efforts to date, both by IFAD and other development partners, have focused on increasing the internal capacities of their own institutions and the M&E activities of their projects. There are currently no systematic efforts (or standardized tools) to measure client capacities for results-based management in agriculture. Thus it is difficult to understand which capacities are in place, where the gaps are, how to measure progress, and how to build on and strengthen what exists to achieve sustainable development.

3. The proposed programme is in line with the goal and objectives of the IFAD Policy on Grant Financing (2015)[1] and IFAD strategic guidance for grant funding (2016). More specifically, with priority area III – Better results measurement through improved M&E systems: impact assessment initiatives at the global/regional level; and closing data gaps and strengthening country/regional capacities for collection and management of improved data on IFAD-relevant issues.

4. This grant proposes to adapt an existing tool (the Managing for Development Results Capacity Scan [CAP-Scan]) to the rural sector (as AG-Scan) to assess in-country M&E systems and capacities and identify limitations. This is the first step towards strengthening in-country M&E systems and capacities by studying and analysing where shortcomings exist and then working towards filling those gaps. The self-assessment exercise proposed under this grant will better position governments, donors and international financial institutions (IFIs) to develop M&E operational plans that support, leverage and complement existing in-country M&E systems. It will also provide a gauge to measure the progress countries make in improving M&E systems and capacities over time. The participatory nature of the

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[1] See EB 2015/114/R.2/Rev.1.

grant activities will signal the importance of M&E to IFAD's clients in achieving and demonstrating better development results.

5. In June 2017 IFAD adopted a new business model that embraces the priority of strengthening not just IFAD's own capacity to better manage results, but also that of its Member States. This new model calls for a change in mindset to embrace the SDGs with determination – regularly reassessing old assumptions. Building country-level M&E capacities is also a commitment stated in the document prepared for the Consultation on the Eleventh Replenishment of IFAD's Resources (IFAD11).

6. The present grant, and its strong knowledge management component, will enable informed decision-making on the policy level as well in the design of new results-based country strategic opportunities programmes (RB-COSOPs). The action plans generated during the assessment exercise will provide a clear entry point for IFAD country programme managers (CPMs) to engage with government officials. The grant will also feed into the development of new policies and programmes. A joint strategy to better link the design of new projects with their M&E plans and elaborated action plans will open the door, in turn, to linking the strategy with resource and budget allocations by future IFAD interventions, other donors, other IFIs and governments themselves.

7. This grant is also complementary to IFAD's ongoing initiative – through the Centers for Learning on Evaluation and Results (CLEAR) – to systematically train project/programme staff under a rural-development-focused certification framework. While the CLEAR initiative is working specifically on human resource development, this grant targets the institutional dimension by developing a tool that identifies existing institutional gaps in M&E systems and capacities.

II. The proposed programme

8. The overall goal of the programme is to contribute to evidence-based design and implementation of policies and programmes by improving the measurability of progress towards SDG targets related to agriculture. The objective is to enhance knowledge of the shortcomings of and solutions for better results-based management and to foster implementation of concrete and resourced action plans to improve measuring, analysing, managing and communicating results on SDG targets in the agriculture sector.

9. The target group will be composed of ministries of agriculture and related ministries (e.g. development and planning) of up to 20 IFAD borrowing countries. These ministries have an ongoing interest in measuring SDG-related results, and in using those results to improve planning and implementation, particularly regarding poverty and food security, as well as other priority SDGs. They also have an interest in learning from each other and from global dialogue on improving the tracking of SDG-related indicators. As such, they will increasingly be able to learn from the AG-Scans conducted in other countries and the ensuing exchanges on these.

10. The programme will be implemented over three years and will have the following components:

-   Component 1. Undertaking AG-Scan assessments – including adapting the CAP-Scan tool to the agriculture sector and facilitating country self-assessments/action planning. Up to six countries will be identified in the inception phase to participate in pilot AG-Scans in year 1. For years 2 and 3, the remaining countries will be identified after an assessment of the pilot. This phased approach includes a reassessment of the level of ownership, donor involvement, policy engagement and effectiveness of established partnerships.

-   Component 2. Knowledge processes, products and engagement, including a range of dialogues in various national, regional and global contexts, which

lead to enhanced learning, production of interim publications, a revised AG-Scan tool adapted to the agriculture sector, and a flagship publication to be launched at a knowledge event in the last year of the grant.

- Component 3. Administration, coordination and operating costs.

III. Expected outcomes/outputs

11. The first expected outcome will lead to more systematic and holistic government-led reforms (and coherent support from development partners, in particular IFAD) to strengthen results-based management in the agriculture sector in selected countries. The following outputs comprise this component:

- CAP-Scan methodology adapted to agriculture sector;

- AG-Scans customized for each country to assess country readiness with regard to the principles of managing for development results;

- Action plans to improve results-based management in the agriculture sector in up to 20 countries supported by IFAD. Action plans can themselves be supported by IFAD country strategies.

12. The second outcome will result in increased awareness and engagement (scaling up) at the global level among the various development actors engaged in dialogue and action in improving SDG-related M&E capacities. The expected outputs are:

- Set of interim publications (leaflets, case studies, synthesis reports) built on results and discussions of in-country AG-Scan exercises that will feed into refinement of the AG-Scan tool and the flagship publication;

- Flagship publication on the status of M&E in the agriculture sector and the setting of realistic and workable M&E standards with the involvement of donors (in coordination with lessons learned through the CLEAR grant);

- Knowledge event to launch the flagship publication and the revised CAP-Scan tool.

13. Once action plans have been developed at the ministerial level, IFAD's RB-COSOPs will identify specific areas of support from these action plans and allocate lending and non-lending resources to these ends. Specific IFAD-supported lending operations in these countries will align with these plans and, to the extent possible, make use of country M&E approaches as opposed to creating parallel requirements. Other donors supporting rural development activities will be invited to contribute project/programme resources allocated to M&E to finance specific activities in the action plans. Finally, governments of countries in which AG-Scans are implemented will also cofinance activities.

IV. Implementation arrangements

14. The recipient of the grant is HELVETAS Swiss Intercooperation, which was selected through an open competitive process. To ensure smooth coordination, a core team will be created composed of representatives of HELVETAS (the recipient) and of the consultancy company Itad. Itad consultants will serve as advisors to the core team and provide specific technical service. The team constitutes a foundation for both implementation and management. It will be supported by a pool of experts drawn from the two organizations' respective networks of staff, associates and partners.

15. The core team will provide programme management and conceptual guidance, and will be: principal authors of the adapted AG-Scan tool and the flagship publication; designers of the approach to supporting knowledge processes, publications and engagement more broadly; and facilitators of AG-Scan exercises in a significant number of selected countries.

16. There are no deviations from the standard procedures for financial reporting and audits.

V. Indicative programme costs and financing

17. The total programme cost is estimated at US$3,452,000, as detailed in tables 1 and 2. IFAD will finance US$3,200,000 (92.1 per cent) and the proposed recipient a total of US$252,000 (7.9 per cent), of which half in cash and half in kind.

18. In-kind contributions will be provided in the form of expert workdays. In addition, it is foreseen that additional funds will be mobilized throughout the programme life cycle by the strong involvement of other donors before conducting AG-Scans. These additional funds will facilitate capacity development in the use of the AG-Scan tool, itself, as well as in implementation of AG-Scans in various countries.

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

Components	IFAD	Cofinancing	Total
1. Component 1. AG-Scans	1 186	63	1 249
2. Component 2. Knowledge products	714	63	777
3. Component 3. Administration, coordination and operating costs	1 300	126	1 426
Total	**3 200**	**252**	**3 452**

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

Expenditure category	IFAD	Cofinancing	Total
1. Goods, services and inputs	248		248
2. Salaries and allowances	954	126	1 080
3. Consultancies	1 200	126	1 326
4. Workshop expenses	113		113
5. Travel and allowances	314		314
6. Operating costs	134		134
7. Overhead	237		237
Total	**3 200**	**252**	**3 452**

VI. Recommendation

19. 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, the Development of Self-Assessment Tools of In-Country Results-Based Management Capacity in Agriculture, shall provide a grant of three million two hundred thousand United States dollars (US$3,200,000) to HELVETAS Swiss Intercooperation 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.

Gilbert F. Houngbo
President

Results-based logical framework

	Objectives hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
Goal	To contribute to evidence-based design and implementation of policies and programmes by improving the measurability of the progress towards SDG targets related to agriculture.	• Increased share of SDG Indicators that are reported annually / with increased frequency • Increased number of countries reporting annually or with increased frequency on agriculture-related SDG indicators	• Country reporting to UN SDGs FAO indicators *	• IFAD is successful in supporting the implementation of the Action Plans.
Objectives	To enhance the knowledge about the shortcomings of and solutions for better results-based management and to foster the engagement in implementing concrete and resourced action plans to improve measuring, analysing, managing and communicating results on SDG-targets in the agriculture sector.	• Min. 12 countries (2 not selected for the Grant) design action plans with AG-Scans • At least 10 countries show clear evidence (budget, responsibilities) of implementing action plans designed by AG-Scans • In 10 countries at least 1 more development partner supports the strengthening of results-based management in agriculture	• IFAD project Reports; • Exchanges online and in F2F for a • M&E systems • Requests for AG-Scan services • IFAD agricultural project design documents	• Ministry staff take ownership for the methodology • IFAD country teams are actively engaged from the onset of the grant and promote/make use of its results beyond its duration.
Outcomes/ Outputs	**Outcome 1. Strengthened capacity of national M&E units in designing and engaging in the implementation of concrete and resourced action plans with clear responsibilities for improving data quality, collection methods, analysis and results-based management in the agriculture sector.** *Output 1.1:CAP-Scan methodology adapted to agriculture sector / Output 1.2. AG-Scans customised to each country to assess country readiness / Output 1.3. Action plans to improve results-based management in the agriculture sector in 20 countries and supported by IFAD country strategies* **Outcome 2. Increased knowledge about the shortcomings of results-based management and escalation of the application of knowledge products for improving monitoring of agriculture-related SDG-indicators.** *Output 2.1. A set of interim publications (leaflets, case studies, synthesis reports) that will be built on results and discussions of AG-Scan exercises in country / Output 2.2. Flagship publication on the status of M&E in the agriculture sector, and the setting of realistic and workable M&E standards and donor support. / Output 2.3. Holding of Knowledge Event to launch Flagship publication (including revised AG-Scan tool)*	• 20 countries participated in the Capacity Self-assessment & designed action plans • Inception Phase: 6 countries with AG-Scans with reviews on ownership, policy engagement & donor involvement • Agricultural Ministries of at least 10 countries show evidence of implementing the action plans based on the AG-Scans (responsibilities, budget) • M&E units of at least 10 of the selected countries include new knowledge products (methods, tools) for SDG indicator measurement • Implementation of AG-Scans in 5 countries that were not selected/supported by the Grant • 200 staff of IFAD clients have participated in the AG-Scan process and exchanging in different (online) fora 60% of participants of at least 5 regional or global (f2f or online) events in addition to the Global Engagement Forums state the usefulness of shared knowledge products and commit to their application	• Budgets/reporting of the Agricultural Ministries • MOU(s) between Ministries of Agriculture and other development partners • Monitoring of the MfDR M&E landscape • AG-Scan methodology • AG-Scan tools validated by IFAD and selected country representatives. • Minutes of action plan finalisation meeting • Interim publications • Documentation of learning loops, i.e. key recommendations for 2nd and 3rd round of AG-Scan exercises • Proceedings of the conference, media reports, list of participants	• CLEAR Initiative and IFAD Country Programmes will support action plan implementation • The Government Coordinating Person (GCP) are of sufficient stature within the ministry where AG-Scan takes place to be able to facilitate real engagement of colleagues at various levels • 20 countries meet the selection criteria and are interested to participate in the process • The Outreach and Communications Strategy is successful in engaging a core group of actors at various levels • Other key development partners in the rural sector can be attracted to make the analysis broader and more compelling, and to increase the influence of the Flagship Publication.

* As per http://www.fao.org/ 3/a-i5499e.pdf.

	Objectives hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
Key activities by component	**Component 1:** • Adaptation workshop with primary stakeholders • Adaptation of Cap-Scan tool to agriculture sector • Validation of AG-Scan tool with IFAD counterparts • Engagement in identification of target countries • Data collection & write up – Key stakeholder interviews (Govt, think tanks, CSO's, GCP) • Pre-workshop planning and logistics • Customisation of Cap-Scan tool • Facilitation of AG-Scan workshops • Refine Action Plan, produce draft Action Plan Action Plan finalisation with GCP and IFAD Country Director	• Adaptation workshop is held with at least 4 key stakeholders • 20 target countries identified • All 20 Data sets/write ups take into account perspectives from government officials and other key stakeholders. • Self-assessment workshops undertaken in 20 countries (6 in yr1, 10 in yr 2 ; 4 in yr 3)	• Adaptation workshop report • Memo on country selection • Country data sets/write-ups • Self-assessment workshop reports	IFAD counterparts in AG-Scan countries will help to ensure appropriate linkages are made between AG-Scan Facilitators and relevant ministries
	Component 2: • Exchange on/incorporation of AG- Scan results • Participation in Global Engagement Forums (GEFs) • Production of knowledge products for GEFs • Planning and Facilitation of online forums for Global Engagement • Annual synthesis reporting (from AG-Scans and GEFs) • Flagship report creation (incl. case studies, lessons, recommendations, refined AG-Scan tool, M&E standards) • Knowledge Product QM • Flagship publication QM • Conceptualisation of Knowledge Event • Outreach to potential event partners (international and national levels) • Creation of communications strategy & event communication product • Logistics/participant liaison Facilitation/reporting	• 2 annual synthesis reports aggregating results and lessons from the different countries • At least 3 external reviewers involved in flagship publication • Global conference bringing together representatives of all partner countries and more than 30 development partners • Methodology of conference developed allowing for in depth reflection and discussion on key elements of the flagship report Communication strategy developed	• Research pieces, case studies, policy/technical guidance notes • Blogs, vlogs and pod casts • Engagement reports from online fora • Annual synthesis and flagship report(s) • Appearance in mass media Workshop session guidelines	The grant can collaborate with an existing on line learning platform (e.g. World Bank Global Delivery Initiative) and does not have to develop yet another stand-alone platform