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Independent Office of Evaluation

2021 ARRI

2021 ANNUAL REPORT ON RESULTS AND IMPACT OF IFAD OPERATIONS

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2021 ARRI

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Abbreviations and acronyms

ABC	Agri-Business Capital Fund
AfDB	African Development Bank
AsDB	Asian Development Bank
APR	Asia and the Pacific Division (IFAD)
ARRI	Annual Report on Results and Impact of IFAD Operations
ASRP	Agriculture Sector Rehabilitation Project (Liberia)
BIRDP	Butana Integrated Rural Development Project (Sudan)
COSOP	country strategic opportunities programme
CSPE	country strategy and programme evaluation
ENRM	environment and natural resources management
ESA	East and Southern Africa Division (IFAD)
ICO	IFAD Country Office
IE	impact evaluation
IFAD12	Twelfth Replenishment of IFAD's Resources
IOE	Independent Office of Evaluation of IFAD
KM	knowledge management
LAC	Latin America and the Caribbean Division (IFAD)
M&E	monitoring and evaluation
NEN	Near East, North Africa and Europe Division (IFAD)
PCR	project completion report
PCRV	project completion report validation
PPE	project performance evaluation
PREVES	Project to Revitalize Crop and Livestock Production in the Savannah (Central African Republic)
PROHYPA	Pastoral Water and Resource Management Project in Sahelian Areas (Chad)
PROPACOM	Support to Agricultural Production and Marketing Project (Côte d'Ivoire)
RCPRP	Rehabilitation and Community-Based Poverty Reduction Project (Sierra Leone)
RFP	Rural Finance Project (The Gambia)
STCRSP	Smallholder Tree Crop Revitalization Support Project (Liberia)
WCA	West and Central Africa Division (IFAD)
WSRMP	Western Sudan Resources Management Programme (Sudan)

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Foreword

It is my pleasure to present the 19th edition of the Annual Report on Results and Impact of IFAD Operations (ARRI). The report tracks and presents results of IFAD operations on a range of evaluation criteria, which together indicate the overall performance of the organization. The results presented in this report are drawn from 298 project-level evaluations, for the projects completed in the period 2007-2019, and 58 Country Strategy and Programme Evaluations undertaken and finalized between 2007 and 2020. This year's report also presents learning-oriented discussions informed by independent evaluations on two important themes: project efficiency and operations in countries with fragile situations.

The results for the recent project-level assessments indicate that over 75 per cent of the projects completed between 2017 and 2019 were rated 4/6 (moderately satisfactory) or above (on a 1-6 point scale, with 1 being highly unsatisfactory and 6 highly satisfactory), for 9 out of the 13 evaluation criteria used. On the remaining 4 criteria – efficiency, government performance, sustainability of benefits and scaling up – it was found that less than 75 per cent of the projects were rated 4 or above.

With regard to a long-term performance trend, the assessment found steady improvement in two of the criteria: environment and natural resource management and adaptation to climate change. On the other hand, there was little improvement or decline in other areas including IFAD performance and rural poverty impact.

The time series data indicate that project performance on efficiency shows improvement but this evaluation criterion continues to be the worst performing, with 56 per cent of the projects completed between 2017 and 2019 receiving a score of 4 (moderately satisfactory) or above. The main factors contributing to the weak performance in efficiency were found to include delays in procurement and in recruitment, high staff turnover and limited staff expertise and capacity. Cost drivers were also shown to affect project efficiency, including cost underestimation at design as well as high costs of administration. This analysis underlined the need for more effective monitoring of implementation progress and more timely follow-up to ensure greater efficiency in ongoing projects. Furthermore, project design needs to be informed by more in-depth analysis and learning from experience, taking into account contextual issues to achieve better integration and efficiency.

The most recent country strategy and programme evaluations showed some improvements in performance on knowledge management, partnership building and in-country policy engagement. However, a lack of adequate human and financial resources affected the sustainability of these efforts.

As anticipated, operations in countries with fragile situations were found to have lower average project performance ratings than other countries over the long term. However, there was evidence of an improvement in performance in more recent periods.

The ARRI identified IFAD's valuable operational experience in working in contexts of fragility. For example, providing support to inclusive natural resource governance helped to address the drivers of fragility linked to natural resources-related conflicts. This was despite the recurring challenges of inadequate context analysis, which means that going forward, IFAD will require solid strategies informed by dedicated conflict and fragility analysis to address both the drivers and consequences of fragility.

As discussed during the Consultation on the Twelfth Replenishment of IFAD's Resources (IFAD12), IFAD aims to shift its business model towards "a more comprehensive financial, policy-oriented and programmatic package that fosters systemic change for rural people". This report should stimulate further discussions on how IFAD can best strengthen its development effectiveness to contribute to the Sustainable Development Goals. The ARRI will mark its 20th anniversary in 2022. While maintaining its key features, IOE will explore ways to boost the ARRI's content and analyses to further advance its utility and outreach.



Indran A. Naidoo

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Nigeria

A female farmer in Benue State with her rice crop. In Nigeria, IFAD supported rice smallholder farmers through a value chain approach, to enhance productivity, promote agro-processing and increase access to markets.

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Executive summary

Introduction

1. This is the 19th edition of the Annual Report on Results and Impact of IFAD Operations (ARRI) prepared by the Independent Office of Evaluation of IFAD (IOE). The ARRI presents a synthesis of the performance of IFAD-supported operations based on evaluations conducted by IOE and highlights cross-cutting issues and lessons learned with the aim of enhancing IFAD's development effectiveness. The purpose of the ARRI is to ensure accountability for results and to promote self-reflection and learning within IFAD by offering selected analyses of evaluative evidence.
2. **2021 ARRI main contents.** In line with previous editions, the 2021 ARRI includes the core sections analysing the historical performance ratings of project-level evaluations (project performance evaluations [PPEs], impact evaluations and project completion report validations [PCRVs]) and the findings from country strategy and programme evaluations (CSPEs). In addition, this ARRI presents learning-oriented discussions on two themes: (i) factors affecting project efficiency, given that this criterion has consistently been marked by poor performance compared with other evaluation criteria; and (ii) performance of operations in countries with fragile situations, reflecting the interest of the IFAD Executive Board and IFAD Management in this area and the focus on it in the Twelfth Replenishment of IFAD's Resources (IFAD12).¹
3. **Methodology.** The main sources of data for the analyses included in the ARRI are project-level evaluations and CSPEs conducted by

IOE. Other evaluation products, such as evaluation syntheses, are reflected where relevant. Performance ratings (on a scale of 1 to 6)² assigned by IOE in project-level evaluations and CSPEs are used for quantitative analyses. As in the past, the analysis of project performance ratings is presented by year of project completion. A three-year moving average of ratings is used to smoothen inter-annual variations. Where relevant, a mix of descriptive and inferential statistics were used.

4. Except for the historical performance rating analysis, the section on non-lending activities draws on the most recent CSPEs (for Morocco, Niger, Sudan and Uganda). As for the qualitative analysis of project performance in terms of efficiency, a set of common recurring factors was identified, based on a review of evaluations; relevant findings in those evaluations (factors positively or negatively influencing efficiency) were then extracted and synthesized. For the qualitative analysis of operations in fragile contexts, a set of guiding questions was used.

Project portfolio performance

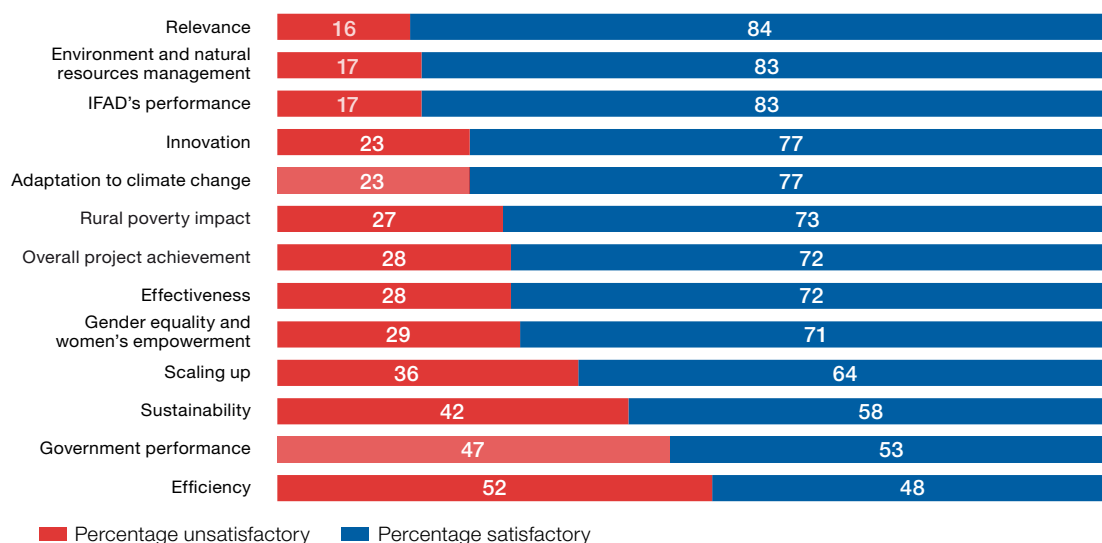
5. **Over the last three-year period (2017-2019), the majority of performance ratings were above 4 on a scale of 1 to 6, which is equivalent to a rating of moderately satisfactory or better.** The share of projects rated moderately satisfactory or above ranges from 56 per cent for efficiency to 87 per cent for innovation. For overall project achievement (informed by the assessment of all criteria except for IFAD and government

¹ IFAD12 includes a commitment to improve IFAD's focus on addressing the drivers of fragility and to allocate at least 25 per cent of core resources to countries in fragile situations.

² Rating is on a scale of 1 to 6 as follows:
1=highly unsatisfactory,
2=unsatisfactory,
3=moderately unsatisfactory,
4=moderately satisfactory,
5=satisfactory,
6=highly satisfactory.

Chart A **Ranking of all criteria by share of overall satisfactory ratings**

Percentage of projects with overall satisfactory/unsatisfactory ratings, 2016-2018



Source: IOE evaluation database (PCR/V/PPE), February 2021.

performance), 76 per cent of projects had ratings of moderately satisfactory or above (chart A).

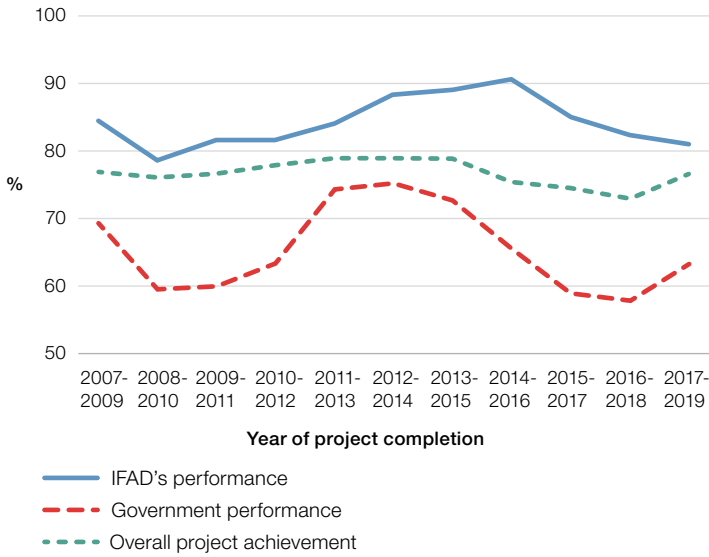
6. **Project performance against various evaluation criteria since 2007 shows uneven patterns and trends.** Chart B below shows the share of projects rated moderately satisfactory or better since 2007 for the following criteria: overall project achievement, IFAD performance and government performance. The chart shows fluctuation in government performance, with some signs of improvement during the latest period, breaking the declining trend noted since the 2012–2014 period. In contrast, IFAD performance has shown a declining trend since a peak between 2014 and 2016 when 90 per cent of the projects completed during that period were rated moderately satisfactory or better. There has been little movement in overall project achievement over the period.
7. Charts C to E present the data for other evaluation criteria, grouped by long-term trends since 2007. Two criteria (environment and natural resources management [ENRM] and climate change adaptation) show a

positive change, which is statistically significant with a low level of confidence (chart C). Four criteria show continued improvement in the last three consecutive periods (2015-2017, 2016-2018 and 2017-2019): efficiency, sustainability of benefits, innovation and scaling up (chart D). Some other criteria show no observable positive improvement in performance or a slight decline over the long term (relevance, effectiveness, rural poverty impact and gender equality and women's empowerment (chart E).

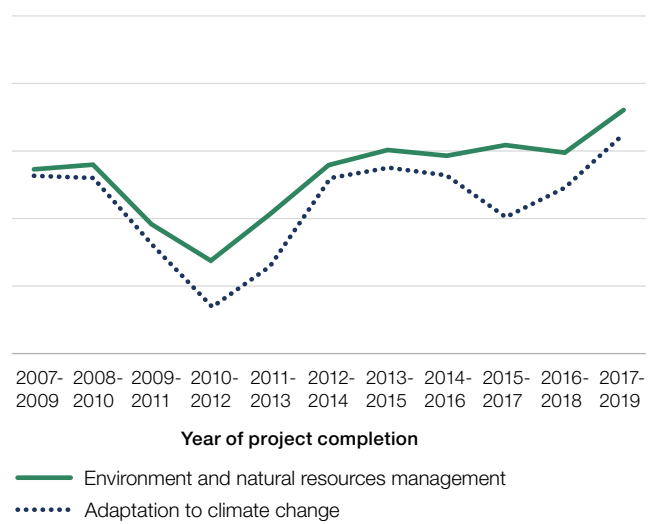
8. **Overall, ratings discrepancies between independent evaluations and self-assessments have narrowed.** The percentage of projects with a negative average (net) disconnect (i.e. self-rating higher than IOE rating) has declined from 89 per cent in the previous period (2014-2016) to 79 per cent in the current period (2017-2019). Furthermore, the average disconnect by evaluation criterion across projects diminished in the latest period (2017-2019) in comparison with the preceding period (2014-2016) for 9 out of 12 criteria, the exceptions being effectiveness, rural poverty impact, and gender equality and women's

Charts (B)-(E) **Percentage of projects rated above 4 on a scale of 1-6 (moderately satisfactory or better) by criteria, 2007-2019 (by year of completion)**

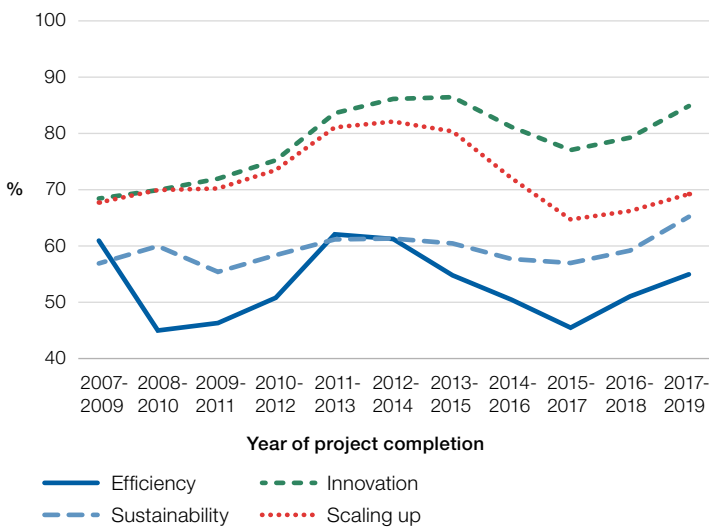
(B) Overall project achievement and partners' performance



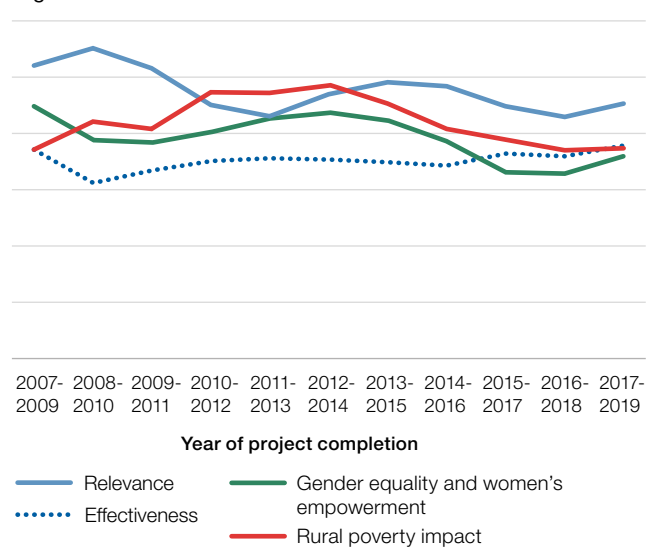
(C) Criteria with a long-term positive trend



(D) Criteria with upward shift in most recent periods



(E) Criteria without observable positive change or with slight decline



Source: IOE evaluation database (PCR/V/PPE)

empowerment. In the latter area, the negative disconnect has gradually widened over time.

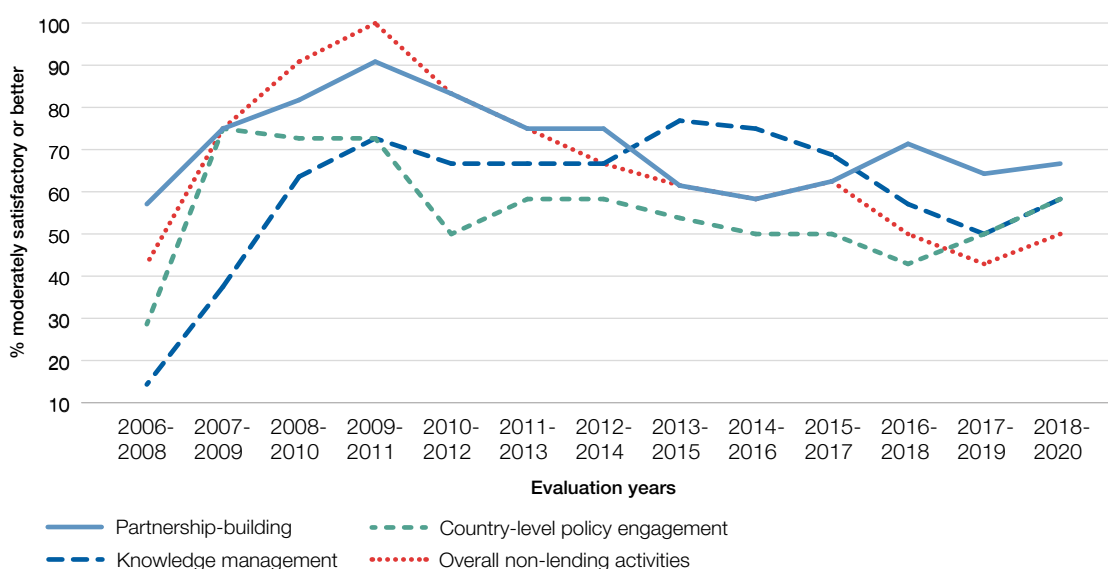
Performance of non-lending activities

9. **The average performance ratings in all areas of non-lending activity has shown an improvement (CSPEs from 2018 to 2020).** Chart F shows the share of CSPEs with ratings of moderately satisfactory or better for three non-lending activity areas (knowledge management, country-level policy engagement and partnership-building) and for the overall assessment of non-lending activities.
10. **Knowledge management strategies and activities were more evident at the project level than at the country programme level.** An exception was Sudan, where concerted efforts were made at the country programme level (e.g. development of a knowledge

management strategy, establishment of a knowledge management core group with IFAD, project teams and counterpart government agencies). The CSPEs for Sudan and Uganda found that knowledge management activities supported by well-qualified and dedicated personnel produced good results, but that progress stalled when the right capacities were no longer available.

11. **The assessment of partnership-building reflected variation and also showed missed opportunities.** IFAD’s partnerships with main line ministries of government were generally good and effective, but there were also missed opportunities for collaboration with government agencies other than those responsible for project management (e.g. key ministries related to women or youth in Niger, the gender unit in the Ministry of Agriculture in Sudan). Performance in partnerships with international development agencies was mixed in terms of complementarity of funding and synergy in actions. Engagement with

Chart (F) **Share of CSPEs with moderately satisfactory or better ratings on non-lending activities (2006-2020, by year of evaluation)**



Source: IOE CSPE database

various private-sector partners is increasing (e.g. regional chambers of agriculture in Niger, seed companies and agrodealers in Sudan).

12. **The CSPEs found that the main vehicle for engaging in policy issues was at project level and that IFAD could have a more impactful potential role through direct policy engagement.** The CSPEs for Uganda and Morocco highlighted the limited use of knowledge management to influence and engage stakeholders beyond IFAD-financed projects, owing to a lack of adequate financial and human resources at country level to conduct studies and convene broad-based stakeholder forums to share lessons and experiences. The CSPE for Sudan also noted that partnerships with development partners for knowledge management and advocacy were limited.
13. **In a context of limited resources, grants played a role in furthering country-level policy engagement in some cases.** Examples include a grant for public-private-producer partnerships that helped inform the development of an oil palm policy in Uganda and two grants that helped Morocco establish substantial dialogue and exchanges with several African countries on agricultural policies and techniques, thus facilitating South-South Cooperation.

Factors influencing project efficiency

14. The evaluation criterion “efficiency” is defined in the IOE Evaluation Manual as “a measure of how economically resources/inputs (such as funds, expertise and time) are converted into results”. With the aim of gaining a better understanding of the factors influencing efficiency, IOE conducted a qualitative analysis of the PPEs and PCRVs for 46 projects completed between 2013 and 2015 where the efficiency criterion was rated moderately unsatisfactory or worse and 37 projects

completed between 2017 and 2019 where the efficiency criterion was rated moderately satisfactory or better. The following recurring factors affecting project efficiency (positively or negatively) were identified: (i) effectiveness lag; (ii) pace of implementation and disbursement; (iii) staffing issues; and (iv) cost-related issues. These factors are not mutually exclusive and may overlap.

15. **The role of the recipient government was a common factor resulting in a longer effectiveness lag (i.e. delays in entry into force) after project approval.** Such lags were caused, for example, by long delays in government review and ratification of agreements and changes in the main implementing agency.
16. **Where projects were rated as moderately unsatisfactory or worse for efficiency (rating below 3 out of 6), the key factor was the slow pace of implementation (85 per cent of the reviewed projects).** Among the main reasons for delays in implementation were weaknesses and delays in procurement processes, such as project staff facing difficulties in aligning the procurement processes with IFAD’s requirements and a slow response by IFAD to no-objection requests. In large part, cumbersome procurement and contract management procedures and lack of mastery of these procedures by project staff resulted in delays. Delayed procurement negatively affected the quality of outputs/outcomes (e.g. rushed delivery compromised the value for money and sustainability of benefits).
17. **Supervision missions and implementation support played a key role in improving operational efficiency.** Pertinent recommendations and adequate follow-up by project teams helped address implementation issues and ensure the attainment of physical targets, timely preparation of withdrawal applications and timely fund transfers to the decentralized level, among other things.

18. **A major factor adversely affecting efficiency was project staffing issues.** This was mentioned in three quarters of the reviewed projects with a rating of moderately unsatisfactory or worse for efficiency. Insufficient expertise of project staff, both managerial and technical, caused delays in implementation (e.g. inadequate preparedness of the programme coordination unit leading to slow project start-up). Delays in setting up project units due to slow recruitment of project staff hindered the implementation pace. Often, the remoteness of the project areas, coupled with recruitment constraints (such as unattractive salaries) created difficulties in hiring and retaining competent staff. High staff turnover negatively affected implementation efficiency and programme management. This not only increased management costs, as external service providers had to be contracted at higher costs, but also led to lack of follow-up on the supervision mission recommendations due to inadequate handover. In positive cases, the evaluations highlighted the presence of knowledgeable and experienced staff early in the programme start-up stage as key to establishing effective and efficient systems (e.g. for financial management). While coordination and communication were often a challenge in cofinanced projects, there were cases where having different cofinanciers fund different project staff positions proved to be beneficial, as it enabled the project unit to have specialized staff (in Bangladesh, for example).
19. **A failure to address prevailing country contextual issues at the design stage meant that actual project administration costs were higher than planned, a situation which was compounded by staffing issues.** Estimates for a few projects (e.g. in Congo, Maldives, Mali and Nigeria) had to be revised during implementation because the design had not sufficiently accounted for country context challenges, including costs to cover the wide geographic spread of the project areas (which led to higher transportation costs). Another key factor was the higher-than-estimated cost of project staff (e.g. for recruitment of additional staff) and external service providers. The dearth of qualified staff in country to perform certain key functions, such as procurement and financial management, is one of the factors contributing to increased staff costs.
20. **High cost of project management negatively affects project efficiency performance.** Among the projects that were rated below 3 out of 6 (moderately unsatisfactory or worse) for efficiency, in about 40 per cent (or 18 out of the 46 projects reviewed) more than 25 per cent of the total project cost was spent on project management. In four of these 18 projects, the share of project management cost exceeded 40 per cent (in the Gambia, Guinea-Bissau, Panama and the Syrian Arab Republic). Three out of these four projects had a very low budget execution level (between 24 and 55 per cent), and the share of project management costs against the total cost was thus even more disproportionate.
21. **Increased ratio of input cost to outputs reduced operational efficiency.** In some cases, the costs of inputs and activities increased during implementation because needs were overlooked or costs were underestimated at the design stage. With a finite budget, cost overruns meant that certain activities had to be cancelled or downscaled. The CSPE for Niger noted structural issues, such as the fact that a limited number of potential bidders in the country tend to act as “price setters”, thus inflating prices. Furthermore, exogenous factors, such as sudden swings in input prices or currency depreciation/appreciation, can also affect input costs.

Review of operations in countries with fragile and conflict-affected situations

22. The average project performance ratings in the period 2007-2019 in countries with fragile situations are lower for all criteria than the ratings for projects in countries with non-fragile situations,³ with the differences in efficiency, government performance, overall project achievement, scaling up and sustainability of benefits showing statistical

significance. This may not be unexpected, given the multitude of challenges involved in working in fragile contexts, such as weak institutional capacity and possible disruptions in project implementation due to socio-political crises.

23. In the period 2017-2019, project performance improved in countries with fragile situations. As shown in table A, the composite performance of projects as reflected by overall project achievement

3 For quantitative analysis of the performance ratings, the projects were mapped and categorized as having operated in countries with fragile situations if: (i) the country was on the World Bank's annual lists of countries with fragile situations for more than half of the project implementation period; or (ii) the country was on the World Bank's 2020 list of countries with fragile and conflict-affected situations and specifically in the category "countries affected by violent conflict". This exercise identified 102 projects in countries with fragile situations and 196 in countries with non-fragile situations.

Table A Percentage of moderately satisfactory ratings or better for projects in countries with fragile situations and other countries by year of project completion (2017-2019 versus 2014-2016)

	Fragile situations			Non-fragile situations		
	2014-2016 (N=30)	2017-2019 (N=24)	Δ 2017- 2019 vs 2014-2016	2014-2016 (N=52)	2017-2019 (N=44)	Δ 2017- 2019 vs 2014-2016
Efficiency	40	58	▲ 18	60	55	▼ -5
Government performance	47	63	▲ 16	65	64	▼ -2
Adaptation to climate change	72	86	▲ 14	78	80	▲ 3
Innovation	73	83	▲ 10	85	89	▲ 4
Overall project achievement	70	79	▲ 9	76	75	▼ -1
Sustainability of benefits	50	58	▲ 8	67	70	▲ 3
Effectiveness	63	71	▲ 8	85	82	▼ -3
Gender equality and women's empowerment	80	88	▲ 8	70	69	▼ -1
Environment and natural resources management	76	83	▲ 7	84	88	▲ 4
IFAD performance	80	83	▲ 3	85	80	▼ -5
Relevance	93	96	▲ 3	79	80	▲ 1
Scaling up	60	63	▲ 3	73	75	▲ 2
Rural poverty impact	70	70	— 0	83	83	— 0

Source: IOE database.

* IOE criteria are ranked by change in percentage between the periods for countries with fragile situations.

is slightly better for countries with fragile situations (79 per cent moderately satisfactory or better compared with 75 per cent during the same period for countries with non-fragile situations). While performance for criteria such as effectiveness, rural poverty impact, scaling up and sustainability of benefits was substantially lower for projects in countries with fragile situations, performance for criteria such as relevance, gender equality and women's empowerment and adaptation to climate change was considerably better than in countries with non-fragile situations. Table A also shows that, in comparison with 2014-2016, project performance in countries with fragile situations improved across all criteria except rural poverty impact, which remained the same.

24. A qualitative analysis was conducted in PCRVs and PPEs for 23 projects in countries that were, at completion, classified by the World Bank as having fragile situations and in recent CSPEs in five countries with fragile situations (Burundi, Madagascar, Niger, Sierra Leone and Sudan). Key areas of inquiry for the qualitative analysis of the evaluation findings included the following: (i) to what extent the country and project contexts in fragile situations were analysed and reflected in the design; (ii) to what extent and how the projects sought to address the drivers of/factors contributing to fragility; (iii) to what extent and how the projects addressed the consequences of fragility; and (iv) how well the projects performed in terms of social inclusion.

25. **A recurring issue found in the project evaluations is lack or insufficient analysis of fragility and institutional contexts at design, which led to ineffective interventions and implementation arrangements.** This also led to project designs that were too complex for the capacities of existing institutions. Often, project design envisaged implementation arrangements involving service providers (e.g. non-governmental organizations), but the

capacity and competences of potential service providers were not sufficiently analysed and verified at design. Project support to train, revitalize and strengthen the capacity of producer organizations in post-conflict situations was relevant in general, but the design did not always identify the critical issues and weaknesses affecting most producer organizations in a post-crisis context.

26. **Project success was influenced by the project's clarity of focus, types of interventions and context.** A project design that ensures a clear focus and a simple set of objectives were found to be key factors for ensuring effective implementation in fragile situations. Support for recovery, rehabilitation and recapitalization of productive capacity in post-conflict situations mostly performed well. However, interventions aimed at addressing market access and shifting to longer-term development were hindered by challenges such as weak institutional capacity and deficiencies in the regulatory framework.

27. **A common project activity in fragile and conflict-affected situations was investment in basic infrastructure, which reduced isolation, improved productivity, lowered costs and provided access to markets and services.** Community-based/driven development was found to be more effective for infrastructure development than other approaches in hard-to-reach conflict and post-conflict situations. There are also challenges that need to be addressed in such situations, such as capacity and governance constraints for procurement and the need for prolonged support at community level.

28. **Few projects include a comprehensive risk analysis with built-in mitigation measures associated with fragility.** However, a significant proportion of projects face substantial disruption and some demonstrated the flexibility to retain relevance, for example, by reducing the project scope

in activities and areas or by introducing changes to implementation arrangements. Some evaluations pointed out that the design may have been too optimistic in assuming continued or improved stability in the post-conflict context.

29. **Fragility and conflicts can often be linked to the marginalization of certain segments of the population; some projects were successful in reaching these segments, while others were less so.** Support for inclusive natural resources governance and sustainable natural resources management is an area of strength for IFAD, particularly when addressing conflicts between different users (e.g. settled farmers and pastoralists) over access to and use of natural resources. Thanks to the provision of such support, projects in Chad and Sudan were effective in reaching and benefiting mobile pastoral communities. A project in Côte d'Ivoire integrated groups of youth ex-combatants during project implementation. While overall project achievement for this project was rated moderately unsatisfactory, the project's contribution to the social integration of ex-combatant groups through skills development was assessed positively. At the same time, while some other projects explicitly mentioned ex-combatants and victims of conflicts as part of the target group (e.g. in Liberia and Sierra Leone), no evidence of effective targeting was found.

30. While IFAD focuses on social inclusion in general, effective targeting of women and youth is important in fragile contexts, as these population groups are likely to have been among the most severely affected by fragility and conflict. The integration of youth into social and economic empowerment programmes is also important to mitigate potential factors that may contribute to conflicts in the future. Notable efforts to foster inclusion and empowerment of women and/or youth were found (e.g. women-oriented activities such as small livestock breeding, formation of women's

groups and interventions aimed at enabling youth to become service providers and entrepreneurs), although the links between these efforts and causes or consequences of fragility was not always clear. When a targeting strategy was not developed and/or was not informed by sound situation analysis, less satisfactory results were achieved in terms of reaching and benefiting women and/or youth.

31. **At country level, conflict and fragility analyses conducted in order to develop a strategic approach to address fragility and manage risks in country strategies are often limited.** While country strategies effectively analyse the dimensions of poverty, in most cases they do not explore drivers of fragility. Issues such as natural resources governance, inclusion and empowerment of youth and women, and institutional capacity-building are dealt with in country strategies and projects, but they are not framed as a fragility strategy.

32. **Continued and long-term engagement and community-based approaches are critical elements of a fragility strategy.** The CSPEs for Burundi and Sudan noted that sustained investment in strengthening grass-roots institutions, with participatory and bottom-up approaches, has generated positive results (e.g. improved livelihoods, food security, social capital, empowerment). Support by committed field-level project teams has also been important.

33. **The CSPEs noted only limited examples of strategic partnerships addressing aspects of fragility.** An interesting example was seen in Niger, where IFAD worked with the Food and Agriculture Organization of the United Nations and the World Food Programme to develop an operational framework for the Lake Chad Basin countries to address humanitarian and development needs. The CSPE for Sierra Leone pointed out that, while IFAD's portfolio was highly relevant to the fragile situation, IFAD fell short in terms of its collaboration with other

development partners with complementary expertise. In fragile and conflict-affected situations, working closely with partners can be especially important in order to share knowledge and address wider causes of fragility that IFAD alone cannot address. Lessons in working in fragile situations are emerging from projects, but IFAD's strategies do not provide for operational resources to package this knowledge so as to engage in policy issues beyond the project level.

Conclusions

34. **The majority of project performance ratings in the most recent period (projects completed between 2017 and 2019) continue to be moderately satisfactory or above across the evaluation criteria, ranging from 56 per cent for efficiency to 87 per cent for innovation.** There are also some signs of improvement, with a number of evaluation criteria showing better performance in the latest two consecutive periods (i.e. 2016-2018 and 2017-2019), notably with regard to adaptation to climate change, efficiency, sustainability of benefits, innovation and scaling up (listed in order by magnitude of the improvement over the two periods).
35. However, for the criterion of IFAD performance, the share of projects rated moderately satisfactory or better has decreased slightly in comparison with the previous period. Only two criteria, ENRM and adaptation to climate change, show statistically significant improvements over the long term (for projects completed between 2007 and 2016).
36. **IFAD and governments need to act at the design stage and during implementation to improve project efficiency.** The efficiency criterion has consistently scored the lowest among the evaluation criteria, although the last two consecutive three-year periods show some upward change. Improving efficiency to enhance IFAD's development effectiveness is envisaged as a priority in IFAD12. This ARRI identifies the main factors influencing efficiency, such as factors that affect the pace of implementation (e.g. procurement processes, staffing and staff capacity) and cost-related issues. Monitoring of progress and implementation issues, timely action and adjustments and follow-up are critical to managing efficiency in ongoing projects. More in-depth analysis and learning from project experience, awareness of contextual issues and integration of measures to improve efficiency in new projects are also critically important.
37. **The performance of projects in countries with fragile situations has improved.** While the long-term analysis (2007-2019) shows that performance in countries with fragile situations is worse than in other countries, performance in recent periods shows improvement for several criteria.
38. IFAD has some valuable operational experience in working in contexts of fragility. IFAD-supported operations often help to address the consequences of fragility, especially in post-crisis contexts, for example through support to rebuild production capacity. There are also good practices in addressing the drivers of fragility, especially those linked to natural resources-related conflicts, which is an area of IFAD strength. Social inclusion is also critical to mitigate potential factors of fragility and/or to address the needs of those affected by fragility. There are some good examples of activities to promote social inclusion (e.g. of young excombatants and pastoralists), but in some cases, even though groups such as ex-combatants or war-disabled persons were mentioned as part of the target group in the project design, there was no evidence of effective targeting or monitoring. Moreover, even where project operations included some relevant elements, these were not clearly supported by a solid analysis and the development of a strategy with a fragility lens.

39. **Going forward, and capitalizing on its experience, IFAD will need solid strategies informed by dedicated conflict and fragility analysis to address both the drivers and consequences of fragility.** IFAD's operations in countries with fragile situations are expected to increase in the years to come, and IFAD12 includes a commitment to enhancing the focus on addressing the drivers of fragility. It will be important to strengthen the quality of fragility and risk analysis and incorporate flexibility and risk mitigation measures, with continuous monitoring and updating, both at country and project levels. IFAD stands to gain from learning more broadly from successful interventions that provided for context-specific, long-term engagement and strategies to strengthen lending and non-lending activities.
40. **Achieving positive performance in non-lending activities continues to be a challenge and requires strategic actions and resources.** While there are good examples at project level, knowledge management at the country programme level was inconsistent, with no overarching framework and strategy to harness the experience, knowledge and lessons emerging from the country programme. Project experience should provide inputs to inform discussions of policy issues, but IFAD needs to be present and find effective ways to engage in policy dialogue, rather than relying on projects and project teams as the main vehicle for such engagement. Expanding partnerships beyond the main counterpart line ministries and forging strategic partnerships with other development agencies and stakeholders are critical measures that are also linked to both knowledge management and policy engagement. In the context of IFAD12, IFAD is expected to step up the mobilization of financial resources to enhance performance in non-lending activities, but the need for personnel with the right competencies should also be addressed.
41. **IOE-Management engagement is required to develop a shared understanding on the basis for assessment of some evaluation criteria for which there have been larger or widening disconnects between IOE and project completion report ratings.** One such criterion is relevance. Although the average disconnect is narrowing, this criterion still shows the second largest average disconnect for projects completed during the period 2017-2019. Other criteria requiring attention are gender equality and women's empowerment, which showed the largest average disconnect in projects completed in 2017-2019, and scaling up, which showed the third largest average disconnect. These issues need to be reflected in the ongoing revision of the Evaluation Manual and, going forward, closer management scrutiny of project completion report ratings in these areas is warranted.



Madagascar

Children in Antanetibe village, Ambohidratrimo District, Madagascar. IFAD's Support Programme for Rural Microenterprise Poles and Regional Economies focuses on increasing the incomes of poor rural people in five of the country's poorest and most densely populated regions.

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Background

Introduction

1. This is the 19th edition of the Annual Report on Results and Impact of IFAD Operations (ARRI) prepared by the Independent Office of Evaluation of IFAD (IOE). The ARRI presents a synthesis of the performance of IFAD-supported operations based on evaluations conducted by IOE since 2007 with a focus on the most recent ones, and highlights cross-cutting issues and lessons to enhance IFAD's development effectiveness. In presenting an overview of results and the impact of IFAD's operation as well as recent trends, the ARRI is a key tool to ensure accountability for results. In addition, the ARRI also seeks to promote self-reflection and learning within IFAD by offering an analysis of evaluative evidence. The ARRI is the only vehicle that provides an aggregated report on the overall performance of IFAD operations based on independent evaluations, and as such is critical to the Fund and for its evaluation function.
2. This report contains a core section presenting an analysis of performance ratings in project evaluations and a further section on findings from the country strategy and programme evaluations (CSPEs). In addition, the report presents learning-oriented discussions informed by independent evaluations, with a focus on selected themes and topics. In this edition of the ARRI, two themes are featured. One is project performance in the evaluation criterion of efficiency. As evidenced from chart 1 in chapter II, the latest project performance showed the lowest share of projects with moderately satisfactory or better

rating, although it is improving (see chart 6, chapter II). The other theme is performance in countries with fragile situations. This choice reflects the guiding interest of the IFAD Executive Board and IFAD Management as well as the focus given to it in the Twelfth Replenishment of IFAD's Resources (IFAD12).⁴

Scope and sources of data

3. The main sources of data for the ARRI's analysis are: (i) project-level evaluations consisting of project performance evaluations (PPEs), impact evaluations (IEs), and project completion report validations (PCRVs) conducted by IOE for projects completed between 2007 and 2019; and (ii) CSPEs conducted between 2007 and 2020. The project-level ratings by evaluation criteria for aggregation are drawn from PPEs, IEs and PCRVs. The performance ratings for non-lending activities are obtained from CSPEs. Table 1 below presents the main data sources for the quantitative and qualitative analyses in different chapters of this report.

⁴ IFAD12 agenda, which includes a commitment to improve IFAD's focus on addressing the drivers of fragility and dedicating at least 25 per cent of core resources to countries with fragile situations.

Methodology and approach

4. The performance reported in the ARRI is based on the evaluations of projects and programmes conducted by IOE. Quantitative analyses are based on: (i) project performance ratings on all evaluation criteria listed in the IOE Evaluation Manual (second edition, 2015; see also table 2 below) (chapters II and V); (ii) the disconnect between performance ratings

Table 1 Summary of data sources of the 2021 ARRI

Chapter	Types of analysis	Total number of evaluations
Chapter II portfolio performance	Recent performance (performance ratings of projects completed between 2017 and 2019)	68 project-level evaluations (55 PCRVs, 11 PPEs, 2 IEs)
	Long-term performance trends (performance ratings of projects completed between 2007 and 2019)	298 project-level evaluations (209 PCRVs, 82 PPEs, 7 IEs)
Chapter III non-lending activities	Ratings analysis based on CSPEs completed between 2007 and 2020	58 CSPEs
	Summary of most recent CSPEs	4 CSPEs (Morocco, Niger, Sudan and Uganda)
Chapter IV efficiency	Qualitative analysis of factors positively or negatively affecting the efficiency assessment (two periods, 2013-2015 and 2017-2019, were selected as they showed contrasting movements, deteriorating in 2013-2015 and improving in 2017-2019)	46 project-level evaluations: projects completed between 2013-2015 with the efficiency criterion rated moderately unsatisfactory or worse 37 project-level evaluations: projects completed between 2017-2019 with the efficiency criterion rated moderately satisfactory or better
Chapter V fragility	Quantitative analysis (project performance rating)	102 projects classified as being in countries with fragile situations, 196 projects in others
	Qualitative analysis	23 purposefully selected project evaluations (among those conducted in 2018-2020) and five CSPEs

Source: IOE database.

in the self-evaluations in project completion reports (PCRs) and in the independent evaluation ratings by IOE (chapter II); (iii) IOE assessment of PCR quality (chapter II); and (iv) performance ratings of non-lending activities assessed in the CSPEs (chapter III).

- Table 2 below presents the evaluation criteria and the two aggregate measures (project performance and overall project achievement) used for project performance assessment. The core criteria (relevance, effectiveness, efficiency, sustainability and impact) are consistent with international standards and practices.⁵ In line with the Good Practice Standard of the Evaluation Cooperation Group of the Multilateral Development Banks for Public Sector Evaluations, IFAD uses a six-point ratings scale to assess performance in each evaluation criterion.
- As in the past ARRI, the analysis of project performance ratings is presented by year of project completion. To observe the changes in performance ratings, a three-year moving average of ratings is used as a way to smoothen inter-annual variations. This approach is in line with the practice in comparator organizations such as the Asian Development Bank and the Independent Evaluation Group of the World Bank. Accordingly, the performance during the latest period is based on the performance ratings for the projects completed between 2017 and 2019.
- A mix of descriptive and inferential statistics were used where relevant. A number of non-parametric tests were conducted to analyse some aspects such as the rating disconnects between self-evaluation and independent evaluations, and the PCR quality assessment (see chapter II and annex VI).
- As for the qualitative analysis in chapter IV (project performance on efficiency), a set of features or commonly recurring factors ("markers") were identified based on a review of the sampled evaluations, then relevant findings in those evaluations (positively or negatively influencing the efficiency) were extracted and collated (see also annex V). For the qualitative analysis of the project performance

⁵ Notably, the definition on the evaluation criteria set out by the Development Assistance Committee of the Organisation for Economic Co-operation and Development.

in countries with fragile situations, a set of guiding questions was used (see chapter V).

Methodological notes and caveats

9. There were some changes in the evaluation criteria and definitions during the period covered. Based on the revision of the IOE evaluation manual (2015),⁶ since 2016: (i) the rating on sustainability of benefits is included in the calculation of project performance;⁷ (ii) environment and natural resources management (ENRM) and climate change adaptation are rated separately; and (iii) rural poverty impact domains such as household income and assets, human and social empowerment, food security and agricultural productivity, institutions and policy are no longer rated separately. Furthermore, as per the revised harmonization agreement between IFAD Management and IOE, scaling up and innovation have been rated separately since 2017. These changes should be taken into
10. The ARRI does not cover ongoing operations: presenting a comprehensive picture of the underlying causes of these trends or current performance is beyond its scope and is addressed by higher level evaluations dedicated to that task. However, by using recurring evaluation findings, the ARRI presents a set of issues that could plausibly contribute to the observed trends and recent performance.
11. For the analysis of project performance in countries with fragile situations, it was challenging to understand the influence of the conditions of fragility on project performance or to understand the specific fragility contexts in which projects were designed and implemented.

⁶ <https://www.ifad.org/en/web/ioe/-/2015-evaluation-manual-second-edition>. The first edition was issued in 2009.

⁷ Prior to this, the project performance was an arithmetic average of the ratings for relevance, effectiveness and efficiency.

Table 2 Evaluation criteria used in assessment of project performance

Evaluation criteria
Relevance
Effectiveness
Efficiency
Sustainability of benefits
Project performance* (arithmetic average of the ratings in the above four criteria)
Rural poverty impact
Innovation
Scaling up
Gender equality and women's empowerment
Environment and natural resource management
Adaptation to climate change
Overall project performance taking into consideration the performance in all criteria above
Performance of IFAD
Performance of government

Note: All criteria rated on a scale of 1-6 (see table 3) except for project performance.*

Source: IOE Evaluation Manual.



Sudan

A man vaccinates sheep in Kaja village, Sinnar State. Here, IFAD's intervention seeks to contrast land degradation by introducing technical packages and promoting smallholder and large-scale farming in an environmentally sustainable way.

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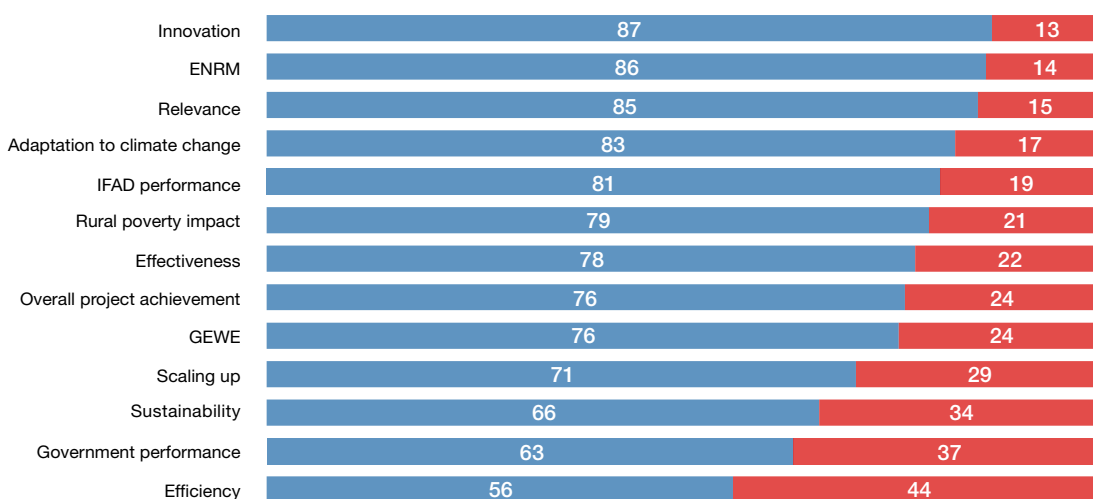
Project portfolio performance

Recent performance (projects completed during 2017-2019)

12. Chart 1 provides a snapshot of the performance by evaluation criteria based on the IOE ratings for projects completed between 2017 and 2019. For all criteria, the majority of projects are rated moderately satisfactory or above. When the evaluation criteria are ranked based on the percentage of the projects rated moderately satisfactory or better (ratings of 4 and above), innovation (87 per cent), ENRM (86 per cent), relevance (85 per cent), adaptation to climate change (83 per cent) and IFAD performance (81 per cent) reported better performance.
13. At the other end of the spectrum of recent performance are efficiency, sustainability of benefits and government performance with a lower proportion of the projects rated moderately satisfactory or better (between 56 and 66 per cent). For instance, over four out of ten projects were found to be moderately unsatisfactory or worse in terms of their efficiency.

Chart 1 **Ranking of all criteria by share of projects with moderately satisfactory or better ratings**

Percentage of projects with moderately satisfactory or better ratings, 2017-2019 (by year of project completion)



■ Percentage of projects rated moderately satisfactory or better
 ■ Percentage of projects rated moderately unsatisfactory or worse

Source: IOE evaluation database (PCR/V/PPE), February 2021.

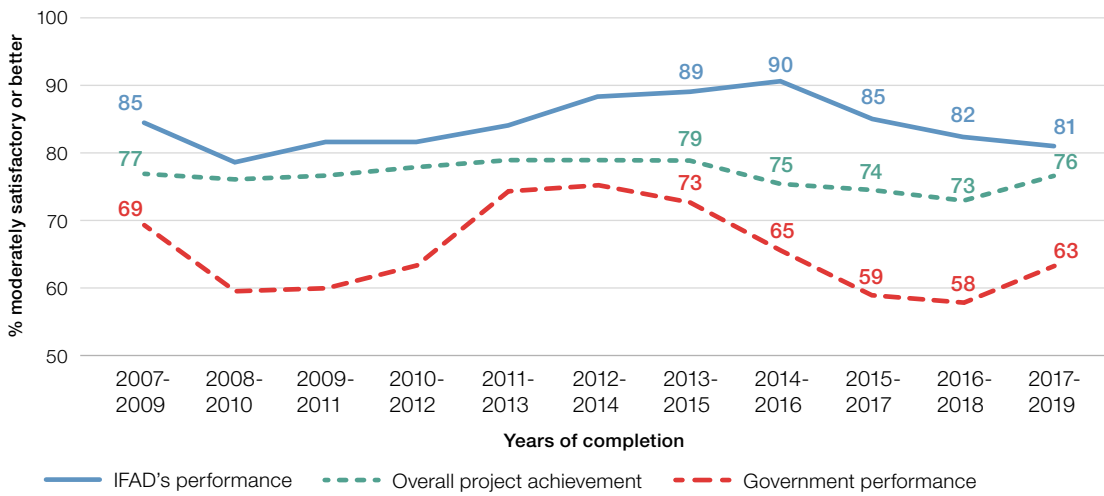
Longer-term project performance trends

14. Chart 2 provides a snapshot of the historical three-year rating average for the projects completed between 2007 and 2019 for the selected criteria: overall project achievement; IFAD performance as a partner; and government performance as a partner. Overall project achievement is an overarching assessment of a project on a scale of 1-6, drawing upon the analysis and ratings for all criteria except for IFAD and government performance (see annex I for the list of criteria).
15. The result shows a fluctuation in the government performance with some signs of improvement during the latest period, breaking the declining trend since the 2012-2014 period. On the other hand, IFAD performance has been declining from the peak when 90 per cent of the projects completed between 2014 and 2016 were rated moderately satisfactory or better. There is little movement in overall project achievement over the period.
16. When comparing these IOE rating trends with the PCR ratings (by government and IFAD) for the same criteria, government performance shows a similar trend but without the slight increase during the last period. While the trends are similar for these three criteria, the PCRs show a higher share of moderately satisfactory or better ratings than IOE.
17. Table 3 presents project performance on selected criteria by region over ten years for projects completed between 2010 and 2019. It is important to underline that this should not be considered as an assessment of the performance of individual IFAD regional divisions per se, as project performance is affected by a host of factors, including the context in which projects operate.
18. In the projects completed between 2010 and 2019, the Asia and the Pacific region had a higher proportion of projects rated moderately satisfactory or better for three of the four criteria (rural poverty impact, overall project achievement and government performance) compared to other regions. Government performance varies across regions as those in the Asia and the Pacific region are rated considerably higher than in other regions, with 41 per cent of projects rated satisfactory or better. For IFAD's performance, the Latin America and the Caribbean region has a relatively higher proportion of its projects rated moderately satisfactory or better, followed by the Asia and the Pacific region and the Near East, North Africa and Europe region. The performance of IFAD operations in the West and Central Africa region is weaker than other regions for the four criteria.

Chart 2 Combined overview of the performance criteria using IOE ratings

Percentage of projects rated moderately satisfactory or better, 2007-2019

(by year of project completion)

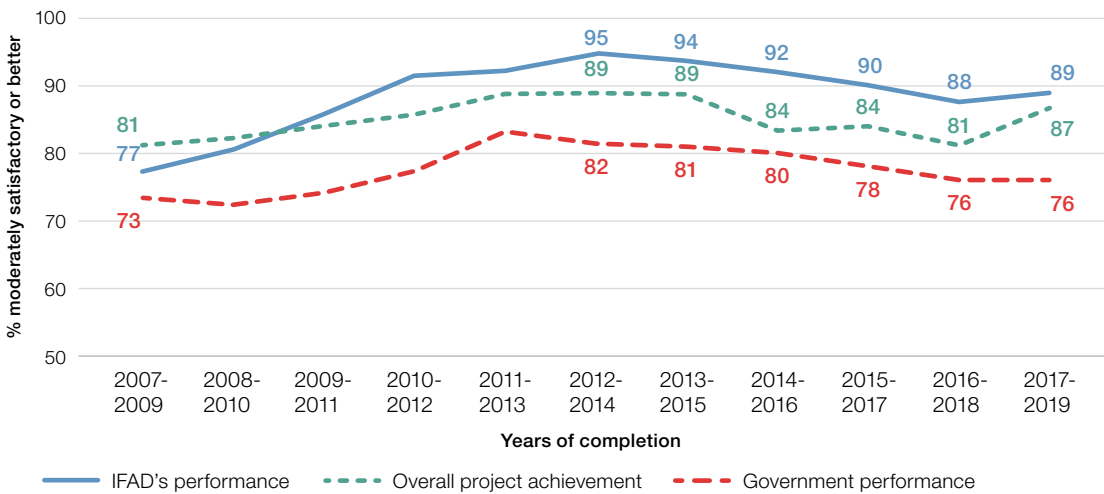


Source: IOE evaluation database (PCR/PPE), March 2021.

Chart 3 Combined overview of the performance criteria using PCR ratings

Percentage of projects rated moderately satisfactory or better, 2007-2019

(by year of project completion)



Source: PCRs.

Table 3 **Project performance by regions**

Ratings on selected criteria by IFAD regional divisions, 2010-2019 (by year of project completion)
– percentage of projects rated moderately satisfactory and better (MS+) and projects rated satisfactory or better (S+)

	Asia and the Pacific	Latin America and the Caribbean	East and Southern Africa	Near East, North Africa and Europe	West and Central Africa
Number of projects	67 projects	39 projects	51 projects	50 projects	65 projects
Rural poverty impact					
Percentage of projects rated moderately satisfactory or better	92	76	84	88	71
Percentage of projects rated satisfactory or better	35	24	27	28	21
Overall project achievement					
Percentage of projects rated moderately satisfactory or better	88	73	76	84	62
Percentage of projects rated satisfactory or better	45	24	16	20	14
IFAD's performance					
Percentage of projects rated moderately satisfactory or better	90	92	82	90	74
Percentage of projects rated satisfactory or better	36	46	37	36	25
Government performance					
Percentage of projects rated moderately satisfactory or better	85	72	57	72	45
Percentage of projects rated satisfactory or better	41	23	16	18	11

Source: IOE evaluation database (PPEs/PCRVs).

19. The following section presents a breakdown of the ratings by criterion for their long-term performance (2007-2019).

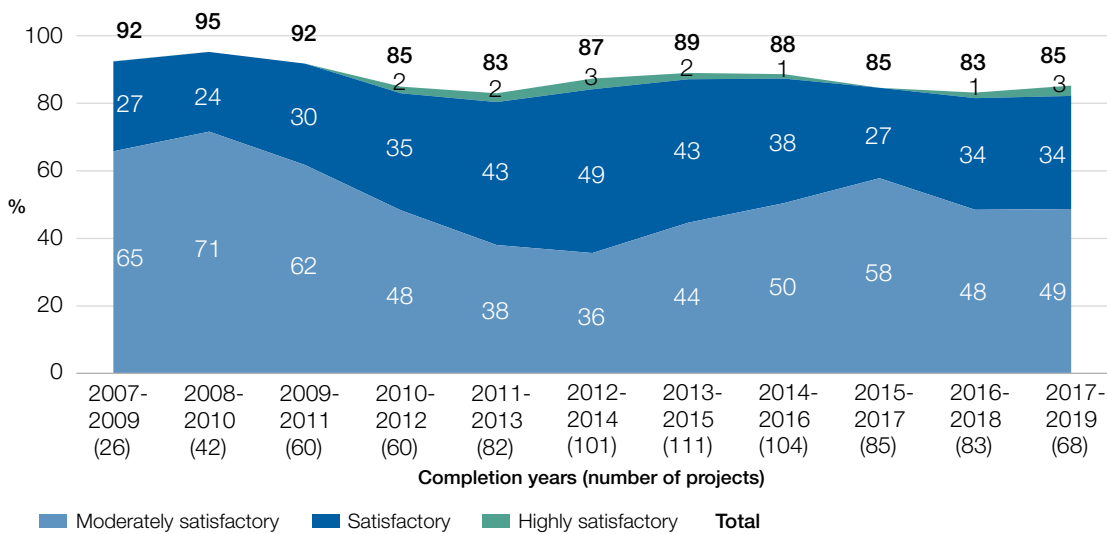
20. **Relevance.** This criterion continues to have a relatively high percentage of projects (85 per cent of the projects completed between 2017 and 2019) rated as moderately satisfactory or better. The overall percentage

of the projects rated moderately satisfactory or better is almost constant since the 2015-2017 period, but the chart below shows a slight increase in “satisfactory (5)” and “highly satisfactory (6)” ratings.

21. **Effectiveness.** Overall, the percentage of the projects with moderately satisfactory or above ratings in effectiveness has been largely

Chart 4 **Relevance (2007-2019, by year of project completion)**

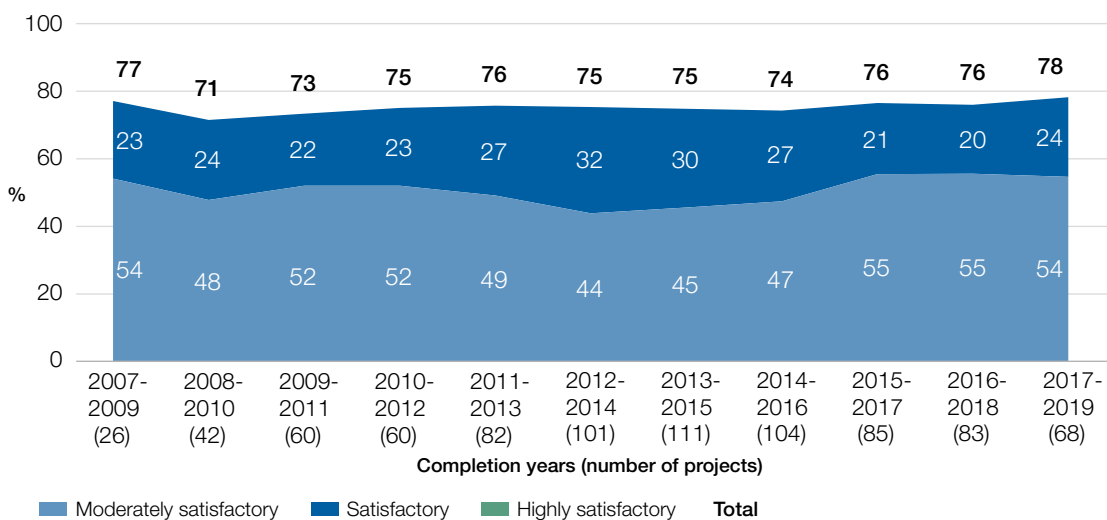
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

Chart 5 **Effectiveness (2007-2019, by year of project completion)**

Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

⁸ This is the practice since 2015. Before then, it was the arithmetic average of the ratings for relevance, effectiveness and efficiency, without the inclusion of sustainability of benefits.

constant with a slight increase in the long-term, with the least fluctuations among all criteria. In the latest 2017-2019 period, **78 per cent** of the projects were rated moderately satisfactory or better.

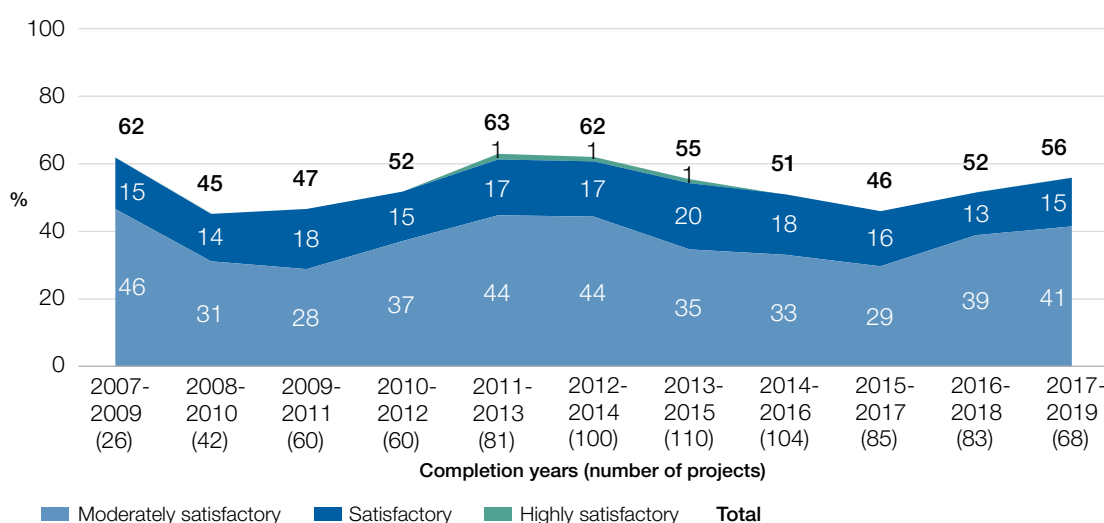
- 22. **Efficiency.** The criterion of efficiency has shown an uptick in the two last consecutive periods, 2016-2018 and 2017-2019. **Fifty-six per cent** of the projects completed between 2017 and 2019 were rated moderately satisfactory or better. This is the criterion with the lowest share of projects with moderately satisfactory or better ratings among all the criteria, and the current share is still below the high of 63 per cent reached in 2011-2013. The performance in this criterion also shows considerable fluctuations.
- 23. **Sustainability of benefits.** Analogous to the efficiency criterion, sustainability of benefits now shows some upward movements in the last two consecutive three-year periods. The most recent share of **66 per cent** is higher than any previous three-year period.
- 24. **Project performance.** This aggregate criterion is an average of the ratings for relevance, effectiveness, efficiency, and sustainability

of benefits.⁸ The slight decline that started in 2012-2014 was partially arrested in the most recent period with a marginal increase for this criterion, most likely reflecting the positive changes in sustainability of benefits and efficiency (see charts 6 and 7). The PCR ratings (self-evaluation ratings) show higher project performance ratings compared to IOE, but the trend of changes for the two sets of ratings are similar.

- 25. **Rural poverty impact.** The rural poverty impact criterion is a composite of the analysis in the following four domains: household income and assets; human and social capital and empowerment; food security and agricultural productivity; and institutions and policies. Analysis shows that **77 per cent** of the projects completed between 2017 and 2019 were rated moderately satisfactory or above for rural poverty impact. The chart below shows a marginal plateauing of the ratings in the most recent period, after an observable decline since 2012.
- 26. **Innovation.** Evaluations conducted from 2017 onward have rated innovation and scaling up separately, following the harmonization agreement between IOE and

Chart 6 **Efficiency (2007-2019, by year of project completion)**

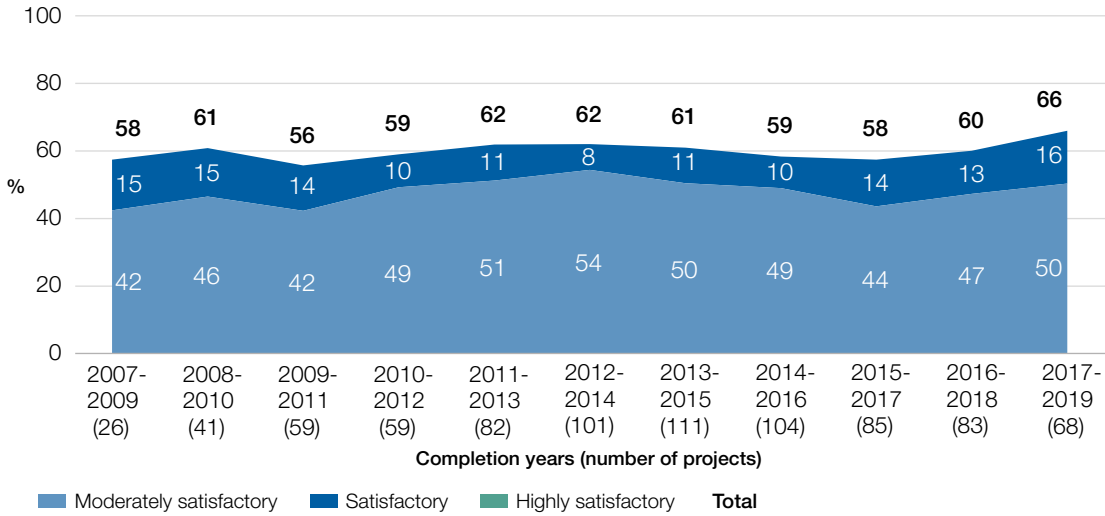
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

Chart 7 Sustainability of benefits (2007-2019, by year of project completion)

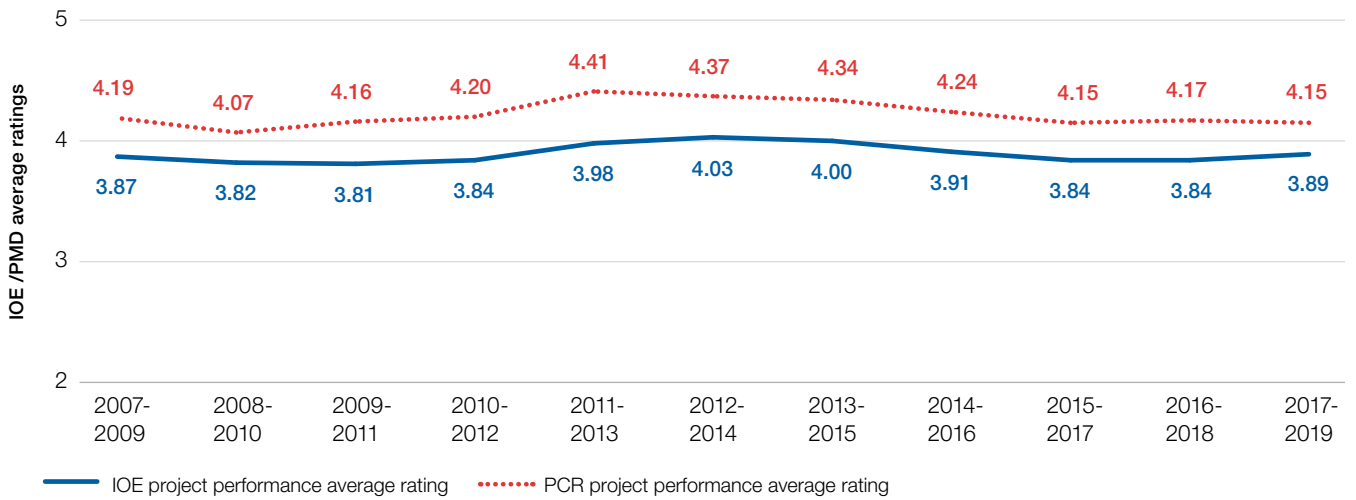
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/PPE), February 2021.

Chart 8 Project performance (2007-2019, by year of project completion)

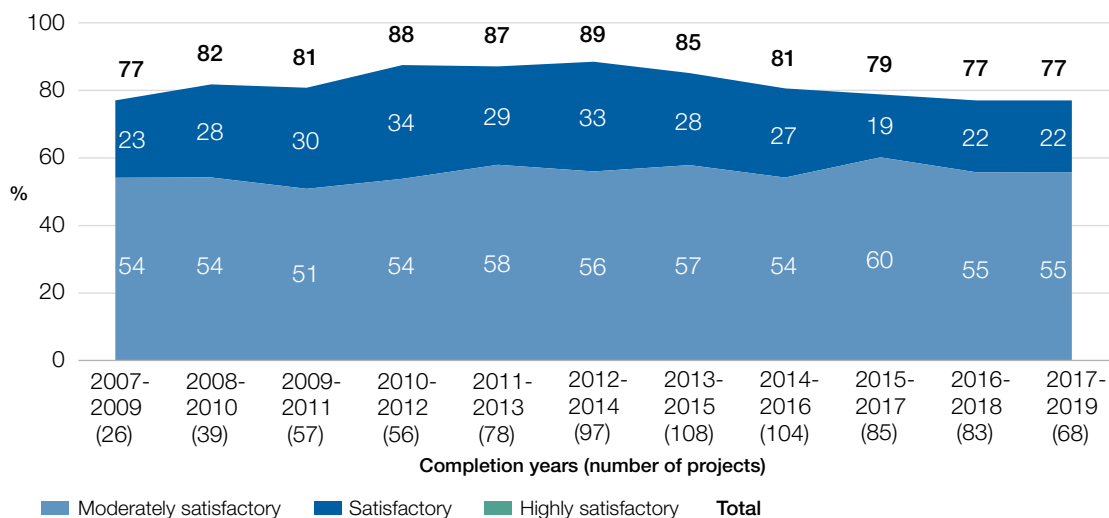
Average PCR and IOE ratings for project performance by three-year moving period



Source: IOE/PCR ratings, March 2021.

Chart 9 **Rural poverty impact (2007-2019, by year of project completion)**

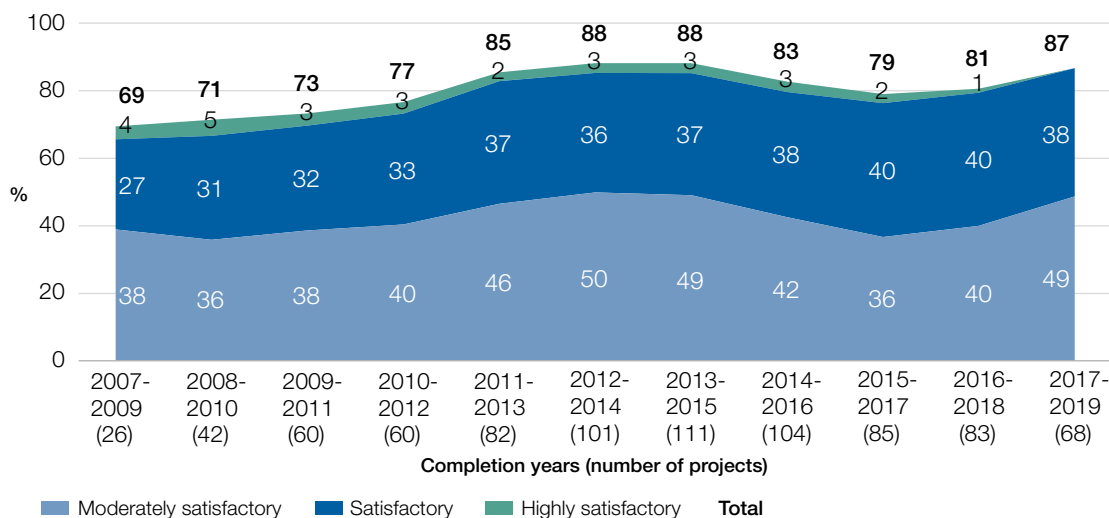
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

Chart 10 **Innovation (2007-2019, by year of project completion)**

Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

IFAD Management. The separate ratings began to appear in the trend line from 2011-2013, based on the completion year of the projects. Following a decline since 2013-2015, the percentage of projects rated moderately satisfactory or better rose to **87 per cent** in 2017-2019, a 6 percentage-point increase compared to the period 2016-2018.

27. **Scaling up.** Based on ratings of moderately satisfactory or better,⁹ performance in scaling up has steadily declined from the peak of 84 per cent in 2012-2014 to the lowest performance in 2015-2017 (66 per cent). The performance on this criterion has experienced some positive change in the most recent period.

28. **Gender equality and women’s empowerment.** Although this criterion has been historically among the better performing criteria, it showed downward movement from the cohort of projects completed in 2014-2016, 2015-2017 and 2016-2018. However, the proportion of the projects rated moderately satisfactory or better in this area increased slightly to reach **76 per cent** in 2017-2019.

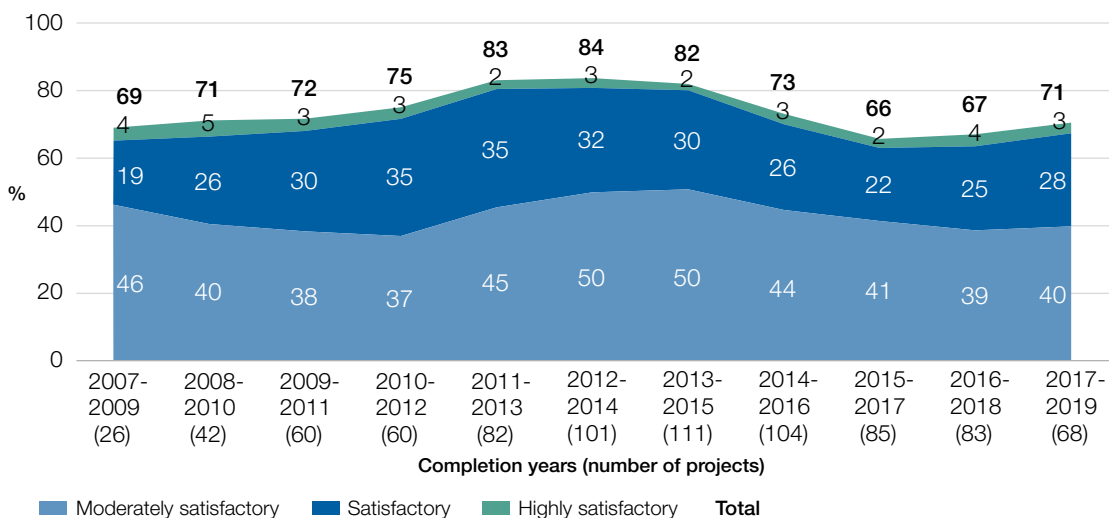
At the same time, the share of projects rated satisfactory or highly satisfactory slightly decreased (from 28 to 26 per cent). The overall decline since the 2014-2016 cohort, despite the slight increase in the latest period, may be at least in part explained by the introduction by IFAD of more detailed guidance both for project design and performance assessment, such as the 2012 policy on gender equality and women’s empowerment, and its reflection in the portfolio review. The majority of the projects completed between 2014 and 2019 covered in this year’s ARRI’s analysis (96 per cent) was approved before 2012. It is recognized that the yardstick used for assessment on any criteria is not static and is also influenced by evolving understanding of the subject and developing conceptual and analytical frameworks.

29. **Environment and natural resources management.** ENRM and adaptation to climate change have been rated separately since 2016. In 2017-2019, the percentage of the projects rated moderately satisfactory or better for ENRM was the highest since 2007 (**86 per cent**), with a continued upward change since 2011-2013.

⁹ Innovation and scaling up were grouped and rated as one criterion prior to 2017. In order to generate individual time-series data for the two criteria prior to 2017, ratings given to the group were assumed to be the same for individual criteria.

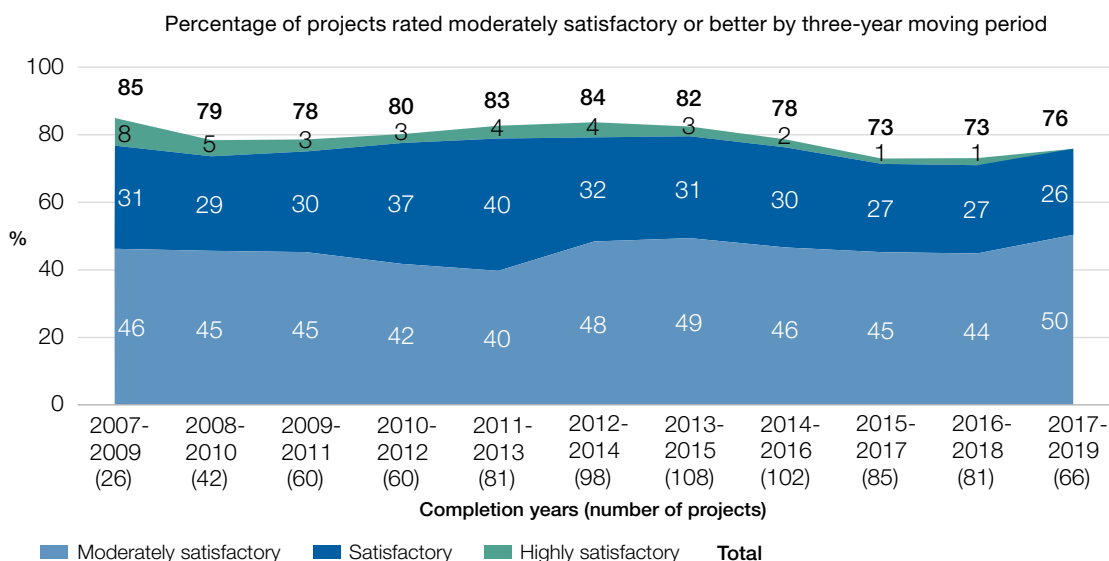
Chart 11 **Scaling up (2007-2019, by year of project completion)**

Percentage of projects rated moderately satisfactory or better by three-year moving period



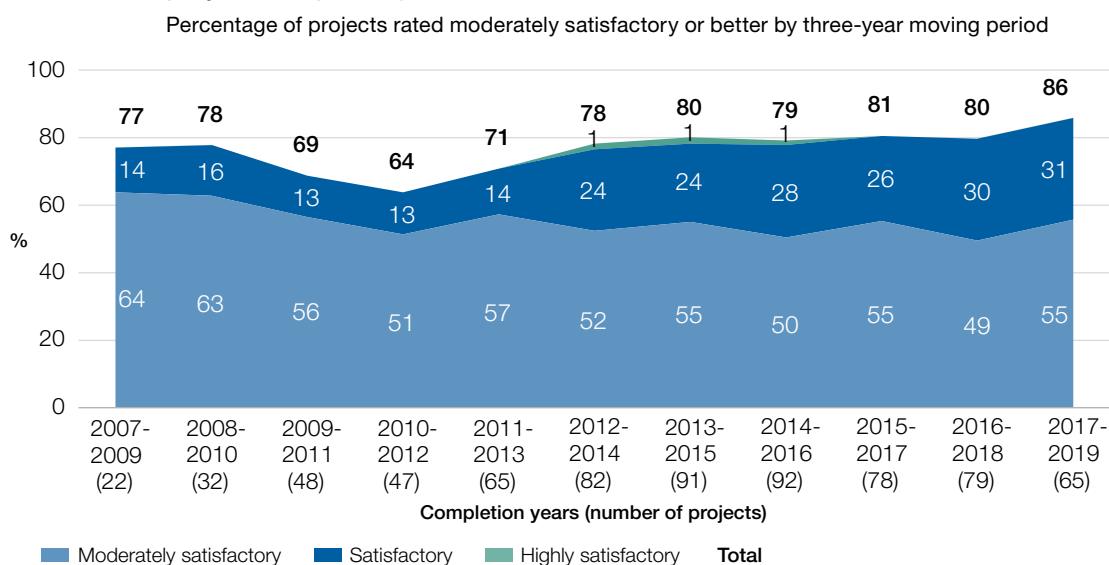
Source: IOE evaluation database (PCR/V/PPE), February 2021.

Chart 12 **Gender equality and women’s empowerment (2007-2019, by year of project completion)**



Source: IOE evaluation database (PCR/V/PPE), February 2021.

Chart 13 **Environment and natural resource management (2007-2019, by year of project completion)**



Source: IOE evaluation database (PCR/V/PPE), February 2021.

30. **Adaptation to climate change.** The performance of this criterion in the latest period was the highest by far since the 2007-2009 period. **83 per cent** of projects report moderately satisfactory or better ratings, after performance had dropped in the period 2015-2017. An increase in both moderately

satisfactory and satisfactory ratings contributed to this increase.

31. **Overall project achievement.** The rating for this criterion, on a scale of 1-6, is based on the performance of all criteria described thus far. **Seventy-six per cent** of the projects

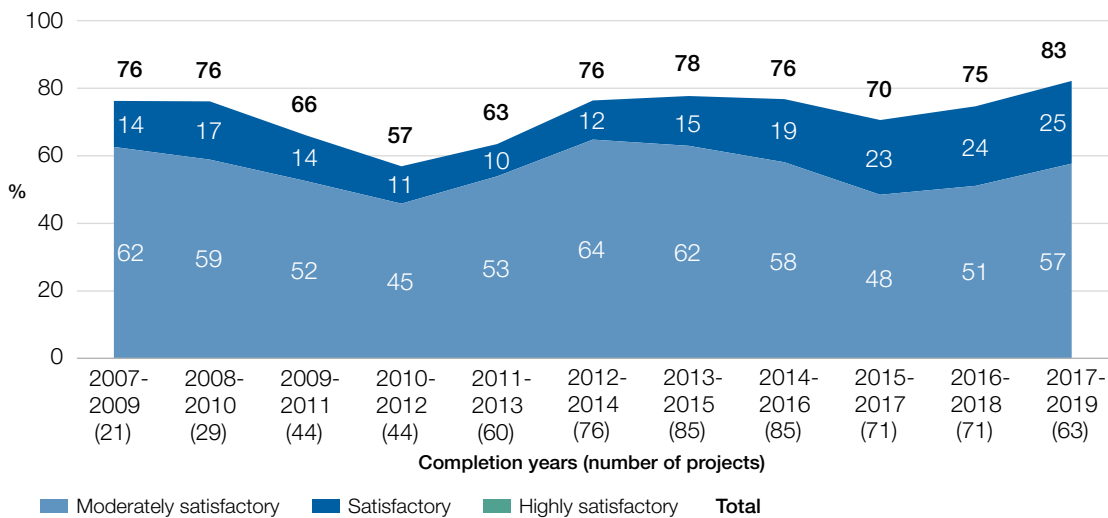
completed in 2017-2019 were rated moderately satisfactory or better. This indicates a slight upward change, but overall, chart 15 below shows that the performance in this aggregate criterion shows minimal change over the period.

satisfactory or better in **81 per cent** of projects completed in 2017-2019, decreasing since a peak of 90 per cent in the period 2014-2016.

32. **IFAD's performance.** IFAD's performance as a partner was evaluated by IOE as moderately

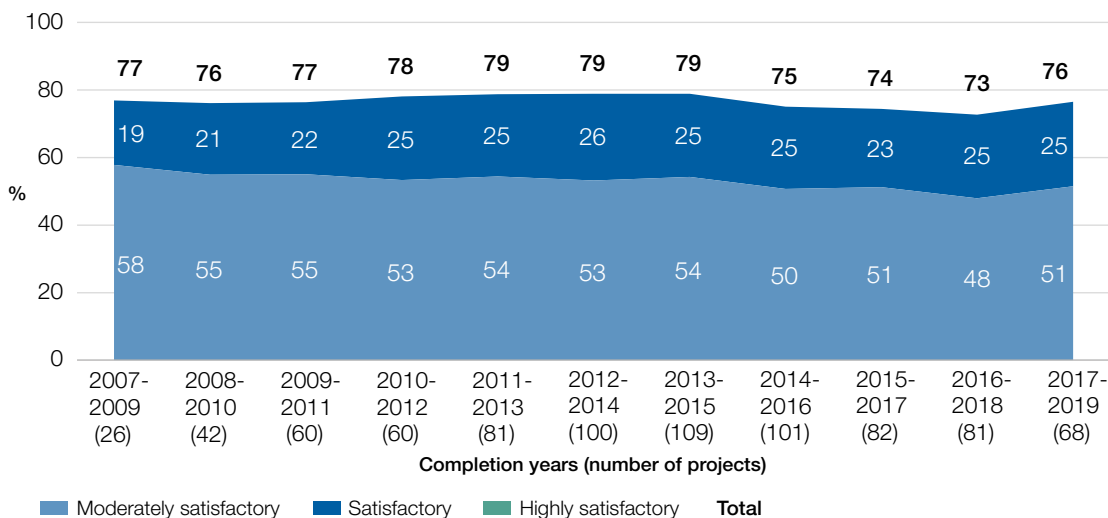
33. **Government performance.** The share of the projects rated moderately satisfactory or better for government performance has risen to 63 per cent after a steady decline since 2012-2014 until 2016-2018.

Chart 14 **Adaptation to climate change (2007-2019, by year of project completion)**
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/PPE), February 2021.

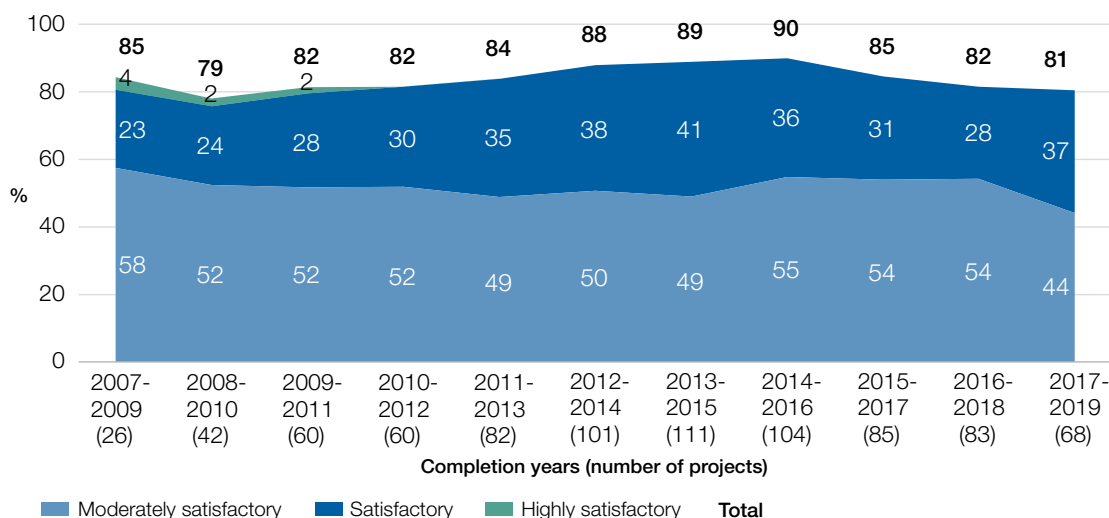
Chart 15 **Overall project achievement (2007-2019, by year of project completion)**
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/PPE), February 2021.

Chart 16 **IFAD performance as a partner (2007-2019, by year of project completion)**

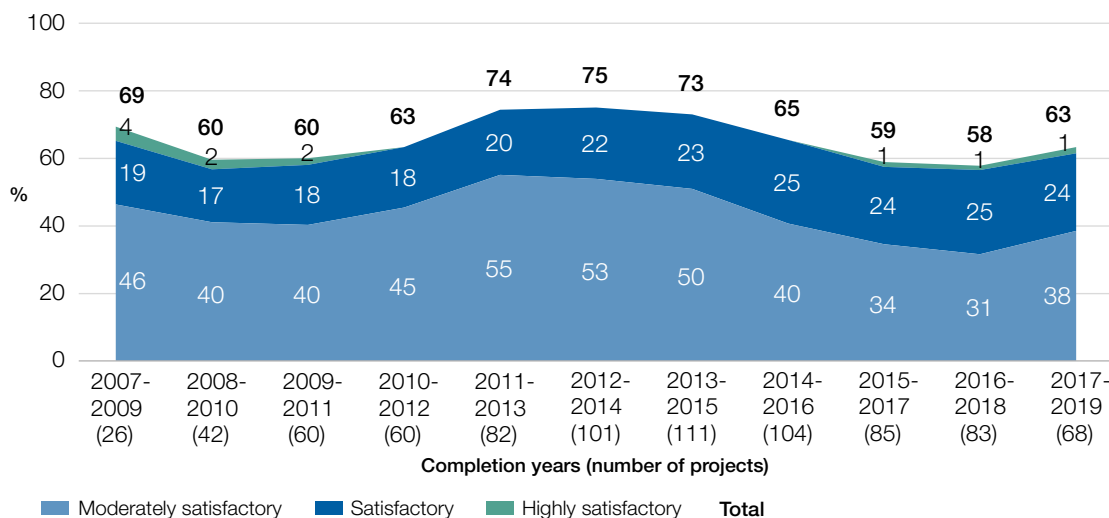
Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

Chart 17 **Government performance as a partner (2007-2019, by year of project completion)**

Percentage of projects rated moderately satisfactory or better by three-year moving period



Source: IOE evaluation database (PCR/V/PPE), February 2021.

34. **Overall, the project performance ratings on all criteria continue to be predominantly in the moderately satisfactory and above zone, ranging from the lowest at 56 per cent for efficiency to the highest at 87 per cent for innovation.** Five criteria show an apparent continued improvement in consecutive periods (2016-2018 and 2017-2019): efficiency, sustainability, innovation, scaling up and adaptation to climate change. The two criteria of ENRM and government performance saw a clear uptick (i.e. an increase of 6 and 5 percentage points in the projects rated moderately satisfactory or better, respectively) in the most recent period compared to the results shown in the previous edition of the ARRI. Four other criteria, namely relevance, effectiveness, gender equality and women's empowerment, and overall project achievement showed a slight increase (i.e. 2-3 percentage points). IFAD's performance was marginally lower in the most recent period and the rural poverty impact criterion saw no change in comparison to the last period.
35. **The most recent performance (projects completed in 2017-2019) shows statistically significant changes from long-term data (2007-2016) only for ENRM and adaptation to climate change,** with a low level of confidence (at the 10 per cent level).¹⁰ The share of projects with moderately satisfactory or better ratings for ENRM increased by ten percentage points for the recent period compared to the long-term trend, while adaptation to climate change increased by nine percentage points. No other performance criteria exhibits statistically significant changes. Thus, the positive (and negative) changes in most performance criteria witnessed in the most recent period are recognized as a non-statistically significant variation. This shows the importance of having multi-year data on performance to better understand and assess the recent performance.

Comparison of IOE and PCR ratings, PCR quality assessment

36. This section assesses any disconnect between the performance ratings in the self-evaluations (PCRs) and PCRVs/PPEs by IOE in order to better understand where differences lie in reporting on performance. The disconnect could be negative or positive: a negative disconnect signifies that the PCR ratings (in self-evaluations) are higher than the IOE ratings, while a positive disconnect means the opposite (i.e. IOE ratings are higher than the PCR).
37. **Overall disconnects between IOE and PCR ratings.** The average disconnect in individual projects completed between 2007 and 2019 (i.e. the average of disconnect values by evaluation criteria) varies from -1.45 to 0.92. The mean is -0.28 and the median is -0.25. Eighty-three (83) per cent of the projects have negative average disconnect (i.e. the average of PCR ratings by criteria is higher than the average of PCRv/PPE ratings), 8 per cent have an average disconnect of zero, and 9 per cent have a positive average disconnect (i.e. the average of IOE's PCRv/PPE ratings by evaluation criteria is higher than that of the PCRs). However, the percentage of projects with a negative average disconnect has declined in the current period compared to the previous period, from 89 per cent in 2014-2016 to 79 per cent in 2017-2019. In terms of net disconnect in individual projects (i.e. taking into consideration the disconnects for all criteria), it is also noted that the greatest disconnects are more likely to be found for the projects evaluated in PPEs or IEs.
38. **Disconnects by evaluation criteria.** Average disconnects over different periods for individual evaluation criteria are shown in table 4. The largest disconnect over the long-term (2007-2019) is for relevance, with the value of -0.53, while the smallest disconnect is for adaptation to climate change (-0.14). The data by region on the overall average of the average

¹⁰ When looking at the criteria scores as binary variables i.e. satisfactory or not.

disconnect by evaluation criteria are presented in annex VIII.

39. Data on individual project ratings indicates that a disconnect larger than two points in the ratings between IOE and PCRs is found most frequently in the criteria of relevance and scaling up (6 per cent of the projects for each criterion over the period 2007-2019), followed by gender equality and women's empowerment (3.7 per cent). These are also the criteria with the highest share of the PCR rating of "highly satisfactory (6)" (13 per cent for relevance, 7 per cent for (potential for) scaling up, 6 per cent for gender equality and women's empowerment). For scaling up, another reason for frequent and/or large disconnects was the difference or ambiguity in the definition of the criterion, which was labelled as "**potential for scaling up**" in the previous PCR guidelines. In some cases, a follow-on project financed
- by IFAD is considered as evidence of scaling up in the PCRs and this interpretation was questioned by the independent evaluations.
40. When comparing the latest period (2017-2019) with the previous three-year period (2014-2016) and the longer-term period (2007-2019), disconnects between PCR and IOE ratings decreased for most criteria (see details in annex VI). Adaptation to climate change and ENRM have the lowest disconnect. Gender equality and women's empowerment is the only criterion showing a greater gap between IOE and PCR ratings in the latest time period.
41. **PCR quality.** IOE evaluations (PCRVs and PPEs) rate the quality of PCRs in four aspects, i.e. scope, quality (e.g. methods, data), lessons and candour. Chart 18 shows the average ratings both in the most recent three-year period and over a longer term

Table 4 **Average disconnect between PCR and IOE ratings for each evaluation criterion**

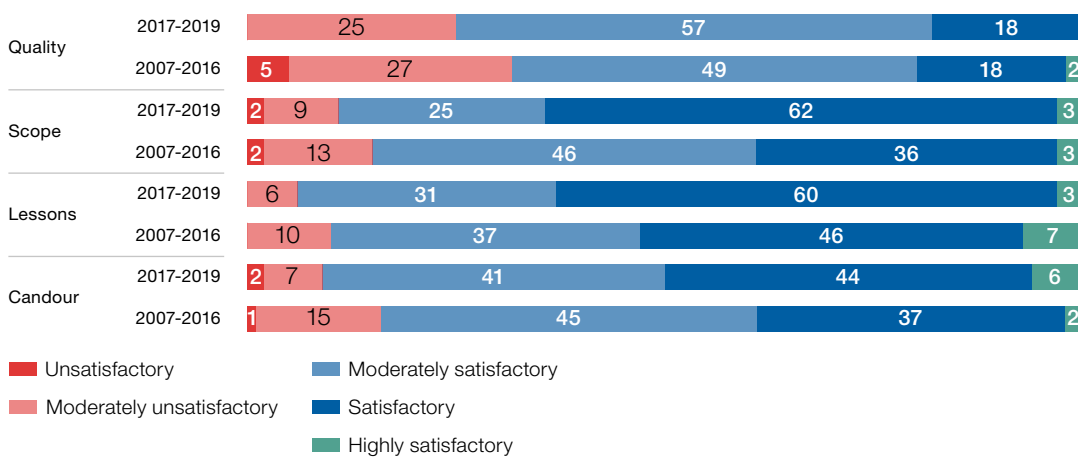
Evaluation criteria	Average disconnect Completed 2007-2019	Average disconnect Completed 2014-2016	Average disconnect Completed 2017-2019
Relevance	-0.53	-0.64	-0.35
Effectiveness	-0.25	-0.20	-0.25
Efficiency	-0.31	-0.34	-0.27
Sustainability of benefits	-0.28	-0.33	-0.17
Rural poverty impact	-0.20	-0.18	-0.22
Innovation	-0.16	-0.15	-0.08
Scaling up	-0.39	-0.54	-0.33
Gender equality and women's empowerment	-0.30	-0.33	-0.41
Environment and natural resource management	-0.16	-0.10	-0.05
Adaptation to climate change	-0.14	-0.16	-0.05
Overall project performance	-0.31	-0.36	-0.27
Performance of IFAD	-0.30	-0.29	-0.21
Performance of government	-0.32	-0.40	-0.27

Source: IOE calculations based on PCR and PPE/PCR data.

(2007-2016). Analysis shows that PCRs are scoring better on scope and candour in the most recent time period (projects completed in 2017-2019), compared to the longer-term period (projects completed in 2007-2016) and that the improvement in the ratings on PCR

scope ($p < 0.01$) and PCR candour ($p < 0.05$) is statistically significant (more details in annex VI, section E). For the other two aspects, i.e. quality and lessons learned, ratings are higher in the recent period but this difference may not be statistically significant.

Chart 18 **Percentage of IOE ratings for PCR documents (projects completed between 2007 and 2019)**



Key points

- Overall, the project ratings on all criteria continue to be predominantly in the range of moderately satisfactory and above. The share of projects with moderately satisfactory or better ratings is the lowest for efficiency at 56 per cent and the highest for innovation at 87 per cent.
- Slight improvements from previous periods are observed in terms of the share of projects with moderately satisfactory or better ratings for a number of criteria.
- The most recent performance (projects completed in 2017-2019) show statistically significant changes from the long-term trend (2007-2016) only for ENRM and adaptation to climate change (an improvement), albeit with a low level of confidence.
- Disconnects between the PCR ratings and IOE ratings appear to have narrowed. However, the disconnect for the criterion on gender equality and women's empowerment is the exception, where the gap has widened.
- IOE evaluations show that the quality of PCRs has improved overall, and indicate statistically significant improvements on the scope and candour criteria in the most recent time period (projects completed in 2017-2019).



Nepal

Women sell produce in midwestern Nepal. The purpose of IFAD's support is to integrate the rural poor – especially women and marginalized groups – into high-value agriculture value chains and markets, to improve their income, job opportunities and ability to respond to market demand.

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3

Performance of non-lending activities

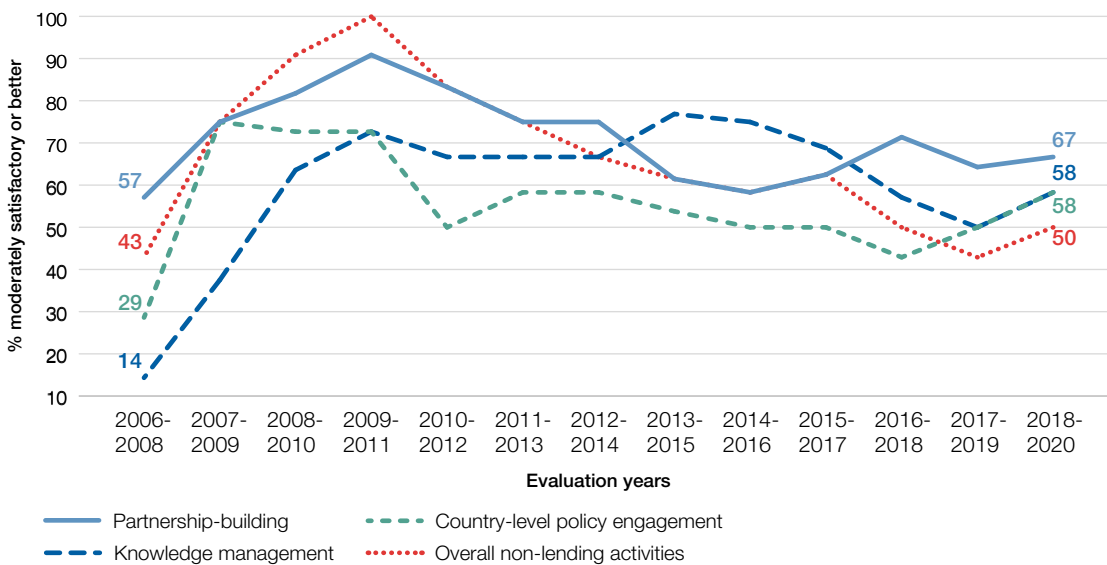
Analysis of performance ratings on non-lending activities

42. Chart 19 shows the share of CSPEs with ratings of moderately satisfactory or better for three areas of non-lending activities (i.e. knowledge management [KM], country-level policy engagement and partnership building) as

well as for overall non-lending activities, since 2006-2008 (based on the year of evaluation). The total percentage of country programmes considered moderately satisfactory or better for overall non-lending activities in the most recent period (2018-2020) is 50 per cent. This represents a 7.1 percentage point gain after a declining pattern until 2017-2019.

Chart 19 Performance of non-lending activities

Percentage of evaluations rated moderately satisfactory or better in 2006-2020 (year of evaluation)



Source: IOE CSPE database as of December 2020 (58 evaluations between 2006 and 2020).

43. The CSPEs with KM rated moderately satisfactory or better increased from 50 per cent in 2017-2019 to 58 per cent, as did country-level policy engagement (increasing from 50 per cent in 2017-2019 to 58 per cent in 2018-2020). Partnership-building reached 67 per cent in 2018-2020 to register the best performance among the three areas of non-lending activities.
46. In Niger, although the 2012 country strategic opportunities programme (COSOP) planned to establish a KM and communications strategy, none was developed. Collaboration between the project management unit and the network of the Chambers of Agriculture led to the preparation of technical notes that are useful but narrow in scope and cannot be used to generalize beyond individual projects. In Morocco, although the COSOP proposed some actions related to KM including an improved monitoring and evaluation (M&E) system to document KM activities and the progress of studies, there was no explicit and coherent strategy and approach as such.

Qualitative analysis summary from latest CSPEs

44. In the following section, a synthesis of IFAD's performance in the three areas of non-lending activities is presented based on the CSPEs completed in 2020 whose ratings were reflected in the analysis in the previous subsection (Morocco, Niger, Sudan and Uganda).¹¹
47. There were also good examples of KM-related activities at project level. In Uganda, the KM consultant based at the IFAD Country Office (ICO) promoted KM in all projects, while the continuity over various project cycles also contributed to the transferring of lessons learned. In Morocco, for instance, the Rural Development Project in the Mountain Zones of Errachidia Province developed a functional literacy manual focusing on agricultural activities which was disseminated locally as a knowledge-building activity.

¹¹ The Sudan CSPE was conducted in 2019 and completed in 2020. The other three CSPEs were conducted in 2020 and the final ratings were available at the time of the analysis for this ARRI (early 2021). Two other CSPEs conducted in 2020 (Burundi and Pakistan) are not included in this section, since the ratings were finalized in the second quarter of 2021.

¹² Including the organization of an internal learning route around the theme of natural resource management and agricultural productivity.

Knowledge management

45. **In general, KM strategies and activities were more in evidence at project level rather than at the level of country programmes, with one exception (Sudan).** In Sudan, concerted KM efforts were made at the country programme level, including: the development of a KM strategy 2017-2019, the establishment of a KM core group with IFAD, project teams and counterpart government agencies, and the preparation and implementation of KM-oriented activities.¹² Good practices around natural resource management and women's empowerment in Sudan were also shared with peers in Kenya (representatives from one county government situated in similar semi-arid environment with livestock-dependent communities) through a learning route. This is seen as an example of South-South cooperation.
48. Some CSPEs found improvements in KM activities in more recent projects compared to older ones. In Niger, the performance of KM in older projects was weak, but a more recent project has been more successful, for example by producing thematic studies, student dissertations and knowledge capitalization sheets. In Morocco, first-generation projects (designed before 2008) generally experienced unsatisfactory M&E systems for bringing out lessons learned but this gap was improved in second-generation projects. Since 2017, an information system has been developed that integrates and aggregates M&E data to facilitate the compilation and dissemination of lessons for the overall sub-sector of smallholder farming.

49. **Innovations in the Uganda country programme have been adopted more broadly in IFAD.**

A prominent example is the Uganda Yield Fund with supplementary grant financing from the European Union providing the model for the Agri-Business Capital (ABC) Fund, a private investment impact fund originally sponsored by IFAD in 2019 (see box 1).

50. **KM activities backed by well-qualified and dedicated personnel produced good results and when the right capacities were no longer available, KM performance stalled.**

In Uganda, the ICO-based KM consultant pursued an approach of drawing evidence from the projects, organizing knowledge exchange among project stakeholders, and presenting the knowledge to policy makers. The KM and communications activities proved effective, for instance in addressing negative media relating to environmental issues associated with oil palm production.

However, after the consultant's departure in 2015, resources for KM and communications declined swiftly and consistently until 2020. The regional KM architecture also fluctuated in this period with the abolishment of the regional KM officer position in the East and Southern Africa Division (ESA) at headquarters in 2013.

51. Similarly in Sudan, the country programme made good progress with the KM agenda especially with the presence of an IFAD staff member in the country office responsible for KM between 2015 and 2017, but after the departure of this staff member, systematic and coordinated KM undertakings were reduced and meetings of the KM project group became less regular.

Box 1 **South-South triangular cooperation – role in partnership-building**

The Uganda Yield Fund provides substantial knowledge and lessons learned relating to the pro-poor private sector and financial sector development. The Fund's ability to attract US\$20.4 million is a 'proof of concept' for a single country, single-sector impact investment fund, given an appropriate structure. The Uganda CSPE interviews noted that the Yield Fund experience encouraged the formation of IFAD's ABC Fund and provided knowledge more generally to meet IFAD's growing interest in supporting non-programme financial investments. The development of the ABC Fund was supported by the previous country programme manager for Uganda, who had designed the Yield Fund. The ABC Fund provides loans and equity investment adapted to the needs of rural SMEs, farmers' organizations, agri-preneurs and rural financial institutions. So far, the ABC Fund has invested over EUR 3.5 billion in Burkina Faso, Côte d'Ivoire, Ecuador, Ghana, Kenya and Uganda.

Source: Uganda CSPE: <http://agri-business-capital.com/ourinvestments.html>

Partnership-building

52. **IFAD's partnerships with main line ministries of government were generally good and effective, but there were also missed opportunities to collaborate with government agencies besides those in charge of project management.** In Morocco, IFAD formed a strategic partnership with the Government at the central level and operational partnerships with the decentralized structures. The regional development offices were actively involved in coordinating regional efforts regarding the projects. In Niger, IFAD's partnerships with different relevant ministries led to active collaboration in the supervision and implementation of projects. For instance, the General Directorates of Rural Engineering and of Rural Roads, together with the Office of Environmental Assessment, provided technical supervision of infrastructure works and the implementation of environmental and social management plans. On the other hand, IFAD in Niger did not develop strong links with key ministries related to women, youth and the private sector. Similarly, in Sudan, there were missed opportunities to enter into more structured and strategic relationships or to support capacity-building of other technical departments, such as the Gender Mainstreaming Unit of the Ministry of Agriculture.
53. **Performance on partnerships with international development agencies was mixed, in terms of complementarity of funding or synergy in actions.** In Uganda, IFAD primarily engages with international donors through sector working groups such as those for agriculture, but United Nations and bilateral partners interviewed by the CSPE had limited knowledge of IFAD's work and approaches, largely due to the limited staffing in the country office. In Morocco, IFAD had consultations with development partners, but the exchanges were not followed up with collaboration on projects, studies or joint operations. Furthermore, although various agreements and road maps exist among Rome-based agencies, no joint action was carried out. In Sudan, there were some cases of cofinancing or additional financing mobilized (e.g. the World Bank, the Global Environment Facility and the European Union), but IFAD could have coordinated better with partners on strategic and policy issues and KM, e.g. with the United Nations Environment Programme on the issues around natural resource governance. The results are positive in the case of Niger where IFAD had cofinancing arrangements with the African Development Bank, the Italian Agency for Development Cooperation and the Norwegian Agency for Development Cooperation on various projects. In addition, IFAD, the Food and Agriculture Organization of the United Nations and the World Food Programme worked together to implement an initiative aimed at building resilience by strengthening food and nutrition security in targeted communities thus combining the efforts of humanitarian and development partners.
54. **Engagement with the private sector is gaining ground, spanning a wide diversity of private actors.** In Niger, partnership with the regional chambers of agriculture has helped to promote the emergence of private entrepreneurship and viable management structures in various forms of community organizations, such as economic interest groups which manage agricultural commodity markets. In Sudan, partnerships with the private sector have been pursued with encouraging results and have further potential. Collaboration was initiated with a range of private sector companies, such as seed companies, input suppliers, agro-dealers, spraying service providers, and mechanized service providers. In some cases, such as in Uganda, grants were used to foster public private partnerships. In the oilseeds subsector,

Box 2 Using grants to foster strategic partnerships

In the oilseeds subsector, demonstrating the importance of value chain development, the Uganda country programme developed a strategic partnership with the Netherlands Development Organisation (SNV) through a national grant from the Uganda Oilseeds Subsector Platform and a regional public-private-producer partnership (4Ps) grant, “Partnering for value promoting 4Ps in IFAD-funded value chain development projects”. SNV proved a productive and cooperative partner with relevant experience in the oilseeds subsector, inclusive agriculture value chain development experience, and helped to develop market-based solutions. They also collaborated in the framework of public-private-producer partnerships both with the public sector to address systemic market constraints and inequities as well as with the private sector to successfully build sustainable smallholder supply chains. The grant work also benefitted from SNV’s sharing and cross-fertilization of experiences between local and national stakeholders across the region.

Source: Uganda CSPE

the country programme developed a strategic partnership with the Netherlands Development Organisation through grants. The organization proved a productive and cooperative partner in collaborating with both the public and private sectors.

human resources at country level to conduct studies and convene wide stakeholder fora to share lessons and experiences. The country programme in Uganda has attempted to rationalize the use of limited staff in the ICO by working with selected sector working groups (for example, the agriculture development partners working group and microfinance sector group).

Country-level policy engagement

55. **Projects form the main vehicle to engage in policy issues, but cannot replace IFAD’s potential direct role in policy engagement.** IFAD has made use of projects for advocacy, translating its indirect engagement in some instances into broader dialogue on rural development policies. However, optimal policy dialogue requires engagement at a higher level than what can be pursued during project implementation. Furthermore, it is key to work with other partners, complemented by good KM and sufficient systematization of learnings from project experiences. The Sudan CSPE found that opportunities to leverage partnerships on KM with development partners for advocacy were missed. Similarly, the Uganda and Morocco CSPEs highlighted the limited use of KM to influence and engage stakeholders beyond IFAD-financed projects, due to a lack of adequate financial and
56. **In a context of limited resources, grants have played a role in furthering country-level policy engagement in some cases.** In Uganda for instance, the ICO had frequent interactions with government, including informal and KM exchanges through a grant on public-private-producer partnerships that helped inform the development of a national oil palm policy as other private sector players began to enter the oil palm sector. The role of South-South and triangular cooperation continues to emerge as a strong means to engage in policy discourse. IFAD’s contribution to facilitate South-South cooperation in (and for) Morocco has been possible through two grants which have helped establish substantial dialogue and exchanges with some African countries on agricultural policies and techniques. In Sudan, an example emerged of using a country-specific grant for a national

13 The new “Regular Grants Policy” prepared in 2021 might have some implications on the resource envelope of regular grant funding, but “grants” here can be interpreted broadly as non-lending funding, including supplementary financing.

research organization to prepare a strategy on traditional rainfed agriculture which provided inputs to the Government’s Sudan National Agriculture Investment Plan (2016-2020). These examples notwithstanding, more

effort is required to explore further strategic opportunities to leverage grants¹³ to reinforce policy engagement by better linking country and multi-country grants with the country programme.

Box 3 Fostering policy engagement with government or an internal conversation within the ministry? The case of Niger

IFAD has delegated its engagement in policy dialogue to a project and country programme coordination mechanism in Niger. IFAD has entrusted the dialogue on public policies to the head of the Family Farming Development Programme, making this position a National Unit for Representation and Technical Assistance (CENRAT), located in the Ministry of Agriculture. The function of CENRAT is mainly to support regional project management units through a pool of national technical assistants. The head of the cell operates under the responsibility of the Ministry and is a national expert who has solid experience in rural development, and existing political networks both in the country and among the Government’s international partners. This has made it possible to use the Family Farming Development Programme to inform rural development policy and strategy formulation processes. However, it is unclear whether this results in a dialogue between IFAD and the Government or an internal conversation within the Ministry. As the CSPE Niger notes, there is a need for IFAD’s stronger presence when the dialogue on public strategy reaches its critical stages.

Source: Niger CSPE

Key points

- A country-level KM strategy, robust M&E systems, adequate resources (both human and financial), technical skills and partnerships are some of the necessary ingredients for successful KM. Where these were missing, KM activities at country programme level were disparate and operated without an overarching framework or roadmap for guidance, although there were also good examples of KM-related activities at project level.
 - Expanding outreach beyond the main counterpart line ministries and having adequate human resources at IFAD ICOs that have the time required to develop and maintain partnerships of a more strategic nature are necessary to forge country-level partnerships.
 - Policy engagement through the medium of projects is useful but, if left to the project teams alone, it can leave IFAD on the margins of dialogue processes. IFAD needs to ensure its presence and footprint at critical junctures of key policy discussions. In this regard, grants (including non-regular grant resources) could help further engagement on policy issues, and help overcome resource constraints. In turn, for effective policy engagement, the systematization of experience and knowledge drawn from the projects, as well as partnerships with like-minded partners are critical to develop in tandem.
-

Mexico

Zapotec indigenous women from a community in Oaxaca State. IFAD's project here helped create profitable and sustainable activities for indigenous peoples' communities, women and other vulnerable groups with limited access to land.

©IFAD/Carla Francescutti



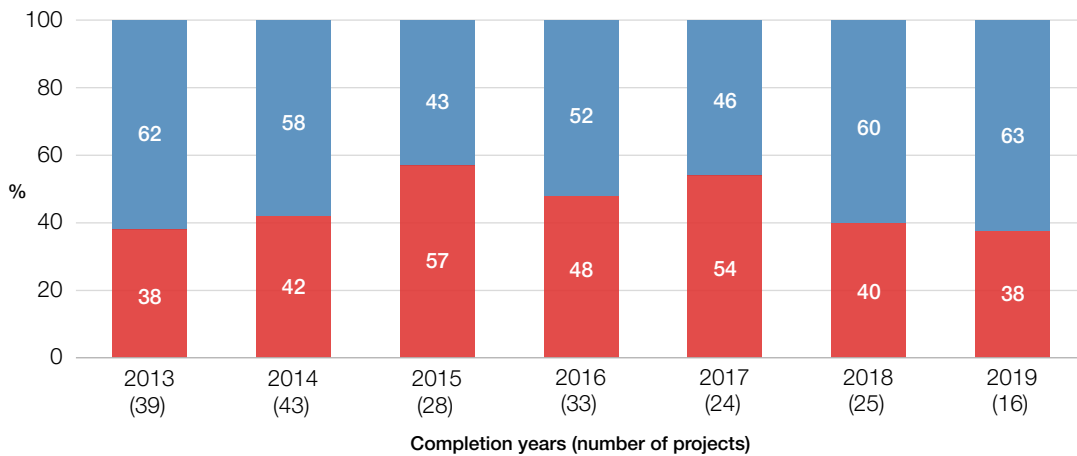
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Factors influencing project efficiency

57. Projects are the main vehicle used by IFAD to transfer developmental resources to its clients and hence it is important to assess whether and to what extent their benefits exceed their costs, and whether they are implemented in a timely manner. According to the corporate-level evaluation on IFAD's institutional efficiency and the efficiency of IFAD-funded operations (2013), efficiency appeared to be strongly correlated with rural poverty impact and overall project achievement.

58. Yet efficiency has been the “worst-performing” criterion overall, and the three-year average IOE ratings for efficiency have tended to fluctuate more than those for other criteria. Chart 6 in chapter II demonstrates that after sustained periods of downward movement, performance on efficiency is now showing an upward, positive shift. The improvement is seen also in the data for each year (of project completion: chart 20 below), which shows an increase in the percentage of projects with

Chart 20 **Ratings for efficiency of projects completed between 2013 and 2019 (by year of completion)**



■ Projects rated moderately unsatisfactory or worse ■ Projects rated moderately satisfactory or better

Source: IOE evaluation database (PPE/PCRV).

efficiency of moderately unsatisfactory and worse (ratings of 3 and below) from 2013 up to 2015, followed by a decrease from 2017 to 2019. In this context, the aim of this chapter is to identify and examine the factors that underpin the performance on efficiency of completed projects.

59. The IOE Evaluation Manual defines efficiency¹⁴ as “a measure of how economically resources/ inputs (funds, expertise, time, etc.) are converted into results”. The manual also provides guidance on the major elements to be examined to assess project performance on efficiency, such as timeliness in loan effectiveness and implementation, administrative costs, cost ratio of inputs to outputs, and economic internal rate of return, mostly by reviewing the available data, assessing their quality and triangulating them.

60. For the qualitative analysis, the portfolio of evaluated projects was selected as follows: 46 projects completed between 2013-2015 with the efficiency criterion rated moderately unsatisfactory or worse, and 37 projects completed in 2017-2019 with the criterion rated moderately satisfactory or better. Based on the review and analysis of PPEs/PCRVs, the following main factors (or “markers”) affecting (positively or negatively) project efficiency were identified: (i) effectiveness lag; (ii) pace of implementation and disbursement; (iii) staffing issues; and (iv) cost-related issues (project administration costs, changes in input costs). These are not mutually exclusive and they may overlap. IFAD’s report on the 12th replenishment has also highlighted similar issues.¹⁵ Annex V presents a working definition of these factors as well as the frequency of their occurrence in the reviewed projects. Specific examples of positive and less positive factors are discussed for the identified parameters below.

¹⁴ The definition of efficiency by the Development Assistance Committee of the Organisation for Economic Co-operation and Development states: “the extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.”

¹⁵ The report noted: high staff turnover, inadequate local capacity, weak disbursement, poor financial management and procurement issues. (IFAD 2021. Report of the consultation on the twelfth replenishment of IFAD resources: recovery, rebuilding, resilience).

¹⁶ The PCRV nor the PCR explain for what and with which parties were the nine financing agreements, but they show that there were at least seven cofinanciers.

¹⁷ It is noted that in 2019 IFAD introduced a “no objection tracking utility system (NOTUS)”, a web-based application, with the aim to make the no objection processes more streamlined, better archived, tracked and monitored.

Effectiveness lag

61. *Long effectiveness lag* was found to be an issue in 39 per cent of the 46 reviewed projects completed in 2013-2015. One common factor resulting in longer effectiveness lag was the *role of the recipient government*. Examples included: a long time taken for the government to review and ratify the nine financing agreements, presumably required for numerous cofinanciers and IFAD,¹⁶ causing delays (the Lower Usuthu Smallholder Irrigation Project-I in Eswatini); a change in the main implementing agency from the one originally named in the design, leading to a delay in the project’s start (the Women’s Empowerment and Livelihoods Programme in the mid-Gangetic Plains in India); the government’s difficulty of meeting the conditions of a project entering into force, such as the approval of a management manual and the nomination of key personnel (the Participatory Smallholder Agriculture and Artisanal Fisheries Development Programme in São Tomé and Príncipe); and the lack of local political ownership by the provinces at the beginning of the project (the Patagonia Rural Development Project in Argentina).

Pace of implementation and disbursements

62. The slow pace of implementation was observed in 85 per cent of the 46 reviewed projects completed in 2013-2015. There were several reasons for the delays in implementation, chief among them being *procurement*-related issues. The reasons ranged from delays in setting up the project management unit and recruiting the project coordinator (the Ardahan-Kars-Artvin Development Project in Turkey); project staff facing difficulties in aligning the procurement processes with IFAD’s requirements (the Rural Financial Intermediation Programme in Lesotho); to a slow response by IFAD to “no-objection” requests¹⁷ (the Small-Scale Irrigation and Water Management Project in Burkina Faso).

In large part, cumbersome procurement and contract management procedures and the lack of mastery of these procedures by project management unit staff resulted in delays (the Southern Nyanza Community Development Project in Kenya). In one case, it took around eight months to make an award for civil works (the Post-Tsunami Agricultural and Fisheries Rehabilitation Programme in the Maldives). One of the most serious adverse effects of delayed procurement was on the quality of activities. Late procurement of service providers for training resulted in a rushed delivery that caused mistakes including training conducted concurrently without due reporting and at higher costs (the Agricultural Technology and Agribusiness Advisory Services in Uganda). Similarly, the rush to achieve physical targets, caused by the procurement delay, did not leave beneficiaries with sufficient time to receive training and master the technology, which risked threatening the sustainability of results generated (the Rural Finance Support Programme in Mozambique). In the Participative Development and Rural Modernization Project in Panama, a considerable delay in opening the special account led to a delay in the first disbursement. Lastly, weaknesses in project design's relevance to local needs could cause delays in the project gaining traction (e.g. the Ardahan-Kars-Artvin Development Project [AKADP] in Turkey).

63. The 2017-2019 cohort of completed projects demonstrates the importance of *recommendations* made by supervision missions to improve implementation and disbursement, and importantly, the effective response of project units to implement them. Actively following recommendations: (i) helped attain physical targets so that funds were disbursed and most activities implemented in a shorter timeframe than planned (Rural Business Development Project in Bosnia; Agriculture, Farmers and Rural Areas Support Project in Viet Nam); (ii) withdrawal applications were prepared on a timely basis, and funds were transferred to implementing parties on

time (Smallholder Dairy Commercialization Programme, Kenya); and (iii) agreement was reached on parallel financing to make up the shortfall of the committed matching funds of prefecture and county governments helping implementation rates to soar (Yunnan Agricultural and Rural Improvement Project, China).

64. In terms of *counterpart funding*, good coordination of fund utilization across all financiers allowed for cost-efficiency, including through sharing human resources. In the case of the Coastal Climate Resilient Infrastructure Project in Bangladesh, IFAD used services from the infrastructure specialist financed by the Asian Development Bank (AsDB) and increased the total financing of road and market connectivity and climate-resilient capacity-building in the project area, improving the implementation efficiency which also helped keep costs commensurate with expected results. The lack of availability of counterpart funding planned at design is not an uncommon situation facing projects but this can drive down expected benefits from the project, depending on the size of funding gap. Projects were successful in the face of this challenge when some counterparts increased their own contributions to compensate for the shortfall, as the beneficiaries did in the case of the Rural Business Development Project in Bosnia. In other cases, more efficient use of available resources led to the shortfall being covered, as was observed in the Rural Microfinance Programme in Mali, when a lower than expected contribution from government had a minimal impact on project implementation. This was due to countermeasures taken by the project unit which used the money raised on creditor interests accrued to cover taxes on small expenses.

Staffing issues

65. Staffing issues were raised in 74 per cent of the 46 reviewed projects completed in 2013-2015. *Insufficient expertise of project staff*, both managerial and technical, caused delays in implementation. This manifested itself in the form of *inadequate preparedness* of the programme coordination unit leading to slow project start-up (Rural Financial Intermediation Programme in Lesotho) and *poor decision-making* by the coordination unit leading to a waste of resources (National Programme for Sustainable Human Development, Comoros). In the latter case, for instance, the intermediary organizations decided to start awareness-raising in all project areas in the first year, even though the pre-appraisal report had suggested a staged approach, leading to the project having to spend additional resources on consolidating the results. In some cases, slow implementation was also caused by a *lack of induction and training of project staff* at the beginning of the programme (Community-Based Natural Resource Management Programme – Niger Delta Region, Nigeria).
66. The delays in setting up project units due to *slow recruitment of project staff* also hindered the implementation pace. An inability to recruit and retain qualified staff was the main reason (e.g. M&E staff in the Rural Rehabilitation and Community Development Project in Guinea Bissau; an incomplete cadre of key specialists in the Rural Enterprise and Agricultural Development Project in Guyana) but often the remoteness of the project locations (AKADP Turkey) coupled with an unattractive salary (Rural Development Project for the North-West, Azerbaijan) created difficulties in hiring competent staff.
67. *High staff turnover* negatively affected the implementation efficiency and programme management of several projects. In some cases, projects witnessed a high turnover of programme coordinators during their life cycles (Rural Enterprise and Agricultural Development Project, Guyana; Post-Tsunami Agricultural and Fisheries Rehabilitation Programme, Maldives; Post-Tsunami Coastal Rehabilitation and Resource Management Programme, Sri Lanka; AKADP Turkey). A high staff turnover not only increased management costs because external service providers had to be contracted at significantly higher costs (Rural Finance Project [RFP], The Gambia) and new contracts and rates were negotiated above those expected at design, but also led to lack of follow-up on the supervision mission recommendations due to an incomplete transfer of work (Root and Tuber Improvement and Marketing Programme, Ghana).
68. On the positive side, evaluations highlighted that the presence of knowledgeable and experienced staff early at the programme start-up stage was the key to establishing effective and efficient systems, particularly for specialized tasks such as financial management (Project for Agricultural Development and Economic Empowerment, Cambodia; Rural Territorial Competitiveness Programme, El Salvador). In the case of cofinanced projects, although coordination and communication were often a challenge, having different cofinanciers fund different project staff positions was beneficial because it enabled the project unit to have specialized staff (Coastal Climate Resilient Infrastructure Project in Bangladesh). Furthermore, having a regular performance assessment of staff and providing incentives to the project management unit through allocating additional funds for performance-based remuneration also led to implementation success (Coastal Community Development Project, Indonesia).

Cost-related factors

69. Inefficiency related to *project administration costs* was mainly characterized by two factors: the upward deviation of actual costs from their estimates at design, and staffing-related issues. A few projects had to revise their estimates during implementation because the design had insufficiently accounted for the *country context challenges* including the costs to cover the wide geographic spread of the project areas and the resulting higher transportation and supervision costs (Community-Based Natural Resource Management Programme – Niger Delta Region, Nigeria; Rural Development Project in the Likouala, Pool and Sangha Departments, Congo; Kidal Integrated Rural Development Programme, Mali; Post-Tsunami Agricultural and Fisheries Rehabilitation Programme, Maldives). While not part of the cohort of project evaluations reviewed for this chapter, it is worthwhile flagging an issue relating to the country context identified in the Niger CSPE. In Niger, the procurement of works is generally undertaken nationally but only a handful of companies would be eligible to participate in bidding processes in donor-funded projects. They therefore effectively act as “price setters”.
70. Another key factor was the higher cost of project staff (e.g. recruitment of additional staff) and external service providers than estimated (e.g. the Participatory Integrated-Watershed Management Project, The Gambia). This could be because of the dearth of key qualified staff in the country for certain functions such as procurement and financial management (Rural Financial Intermediation Programme in Lesotho) or the need for specialized skills such as for evaluation of infrastructure designs or value chain analysis (Smallholder Horticulture Marketing Programme, Kenya) or microfinance (RFP, The Gambia). In some instances, incorrect design assumptions related to the funding source increased project management costs. For example, the design assumed that the government would provide office space and other associated facilities but the project ended up meeting such costs itself (Smallholder Livestock Investment Project, Zambia).
71. Some projects reviewed had a very high share of project administration/ management cost out of the total project cost. Among the 46 projects completed 2013-2015 with the ratings of moderately unsatisfactory or worse for the efficiency criterion, about 40 per cent of the projects (18 projects) spent more than 25 per cent of the total project cost on project management. The project management cost exceeded 40 per cent of the total cost in four projects of these: the RFP, The Gambia; the Rural Rehabilitation and Community Development Project, Guinea-Bissau; the North-Eastern Regional Rural Development Project, the Syrian Arab Republic; and the Participative Development and Rural Modernization Project, Panama. Of these, except for the RFP in The Gambia, the actual total project cost and IFAD funds disbursement was much lower than the projection (between 24 and 55 per cent of the execution level) due to implementation and disbursement issues, thus the share of the project management costs became more accentuated against the total cost.
72. In addition, the issue of *high input costs* affecting efficiency was discussed in 39 per cent of the projects reviewed (completed in 2013-2015). The ratio of input cost to output estimated at the appraisal can change when: (i) an increase in planned input costs is accompanied by no changes to outputs; (ii) no change in input costs coincides with a decrease in planned outputs; (iii) no change in input costs occurs with an increase in planned outputs. In instances (i) and (ii), the efficiency of operations is negatively affected. Input costs of some of the evaluated projects increased during implementation because costs were overlooked or under-estimated at



the design stage. In the case of the Agricultural Resource Management Project – Phase II in Jordan, additional supplementary activities needed for realizing the main activities were not considered at design thereby raising the project cost, while in the case of the Smallholder Horticulture Marketing Programme in Kenya, additional works during implementation led to cost overruns. Cost overruns can have serious implications as was the case of the Maize Storage Project in Timor-Leste, where underestimation of costs for an activity led to the cancellation of another planned activity to overcome the deficit. At times, exogenous factors such as sudden swings in input prices or currency depreciation/appreciation can also affect the input costs (Rural Development Project for the North-West, Azerbaijan).

Key points

- Efficiency can be managed by improvements in planning, preparation, flexibility and adjustments, and an effective interaction between partners, since most issues relate to implementation (e.g. staffing, pace of implementation and disbursement, procurement procedures and processes). Indeed, performance of efficiency in operations depends on the performance of both IFAD and the government. For instance, IFAD has an important role to play in ensuring sound project designs, effective supervision and implementation support, timely response to issues emerging during implementation, and adequate emphasis on M&E and support in this regard. On the other hand, governments are well positioned to address issues related to staffing, procurement, financial management and M&E, and any lack of incentives and accountabilities for expeditious decision-making.¹⁸
 - Taking cognizance of the country context is crucial to improving efficiency, in terms of establishing realistic assumptions of time and costs. It is therefore important to reflect on experience and incorporate lessons from past projects. Similarly, understanding the implications of different types of interventions on time and costs is also important. For example, infrastructure-related interventions can incur complex and lengthy procurement procedures to contract construction companies and other service providers and this must be factored in at the time of design. This seems to be a persisting issue, observed across different generations of projects as well as in many countries.
 - Institutional and structural issues can negatively affect procurement processes, for example, where the availability of eligible bidders (such as contractors, service providers, consultants) is limited. Furthermore, there can also be unexpected factors (e.g. sudden swings in input prices, currency depreciation/appreciation or lack of availability of expected counterpart funding) for which risk mitigation should be prepared.
 - The assessment of efficiency requires reasonably accurate and comparable data to be available about the amount of resources (such as time and costs) invested and benefits generated. Therefore, project M&E has a strong bearing on measuring efficiency.
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18 Working Paper on Programme Efficiency, corporate level evaluation on IFAD's institutional efficiency and efficiency of IFAD-funded operations, 2013.



Madagascar

A potter walks with his wares. In Madagascar, IFAD is working towards creating efficient business development services that respond to the needs of small and micro rural enterprises.

5

Review of operations in countries with fragile situations

Background and context

73. As fragility represents a threat to the implementation of the 2030 Agenda for Sustainable Development, addressing the challenges posed by fragile situations for development processes and investments has become a priority for the international community. The World Bank estimated that more than half of the world's poor lived in fragile and conflict-affected situations at the end of 2020, and with current trends, this would mean up to two-thirds of people could face extreme poverty by 2030.¹⁹
74. Fragility can have severe consequences for rural development and livelihoods. The most vulnerable, particularly women and youth and smallholder farmers in marginal areas, are most often affected by these situations. Indeed, an evaluation conducted by IOE in 2015²⁰ confirmed that IFAD had “a critical role to play in fragile and conflict affected states and situations in promoting sustainable inclusive development and rural transformation.”
75. Following IOE's corporate-level evaluation and with the growing attention to fragile and conflict-affected situations in the replenishment processes, IFAD has been stepping up its efforts to provide strategic and operational frameworks,²¹ notably: the ‘IFAD strategy for engagement in countries with fragile situations’ (December 2016), followed by the ‘special programme for countries with fragile situations: operationalizing IFAD's fragility strategy’ (May 2019). The special programme seeks to ensure that operations in fragile situations focus on selected entry points with demonstrated effectiveness in addressing fragility and building resilience.
76. The 2016 strategy presents the definition of fragility as follows: ‘Fragility is a condition of high vulnerability to natural and man-made shocks, often associated with an elevated risk of violence and conflict. Weak governance structures along with low-capacity institutions are a common driver and consequence of fragile situations. Fragile situations typically provide a weaker enabling environment for inclusive and sustainable rural transformation and are characterized by protracted and/or periodic crises, often with implications for smallholder agriculture and food security.’
77. The 2016 strategy developed an IFAD-specific list of most fragile situations based on institutional capacity and conflict, but the 2019 special programme switched to using the World Bank's annual harmonized list of fragile situations.²² Addressing fragility is high on the IFAD12 agenda, which includes a commitment to improve IFAD's focus on addressing the
- 19** See: Paul Corral, Alexander Irwin, Nandini Krishnan, Daniel Gerszon Mahler, and Tara Vishwanath. *Fragility and Conflict: On the Front Lines of the Fight against Poverty*. Washington, DC: World Bank, 2020. doi:10.1596/978-1-4648-1540-9. License: Creative Commons Attribution CC BY 3.0 IGO <https://www.worldbank.org/en/topic/poverty/publication/fragility-conflict-on-the-front-lines-fight-against-poverty>
- 20** IOE/IFAD. 2015. *Corporate-level evaluation on IFAD's engagement in fragile and conflict-affected states and situations*.
- 21** There was also an earlier guiding document, the IFAD policy on conflict prevention and recovery in 2006.
- 22** The World Bank Group has annually released a list of fragile and conflict-affected situations since 2006. The list has gone through a series of changes, namely: the Low Income Countries Under Stress List (2006-2009); the Fragile States List (2010); the Harmonized List of Fragile Situations (2011-2019); and the List of Fragile and Conflict-Affected Situations (2020). Since fiscal year 2020, the list presents the countries by the following groups: high-intensity conflict; medium-intensity conflict; high institutional and social fragility (with a breakdown between non-small states and small states).

drivers of fragility and dedicating at least 25 per cent of core resources to fragile situations.²³

78. In the above context, this chapter presents the project performance in countries with fragile situations and those without, and also identifies key issues, good practices and lessons drawn from past evaluations.²⁴ The review here updates and builds on the relevant findings of the 2020 ARRI, which highlighted the importance of adequate contextual analysis in all cases but particularly where legal and institutional frameworks and governance are weak, as well as the challenge observed in adapting to changes in the social, political, natural and development landscape, especially in countries with fragile situations.

Performance ratings – projects in countries with fragile situations

79. For the quantitative analysis on the performance ratings, the projects were categorized as having operated in countries with fragile situations if: (i) the country was on the World Bank's annual lists of countries with fragile situations²⁵ for more than half of the project implementation period; or (ii) the country was on the World Bank's 2020 list of countries with fragile and conflict-affected situations, and specifically in the category "countries affected by violent conflict".²⁶ This exercise identified 102 projects in countries with fragile situations and 196 with non-fragile situations.²⁷

80. The long-term performance over 2007-2019 shows that average ratings for the projects in countries with fragile situations are worse for all criteria than in other countries, with the criteria on efficiency, government performance, overall project achievement, scaling up and sustainability of benefits showing statistical significance (see annex VII, table 2 and chart 1). This may not be completely unexpected given the multitude of challenges presented when working in fragile contexts, such as weak institutional capacity and possible disruptions in project implementation due to socio-political crises. This pattern, however, does not hold true for recent periods. For projects completed between 2017 and 2019, the percentage with moderately satisfactory or better ratings is higher for those in countries with fragile situations for a number of criteria: efficiency, adaptation to climate change, overall project achievement, gender equality and women's empowerment, IFAD performance, and relevance (table 5).

81. Table 5 also shows that the performance of projects in countries with fragile situations completed in 2017-2019 improved for all criteria but one, compared with the previous time period (completion in 2014-2016) – and by a notable margin for several criteria (e.g. efficiency, government performance, adaptation to climate change and innovation), while the performance in other countries remained stable with minimal changes between the two periods for the main evaluation criteria. A more detailed analysis on project performance ratings in countries with fragile situations and other countries is included in annex VII.

23 IFAD 2021. Report of the Consultation on the Twelfth Replenishment of IFAD's Resources: Recovery, Rebuilding, Resilience (February 2021).

24 PPEs, PCRVs, CSPes, as well as the corporate-level evaluation on IFAD's engagement in fragility and conflict-affected states and situations, evaluation synthesis reports on building partnerships for enhanced development effectiveness, IFAD's support to community-driven development, and infrastructure at IFAD.

25 <https://pubdocs.worldbank.org/en/176001594407411053/FCSList-FY06toFY20.pdf>

26 Most of the countries in this category have been on the list for all or most previous years, but this categorization also added some countries which were not in the list before or were in the list for less than five years between 2006 and 2020, namely: Burkina Faso, Cameroon, Niger and Nigeria.

27 Sometimes also referred to as "(countries with) non-fragile situations" in this report. The categorization is based on the list by the World Bank and it does not represent any judgement by IOE on whether a country faces fragile and conflict-affected situations or not.

Table 5 **Percentage of moderately satisfactory ratings or better – projects in countries with fragile situations and other countries (2017-2019 versus 2014-2016, by year of project completion)**

	Fragile situations			Non-fragile situations		
	2014-2016 (N=30)	2017-2019 (N=24)	Δ 2017- 2019 vs 2014-2016	2014-2016 (N=52)	2017-2019 (N=44)	Δ 2017- 2019 vs 2014-2016
Efficiency	40	58	▲ 18	60	55	▼ -5
Government performance	47	63	▲ 16	65	64	▼ -2
Adaptation to climate change	72	86	▲ 14	78	80	▲ 3
Innovation	73	83	▲ 10	85	89	▲ 4
Overall project achievement	70	79	▲ 9	76	75	▼ -1
Sustainability of benefits	50	58	▲ 8	67	70	▲ 3
Effectiveness	63	71	▲ 8	85	82	▼ -3
Gender equality and women's empowerment	80	88	▲ 8	70	69	▼ -1
Environment and natural resources management	76	83	▲ 7	84	88	▲ 4
IFAD performance	80	83	▲ 3	85	80	▼ -5
Relevance	93	96	▲ 3	79	80	▲ 1
Scaling up	60	63	▲ 3	73	75	▲ 2
Rural poverty impact	70	70	— 0	83	83	— 0

Source: IOE database.

Note: IOE criteria are ranked by change in percentage between the periods for countries with fragile situations.

Findings from project-level evaluations

82. Among all project evaluations and PCRVs prepared by IOE between 2018 and 2020 (for a total of 147 projects), 23 projects were reviewed for a qualitative analysis (see table 4 in annex VII). The identification of these 23 projects was based on the country's status in the year of respective project completion according to the World Bank's harmonized list of countries with fragile situations, which has been adopted by IFAD (see also paragraph 77 and annex VII).
83. Key broad areas of inquiry for the qualitative analysis of the evaluation findings included the following: (i) to what extent the country and project contexts with fragility were analysed and reflected in the design; (ii) to what extent and how did the projects seek to address the drivers/factors of fragility (of what kind); (iii) to what extent and how did the projects address the consequences of fragility; and (iv) how well did the projects promote social inclusion.
84. **A recurring issue found in the evaluations is a lack of or insufficient analyses of fragility and institutional contexts at design stage**, which led to ineffective interventions in fragile situations and implementation arrangements. This also led to project designs considered too complex for the capacities of existing institutions. For example, for the Small Scale Irrigation Development Project Phase II in Haiti, given the difficult national socio-economic context and the natural disasters that characterized the project implementation period, the design, while relevant, was too complex and ambitious. It failed to consider weak institutional capacity and the vulnerability of Haiti to repeated natural disasters which resulted in numerous setbacks and ultimately hampered the sustainability of the project. Often project design envisaged implementation arrangements involving service providers (e.g. NGOs). However, the capacity and competences of these service providers was insufficiently verified, for example, in: Support to Agricultural Production and Marketing Project (PROPACOM) and Agricultural Rehabilitation and Poverty Reduction Project (PRAREP), both in Côte d'Ivoire; Project to Revitalize Crop and Livestock Production in the Savannah (PREVES) in the Central African Republic; Support to Agricultural Development Project in Togo. Project support in post-conflict situations to train, revitalize and strengthen the capacity of producer organizations was relevant in general. However, in the case of PROPACOM (Côte d'Ivoire) the design did not adequately identify the critical issues and weaknesses affecting most producer organizations in a post-crisis context. The heterogeneity of targeted producer organizations in terms of institutional arrangements as well as internal capabilities could have been better reflected in the design of the Rural Development Support Programme in Guéra in Chad.
85. **The simplicity of project design, ensuring a clear focus and a simpler set of objectives, was highlighted in evaluations as an important feature to increase the likelihood of effective implementation in fragile situations.** The design of the Pastoral Water and Resource Management Project in Sahelian Areas (PROHYPA) in Chad was characterized by its simplicity, focusing primarily on vulnerability of access to natural resources, i.e. the competing needs of livestock farmers and pastoralists for water for animals. In the Rehabilitation and Community-Based Poverty Reduction Project (RCPRP) in Sierra Leone, condensing the components from four to two introduced a stronger focus among activities and recognized the limitations on implementation capacities in a fragile situation. In addition, the focus on a few key agricultural commodities was considered a strength of the project, which helped revive one of the main sources of income for rural poor

people through rice and cocoa production. On the other hand, the Agricultural Value Chains Support Development Programme in Congo, which originally planned to intervene in 13 different value chains, proved to be a challenge given the lack of both commercial expertise and rural infrastructure, and also given the institutional set-up²⁸ was complex. For the Support to Agricultural Development Programme in Togo, funding from the Global Environment Facility was mobilized during the implementation to mitigate the impact of climate change on vulnerable groups, but this component was overambitious and complex, with multiple activities and intervention subsectors. The addition of a component in the middle of implementation with a short timeframe also proved challenging.

86. **Support for recovery, rehabilitation and recapitalization of productive capacity in post-conflict situations mostly performed well. However interventions aimed at addressing market access and shifting to longer-term development faced more challenges.** In Liberia, a change in the country and agricultural development context resulted in the second phase of the Agriculture Sector Rehabilitation Project (ASRP) shifting to a more market-oriented approach and a focus on developing participatory extension systems, but it was less effective than in the initial phase, which had succeeded in quickly recapitalizing poor farming households with farming inputs and assets (i.e. livestock). This related to a number of challenges faced by the project in Phase II (including those of institutional capacity).²⁹ While RCPRP Sierra Leone was effective in improving cocoa and rice production, it fell short of its objective of supporting the increased production to reach the market. The implementation of the Smallholder Tree Crop Revitalization Support Project (STCRSP) in Liberia, focused on value chain development for cocoa and coffee,

was also hampered by limited institutional capacity and a regulatory vacuum in the cocoa subsector that undermined relationships between the private sector, cooperatives and farmers.³⁰ The STCRSP evaluation found that given the post-war situation and limited in-country institutional and implementation capacity, the project could have more explicitly reflected on past challenges from Liberia and other countries in similar contexts. In PRAREP in Côte d'Ivoire, the distribution of agricultural kits helped boost agricultural production in the post-crisis context, and subsequently farmers' incomes in some regions, but greater attention was needed on issues such as strengthening producers' organizations, establishing a sustainable input credit arrangement and supporting social inclusion.

87. **Support for basic infrastructure, often through community-based approaches, is a common feature in fragile or conflict-affected situations and in many cases it had important impacts** on reducing isolation, improving productivity, lowering the costs of accessing markets and improving access to basic social services. A number of projects supported the development of infrastructure, such as water points, sanitation and roads which had a positive impact, for example: the Butana Integrated Rural Development Project (BIRDP), the Rural Access Project, the Supporting Small-scale Traditional Rainfed Producers in Sinnar State project and the Western Sudan Resources Management Programme (WSRMP), all in Sudan; the Rural Development Support Programme in Guéra and PROHYPA in Chad; and PREVES in the Central African Republic. Some of these project evaluations reviewed (e.g. in Chad and in Sudan), as well as the evaluation synthesis reports on infrastructure, indicated positive experiences in working with communities for infrastructure development and operations in fragile contexts.³¹ The evaluation synthesis report on

28 The project team also had to follow up on other IFAD-funded operations.

29 The challenges in phase II noted in the PCR included: an outbreak of ebola that affected the project area, issues with the Farmers' Union Network concerning institutional development, a shortage of the Ministry of Agriculture staff and a reduction of the Farmers' Union Network extension staff.

30 For example, regulations on grading of cocoa.

31 The evaluation synthesis report on infrastructure noted that "several projects had very positive experiences when relying on community development as the post-conflict starting point of mobilization (Burundi), working with existing community organizations to generate and operate infrastructure (Democratic Republic of Congo and The Gambia), and investing heavily into the capacities of communities and community organizations (Chad in particular)".²⁰ There was also an earlier guiding document, the IFAD policy on conflict prevention and recovery in 2006.

32 For example, PRAREP in Côte d'Ivoire where the cofinancing for the infrastructure component did not materialize at all.

33 For example, the Rural Microfinance Programme and Fostering Agricultural Productivity Project (PAPAM) in Mali. PAPAM, funded as part of an agricultural sector-wide approach programme and also not necessarily focused on communities in situations in conflict or emerging from conflict, experienced a resurgence in conflict that left areas of the country inaccessible reducing the geographical scope and shifting the focus of financing to three value chains. In the Rural Microfinance Programme, political crisis led to reduction in scope and some cofunders withdrew, but partnership with the Canadian International Development Agency helped maintain services tailored to the needs of the rural poor.

34 For example, more involvement of local institutions in PAPAM Mali, new partners in PREVES in the Central African Republic.

35 PREVES in the Central African Republic "was based on ambitious hypothesis of stability not taking into account the risks associated with the possible resurgence of conflict" (PREVES PCR).³²

36 The evaluation synthesis report on community-driven development in IFAD-supported projects (IOE 2020) also found that "conflicts between pastoralists and farmers were successfully managed in Burkina Faso and Ethiopia", although Ethiopia has not been listed among the countries with fragile situations.

community driven development also found that community-based/driven development was more effective for infrastructure development than other approaches in hard-to-reach conflict and post-conflict situations.

88. While confirming the importance of infrastructure in fragile contexts, the evaluation synthesis report on infrastructure also recognized a number of challenges, such as capacity and governance constraints for procurement and the need for prolonged support at community level. Investments in land and water can be also constrained by land tenure and water rights (e.g. the Project to Support Development in the Menabe and Melaky Regions in Madagascar), which can themselves be the source and subject of conflict. Social infrastructure (e.g. schools and health facilities) is relatively easy to construct in fragile contexts, but the impact is highly dependent on adequate services provided in the new facility, for which institutional strengthening as well as access to the facilities are necessary.

89. The same evaluation synthesis report highlighted the importance of cofinancing for infrastructure investment, given the limited resources of IFAD, but the examples reviewed for this ARRI show that it could also add an element of uncertainty, for example when the envisaged cofinancing is delayed or does not materialize.³²

90. **Institutional strengthening is critical particularly in situations of fragility, but difficult to achieve.** The contexts of fragile situations vary widely, but they often share the characteristics of limited implementation capacity and weak governance structures, as well as frail rural institutions. Project strategies in fragile situations have often targeted capacity-building of institutions at all levels. Projects in Mali (the Fostering Agricultural Productivity Project [PAPAM]), Sudan (BIRDP

and WSRMP), Central Africa Republic (PREVES), Liberia (ASRP) and Sierra Leone (RCPRP and the Rural Finance and Community Improvement Programme) all included components on capacity-building and, despite some disruptions, achieved positive results. On the other hand, interventions in Côte d'Ivoire (PROPACOM), Haiti (the Small Scale Irrigation Development Project – Phase II) and Liberia (ASRP) were less successful or mixed in terms of institutional development also owing to weak analysis at design.

91. **A number of projects demonstrated flexibility in making adjustments in response to disruptions, but risk analysis and risk management strategies were not strong.** Few projects developed a comprehensive risk analysis with built-in mitigation measures associated with fragility. However a significant proportion of projects face substantial disruption and some demonstrated a flexibility to retain relevance, for example, by reducing the project scope in activities and areas³³ or making changes in implementation arrangements.³⁴ Some evaluations pointed out that the design may have been too optimistic or assumed a faster improvement or continued stability in a post-conflict context (e.g. PREVES in the Central African Republic and the Agricultural Value Chains Support Development Programme in Congo).³⁵ These findings highlight the importance of developing solid risk management strategies.

92. **Support for inclusive natural resources governance and sustainable natural resources management is an area of IFAD's strength, particularly when addressing conflict over access to and use of natural resources by different users.**³⁶ In WSRMP in Sudan, an initial focus on settled communities with only marginal involvement of pastoral communities was followed by an adequate redesign at mid-term, which proved instrumental in helping the project to

Box 4 Effects on conflict dynamics – examples

Two projects make specific reference to impact with regard to the fragility context:

- **Sudan WSRMP:** Capacity-building programmes, advocacy and other basic services, besides linking different communities and groups with supportive government institutions, contributed to a reduction in conflict between farmers and pastoralists through participatory NRM governance mechanisms and the establishment of conflict resolution centres. In the post-mid-term review, the project introduced mobile extension teams and pastoral field schools, among other interventions.
- **Chad PROHYPA:** The design of PROHYPA adopted a development model that recognized the mobility of livestock and people (transhumance) as a crucial strategy for exploiting dryland environments. The available data demonstrate that the project has been effective in reducing conflict situations and, consequently, on improving the social and economic quality of the pastoral environment.

improve outreach to pastoral communities by introducing a number of innovative practices. The evaluation synthesis report on community-driven development cited WSRMP's role as part of a conflict resolution strategy in the country with a participatory process that brought together nomadic tribes and settled agro-pastoral communities. BIRDPA aimed to create a governance framework for land and water resources through a bottom-up approach and develop the capacity of community-based organizations. In Chad, PROHYPA was designed to improve natural resource management for access to water in the face of climate change and to avert conflict between farmers and transhumant, or mobile, pastoralists.

93. **Fragility and conflicts could often be linked to the marginalization of certain segments of the population: some projects were effective in reaching them, while others mention them as part of the target group in design but without evidence of an effective strategy.** Post mid-term review WSRMP in Sudan, BIRDPA also in Sudan, as well as PROHYPA in Chad, adopted adequate strategies to reach different natural resource users and include mobile pastoral communities³⁷ (see also Box 4

above). PROPACOM in Côte d'Ivoire, which aimed to support a shift from emergency assistance to reconstruction with an emphasis on strengthening producer organizations, presents a unique experience of explicitly integrating youth in ex-combatants groups during its project implementation.³⁸ While the overall achievement of PROPACOM was rated moderately unsatisfactory, the project's contribution to the social integration of ex-combatants' groups with skills development was positively assessed. On the other hand, even though the inclusion of disabled people (together with youth, women, smallholder farmers and micro and small entrepreneurs) in the design of RCPRP in Sierra Leone was relevant to avoid reinforcing patterns of exclusion, the actual outreach (to disabled people) was limited.³⁹ Some other projects also explicitly mentioned ex-combatants and victims of conflicts as part of the target group in design,⁴⁰ but there is no evidence indicating the effectiveness of targeting.

94. **More broadly, the evaluations highlighted the importance of effectively targeting women and youth to help them restore their livelihoods and resilience in fragile contexts.** IFAD focuses on social inclusion in general, whether in fragile situations or not.

37 These three projects are classified by IFAD as including indigenous peoples in the target group (pastoral communities in these specific cases), even though the project documents do not use the term "indigenous peoples". Among the 23 projects reviewed for qualitative analysis, one more project is considered to have included indigenous peoples: Kuchis (pastoralists).

38 The integration of groups of ex-combatants was not explicitly planned in the design stage of the project; it was introduced during implementation. Using an innovative agreement with the Authority for Disarmament, Demobilization and Reintegration, ex-combatants were assisted to begin microprojects and to develop new skills and capacities.

39 No partner was engaged with a specific focus on working with people with disabilities, data were not disaggregated. (RCPRP PPE).

40 For example, ex-combatants and sexually-abused young women/single mothers (the Rural Finance and Community Improvement Programme in Sierra Leone), war-wounded and disabled people (STCRSP Liberia), youth including ex-combatants and disabled people (ASRP Liberia).

However, the significance of the inclusion of women and youth is underlined as they are likely to have been among those most severely affected by fragility and conflict. The integration of youth into social and economic empowerment programmes could also be relevant to mitigate potential factors that may contribute to conflicts in the future.

95. **Notable efforts to foster the inclusion and empowerment of youth and/or women were found, even though the links with causes or consequences of fragility are not always clear.** Examples include: backyard poultry and dairy goat farming targeted at women,⁴¹ as well as women's self-help groups to provide access to microfinance services at the community level in Afghanistan (the Rural Microfinance and Livestock Support Programme [RMLSP]); income generation for women and young people in Chad (PROHYPA); literacy training for women and inclusion of young people ex-combatants in Côte d'Ivoire (PROPACOM). WSRMP and BIRDP in Sudan also made significant contributions to the social and economic empowerment of women through capacity-building, community development access to finance (savings and credit groups) and productive activities tailored to their needs. While the outreach and effectiveness was not always evident, there are examples of specific youth-oriented interventions, notably those providing skills training for them to be engaged to provide services either in the project, or more broadly to become entrepreneurs. Some examples of opportunities created include: youth contractors for the rehabilitation of inland valley swamps, roads and tree crops, though to a limited extent (RCPRP in Sierra Leone); young professional programme (BIRDP in Sudan; RMLSP in Afghanistan; and STCRSP in Liberia); support to young potential entrepreneurs (e.g. the Support to Agricultural

41 "In a society where few women are employed, the programme has made considerable achievements towards the inclusion of women beneficiaries, particularly through the backyard poultry and dairy goat activities". (Rural Microfinance and Livestock Support Programme in Afghanistan, PCRV). The programme also organized mahrams (unmarriageable kin who can act as a legal escort for women during a journey longer than a day or a night) to accompany female project staff on field visits.

42 Cocoa farming, which was the main focus of the project, is traditionally considered a man's job and no strategies were established to integrate women into other parts of the value chain where they could play an important role (e.g. fermentation and drying). Also, the project design did not consider that in general these women and youth had limited or no access to land planted with cocoa and lacked financial resources to buy it.

43 For example, studies undertaken in the project areas focused on the technical feasibility of selected sites, rather than the conditions of the youth and their needs (Hilly Areas Sustainable Agricultural Development Project, Lebanon, PCRV).

Development Project in Togo). Lastly, the evaluation synthesis report on infrastructure at IFAD (IOE 2021) found that social infrastructure had clearly contributed to rural poverty impact and enhancement for women particularly in the form of education, health, and providing household water supply.

96. **On the other hand, there were also less than satisfactory results on reaching and benefiting women or youth, particularly when a targeting strategy informed by sound situation analysis was not developed.** For example, in STCRSP in Liberia, quotas for women and youth were not accompanied by targeting strategies to ensure the meaningful integration of these groups in the project, even if some youth-specific activities were pursued.⁴² In Lebanon, the Hilly Areas Sustainable Agriculture Development Project failed to adequately adapt to the evolving context by better understanding and incorporating the needs of a young rural population, given that the reduction of rural-urban youth migration became a priority for the Government during the project.⁴³ RCPRP in Sierra Leone did conduct capacity and needs assessments for youth (and disabled people) to develop action plans during the project but they came in relatively late and were not fully utilized, partly due to the delays with the construction of youth centres.

Findings and lessons from CSPEs on fragility

97. Analysis of project evaluations has brought insights into the ways in which projects were designed to take account of fragile situations and how implementation was adapted to respond to changing context and increased understanding. This chapter presents the main findings and lessons learned with regard

to the relevance of IFAD's country strategies and its non-lending activities (as opposed to operational level issues discussed earlier) based on the recent CSPEs in the countries which have been affected by fragility and conflicts, namely, Burundi, Madagascar, Niger, Sierra Leone and Sudan. They were reviewed with the following aspects in mind: (i) relevance and adaptability of the country strategy and programme; (ii) identification, management and mitigation of risks; (iii) strategic and effective working in partnership; and (iv) strategic use of non-lending activities.

98. **Conflict and fragility analyses to help develop a strategic approach to address fragility and manage risks in COSOPs – whether at national or sub-national level – are often limited, if they exist at all.** IOE's corporate level evaluation on IFAD's engagement in fragile and conflict-affected states and situations (2015) noted that while COSOPs analyse the dimensions of poverty, in most cases they do not sufficiently explore drivers of fragility. This perspective is echoed in the CSPEs reviewed. COSOPs rarely presented an explicit focus on conflict and fragility in programme priorities and objectives. Attention to aspects such as natural resources governance, inclusion and empowerment of youth and women, and institutional capacity-building all feature in projects, but they are rarely framed as a coherent fragility strategy. For example, in Sudan COSOPs (2009 and 2013), fragility and conflict-related issues, especially in relation to natural resources, were generally well-recognized, but their implications on the country strategy were not clearly discussed, despite successful project experiences. In Niger, a project has designed activities that could help mitigate conflicts over natural resources, but the country programme failed to develop a comprehensive approach to conflict analysis and prevention.

99. In Burundi, the 2009 COSOP developed as a post-conflict agenda focused on political and institutional risks and the risk management options included the possibility of engaging with diverse actors (including United Nations agencies). On the other hand, although the 2016 COSOP mentioned possible risk relating to political instability and weak government capacity (among other risks⁴⁴), it did not propose clear specific risk management measures. These weaknesses are noted, although it is also recognized that the specific guidance on fragility analysis in COSOPs was available at the time of any COSOP covered in the evaluations.

100. **The Burundi and Sudan CSPEs both highlighted the importance of continued and long-term engagement, building on lessons and experiences, targeting investment at grass-roots level institutions, as well as having committed field-level project teams.** In Sudan, community development and inclusive natural resource governance and management has been a running theme in the country programme, with innovative approaches introduced, such as stock route co-management and mobile extension teams. The Burundi CSPE also highlighted that, despite Burundi facing a number of fragile situations, the IFAD country programme was able to show resilience, with the contributing factors including the investment and consistent work at local and community levels improving accountability and ownership. The Sudan and Burundi CSPEs, along with the Madagascar CSPE, highlighted the fact that IFAD-financed projects remained operational without disruption over a long period of time. This has led to IFAD being recognized as a trusted long-standing partner.

44 Other risks identified were: fiduciary risk, slow pace of economic reform, weak capacity of microfinance institutions.

101. **There were some examples of partnerships associated with aspects of fragility, though not many at strategic levels. Weakness in strategic partnership building is a recurring issue, not only in those countries with fragile situations.** The Sierra Leone CSPE pointed out that while IFAD's portfolio was highly relevant to its fragile situation, IFAD fell short in terms of its collaboration with other development partners with expertise complementary to its own. In fragile and conflict-affected situations working closely with partners is especially important to share knowledge and to address wider causes of fragility than IFAD alone can address.⁴⁵ Partnerships can be at multiple levels and vary in purposes for implementation, cofinancing, knowledge sharing and more.

45 The IOE's evaluation synthesis report on building partnerships for enhanced development effectiveness (2018) also pointed out that "IFAD needs more non-governmental partners for project implementation, coordination and service delivery where government capacities are weak (often low income countries and most fragile situations)" and that "fragile and conflict-affected states that have many problems with government performance require special attention to alternative partnerships in order to ensure effective delivery of projects and services."

102. With regard to development partners, in Niger, an agreement with the Food and Agriculture Organization and the World Food Programme in 2017 proposed an operational framework for the Lake Chad Basin countries (Cameroon, Chad, Niger and Nigeria) to address humanitarian and development needs. Also in Niger, IFAD developed a cofinancing arrangement with the Norwegian Agency for Development Cooperation, which had interest and experience in working in fragile situations. The Sudan CSPE highlighted a missed opportunity to work with the United Nations Environment Programme which had also conducted extensive research on pastoralism and natural resource governance. In Sudan, partnership with the Native Administration

(traditional authority) in relation to natural resource governance and related conflict resolutions was an important feature in some projects, even though this was not consistently sustained at the time of the CSPE. The Burundi CSPE noted that IFAD's programme relies heavily on stable strategic partnerships, with a limited number of cofinanciers, state and non-state actors and civil society and that these alliances probably helped make IFAD's programme "resilient against risks."

103. **There are clear lessons about working in fragile situations emerging from projects but IFAD's strategies lack operational resources to package the knowledge to engage in policy issues beyond the project level.** In Sudan, internal "learning routes" facilitated exchange across projects that contributed to adaptation and replication on community networking, conflict resolution and various cropping and technology practices. There is little evidence these have been explored with external partners or in policy discussions. On the other hand, an interesting feature in Sudan through BIRDP was a bottom-up approach to tabling and deliberating on policy issues, which led to the preparation of a natural resource governance framework. In Sierra Leone and Niger, lessons were not systematically oriented to contribute to policy and decision-making despite emerging from experience with rural finance, decentralization, land tenure and empowerment of women and youth, all of direct or indirect relevance to fragile situations.

Key points

- A recurring issue found in the evaluations is insufficient analysis of the fragility context at design, which led to weaknesses in relevance, inadequate implementation arrangements and ineffective interventions.
 - A number of projects demonstrated flexibility in making adjustments in response to disruptions, but in general risk analysis and risk management strategies were not strong. Conflict and fragility analyses in COSOPs are also weak.
 - Effective and impactful interventions in fragile and post-conflict situations included: support to inclusive natural resource governance and sustainable natural resource management when addressing conflict over access to and use of natural resources by different user groups, as well as basic infrastructure. Support for the recovery, rehabilitation and recapitalization of productive capacity in post-conflict situations mostly performed well, but interventions shifting to longer-term development and addressing market access faced more challenges.
 - The project performance was mixed in terms of reaching segments of populations who were most affected by fragile contexts and conflicts or whose marginalization could lead to a conflict, but there were some good practices on which to build.
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Sudan

A woman in Wad Azzibir village prepares the bread she will sell at the local market.

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104. **The majority of project performance ratings in the most recent period (projects completed between 2017 and 2019) continue to be moderately satisfactory or above across the evaluation criteria, ranging from 56 per cent for efficiency to 87 per cent for innovation.** There are also some signs of improvement, with a number of evaluation criteria showing better performance in the latest two consecutive periods (i.e. 2016-2018 and 2017-2019), notably with regard to adaptation to climate change, efficiency, sustainability of benefits, innovation and scaling up (listed in order by magnitude of the improvement over the two periods).
105. However, for the criterion of IFAD performance, the share of projects rated moderately satisfactory or better has decreased slightly in comparison with the previous period. Only two criteria, ENRM and adaptation to climate change, show statistically significant improvements over the long term (for projects completed between 2007 and 2016).
106. **IFAD and governments need to act at the design stage and during implementation to improve project efficiency.** The efficiency criterion has consistently scored the lowest among the evaluation criteria, although the last two consecutive three-year periods show some upward change. Improving efficiency to enhance IFAD's development effectiveness is envisaged as a priority in IFAD12. This ARRI identifies the main factors influencing efficiency, such as factors that affect the pace of implementation (e.g. procurement processes, staffing and staff capacity) and cost-related issues. Monitoring of progress and implementation issues, timely action and adjustments and follow-up are critical to managing efficiency in ongoing projects. More in-depth analysis and learning from project experience, awareness of contextual issues and integration of measures to improve efficiency in new projects are also critically important.

107. **The performance of projects in countries with fragile situations has improved.** While the long-term analysis (2007-2019) shows that performance in countries with fragile situations is worse than in other countries, performance in recent periods shows improvement for several criteria.
108. **IFAD has some valuable operational experience in working in contexts of fragility.** IFAD-supported operations often help to address the consequences of fragility, especially in post-crisis contexts, for example through support to rebuild production capacity. There are also good practices in addressing the drivers of fragility, especially those linked to natural resources-related conflicts, which is an area of IFAD strength. Social inclusion is also critical to mitigate potential factors of fragility and/or to address the needs of those affected by fragility. There are some good examples of activities to promote social inclusion (e.g. of young ex-combatants and pastoralists), but in some cases, even though groups such as ex-combatants or war-disabled persons were mentioned as part of the target group in the project design, there was no evidence of effective targeting or monitoring. Moreover, even where project operations included some relevant elements, these were not clearly supported by a solid analysis and the development of a strategy with a fragility lens.
109. **Going forward, and capitalizing on its experience, IFAD will need solid strategies informed by dedicated conflict and fragility analysis to address both the drivers and consequences of fragility.** IFAD's operations in countries with fragile situations are expected to increase in the years to come, and IFAD12 includes a commitment to enhancing the focus on addressing the drivers of fragility. It will be important to strengthen the quality of fragility and risk analysis and incorporate flexibility and risk mitigation measures, with continuous monitoring and updating, both at country and project levels. IFAD stands to gain from learning more broadly from successful interventions that provided for context-specific, long-term engagement and strategies to strengthen lending and non-lending activities.
110. **Achieving positive performance in non-lending activities continues to be a challenge and requires strategic actions and resources.** While there are good examples at project level, KM at the country programme level was inconsistent, with no overarching framework and strategy to harness the experience, knowledge and lessons emerging from the country programme. Project experience should provide inputs to inform discussions of policy issues, but IFAD needs to be present and find effective ways to engage in policy dialogue, rather than relying on projects and project teams as the main vehicle for such engagement. Expanding partnerships beyond the main counterpart line ministries and forging strategic partnerships with other development agencies and stakeholders are critical measures that are also linked to both KM and policy engagement. In the context of IFAD12, IFAD is expected to step up the mobilization of financial resources to enhance performance in non-lending activities, but the need for personnel with the right competencies should also be addressed.

111. **IOE–Management engagement is required to develop a shared understanding on the basis for assessment of some evaluation criteria for which there have been larger or widening disconnects between IOE and project completion report ratings.** One such criterion is relevance. Although the average disconnect is narrowing, this criterion still shows the second largest average disconnect for projects completed during the period 2017-2019. Other criteria requiring attention are gender equality and women’s empowerment, which showed the largest average disconnect in projects completed in 2017-2019, and scaling up, which showed the third largest average disconnect. These issues need to be reflected in the ongoing revision of the Evaluation Manual and, going forward, closer management scrutiny of project completion report ratings in these areas is warranted.

Nepal

A man poses for a portrait in his field in Aamkholi village in Salyan District, Western Nepal.

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Annexes

Annex I Definition of the evaluation criteria used by IOE

Criteria	Definition*
Rural poverty impact	The changes that have occurred or are expected to occur in the lives of the rural poor (whether positive or negative, direct or indirect, intended or unintended) as a result of development interventions.
	<p>Four impact domains</p> <ul style="list-style-type: none"> • Household income and net assets: Household income provides a means of assessing the flow of economic benefits accruing to an individual or group, whereas assets relate to a stock of accumulated items of economic value. The analysis must include an assessment of trends in equality over time. • Human and social capital and empowerment: Human and social capital and empowerment include an assessment of the changes that have occurred in the empowerment of individuals, the quality of grass-roots organizations and institutions, the poor's individual and collective capacity, and in particular, the extent to which specific groups such as youth are included or excluded from the development process. • Food security and agricultural productivity: Changes in food security relate to availability, stability, affordability and access to food and stability of access, whereas changes in agricultural productivity are measured in terms of yields; nutrition relates to the nutritional value of food and child malnutrition. • Institutions and policies: The criterion relating to institutions and policies is designed to assess changes in the quality and performance of institutions, policies and the regulatory framework that influence the lives of the poor.
Project performance	Average of the ratings for relevance, effectiveness, efficiency and sustainability of benefits.
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, institutional priorities and partner and donor policies. It also entails an assessment of project design, coherence in achieving its objectives, and relevance of targeting strategies adopted.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.

Criteria	Definition*
Sustainability of benefits	The likely continuation of net benefits from a development intervention beyond the phase of external funding support. It also includes an assessment of the likelihood that actual and anticipated results will be resilient to risks beyond the project's life.
Other performance criteria	
Gender equality and women's empowerment	The extent to which IFAD interventions have contributed to better gender equality and women's empowerment, for example, in terms of women's access to and ownership of assets, resources and services; participation in decision making; workload balance and impact on women's incomes, nutrition and livelihoods.
Innovation	The extent to which IFAD development interventions have introduced innovative approaches to rural poverty reduction.
Scaling up	The extent to which IFAD development interventions have been (or are likely to be) scaled up by government authorities, donor organizations, the private sector and other agencies.
Environment and natural resources management	The extent to which IFAD development interventions contribute to resilient livelihoods and ecosystems. The focus is on 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 – with the goods and services they provide.
Adaptation to climate change	The contribution of the project to reducing the negative impacts of climate change through dedicated adaptation or risk reduction measures.
Overall project achievement	Overarching assessment of the intervention, drawing upon the analysis and ratings for rural poverty impact, relevance, effectiveness, efficiency, sustainability of benefits, gender equality and women's empowerment, innovation, scaling up, environment and natural resources management, and adaptation to climate change.
Performance of partners	
<ul style="list-style-type: none"> • IFAD • Government 	This criterion assesses the contribution of partners to project design, execution, monitoring and reporting, supervision and implementation support, and evaluation. The performance of each partner will be assessed on an individual basis with a view to the partner's expected role and responsibility in the project life cycle.

* These definitions build on the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) Glossary of Key Terms in Evaluation and Results-Based Management; the Methodological Framework for Project Evaluation agreed with the Evaluation Committee in September 2003; the first edition of the Evaluation Manual discussed with the Evaluation Committee in December 2008; and further discussions with the Evaluation Committee in November 2010 on IOE's evaluation criteria and key questions.

Annex II Evaluations completed by IOE in 2020

Country/ region	Title	Project ID	Executive Board approval date	Effectiveness date	Project completion date	Project duration (years)	Total project financing (US\$)
Corporate-level evaluation							
All	IFAD's support to innovations for inclusive and sustainable smallholder agriculture						
Evaluation synthesis report							
All	Infrastructure at IFAD (2001-2019)						
Country strategy and programme evaluations and projects covered in respective CSPEs							
Morocco	Rural Development Project for Taourirt – Taforalt	1010	04/12/1996	16/10/1998	31/12/2009	11	49,420,000
	Rural Development Project in the Mountain Zones of Al-Haouz Province	1178	07/12/2000	22/01/2002	30/09/2010	8	30,243,310
	Livestock and Pasture Development Project in the Eastern Region	0260	19/04/1990	27/05/1991	31/12/2001	10	45,220,000
	Rural Development Project in the Eastern Middle Atlas Mountains	1338	13/12/2005	28/03/2007	31/03/2015	7	44,208,753
	Rural Development Project in the Mountain Zones of Errachidia Province	1388	12/09/2007	16/09/2008	30/09/2014	6	27,044,294
	Agricultural Value Chain Development Project in the Mountain Zones of Al-Haouz Province	1526	13/12/2011	21/09/2012	30/09/2019	7	9,129,128
	Agricultural Value Chain Development Programme in the Mountain Zones of Taza Province	1525	15/12/2010	13/09/2011	31/12/2020	9	39,246,609
	Rural Development Programme in the Mountain Zones – Phase I	1727	17/09/2014	23/02/2015	31/03/2020	5	45,111,800
	Atlas Mountains Rural Development Project	1403	22/09/2016	19/06/2017	30/06/2024	7	61,251,000
	Taza Mountain Integrated Rural Development Project for the pre-Rif Region	2073	09/09/2019	22/05/2020	30/06/2026	6	93,541,227

Country/ region	Title	Project ID	Executive Board approval date	Effectiveness date	Project completion date	Project duration (years)	Total project financing (US\$)
Niger	Project for the Promotion of Local Initiative for Development in Aguié	1221	11/12/2002	05/05/2005	30/06/2013	8	17,760,969
	Agricultural and Rural Rehabilitation and Development Initiative Project – Institutional Strengthening Component	1443	17/12/2008	22/09/2009	30/09/2013	4	61,538,774
	Emergency Food Security and Rural Development Programme	1591	15/12/2010	07/02/2011	31/03/2014	3	35,709,404
	Food Security and Development Support Project in the Maradi Region	1625	13/12/2011	12/03/2012	31/03/2018	6	31,706,599
	Family Farming Development Programme in Maradi, Tahoua and Zinder Regions	1688	22/04/2015	21/09/2015	30/09/2023	8	206,036,312
	Ruwanmu Small-Scale Irrigation Project	1646	21/09/2012	19/02/2013	30/06/2018	5	25,652,306
	Family Farming Development Programme in the Diffa Region	1810	29/09/2018	21/03/2019	31/03/2025	6	25,482,800
	Project to Strengthen Resilience of Rural Communities to Food and Nutrition Insecurity	2678	12/09/2019	05/08/2020	30/09/2026	6	195,863,100
Sudan	Gash Sustainable Livelihoods Regeneration Project	1263	18/12/2003	12/08/2004	30/09/2012	8	39,033,657
	Western Sudan Resources Management Programme	1277	02/12/2004	15/12/2005	31/12/2016	11	53,368,063
	Butana Integrated Rural Development Project	1332	14/12/2006	07/07/2008	30/09/2019	11	46,689,222
	Revitalizing the Sudan Gum Arabic Production and Marketing Project	1476	15/09/2009	03/11/2009	31/12/2014	5	10,880,000
	Rural Access Project	1503	17/12/2009	04/04/2010	31/12/2015	5	14,963,546
	Supporting Small-scale Traditional Rainfed Producers in Sinnar State	1524	15/12/2010	26/04/2011	30/06/2018	7	21,192,956
	Seed Development Project	1612	13/12/2011	24/02/2012	31/03/2018	6	17,463,567
	Livestock Marketing and Resilience Programme	1732	16/12/2014	31/03/2015	31/03/2022	7	128,696,000
	Integrated Agriculture and Marketing Development Project	1517	11/12/2017	15/02/2018	31/03/2024	6	49,174,784

Country/ region	Title	Project ID	Executive Board approval date	Effectiveness date	Project completion date	Project duration (years)	Total project financing (US\$)
Uganda	Rural Financial Services Programme	1197	05/09/2002	18/02/2004	30/06/2013	9	24,958,427
	District Livelihoods Support Programme	1369	14/12/2006	24/10/2007	31/12/2014	7	50,880,108
	Community Agricultural Infrastructure Improvement Programme	1419	12/09/2007	09/01/2008	31/03/2013	5	81,938,526
	Agricultural Technology and Agribusiness Advisory Services	1465	16/09/2010	09/11/2011	31/12/2018	7	638,493,893
	Vegetable Oil Development Project 2	1468	22/04/2010	21/10/2010	31/12/2019	9	146,175,000
	Project for Financial Inclusion in Rural Areas	1630	19/09/2013	24/11/2014	31/12/2021	7	36,386,901
	Project for the Restoration of Livelihoods in the Northern Region	1681	16/12/2014	05/08/2015	30/09/2022	7	70,984,000
	National Oil Palm Project (NOPP)	1484	16/04/2018	01/03/2019	31/03/2029	10	210,442,000
	National Oilseeds Project (NOSP)	2260	17/12/2019	N/A	31/12/2027	-	160,686,000
Impact evaluation							
Ethiopia	Community-based Integrated Natural Resources Management Project	1424	30/04/2009	17/03/2010	30/09/2018	8	25,425,009
Project performance evaluations							
Bangladesh	Coastal Climate Resilient Infrastructure Project	1647	2013	2013	2019	6	150,053,320
Botswana	Agricultural Services Support Project	1546	2010	2012	2018	6	25,021,390
China	Hunan Agricultural and Rural Infrastructure Improvement Project	1627	2012	2012	2017	5	93,198,556
Dominican Republic	Rural Economic Development Project in the Central and Eastern Provinces	1533	2010	2012	2018	6	48,457,685
India	Tejaswini Rural Women's Empowerment Programme	1314	2005	2007	2018	11	228,160,100
Malawi	Rural Livelihoods and Economic Enhancement Programme	1365	2007	2009	2017	8	29,241,489
Senegal	Support to Agricultural Development and Rural Entrepreneurship Programme	1614	2011	2011	2019	8	59,122,692
Tajikistan	Khatlon Livelihoods Support Project	1408	2008	2009	2015	6	12,303,048

Country/ region	Title	Project ID	Executive Board approval date	Effectiveness date	Project completion date	Project duration (years)	Total project financing (US\$)
Turkey	Ardahan-Kars-Artvin Development Project	1492	2009	2010	2017	7	26,414,951
Uganda	Agricultural Technology and Agribusiness Advisory Services	1465	2010	2011	2018	7	638,493,893
Bosnia	Rural Business Development Project	1593	2011	2014	2019	5	30,222,378
Burundi	Agricultural Intensification and Value-Enhancing Support Project	1469	2009	2009	2019	10	55,886,645
China	Yunnan Agricultural and Rural Improvement Project	1629	2012	2013	2018	5	93,999,349
	Shiyan Smallholder Agribusiness Development Project	1699	2013	2014	2019	5	116,899,129
Congo	Agricultural Value Chains Support Development Programme	1583	2011	2013	2018	5	17,349,830
El Salvador	Rural Territorial Competitiveness Programme (Amanecer Rural)	1568	2010	2012	2018	6	36,622,871
Guatemala	National Rural Development Programme: Central and Eastern Regions	1317	2004	2008	2017	9	34,000,164
	Sustainable Rural Development Programme for the Northern Region	1473	2008	2012	2019	7	40,442,162
Honduras	Sustainable Rural Development Programme for the Southern Region	1535	2010	2011	2019	8	37,206,966
India	Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme	1470	2009	2009	2018	9	118,645,691
Indonesia	Smallholder Livelihood Development Project in Eastern Indonesia	1509	2011	2011	2019	8	65,001,741
Kenya	Programme for Rural Outreach of Financial Innovations and Technologies	1378	2010	2010	2019	9	83,216,646
	Smallholder Dairy Commercialization Programme	1305	2005	2006	2019	13	40,020,000
Kyrgyzstan	Livestock and Market Development Programme	1626	2012	2013	2019	6	25,881,434
Lebanon	Hilly Areas Sustainable Agriculture Development Project	1421	2009	2012	2019	7	27,174,385

Country/ region	Title	Project ID	Executive Board approval date	Effectiveness date	Project completion date	Project duration (years)	Total project financing (US\$)
Madagascar	Support to Farmers' Professional Organizations and Agricultural Services Project	1429	2008	2009	2019	10	71,343,696
Maldives	Mariculture Enterprise Development Project	1624	2012	2013	2019	6	7,132,170
Mali	Rural Microfinance Programme	1441	2009	2010	2018	8	42,075,213
Mexico	Rural Productive Inclusion Project United Mexican States	0973	2015	2016	2018	2	19,526,000
Morocco	Agricultural Value Chain Development Project in the Mountain Zones of Al-Haouz Province	1526	2011	2012	2019	7	9,129,128
Nepal	High-Value Agriculture Project in Hill and Mountain Areas	1471	2009	2010	2018	8	18,872,483
	Poverty Alleviation Fund Project II	1450	2007	2008	2018	10	213,508,839
Paraguay	Inclusion of Family Farming in Value Chains Project (Paraguay Inclusivo)	1611	2012	2013	2018	5	26,546,402
São Tomé and Príncipe	Smallholder Commercial Agriculture Project	1687	2014	2014	2019	5	9,790,000
Sierra Leone	Smallholder Commercialization Programme	1599	2011	2011	2019	8	56,400,000
Sudan	Seed Development Project	1612	2011	2012	2018	6	17,463,567
	Butana Integrated Rural Development Project	1332	2006	2008	2019	11	46,689,222
Viet Nam	Sustainable Rural Development for the Poor Project in Ha Tinh and Quang Binh Provinces	1662	2013	2013	2018	5	46,225,721

Annex III **List of country strategy and programme evaluations completed and published by IOE (1992-2020)**

Country programme evaluation	Division	Publication year(s)
Angola	ESA	2018
Argentina	LAC	2010
Bangladesh	APR	1994, 2006, 2016
Benin	WCA	2005
Bolivia (Plurinational State of)	LAC	2019
Brazil	LAC	2005, 2014
Burkina Faso	WCA	2008, 2016
Cambodia	APR	2018
Cameroon	WCA	2018
China	APR	2014
Congo	WCA	2017
Ecuador	LAC	2014, 2020
Egypt	NEN	2005, 2017
Ethiopia	ESA	2009, 2016
Gambia (The)	WCA	2016
Georgia	NEN	2018
Ghana	WCA	1996, 2012
Honduras	LAC	1996
India	APR	2010, 2016
Indonesia	APR	2004, 2014
Jordan	NEN	2014
Kenya	ESA	2011, 2019
Madagascar	ESA	2013, 2020
Mali	WCA	2007, 2013
Mauritania	WCA	1998
Mexico	LAC	2006, 2020
Morocco	NEN	2008, 2020
Mozambique	ESA	2010, 2017
Nepal	APR	1999, 2013, 2020
Nicaragua	LAC	2017
Niger	WCA	2011, 2020
Nigeria	WCA	2009, 2016
Pakistan	APR	1995, 2008, 2020
Papua New Guinea	APR	2002

Country programme evaluation	Division	Publication year(s)
Peru	LAC	2018
Philippines	APR	2017
Republic of Moldova	NEN	2014
Rwanda	ESA	2006, 2012
Senegal	WCA	2004, 2014
Sierra Leone	WCA	2020
Sri Lanka	APR	2002, 2019
Sudan	NEN	1994, 2009, 2020
Syrian Arab Republic	NEN	2001
Tunisia	NEN	2003, 2019
Turkey	NEN	2016
Uganda	ESA	2013, 2020
United Republic of Tanzania	ESA	2003, 2015
Viet Nam	APR	2001, 2012
Yemen	NEN	1992, 2012
Zambia	ESA	2014

Note: APR= Asia and the Pacific; ESA= East and Southern Africa; LAC= Latin America and the Caribbean; NEN= Near East North Africa and Europe; WCA= West and Central Africa

Annex IV List of all projects covered in quantitative analysis on performance ratings

Table List of 298 projects covered in quantitative analysis of performance ratings (chapter II.A and II.B)⁴⁶

Project ID	Country	Project	Type	Approval	Entry into force	Completion
APR	(73)					
1460	Afghanistan	Rural Microfinance and Livestock Support Programme	PCRv	2009	2009	2016
1165	Bangladesh	Sunamganj Community-Based Resource Management Project	PCRv	2001	2003	2014
1355	Bangladesh	National Agricultural Technology Project	PCRv	2007	2008	2014
1402	Bangladesh	Finance for Enterprise Development and Employment Creation Project	PPE	2007	2008	2014
1284	Bangladesh	Microfinance for Marginal and Small Farmers Project	PPE	2004	2005	2011
1235	Bangladesh	Microfinance and Technical Support Project	PPE	2003	2003	2010
1466	Bangladesh	Participatory Small Scale Water Resources Sector Project	PCRv	2010	2011	2018
1322	Bangladesh	Market Infrastructure Development Project in Charland Regions	PCRv	2005	2006	2013
1647	Bangladesh	Coastal Climate Resilient Infrastructure Project	PPE	2013	2013	2019
1296	Bhutan	Agriculture, Marketing and Enterprise Promotion Programme	PPE	2005	2006	2012
1482	Bhutan	Market Access and Growth Intensification Project	PCRv	2010	2011	2016
1350	Cambodia	Rural Livelihoods Improvement Programme	PPE+	2007	2007	2014
1261	Cambodia	Rural Poverty Reduction Project (Prey Veng and Svay Rieng)	PPE+	2003	2004	2011
1175	Cambodia	Community-Based Rural Development Project in Kampong Thom and Kampot	PPE+	2000	2001	2009
1559	Cambodia	Project for Agricultural Development and Economic Empowerment	PCRv	2012	2012	2018
1323	China	Xinjiang Uygur Autonomous Region Modular Rural Development Programme	PCRv	2006	2008	2014
1400	China	Inner Mongolia Autonomous Region Rural Advancement Programme	PCRv	2007	2008	2014
1454	China	Dabieshan Area Poverty Reduction Programme	PCRv	2008	2009	2015
1223	China	Environment Conservation and Poverty Reduction Programme in Ningxia and Shanxi	PPE	2002	2005	2011

⁴⁶ PCRv+ or PPE+ indicate that these evaluations also benefited from CSPes.

Project ID	Country	Project	Type	Entry into		
				Approval	force	Completion
1227	China	Rural Finance Sector Programme	PPE	2004	2005	2010
1555	China	Guangxi Integrated Agricultural Development Project	PCR/V	2011	2012	2017
1627	China	Hunan Agricultural and Rural Infrastructure Improvement Project	PPE	2012	2012	2017
1629	China	Yunnan Agricultural and Rural Improvement Project	PCR/V	2012	2013	2018
1699	China	Shiyang Smallholder Agribusiness Development Project	PCR/V	2013	2014	2019
1155	India	Orissa Tribal Empowerment and Livelihood Programme	PCR/V	2002	2003	2016
1381	India	Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains	PCR/V	2006	2009	2015
1063	India	Jharkhand-Chhattisgarh Tribal Development Programme	IE	1999	2001	2012
1226	India	Livelihood Improvement Project for the Himalayas	PPE	2003	2004	2012
1121	India	National Microfinance Support Programme	PPE	2000	2002	2009
1470	India	Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme	PCR/V	2009	2009	2018
1040	India	North Eastern Region Community Resource Management Project for Upland Areas	PCR/V	2009	2010	2016
1418	India	Mitigating Poverty in Western Rajasthan Project	PCR/V	2009	2010	2017
1314	India	Tejaswini Rural Women's Empowerment Programme	PPE	2005	2007	2018
1258	Indonesia	Rural Empowerment and Agricultural Development Programme in Central Sulawesi	PCR/V	2004	2008	2014
1112	Indonesia	Post Crisis Programme for Participatory Integrated Development in Rainfed Areas	PCR/V	2000	2001	2009
1621	Indonesia	Coastal Community Development Project	PCR/V	2009	2010	2017
1509	Indonesia	Smallholder Livelihood Development Project in Eastern Indonesia	PCR/V	2011	2011	2019
1608	Lao People's Democratic Republic	Community Based Food Security and Economic Opportunities Programme	PCR/V	2012	2012	2017
1301	Lao People's Democratic Republic	Rural Livelihoods Improvement Programme in Attapeu and Sayaboury	PPE	2005	2006	2014
1396	Lao People's Democratic Republic	Northern Regions Sustainable Livelihoods through Livestock Development Programme	PPE	2006	2007	2013

Project ID	Country	Project	Type	Approval	Entry into	
					force	Completion
1459	Lao People's Democratic Republic	Sustainable Natural Resource Management and Productivity Enhancement Programme	PCR/V	2008	2009	2015
1347	Maldives	Post-Tsunami Agricultural and Fisheries Rehabilitation Programme	PPE	2005	2006	2013
1377	Maldives	Fisheries and Agricultural Diversification Project	PCR/V	2009	2009	2018
1624	Maldives	Mariculture Enterprise Development Project	PCR/V	2012	2013	2019
1205	Mongolia	Rural Poverty Reduction Programme	PPE	2002	2003	2011
1285	Nepal	Leasehold Forestry and Livestock Programme	PCR/V	2004	2005	2014
1119	Nepal	Western Uplands Poverty Alleviation Project	PPE	2006	2008	2016
1450	Nepal	Poverty Alleviation Fund Project II	PCR/V	2007	2008	2018
1471	Nepal	High-Value Agriculture Project in Hill and Mountain Areas	PCR/V	2009	2010	2018
1245	Pakistan	Community Development Programme	PPE	2003	2004	2012
1385	Pakistan	Project for the Restoration of Earthquake-affected Communities and Households	PCR/V	2006	2006	2009
1324	Pakistan	Microfinance Innovation and Outreach Programme	PCR/V	2005	2006	2011
1078	Pakistan	Southern Federally Administered Tribal Areas Development Project	PCR/V	2000	2002	2010
1413	Pakistan	Programme for Increasing Sustainable Microfinance	PCR/V	2007	2008	2013
1253	Philippines	Rural Microenterprise Promotion Programme	PPE	2005	2006	2013
1137	Philippines	Northern Mindanao Community Initiatives and Resource Management Project	PPE	2001	2003	2009
1565	Solomon Islands	Solomon Islands Rural Development Programme	PCR/V	2010	2011	2013
1316	Sri Lanka	Smallholder Plantations Entrepreneurship Development Programme	PPE+	2006	2007	2016
1254	Sri Lanka	Dry Zone Livelihood Support and Partnership Programme	IE+	2004	2005	2013
1346	Sri Lanka	Post-Tsunami Coastal Rehabilitation and Resource Management Programme	PPE+	2005	2006	2013
1351	Sri Lanka	Post-Tsunami Livelihoods Support and Partnership Programme	PCR/V+	2005	2006	2010
1600	Sri Lanka	Iranamadu Irrigation Development Project	PCR/V+	2011	2012	2017
1457	Sri Lanka	National Agribusiness Development Programme	PCR/V	2011	2011	2017
1576	Timor-Leste	Timor-Leste Maize Storage Project	PCR/V	2011	2012	2015
1628	Tonga	Tonga Rural Innovation Project	PCR/V	2012	2012	2017

Project ID	Country	Project	Type	Entry into		
				Approval	force	Completion
1422	Viet Nam	Developing Business for the Rural Poor Project in Cao Bang Province	PCR/V	2007	2008	2014
1477	Viet Nam	Pro-Poor Partnerships for Agroforestry Development Project	PPE	2008	2009	2015
1374	Viet Nam	Programme for Improving Market Participation of the Poor in Ha Tinh and Tra Vinh Provinces	PCR/V	2006	2007	2012
1272	Viet Nam	Decentralized Programme for Rural Poverty Reduction in Ha Giang and Quang Binh Provinces	PCR/V	2004	2005	2011
1202	Viet Nam	Rural Income Diversification Project in Tuyen Quang Province	PPE	2001	2002	2009
1483	Viet Nam	Project for the Economic Empowerment of Ethnic Minorities in Poor Communes of Dak Nong Province	PCR/V	2010	2010	2016
1552	Viet Nam	Agriculture, Farmers and Rural Areas Support Project	PCR/V	2010	2011	2017
1662	Viet Nam	Sustainable Rural Development for the Poor Project in Ha Tinh and Quang Binh Provinces	PCR/V	2013	2013	2018
ESA	(55)					
1391	Angola	Market-oriented Smallholder Agriculture Project	PCR/V+	2007	2009	2016
1546	Botswana	Agricultural Services Support Project	PPE	2010	2012	2018
1358	Burundi	Livestock Sector Rehabilitation Support Project	PCR/V	2007	2008	2014
1105	Burundi	Rural Recovery Programme	PPE	1999	1999	2010
1469	Burundi	Agricultural Intensification and Value-Enhancing Support Project	PCR/V	2009	2009	2019
1291	Burundi	Transitional Programme of Post-Conflict Reconstruction	PCR/V	2004	2005	2013
1241	Comores	National programme for sustainable human development	PCR/V	2007	2007	2014
1518	Eritrea	Fisheries Development Project	PCR/V	2010	2010	2016
1359	Eritrea	Post Crisis Rural Recovery and Development Programme	PCR/V	2006	2007	2013
1373	Eswatini	Rural Finance and Enterprise Development Programme	PPE	2008	2010	2016
1292	Ethiopia	Agricultural Marketing Improvement Programme	PCR/V	2004	2006	2013
1370	Ethiopia	Participatory Small-Scale Irrigation Development Programme	PCR/V	2007	2008	2015
1237	Ethiopia	Pastoral Community Development Project	PCR/V	2003	2004	2009
1424	Ethiopia	Community-based Integrated Natural Resources Management Project	IE	2009	2010	2018

Project ID	Country	Project	Type	Approval	Entry into	
					force	Completion
1458	Ethiopia	Pastoral Community Development Project – Phase II	PPE	2009	2010	2015
1305	Kenya	Smallholder Dairy Commercialization Programme	PCR/V	2005	2006	2019
1330	Kenya	Smallholder Horticulture Marketing Programme	IE	2007	2007	2014
1234	Kenya	Mount Kenya East Pilot Project for Natural Resource Management	PCR/V+	2002	2004	2012
1378	Kenya	Programme for Rural Outreach of Financial Innovations and Technologies	PCR/V	2010	2010	2019
1114	Kenya	Central Kenya Dry Area Smallholder and Community Services Development Project	PCR/V+	2000	2001	2010
1243	Kenya	Southern Nyanza Community Development Project	PCR/V+	2003	2004	2013
1371	Lesotho	Rural Financial Intermediation Programme	PPE	2007	2008	2015
1150	Lesotho	Sustainable Agriculture and Natural Resource Management Programme	PPE	2004	2005	2011
1318	Madagascar	Project to Support Development in the Menabe and Melaky Regions	PPE	2006	2006	2015
1429	Madagascar	Support to Farmers' Professional Organizations and Agricultural Services Project	PCR/V	2008	2009	2019
1239	Madagascar	Rural Income Promotion Programme	PCR/V	2003	2004	2013
1164	Malawi	Rural Livelihoods Support Programme	PPE	2001	2004	2013
1365	Malawi	Rural Livelihoods and Economic Enhancement Programme	PPE	2007	2009	2017
1357	Mauritius	Marine and Agricultural Resources Support Programme	PCR/V	2008	2009	2013
1093	Mauritius	Rural Diversification Programme	PPE	1999	2000	2010
1267	Mozambique	Rural Finance Support Programme	PCR/V	2003	2005	2013
1326	Mozambique	PRONEA Support Project	PCR/V	2006	2009	2015
1184	Mozambique	Sofala Bank Artisanal Fisheries Project	IE	2001	2002	2011
1276	Rwanda	Rural Small and Micro-Enterprise Promotion Project – Phase II	PCR/V	2003	2004	2013
1431	Rwanda	Kirehe Community-based Watershed Management Project	PPE	2008	2009	2016
1149	Rwanda	Umutara Community Resource and Infrastructure Development Project	PCR/V	2000	2000	2011
1232	Rwanda	Smallholder Cash and Export Crops Development Project	PCR/V	2002	2003	2011
1320	Rwanda	Support Project for the Strategic Plan for the Transformation of Agriculture	PPE	2005	2006	2013
1560	Seychelles	Competitive Local Innovations for Small-scale Agriculture Project	PCR/V	2013	2013	2018

Project ID	Country	Project	Type	Entry into		
				Approval	force	Completion
1453	South Sudan	South Sudan Livelihoods Development Project	PCR/V	2008	2009	2016
1159	Swaziland	Lower Usuthu Smallholder Irrigation Project – Phase I	PCR/V	2001	2004	2013
1363	United Republic of Tanzania	Rural Micro, Small and Medium Enterprise Support Programme	PCR/V	2006	2007	2016
1420	United Republic of Tanzania	Agricultural Sector Development Programme	PCR/V	2004	2007	2016
1369	Uganda	District Livelihoods Support Programme	PCR/V	2006	2007	2014
1197	Uganda	Rural Financial Services Programme	PCR/V	2002	2004	2013
1021	Uganda	Vegetable Oil Development Project	PCR/V	1997	1998	2011
1158	Uganda	National Agricultural Advisory Services Programme	PCR/V	2000	2001	2010
1122	Uganda	Area-based Agricultural Modernization Programme	PPE	1999	2002	2008
1465	Uganda	Agricultural Technology and Agribusiness Advisory Services	PPE	2010	2011	2018
1419	Uganda	Community Agricultural Infrastructure Improvement Programme	PCR/V	2007	2008	2013
1474	Zambia	Smallholder Agribusiness Promotion Programme	PCR/V	2003	2006	2017
1280	Zambia	Rural Finance Programme	PCR/V	2004	2007	2013
1319	Zambia	Smallholder Livestock Investment Project	PCR/V	2005	2007	2014
1108	Zambia	Smallholder Enterprise and Marketing Programme	PCR/V	1999	2000	2008
1039	Zambia	Forestry Management Project	PPE	1999	2002	2007
LAC (46)						
1279	Argentina	Patagonia Rural Development Project	PCR/V	2004	2007	2014
1364	Argentina	Rural Areas Development Programme	PCR/V	2006	2009	2015
1098	Argentina	North Western Rural Development Project	PCR/V	1999	2003	2011
1456	Belize	Rural Finance Programme	PPE	2008	2009	2016
1298	Plurinational State of Bolivia	Enhancement of the Peasant Camelid Economy Support Project	PCR/V	2006	2009	2015
1145	Plurinational State of Bolivia	Management of Natural Resources in the Chaco and High Valley Regions Project	PPE	2000	2003	2010
1031	Plurinational State of Bolivia	Small Farmers Technical Assistance Services Project	PCR/V	1997	1998	2007
1335	Brazil	Rural Communities Development Project in the Poorest Areas of the State of Bahia	PPE	2006	2006	2012

Project ID	Country	Project	Type	Approval	Entry into	
					force	Completion
1294	Colombia	Rural Microenterprise assets programme: capitalization, technical assistance and investment support	PCR/V	2006	2007	2013
1479	Dominican Republic	Development Project for Rural Poor Economic Organizations of the Border Region	PCR/V	2009	2010	2016
1533	Dominican Republic	Rural Economic Development Project in the Central and Eastern Provinces	PPE	2010	2012	2018
1297	Ecuador	Development of the Central Corridor Project	PCR/V	2004	2007	2014
1416	El Salvador	Rural Development and Modernization Project	PCR/V	2007	2009	2015
1215	El Salvador	Reconstruction and Rural Modernization Programme	PCR/V	2001	2002	2011
1568	El Salvador	Rural Territorial Competitiveness Programme (Amanecer Rural)	PCR/V	2010	2012	2018
1181	Grenada	Rural Enterprise Project	PCR/V	2001	2002	2009
1569	Grenada	Market Access and Rural Enterprise Development Programme	PCR/V	2011	2011	2018
1317	Guatemala	National Rural Development Programme: Central and Eastern Regions	PCR/V	2004	2008	2017
1274	Guatemala	National Rural Development Programme Phase I: the Western Region	PPE	2003	2006	2012
1085	Guatemala	Rural Development Programme for Las Verapaces	PCR/V	1999	2001	2011
1473	Guatemala	Sustainable Rural Development Programme for the Northern Region	PCR/V	2008	2012	2019
1415	Guyana	Rural Enterprise and Agricultural Development Project	PPE	2007	2009	2015
1171	Haiti	Productive Initiatives Support Programme in Rural Areas	PCR/V	2002	2002	2014
1275	Haiti	Projet de Développement de la Petite Irrigation – Phase 2	PPE	2007	2008	2016
1070	Haiti	Food Crops Intensification Project – Phase II	PCR/V	1998	2001	2010
1407	Honduras	Enhancing the Rural Economic Competitiveness of Yoro	PCR/V	2007	2008	2016
1128	Honduras	National Fund for Sustainable Rural Development Project	PCR/V	1999	2000	2009
1198	Honduras	National Programme for Local Development	PCR/V	2001	2001	2009
1535	Honduras	Sustainable Rural Development Programme for the Southern Region (Emprende Sur)	PCR/V	2010	2011	2019
1349	Mexico	Sustainable Development Project for Rural and Indigenous Communities of the Semi-Arid North-West	PCR/V	2005	2006	2013

Project ID	Country	Project	Type	Entry into		
				Approval	force	Completion
1268	Mexico	Strengthening Project for the National Micro-Watershed Programme	PCR/V	2003	2005	2010
1141	Mexico	Rural Development Project for Rubber-Producing Regions of Mexico	PCR/V	2000	2001	2009
1412	Mexico	Community-based Forestry Development Project in Southern States (Campeche, Chiapas and Oaxaca)	PPE	2009	2011	2016
2000000973	Mexico	Rural Productive Inclusion Project United Mexican States	PCR/V	2015	2016	2018
1380	Nicaragua	Inclusion of Small-Scale Producers in Value Chains and Market Access Project	PCR/V	2007	2008	2015
1256	Nicaragua	Programme for the Economic Development of the Dry Region in Nicaragua	PCR/V+	2003	2004	2010
1505	Nicaragua	Agricultural, Fishery and Forestry Productive Systems Development Programme in RAAN and RAAS Indigenous Territories	PCR/V	2010	2012	2017
1120	Nicaragua	Technical Assistance Fund Programme for the Departments of Leon, Chinandenga and Managua	PPE	1999	2001	2013
1199	Panama	Sustainable Rural Development Project for the Ngobe-Buglé Territory and Adjoining Districts	PCR/V	2001	2003	2011
1389	Panama	Participative Development and Rural Modernization Project	PCR/V	2008	2010	2015
1333	Paraguay	Empowerment of Rural Poor Organizations and Harmonization of Investments Project	PCR/V	2005	2007	2013
1611	Paraguay	Inclusion of Family Farming in Value Chains Project (Paraguay Inclusivo)	PCR/V	2012	2013	2018
1240	Peru	Market Strengthening and Livelihood Diversification in the Southern Highlands Project	PPE	2002	2005	2014
1161	Uruguay	Uruguay Rural Project	PPE	2000	2001	2011
1252	Bolivarian Republic of Venezuela	Sustainable Rural Development Project for the Semi-Arid Zones of Falcon and Lara States	PCR/V	2003	2006	2013
1186	Bolivarian Republic of Venezuela	Agro-Productive Chains Development Project in the Barlovento Region	PCR/V	2000	2003	2009
NEN	(55)					
1339	Albania	Programme for Sustainable Development in Rural Mountain Areas	PPE	2005	2007	2013
1452	Albania	Mountain to Markets Programme	PCR/V	2008	2009	2014
1411	Armenia	Farmer Market Access Programme	PCR/V	2007	2008	2013
1307	Armenia	Rural Areas Economic Development Programme	PPE	2004	2005	2009
1538	Armenia	Rural Asset Creation Programme	PCR/V	2010	2011	2016

Project ID	Country	Project	Type	Approval	Entry into	
					force	Completion
1398	Azerbaijan	Rural Development Project for the North-West	PCR/V	2007	2009	2014
1289	Azerbaijan	North East Rural Development Project	PPE	2004	2006	2011
1148	Azerbaijan	Rural Development Programme for Mountainous and Highland Areas	PCR/V	2000	2001	2008
1451	Bosnia	Rural Livelihoods Development Project	PCR/V	2008	2010	2016
1342	Bosnia	Rural Enterprise Enhancement Project	PCR/V	2006	2007	2012
1593	Bosnia	Rural Business Development Project	PCR/V	2011	2014	2019
1366	Djibouti	Programme for Mobilization of Surface Water and Sustainable Land Management	PCR/V	2007	2008	2014
1236	Djibouti	Microfinance and Microenterprise Development Project	PPE	2002	2004	2012
1204	Egypt	West Noubaria Rural Development Project	PPE+	2002	2003	2014
1376	Egypt	Upper Egypt Rural Development Project	PCR/V	2006	2007	2017
1147	Georgia	Rural Development Programme for Mountainous and Highland Areas	PPE	2000	2001	2011
1325	Georgia	Rural Development Project	PPE	2005	2006	2011
1507	Georgia	Agricultural Support Project	IE	2009	2010	2015
1295	Jordan	Agricultural Resource Management Project – Phase II	PCR/V	2004	2005	2015
1092	Jordan	Yarmouk Agricultural Resources Development Project	PPE	1999	2000	2008
1434	Kyrgyz Republic	Agricultural Investments and Services Project	PPE	2008	2009	2014
1626	Kyrgyz Republic	Livestock and Market Development Programme	PCR/V	2012	2013	2019
1421	Lebanon	Hilly Areas Sustainable Agriculture Development Project	PCR/V	2009	2012	2019
1449	Moldova	Rural Financial Services and Marketing	PCR/V	2008	2009	2014
1340	Moldova	Rural Business Development Programme	PPE	2005	2006	2011
1562	Moldova	Rural Financial Services and Agribusiness Development Project	PPE	2010	2011	2016
1338	Morocco	Rural Development Project in the Eastern Middle Atlas Mountains	PPE	2005	2007	2015
1388	Morocco	Rural Development Project Mountain zones of Errachidia Province	PCR/V	2007	2008	2014
1178	Morocco	Rural Development Project in the Mountain Zones of Al-Haouz Province	PPE	2000	2002	2010
1230	Morocco	Livestock and Rangelands Development Project in the Eastern Region – Phase II	PCR/V	2003	2004	2010
1010	Morocco	Rural Development Project for Taourirt – Taforalt	PCR/V	1996	1998	2009

Project ID	Country	Project	Type	Entry into		
				Approval	force	Completion
1526	Morocco	Agricultural Value Chain Development Project in the Mountain Zones of Al-Haouz Province	PCRv	2011	2012	2019
1079	Palestine	Participatory Natural Resource Management Programme	PPE	1998	2000	2015
1277	Sudan	Western Sudan Resources Management Programme	PCRv	2004	2005	2016
1263	Sudan	Gash Sustainable Livelihoods Regeneration Project	PPE	2003	2004	2012
1332	Sudan	Butana Integrated Rural Development Project	PCRv	2006	2008	2019
1140	Sudan	South Kordofan Rural Development Programme	PCRv	2000	2001	2012
1476	Sudan	Revitalizing the Sudan Gum Arabic Production and Marketing Project	PCRv	2009	2009	2014
1503	Sudan	Rural Access Project	PCRv	2001	2003	2016
1524	Sudan	Supporting Small-scale Traditional Rainfed Producers in Sinnar State	PCRv	2010	2011	2018
1612	Sudan	Seed Development Project	PCRv	2011	2012	2018
1233	Syrian Arab Republic	Idleb Rural Development Project	PCRv	2002	2003	2014
1375	Syrian Arab Republic	North-eastern Regional Rural Development Project	PCRv	2007	2008	2015
1073	Syrian Arab Republic	Badia Rangelands Development Project	PCRv	1998	1998	2010
1408	Tajikistan	Khatlon Livelihoods Support Project	PPE	2008	2009	2015
1213	Tunisia	Programme for Agropastoral Development and Promotion of Local Initiatives in the South-East	PCRv+	2002	2003	2015
1299	Tunisia	Integrated Agricultural Development Project in the Governorate of Siliana – Phase II	PCRv+	2005	2007	2014
1189	Turkey	Sivas – Erzincan Development Project	PPE	2003	2005	2013
1344	Turkey	Diyabakir, Batman & Siirt Development Project	PCRv	2006	2007	2014
1492	Turkey	Ardahan-Kars-Artvin Development Project	PPE	2009	2010	2017
1269	Yemen	Al-Dhala Community Resource Management Development Project	PCRv	2004	2007	2014
1403	Yemen	Rainfed Agriculture and Livestock Project	PCRv	2007	2009	2014
1195	Yemen	Dhamar Participatory Rural Development Project	PCRv	2002	2004	2012
1095	Yemen	Al-Mahara Rural Development Project	PCRv	1999	2000	2009
1293	Yemen	Pilot Community-based Rural Infrastructure Project in Highland Areas	PCRv	2005	2007	2013

Project ID	Country	Project	Type	Entry into		
				Approval	force	Completion
WCA (69)						
1211	Benin	Participatory Artisanal Fisheries Development Support Programme	PCR/V	2001	2003	2011
1331	Benin	Rural Economic Growth Support Project	PCR/V	2009	2010	2016
1250	Benin	Rural Development Support Programme	PCR/V	2005	2007	2012
1360	Burkina Faso	Agricultural Commodity Chain Support Project	PCR/V+	2006	2007	2016
1368	Burkina Faso	Small-scale Irrigation and Water Management Project	PCR/V+	2007	2008	2014
1247	Burkina Faso	Sustainable Rural Development Programme	PCR/V+	2004	2005	2013
1220	Burkina Faso	Community Investment Programme for Agricultural Fertility	PCR/V+	2003	2004	2012
1425	Burkina Faso	Rural Business Development Services Programme	PCR/V+	2009	2010	2016
1103	Burkina Faso	Rural Microenterprise Support Project	PCR/V+	1999	2000	2008
1136	Cameroon	Community Development Support Project	PCR/V	2002	2003	2009
1238	Cameroon	Roots and Tubers Market-driven Development Programme	PCR/V+	2003	2004	2012
1362	Cameroon	Rural Microfinance Development Support Project	PPE	2008	2010	2016
1439	Cameroon	Commodity Value Chain Support Project	PCR/V	2011	2011	2017
1015	Cabo Verde	Rural Poverty Alleviation Programme	PCR/V	1999	2000	2013
1579	Central African Republic	Project to Revitalize Crop and Livestock Production in the Savannah	PCR/V	2011	2012	2017
1582	Chad	Rural Development Support Programme in Guéra	PCR/V	2008	2008	2017
1283	Chad	Batha Rural Development Project	PCR/V	2005	2006	2010
1144	Chad	Food Security Project in the Northern Guéra Region – Phase II	PCR/V	2000	2001	2009
1259	Chad	Kanem Rural Development Project	PCR/V	2003	2005	2009
1446	Chad	Pastoral Water and Resource Management Project in Sahelian Areas	PPE	2009	2010	2015
1216	Congo	Rural Development Project in the Plateaux, Cuvette and Western Cuvette Departments	PCR/V	2004	2004	2011
1327	Congo	Rural Development Project in the Niari, Bouenza, and Lekoumou Departments	PCR/V	2006	2006	2013
1438	Congo	Rural Development Project in the Likouala, Pool and Sangha Departments	PCR/V	2008	2009	2015
1583	Congo	Agricultural Value Chains Support Development Programme	PCR/V	2011	2013	2018
1133	Côte d'Ivoire	Small Horticultural Producer Support	PCR/V	2000	2001	2011

Project ID	Country	Project	Type	Approval	Entry into	
					force	Completion
1435	Côte d'Ivoire	Agricultural Rehabilitation and Poverty Reduction Project	PPE	2009	2009	2014
1589	Côte d'Ivoire	Support to Agricultural Production and Marketing Project	PCR/V	2012	2013	2018
1244	Democratic Republic of the Congo	Agricultural Revival Programme in Equateur Province	PCR/V	2004	2005	2012
1311	Democratic Republic of the Congo	Agricultural Rehabilitation Programme in Orientale Province	PPE	2005	2007	2013
1313	Gabon	Agricultural and Rural Development Project	PCR/V	2010	2010	2017
1152	Gambia	Participatory Integrated-Watershed Management Project	PCR/V	2004	2006	2014
1303	Gambia	Rural Finance Project	PCR/V	2006	2008	2014
1504	Gambia	Livestock and Horticulture Development Project	PCR/V	2009	2010	2015
1312	Ghana	Root and Tuber Improvement and Marketing Programme	PPE	2005	2006	2014
1390	Ghana	Northern Rural Growth Programme	PCR/V	2008	2010	2016
1187	Ghana	Rural Enterprise Project – Phase II	PCR/V	2002	2003	2012
1183	Ghana	Northern Region Poverty Reduction Programme	PCR/V	2001	2004	2011
1428	Ghana	Rural and Agricultural Finance Programme	PCR/V	2010	2011	2016
1134	Ghana	Rural Finance Services Project	PPE	2000	2002	2008
1135	Guinea	Programme for Participatory Rural Development in Haute-Guinée	PCR/V	1999	2001	2010
1206	Guinea	National Programme to Support Agricultural Value Chain Actors	PCR/V	2007	2008	2017
1282	Guinea	Support to Rural Development in North Lower Guinea PADER BGN	PCR/V	2003	2005	2013
1345	Guinea	Village Communities Support Project, Phase II	PCR/V	2007	2008	2014
1278	Guinea-Bissau	Rural Rehabilitation and Community Development Project	PCR/V	2007	2008	2013
1616	Liberia	Smallholder Tree Crop Revitalization Support Project	PPE	2007	2009	2018
1501	Liberia	Agriculture Sector Rehabilitation Project	PCR/V	2009	2009	2017
1131	Mali	Northern Regions Investment and Rural Development Programme	PCR/V	2005	2006	2014
1356	Mali	Kidal Integrated Rural Development Programme	PCR/V	2006	2007	2014
1441	Mali	Rural Microfinance Programme	PCR/V	2009	2010	2018
1444	Mali	Fostering Agricultural Productivity Project	PCR/V	2011	2012	2018

Project ID	Country	Project	Type	Approval	Entry into	
					force	Completion
1255	Mauritania	Oasis Sustainable Development Programme	PPE	2003	2004	2014
1180	Mauritania	Maghama Improved Flood Recession Farming Project – Phase II	PCR/V	2002	2003	2010
1433	Mauritania	Value Chains Development Programme for Poverty Reduction	PCR/V	2009	2010	2016
1646	Niger	Ruwanmu Small-Scale Irrigation Project	PCR/V	2010	2010	2016
1591	Niger	Emergency Food Security and Rural Development Programme	PCR/V	2010	2011	2014
1221	Niger	Project for the Promotion of Local Initiative for Development in Aguié	PCR/V	2002	2005	2013
1443	Niger	Agricultural and Rural Rehabilitation and Development Initiative Project – Institutional Strengthening Component	PCR/V	2008	2009	2013
1625	Niger	Support to Food Security and Development Project in Maradi Region	IE	2011	2012	2018
1260	Nigeria	Community-Based Natural Resource Management Programme – Niger Delta Region	PCR/V	2002	2005	2015
1212	Nigeria	Rural Finance Institutions Building Programme	PCR/V	2006	2010	2017
1196	Nigeria	Community-based Agricultural and Rural Development Programme	PPE	2001	2003	2013
1027	São Tomé & Príncipe	Participatory Smallholder Agriculture and Artisanal Fisheries Development Programme	PCR/V	2001	2003	2015
1687	São Tomé & Príncipe	Smallholder Commercial Agriculture Project	PCR/V	2014	2014	2019
1414	Senegal	Agricultural Value Chains Support Project	PCR/V	2008	2010	2016
1614	Senegal	Support to Agricultural Development and Rural Entrepreneurship Programme	PPE	2011	2011	2019
1054	Sierra Leone	Rehabilitation and Community-Based Poverty Reduction Project	PPE	2002	2004	2017
1310	Sierra Leone	Rural Finance and Community Improvement Programme	PCR/V	2007	2008	2014
1599	Sierra Leone	Smallholder Commercialization Programme	PCR/V	2011	2011	2019
1558	Togo	Support to Agricultural Development Project	PCR/V	2006	2007	2017

Annex V Methodology and analysis for chapter III (factors influencing project performance on efficiency)

1. The 2021 ARRI includes a chapter with a focus on project performance on efficiency based on the evaluations for projects completed between 2007 and 2019. Efficiency has generally been the worst-performing criterion. In addition, the IOE ratings have tended to fluctuate more than other criteria. After a period of downward movement, performance on efficiency by rolling three-year period is now showing a positive upward shift (chart 1).
2. Chart 2 presents the ratings on efficiency by each year of project completion instead of a three-year average (chart 1). This shows that

Chart 1 Share of projects rated moderately satisfactory or better for the criterion of efficiency (2007-2019, by year of completion)

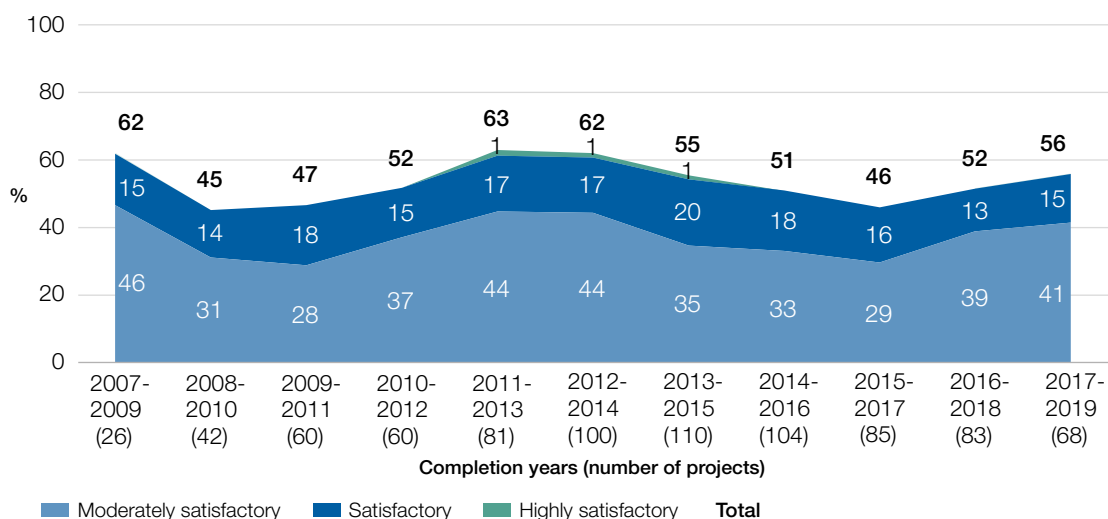
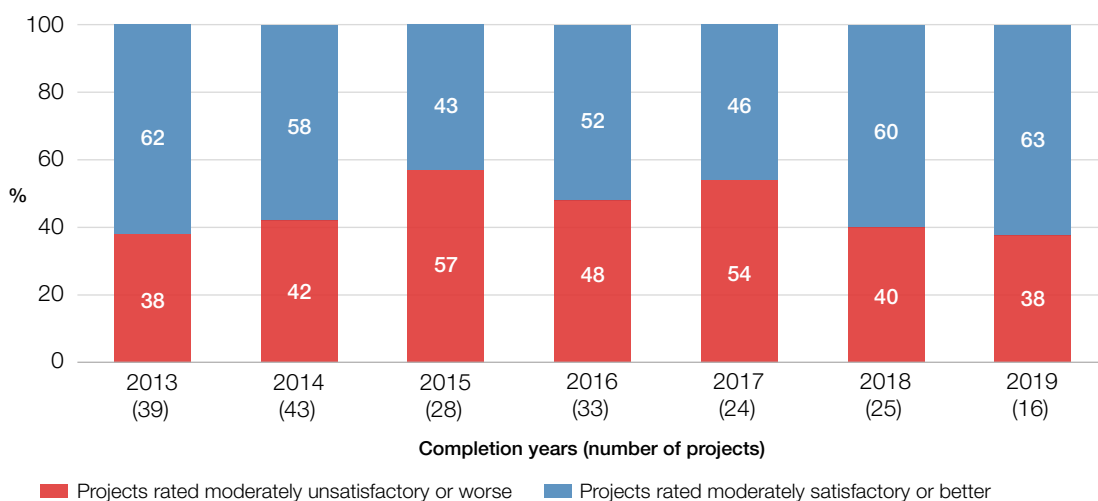


Chart 2 Share of projects rated moderately satisfactory or above for efficiency (projects completed between 2013 and 2019, by year)



- projects completed in years 2013, 2014 and 2015 had an increasing share of unsatisfactory ratings, while the performance improved for projects completed between 2017 and 2019.
3. In this context, the 2021 ARRI aimed to identify the factors that underpin performance on efficiency and to achieve this, projects in two periods (in terms of year of project completion) of contrasting movements in performance related to efficiency were selected: 2013-2015 (deteriorating) and 2017-2019 (improving). The number of projects in the 2013-2014-2015 sample are 46 (12 PPEs, 32 PCRVs and 2 IEs) and their year of approval ranges from 2001 to 2011. The number of projects in the 2017-2018-2019 sample are 37 (6 PPEs, 31 PCRVs and 1 IE) and their approval year ranges from 2005 to 2014.
 4. **Efficiency markers.** The IOE Evaluation Manual defines the efficiency criterion as “a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results”. Key elements in assessing efficiency (page 128 of the Evaluation Manual 2015 Second Edition) are the following:
 - a. Effectiveness lag
 - b. Administrative costs
 - c. Economic rate of return
 - d. Cost ratio inputs to outputs
 5. The qualitative analysis of the efficiency section in the projects included in the sample, has revealed a more disaggregated list of elements (herein called “markers”), indicated in the table below.

Table 1 Metadata for efficiency markers in the 2021 ARRI analysis

Main marker Level 1	Sub marker Level 2	Definition
Effectiveness lag	IFAD-related	Effectiveness lag is indicated by the number of months occurring between the date of “Executive Board approval” and the date of “entry into force” as indicated in every project page of the Operational Results Management System website. As a marker, effectiveness lag is flagged for a project when: (i) it is higher than the average for the region/IFAD and the evaluation highlights this discrepancy; (ii) when the evaluation clearly attributes to either IFAD or the government the responsibility for a delay in starting the project.
	Government-related	
Economic internal rate of return (EIRR)		The marker ‘economic internal rate of return’ (a measure of a project’s profitability) is flagged when the evaluation refers to the EIRR as a reason for a reduced efficiency rating when: (i) the EIRR at completion is lower than at appraisal; (ii) the EIRR is absent in the PCR or design report; (iii) there is inaccurate or missing information in the PCR that accompanies the EIRR calculation in the PCR.
Project management costs		Project management costs are flagged when the evaluation refers to a discrepancy in costs with regard to: (i) staff costs (being too high and a driver of inefficiency); (ii) a discrepancy of actual versus appraisal costs, leading to an overrun of estimated project management costs.

Main marker Level 1	Sub marker Level 2	Definition
Cost ratio inputs to outputs (adherence to planned costs)		This marker is flagged when the evaluation specifically indicates that the cost ratio is positive and costs are adhering to the plan or the expected benefits at appraisal are met.
Implementation and disbursements	Setting up the project management unit	Timing for establishing the project management unit, which may cause or avoid delays in implementation and have an impact (positive or negative) on efficiency.
	Staff capacity and competence; staff turnover; recruitment processes	Assessment of staff capacities, turnover, timely replacement, delays in recruitment can establish human resource impact on project effectiveness and capacity-building. Presence or absence of expertise (technical, gender/climate/environment-related) and effects on project implementation.
	Procurement	Timeliness and quality of procurement process of goods, works and services affecting the efficiency in project implementation.
Financial management	Coherence between annual workplan and budget (AWPB) and activities	When specifically mentioned in the evaluation to have a positive impact on the assessment of efficiency.
	Accounting/financial records	As above.
Data quality / availability		Availability of baseline data and financial data. The evaluation specifically indicates that the data quality (or missing data) has an impact on the assessment of the criterion.
Project design	Design complexity / Assumptions	This marker is flagged when the efficiency section in the evaluation specifically refers to the project design being: (i) ambitious or complex or inadequate or (ii) flexible and allowing a response to mid-term review recommendations.
	Design flexibility / Response to Recommendations	
Counterpart funding	Cofinancing / Partnerships	This marker refers to the funding that is lower or higher than expected at design and can refer to partners, government or beneficiaries. The lack of funds is indicated in the evaluation as a driver of the project's low/high efficiency.
	Government	
	Beneficiaries	
External context		Adjustments made during project implementation to the project design to respond to context changes linked to social and political unrest or climate-related events.

6. **Selection of markers on efficiency.** The analysis of markers focuses on recurring evaluation findings related to the efficiency of IFAD-supported operations. As the first step, this analysis distilled recurring constraining and enabling factors affecting efficiency from all evaluations in the sample. These have been quantified in terms of recurring observations and are summarized in the tables below.

Table 2 Efficiency markers in projects with unsatisfactory rating in efficiency (completed between 2013-2015; N=46)

Markers in efficiency	Total no. of observations (#216)	% of observations	Total no. of projects (#46)	% of projects
Staffing	55	25%	34	74%
Implementation/disbursements	54	25%	39	85%
Project management costs	21	10%	21	46%
Effectiveness lag	18	8%	18	39%
Cost ratio (adherence to planned costs)	18	8%	18	39%
Financial management	17	8%	16	35%
EIRR	16	7%	16	35%
External context	10	5%	10	22%
Data quality/availability	7	3%	7	15%
Total number of observations	216			

Table 3 Efficiency markers in projects with satisfactory rating in efficiency (completed between 2017-2019; N=37)

Markers in efficiency	Total no. of observations (#87)	% of observations	Total no. of projects (#37)	% of projects
Implementation/disbursements	35	40%	21	24%
EIRR	19	22%	19	22%
Staffing	9	10%	6	7%
Cost ratio (adherence to planned costs)	8	9%	8	9%
Financial management	8	9%	7	8%
Project management costs	4	5%	4	5%
Effectiveness lag	3	3%	3	3%
Data quality/availability	1	1%	1	1%
External context	0	0%	0	0%
Total number of observations	87			

7. **List of projects included in the analysis.** The table below includes all the evaluations that have been selected for the qualitative analysis on efficiency in chapter III of the 2021 ARRI.

Table 4 Projects included in the qualitative analysis under chapter III of the 2021 ARRI

Project ID	Region	Countries	Projects with moderately unsatisfactory or lower ratings in efficiency (completion 2013-2015)	Efficiency rating
1100001350	APR	Cambodia	Rural Livelihoods Improvement Programme	3
1100001381	APR	India	Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains	2
1100001347	APR	Maldives	Post-Tsunami Agricultural and Fisheries Rehabilitation Programme	3
1100001565	APR	Solomon Islands	Solomon Islands Rural Development Programme	3
1100001346	APR	Sri Lanka	Post-Tsunami Coastal Rehabilitation and Resource Management Programme	3
1100001576	APR	Timor-Leste	Timor-Leste Maize Storage Project	3
1100001241	ESA	Comoros	National Programme for Sustainable Human Development	3
1100001159	ESA	Eswatini	Lower Usuthu Smallholder Irrigation Project – Phase I	2
1100001292	ESA	Ethiopia	Agricultural Marketing Improvement Programme	3
1100001370	ESA	Ethiopia	Participatory Small-Scale Irrigation Development Programme	3
1100001370	ESA	Ethiopia	Participatory Small-Scale Irrigation Development Programme	3
1100001243	ESA	Kenya	Southern Nyanza Community Development Project	3
1100001330	ESA	Kenya	Smallholder Horticulture Marketing Programme	3
1100001371	ESA	Lesotho	Rural Financial Intermediation Programme	2
1100001164	ESA	Malawi	Rural Livelihoods Support Programme	2
1100001357	ESA	Mauritius	Marine and Agricultural Resources Support Programme	2
1100001267	ESA	Mozambique	Rural Finance Support Programme	3
1100001280	ESA	Zambia	Rural Finance Programme	3
1100001319	ESA	Zambia	Smallholder Livestock Investment Project	3
1100001279	LAC	Argentina	Patagonia Rural Development Project	3
1100001415	LAC	Guyana	Rural Enterprise and Agricultural Development Project	3

Project ID	Region	Countries	Projects with moderately unsatisfactory or lower ratings in efficiency (completion 2013-2015)	Efficiency rating
1100001171	LAC	Haiti	Productive Initiatives Support Programme in Rural Areas	3
1100001389	LAC	Panama	Participative Development and Rural Modernization Project	2
1100001398	NEN	Azerbaijan	Rural Development Project for the North-West	3
1100001204	NEN	Egypt	West Noubaria Rural Development Project	3
1100001507	NEN	Georgia	Agricultural Support Project	3
1100001295	NEN	Jordan	Agricultural Resource Management Project – Phase II	3
1100001338	NEN	Morocco	Rural Development Project in the Eastern Middle Atlas Mountains	3
1100001503	NEN	Sudan	Rural Access Project	3
1100001375	NEN	Syrian Arab Republic	North-eastern Regional Rural Development Project	3
1100001408	NEN	Tajikistan	Khatlon Livelihoods Support Project	3
1100001293	NEN	Yemen	Pilot Community-based Rural Infrastructure Project in Highland Areas	3
1100001269	NEN	Yemen	Al-Dhala Community Resource Management Development Project	3
1100001403	NEN	Yemen	Rained Agriculture and Livestock Project	3
1100001368	WCA	Burkina Faso	Small-scale irrigation and water management project	2
1100001327	WCA	Congo	Rural Development Project in the Niari, Bouenza, and Lekoumou Departments	3
1100001438	WCA	Congo	Rural Development Project in the Likouala, Pool and Sangha Departments	2
1100001435	WCA	Côte d'Ivoire	Agricultural Rehabilitation and Poverty Reduction Project	3
1100001311	WCA	DR Congo	Agricultural Rehabilitation Programme in Orientale Province	2
1100001152	WCA	Gambia (The)	Participatory Integrated-Watershed Management Project	3
1100001303	WCA	Gambia (The)	Rural Finance Project	2
1100001504	WCA	Gambia (The)	Livestock and Horticulture Development Project	3
1100001312	WCA	Ghana	Root and Tuber Improvement and Marketing Programme	2
1100001278	WCA	Guinea-Bissau	Rural Rehabilitation and Community Development Project	3
1100001356	WCA	Mali	Kidal Integrated Rural Development Programme	3
1100001260	WCA	Nigeria	Community-based Natural Resource Management Programme – Niger Delta Region	3
1100001027	WCA	São Tomé & Príncipe	Participatory Smallholder Agriculture and Artisanal Fisheries Development Programme	3

Project ID	Region	Countries	Projects with moderately satisfactory or lower ratings in efficiency (completion 2017-2019)	Efficiency rating
1100001466	APR	Bangladesh	Participatory Small Scale Water Resources Sector Project	5
1100001647	APR	Bangladesh	Coastal Climate Resilient Infrastructure Project	5
1100001559	APR	Cambodia	Project for Agricultural Development and Economic Empowerment	5
1100001555	APR	China	Yunnan Agricultural and Rural Improvement Project	5
1100001627	APR	China	Guangxi Integrated Agricultural Development Project	5
1100001629	APR	China	Hunan Agricultural and Rural Infrastructure Improvement Project	4
1100001418	APR	India	Mitigating Poverty in Western Rajasthan Project	4
1100001314	APR	India	Tejaswini Rural Women's Empowerment Programme	4
1100001509	APR	Indonesia	Smallholder Livelihood Development Project in Eastern Indonesia	4
1100001621	APR	Indonesia	Coastal Community Development Project	5
1100001450	APR	Nepal	High-Value Agriculture Project in Hill and Mountain Areas	4
1100001471	APR	Nepal	Poverty Alleviation Fund Project II	4
1100001628	APR	Tonga	Tonga Rural Innovation Project	4
1100001552	APR	Viet Nam	Sustainable Rural Development for the Poor Project in Ha Tinh and Quang Binh Provinces	5
1100001662	APR	Viet Nam	Agriculture, Farmers and Rural Areas Support Project	4
1100001469	ESA	Burundi	Agricultural Intensification and Value-Enhancing Support Project	4
1100001424	ESA	Ethiopia	Community-based Integrated Natural Resources Management Project	4
1100001305	ESA	Kenya	Smallholder Dairy Commercialization Programme	4
1100001429	ESA	Madagascar	Support to Farmers' Professional Organizations and Agricultural Services Project	5
1100001365	ESA	Malawi	Rural Livelihoods and Economic Enhancement Programme	4
1100001560	ESA	Seychelles	Competitive Local Innovations for Small-scale Agriculture Project	4
1100001533	LAC	Dominican Republic	Rural Economic Development Project in the Central and Eastern Provinces	4
1100001568	LAC	El Salvador	Rural Territorial Competitiveness Programme (Amanecer Rural)	4
1100001535	LAC	Honduras	Sustainable Rural Development Programme for the Southern Region	4

Project ID	Region	Countries	Projects with moderately satisfactory or lower ratings in efficiency (completion 2017-2019)	Efficiency rating
1100001505	LAC	Nicaragua	Agricultural, Fishery and Forestry Productive Systems Development Programme in RAAN and RAAS Indigenous Territories	4
1100001593	NEN	Bosnia	Rural Business Development Project	4
1100001376	NEN	Egypt	Upper Egypt Rural Development Project	4
1100001626	NEN	Kyrgyz Republic	Livestock and Market Development Programme	5
1100001526	NEN	Morocco	Agricultural Value Chain Development Project in the Mountain Zones of Al-Haouz Province	4
1100001332	NEN	Sudan	Seed Development Project	4
1100001524	NEN	Sudan	Butana Integrated Rural Development Project	5
1100001612	NEN	Sudan	Supporting Small-scale Traditional Rainfed Producers in Sinnar State	4
1100001501	WCA	Liberia	Smallholder Tree Crop Revitalization Support Project	4
1100001616	WCA	Liberia	Agriculture Sector Rehabilitation Project	4
1100001441	WCA	Mali	Rural Microfinance Programme	4
1100001646	WCA	Niger	Ruwanmu Small-Scale Irrigation Project	4
1100001687	WCA	São Tomé & Príncipe	Smallholder Commercial Agriculture Project	4

Annex VI Non-parametric data analysis of IOE ratings

Methodology

1. This annex presents the results of the following analyses:
 - Non-parametric analyses of the most recent time period
 - Analysis of the disconnects between IOE and PCR ratings by criteria
 - Correlations between IOE criteria
 - Trend analysis of project completion report quality, lessons, scope and candour
 - Analysis of moderately satisfactory versus satisfactory and highly satisfactory ratings
2. To conduct the above analyses, the report makes use of a mix of descriptive and inferential statistics. The analysis uses the ARRI 2021 dataset of 297 projects which contains a census of IOE ratings for projects completed between 2007 and 2019. While the data is a census, the use of inferential statistics means that the data is treated as a simple random sample. This results in a margin of error of +/- 5.97 per cent for proportions that are split 50 per cent and 50 per cent and a margin of error of +/-3.41 per cent for proportions that are split at 10 per cent and 90 per cent. When the data is broken down by variables (e.g. time periods), the margin of error is substantially larger due to the small sample size.
3. The data analysis generally makes use of Wilcoxon rank order tests and chi square tests. Wilcoxon is used in cases when the data is ordinal and has more than two categories. Chi square is used in cases when the independent variable has more than two categories as well as when the dependent variable is binary. In limited cases (for the project performance criteria which is continuous), a t-test is also used. All tests are two-sided. P-values are reported for any test which is significant at the 10 per cent level or lower.

4. For the correlations between criteria, Spearman rank order correlations are used. For these, the correlation coefficient is presented. All correlations are statistically significant, and therefore no further information is provided on the level of significance.

Non-parametric analyses of most recent time period

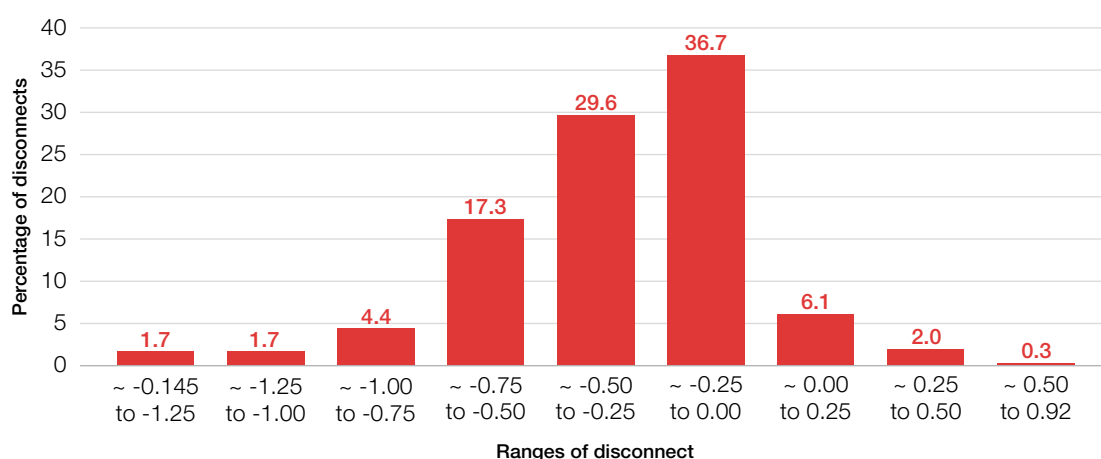
5. Data analysis of the most recent three-year period for the main performance criteria and other performance criteria suggests limited numbers of statistically significant changes. When looking at the criteria scores as binary variables coded as satisfactory or not, environment and adaption to climate change are potentially significant at the 10 per cent level. When the variables are taken in their ordinal form, environment and adaptation to climate change show significant changes at the 5 per cent level. Overall, the share of projects with satisfactory environmental management criteria scores improved by ten percentage points and the adaption to climate change indicator improved by nine percentage points. No other performance criteria exhibit statistically significant changes.

Analysis of disconnect between IOE and PCR ratings

6. This section provides a review of disconnects between IOE and PCR ratings. The overall distribution of the average net disconnect⁴⁷ is provided in the chart below. The average disconnect varies from -1.45 to 0.92. The mean is -0.28 and the median is -0.25. Most projects (84 per cent) have negative disconnects, meaning that the PCR rating is higher than the IOE rating, 8 per cent have no disconnect, and 9 per cent have a positive disconnect, meaning that there is a higher IOE rating than PCR rating.

⁴⁷ This is calculated by dividing the value of net disconnects for different criteria by the number of evaluation criteria. For example, if there is a negative disconnect by 1 (e.g. Programme Management Department of IFAD rating 5, IOE rating 4) for two criteria, a positive disconnect by 1 (e.g. Programme Management Department of IFAD rating 3, IOE rating 4) for one criterion, and no disconnect for other criteria, the average net disconnect would be worked out by dividing -1 by 12 (i.e. -0.83), if all criteria were rated (aggregated criteria are not included).

Chart 1 Distribution of disconnect between IOE and PCR ratings (2007-2019)



7. The analysis of the disconnects of individual criteria suggests that the average disconnect for all years within the dataset hovers between minus 0.2 and 0.4, with three exceptions. Adaption to climate change (-0.14),⁴⁸ innovation and environment and natural resources management (both -0.16) have the smallest average disconnects. The largest negative disconnect was for relevance at -0.53.
8. Among the main project criteria, the disconnect has become smaller in recent years. While relevance had the largest disconnect overall in the past as well as in recent years, the average disconnect for relevance has also improved the most in absolute terms, now having an only slightly larger disconnect than other criteria. The picture is quite similar for most other project criteria, with most average disconnects approaching zero. However, there are a number of exceptions. The disconnect for gender equality and women's empowerment has increased. Similarly, scaling up moved towards a larger average disconnect, although an improvement was seen in 2017-2019 compared to 2014-2016.
9. When the data is coded to check for a negative disconnect (i.e. the PCR rating being higher than IOE's), the data suggest that there has been some improvement in recent years in terms of the share of projects with a negative disconnect on each indicator. There was a 27 percentage points decline in the share of projects with a negative disconnect in the relevance criterion. Similarly, there was a 24 percentage points decline for scaling up. Sustainability experienced an 18 percentage points decline in the share of projects with negative disconnects.

⁴⁸ The data used for adaption to climate change only consider the years 2016-2019, because adaptation to climate change as a separate indicator was introduced in 2016.

Chart 2 **Average disconnects between IOE and PCRs by evaluation criteria (2007-2019)**

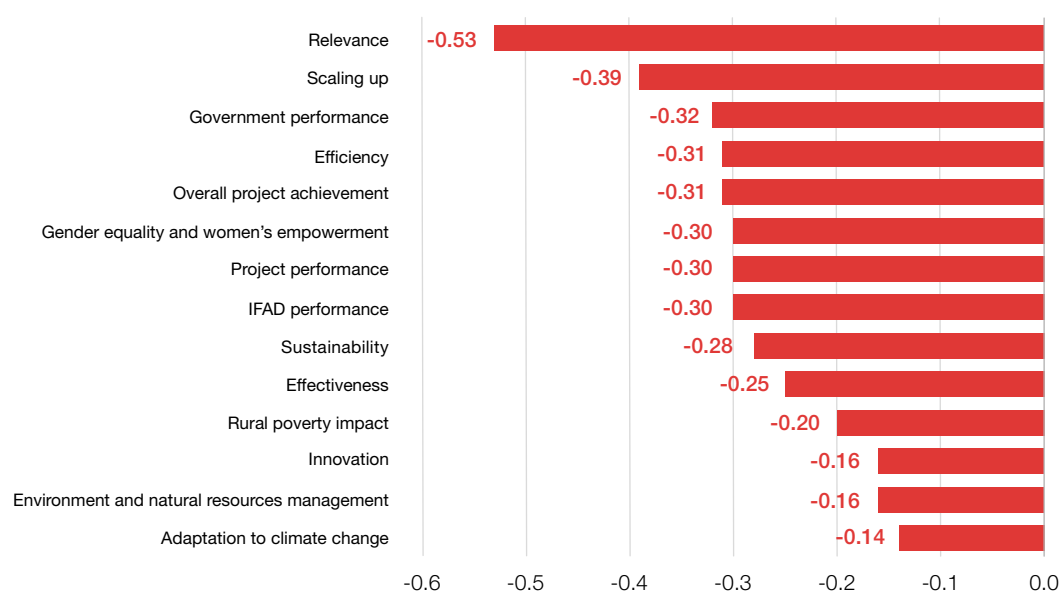


Table 1 **Average disconnect among main project criteria by time period**

	2007-2010	2011-2013	2014-2016	2017-2019
Relevance	(0.43)	(0.59)	(0.64)	(0.35)
Effectiveness	(0.14)	(0.37)	(0.20)	(0.25)
Efficiency	(0.14)	(0.40)	(0.34)	(0.27)
Sustainability	(0.05)	(0.49)	(0.33)	(0.17)
Rural poverty impact	(0.10)	(0.27)	(0.18)	(0.22)
Innovation	(0.12)	(0.27)	(0.15)	(0.08)
Scaling up	(0.22)	(0.32)	(0.54)	(0.33)
Gender equality and women's empowerment	(0.07)	(0.31)	(0.33)	(0.41)
Environment and natural resources management	(0.10)	(0.39)	(0.10)	(0.05)
Adaptation to climate change	NA	(0.80)	(0.16)	(0.05)
IFAD performance	(0.14)	(0.48)	(0.29)	(0.21)
Government performance	(0.16)	(0.30)	(0.40)	(0.30)
Overall project achievement	(0.18)	(0.34)	(0.36)	(0.27)

Table 2 Share of projects with negative disconnect by IOE criteria (projects completed between 2007 and 2019)

	2007-2010	2011-2013	2014-2016	2017-2019	Δ 2017-2019 vs 2014-2016
Relevance	41	50	60	33	(27)
Effectiveness	23	38	25	26	1
Efficiency	23	36	39	32	(7)
Sustainability	21	46	35	17	(18)
Project performance	59	74	69	59	(10)
Rural Poverty Impact	17	28	24	28	4
Innovation	36	32	25	21	(4)
Scaling up	35	36	51	27	(24)
Gender equality and women's empowerment	26	33	38	39	1
Environment and natural resources management	29	37	21	13	(8)
Adaptation to climate change	–	60	28	14	(15)
IFAD performance	25	48	27	21	(6)
Government performance	23	33	39	27	(12)
Overall project achievement	23	31	36	27	(9)

10. When the data on share of projects with negative disconnects is broken down by regional division, the Asia and the Pacific Division (APR) tends to have a lower share of projects with a disconnect on most criteria, though differences are rarely statistically significant. Gender equality and women's empowerment is an exception in this regard, as different regions have similar shares of projects with a disconnect.

11. This section has broken down the data on disconnects by each criterion. Relevance generally had the largest disconnect when measured in average terms, showing a significant improvement in the latest time period (2017-2019). Gender equality and women's empowerment has the largest average disconnect for the most recent period. For most of the criteria, the average disconnects show some improvement. Negative disconnects appear to be less common in the APR region.

Table 3 Share of projects with negative disconnect by region (projects completed between 2007 and 2019)

	APR	ESA	LAC	NEN	WCA	p
Relevance	40	51	44	51	57	
Effectiveness	25	29	31	35	25	
Efficiency	25	35	47	38	31	
Sustainability	30	42	20	31	34	
Project performance	1	1	1	1	1	p<0.1
Rural poverty impact	25	26	30	22	22	
Innovation	22	26	21	31	37	
Scaling up	33	32	29	46	54	p<0.1
Gender equality and women's empowerment	37	33	30	33	39	
Environment and natural resources management	26	39	21	17	17	
Adaptation to climate change	19	38	40	19	11	
IFAD performance	19	44	27	35	34	p<0.05
Government performance	14	47	36	44	29	p<0.001
Overall project achievement	19	39	26	38	35	

Disconnect: ■ Strong ■ Moderate ■ Intermediate ■ Low ■ Weak

Note: colour-scale indicates the ranking from the highest disconnect (red) to the lowest (dark green) for each criterion across the regions.

Rating correlations

12. A Spearman's rank correlation was conducted to understand the relationships between different criteria. The results suggest that there are a number of sets of criteria that have relatively high and relatively low correlations with other indicators. Specifically, the overall project achievement, project performance, and effectiveness indicators are most strongly correlated with other indicators. In contrast, the
- gender, environment, and adaption to climate change indicators are least well correlated with other indicators.
13. To provide a more intuitive sense of the strength of the correlations among IOE criteria, the table below provides each correlation labelled as very strong ($r= 0.9-1$), strong ($r=0.7-0.89$), moderate ($r=0.5-0.69$), low ($0.3-0.49$), and weak ($r<0.3$).

Table 4 Correlation among IOE criteria (all projects completed between 2007 and 2019)

	Relevance	Effectiveness	Efficiency	Sustainability	Project performance	Rural poverty impact
Relevance		Moderate	Low	Low	Moderate	Moderate
Effectiveness	Moderate		Moderate	Moderate	Strong	Moderate
Efficiency	Low	Moderate		Moderate	Strong	Moderate
Sustainability	Low	Moderate	Moderate		Strong	Moderate
Project performance	Moderate	Strong	Strong	Strong		Strong
Rural poverty impact	Moderate	Moderate	Moderate	Moderate	Strong	
Innovation	Low	Moderate	Low	Low	Moderate	Low
Scaling up	Low	Low	Low	Moderate	Moderate	Low
GEWE	Low	Low	Low	Weak	Low	Low
ENRM	Weak	Low	Low	Low	Low	Low
Adaptation to climate change	Weak	Low	Low	Low	Low	Low
IFAD performance	Moderate	Moderate	Low	Low	Moderate	Moderate
Government performance	Low	Moderate	Moderate	Moderate	Strong	Moderate
Overall project achievement	Moderate	Strong	Moderate	Moderate	Strong	Strong

Number/type of correlations	Relevance	Effectiveness	Efficiency	Sustainability	Project performance	Rural poverty impact
Strong	0	2	1	1	6	2
Moderate	5	7	5	6	4	6
Low	6	4	7	5	3	5
Weak	2			1		

■ Strong ■ Moderate ■ Low ■ Weak

Innovation	Scaling up	GEWE	ENRM	Adaptation to climate change	IFAD performance	Government performance	Overall project achievement
Low	Low	Low	Weak	Weak	Moderate	Low	Moderate
Moderate	Low	Low	Low	Low	Moderate	Moderate	Strong
Low	Low	Low	Low	Low	Low	Moderate	Moderate
Low	Moderate	Weak	Low	Low	Low	Moderate	Moderate
Moderate	Moderate	Low	Low	Low	Moderate	Strong	Strong
Low	Low	Low	Low	Low	Moderate	Moderate	Strong
	Moderate	Weak	Weak	Low	Low	Low	Moderate
Moderate		Low	Weak	Weak	Low	Low	Moderate
Weak	Low		Weak	Weak	Low	Low	Low
Weak	Weak	Weak		Strong	Weak	Low	Low
Low	Weak	Weak	Strong		Low	Low	Low
Low	Low	Low	Weak	Low		Moderate	Moderate
Low	Low	Low	Low	Low	Moderate		Strong
Moderate	Moderate	Low	Low	Low	Moderate	Strong	

Innovation	Scaling up	GEWE	ENRM	Adaptation to climate change	IFAD performance	Government performance	Overall project achievement
			1	1		2	4
4	4				6	5	6
7	7	9	7	9	6	6	3
2	2	4	5	3	1		

14. The above table also summarizes the numbers of each score per indicator. The data indicate that project performance has the largest number of strong correlations with other indicators. Overall project achievement is the second highest in terms of strong correlations, being strongly correlated with four other indicators. Gender equality and women's empowerment and natural resources management have the largest number of weak correlations (four and five, respectively). Adaption to climate change has three weak correlations. These indicators appear to be distinct from other criteria in this regard as other indicators tend to have an intermediary number of strong, moderate, low and weak correlations.
15. The above analysis suggests that while all factors can correlate with each other, some criteria have stronger associations with one another. Unsurprisingly, overall project achievement and project performance are most strongly correlated. Gender equality and women's empowerment is the most weakly correlated with other criteria. Environment and natural resources management, as well as adaption to climate change, are also relatively weakly correlated with other criteria, but are associated with each other.

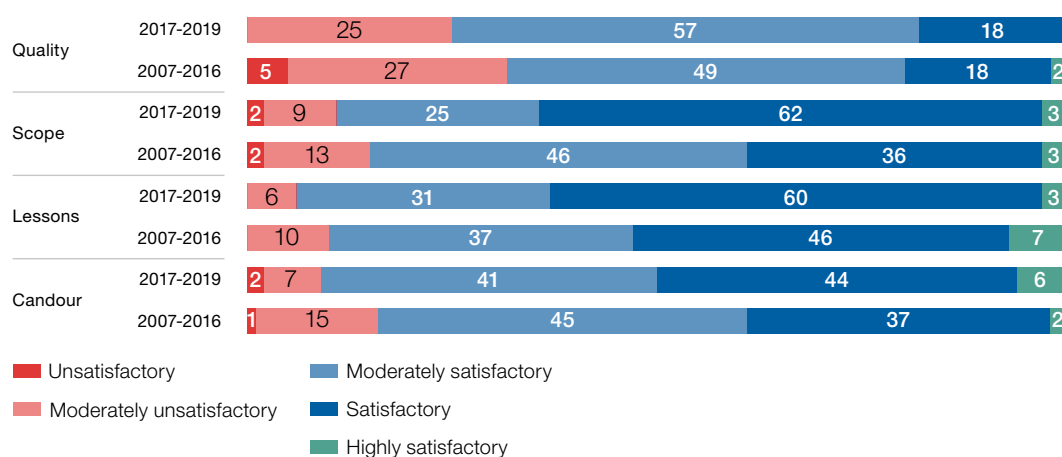
Analysis of IOE ratings for project completion reports

16. In project completion report validations (PCRVs), IOE assesses and rates PCRs using four evaluation criteria. These are: (i) scope (e.g. whether the PCR has adhered to IFAD guidelines for PCRs); (ii) quality (e.g. the report preparation process and robustness of the evidence base); (iii) lessons (e.g. whether the PCR includes learnings on the proximate causes of satisfactory or less than satisfactory performance); and (iv) candour (e.g. in terms of objectivity in the narrative, and whether ratings in the PCR are well supported by evidence included in the document). Ratings for each of these criteria are aggregated in the PCRVs to provide an overall rating of the PCR document.
17. With regard to the trend of IOE ratings, PCR scope ($p < 0.01$) and candour ($p < 0.05$) show a significantly better performance in the latest time period (2017-2019) than past periods. However, PCR lessons learned and PCR quality of data and methods have not changed significantly in the most recent project period. When the variables are coded as satisfactory or not satisfactory, the data show no statistically significant changes between the most recent and past periods.
18. When a Spearman rank order correlation is conducted with the above ratings, the data indicate that the correlations are in the low category (0.3-0.49). The strongest correlations are between scope and quality, candour and lessons learned, and candour and quality (0.47, 0.47, and 0.46). The other correlation levels are not substantively different at 0.39 (quality and lessons learned), 0.38 (scope and lesson learned), and candour and scope (0.33).

Trend of moderately satisfactory versus satisfactory and highly satisfactory ratings

19. This section aims to analyse the most recent performance of IOE moderately satisfactory ratings in comparison with satisfactory or highly satisfactory ratings for all IOE criteria, with particular regard to the changes in ratings in the latest time period (2017-2019) versus the previous time period (2014-2016).
20. The table below indicates that, between 2017 and 2019, the highest increase in the share of projects rated satisfactory and highly satisfactory has occurred for sustainability and adaptation to climate change. Gender equality and women's empowerment and rural poverty impact show the most significant decline in the highest range of satisfactory ratings. Criteria like efficiency

Chart 3 Percentage of IOE ratings for PCR documents (projects completed between 2007 and 2019)



and effectiveness show an increase only in moderately satisfactory ratings. When the data is broken down by years of completion across the ARRI database (2007-2019), there are only

two distributions with a statistically significant difference – relevance at the 5 per cent level and environment and natural resources management at the 10 per cent level.

Table 5 Share of projects rated moderately satisfactory versus satisfactory/highly satisfactory ratings: change in 2017-2019 versus 2014-2016

	Unsatisfactory	Δ 2017-2019 vs 2014-2016	Moderately Satisfactory	Δ 2017-2019 vs 2014-2016	Satisfactory/ Highly satisfactory	Δ 2017-2019 vs 2014-2016
Relevance	15	4	49	(2)	37	(2)
Effectiveness	22	(3)	54	6	24	(3)
Efficiency	44	(4)	41	8	15	(3)
Sustainability	34	(7)	52	2	15	5
Rural poverty impact	21	2	57	4	22	(6)
Innovation	13	(4)	49	7	38	(3)
Scaling up	29	3	40	(4)	31	1
Gender equality and women's empowerment	24	3	50	4	26	(8)
Environment and natural resources management	14	(6)	55	4	31	2
Adaptation to climate change	18	(6)	57	(1)	25	6
IFAD performance	19	10	44	(11)	37	1
Government performance	37	3	38	(3)	25	0
Overall project achievement	24	(1)	52	1	25	0

21. The analysis has also considered the size of *project funding*, using the “total financing” figures in the Operational Results Management System for all projects included in the ARRI 2021 database. The data suggest that projects with *below median funding* tend to have lower shares with satisfactory/highly satisfactory ratings than projects with above median funding. This holds for all project criteria, with the exception of gender equality and women’s empowerment.
22. When the same analysis is conducted for *project funding quartiles* (table 8 below),

the data indicate the projects in the lowest quartile appear to drive up results. The average percentage point increase when going from the first to the second quartile in the share of projects in the satisfactory/highly satisfactory range is 8 percentage points. By comparison, when going from the second to the third quartile, there is an average increase of 2 percentage points. When going from the third to the fourth quartile of funding, the share of projects with higher ratings moves up by 5 percentage points on average. While the averages are relatively small, the differences are sometimes substantial.

Table 6 **Share of projects rated moderately satisfactory versus satisfactory/highly satisfactory by quartiles by the project funding size (2007-2019)**

IOE Criteria	Quartiles	Unsatisfactory	Moderately satisfactory	Satisfactory/ highly satisfactory	Quartile difference in satisfactory/highly satisfactory	p
Relevance	First quartile	15	57	28		
	Second quartile	14	55	32	3	
	Third quartile	12	43	45	13	
	Fourth quartile	11	45	45	0	
Effectiveness	First quartile	34	54	12		p<0.05
	Second quartile	29	43	29	17	
	Third quartile	20	50	30	1	
	Fourth quartile	18	53	30	0	
Efficiency	First quartile	61	38	1		p<0.001
	Second quartile	49	34	16	15	
	Third quartile	32	43	26	10	
	Fourth quartile	41	37	23	-3	
Sustainability	First quartile	45	49	6		
	Second quartile	43	41	16	11	
	Third quartile	34	55	11	-6	
	Fourth quartile	34	53	14	3	
Rural Poverty Impact	First quartile	27	58	16		
	Second quartile	16	55	29	13	
	Third quartile	14	59	27	-2	
	Fourth quartile	14	52	34	7	

IOE Criteria	Quartiles	Unsatisfactory	Moderately satisfactory	Satisfactory/ highly satisfactory	Quartile difference in satisfactory/highly satisfactory	p
Innovation	First quartile	22	50	28		
	Second quartile	14	51	36	7	
	Third quartile	23	35	42	6	
	Fourth quartile	12	41	47	5	
Scaling up	First quartile	26	50	24		
	Second quartile	29	44	27	3	
	Third quartile	26	41	34	6	
	Fourth quartile	20	38	42	8	
Gender equality and women's empowerment	First quartile	25	48	27		
	Second quartile	16	51	34	6	
	Third quartile	23	43	34	0	
	Fourth quartile	19	41	40	6	
Environment and natural resources management	First quartile	17	57	27		
	Second quartile	29	52	19	-8	
	Third quartile	22	56	22	3	
	Fourth quartile	19	54	27	4	
Adaptation to climate change	First quartile	32	49	19		
	Second quartile	27	57	16	-3	
	Third quartile	27	63	10	-6	
	Fourth quartile	21	54	25	15	
IFAD performance	First quartile	22	57	22		p<0.1
	Second quartile	14	53	33	11	
	Third quartile	12	51	37	4	
	Fourth quartile	14	41	46	9	
Government performance	First quartile	47	45	8		p<0.05
	Second quartile	34	43	23	15	
	Third quartile	27	47	26	2	
	Fourth quartile	27	42	31	5	
Overall project achievement	First quartile	36	53	11		p<0.05
	Second quartile	21	51	29	18	
	Third quartile	19	58	23	-6	
	Fourth quartile	18	50	32	9	

23. This pattern is driven in part by substantial jumps between the first and second quartile. For instance, when going from the first to the second quartile, the share of projects with higher ratings for effectiveness increases by 17 percentage points. For efficiency and government performance, the corresponding figure is 15 percentage points. For overall project achievement there is an 18 percentage points increase between the first and second quartile in projects with higher ratings.
24. When looking into the question of what makes a project good or great, the data appear to indicate that total financing approved and being in a non-fragile context help. With regard to how project ratings have been changing, there is relatively limited change that meets the statistically significant standard. However, there are noticeable patterns with increases in the second time period examined for many indicators followed by slight declines in the third period.
25. Overall, the data show that there has been relatively little movement of ratings from moderately satisfactory to satisfactory/highly satisfactory in the most recent time period (2017-2019) compared to all past periods. When comparing projects by funding and fragility, the data suggests that projects with above median funding are more likely to be rated satisfactory/highly satisfactory, as are projects outside of fragile contexts. When the funding is broken down by quartiles, the data indicate that there is usually a particularly large increase in the share of projects with higher ratings when moving from the first quartile to the second quartile, though the pattern is not uniform.

Annex VII Analysis of project performance ratings in countries with fragile situations

1. The quantitative analysis of IOE ratings for projects in countries with fragile and conflict-related situations is presented in this section. The classification of projects operating in countries with fragile situations is based on the revised classification of fragility and conflict situations for World Bank Group Engagement⁴⁹ in 2020, and the annual harmonized list of fragile situations from 2006 to 2019. The latter was based on two criteria: a harmonized Country Policy and Institutional Assessment (CPIA)⁵⁰ score below 3.2, and the presence of a United Nations mission or a regional peacekeeping/peacebuilding mission. As such, it aggregated all dimensions of fragility and conflict into one broad category and did not sufficiently differentiate between various types of situations.
2. To capture the differentiated nature of fragility and conflict more precisely, the revised classification introduced since 2020 is based on methodologies that distinguish countries in the following categories: (i) **countries with high levels of institutional and social fragility**, based on public indicators that measure the quality of policy and institutions as well as specific manifestations of fragility; (ii) **countries affected by violent conflict**, based on a threshold number of conflict-related deaths relative to the population. This category distinguishes two further sub-categories based on the intensity of violence: (i) **countries in high-intensity conflict** and (ii) **countries in medium-intensity conflict**.
3. The grouping of projects for the ARRI analysis was based on the following methodology: (i) all countries in the 2021 ARRI database (completed between 2007-2019 for a total of 298 projects) have been “mapped” based on the World Bank historical list of countries with fragile and conflict-related situations;⁵¹ (ii) all projects on the list of fragile or conflict-related situations have been cross-checked based on their entire project lifecycle between approval and completion; (iii) only projects in those countries with a status of fragility which persisted throughout the project lifecycle or for at least 50 per cent of the project lifecycle have been included in the sample. A sample of 102 projects in countries with fragile or conflict-related situations has been included in the analysis, with the remainder of 196 projects considered in non-fragile situations.
4. Countries in fragile situations had the following regional representation: 52 per cent from WCA, 26 per cent from NEN, 12 per cent from ESA, 7 per cent from APR and 3 per cent from LAC. In terms of age of portfolio, 34 per cent of projects were completed between 2008 and 2013, 42 per cent between 2014 and 2016, and 24 per cent between 2017 and 2019.
5. **Recent performance of countries in fragile situations (projects completed in 2017-2019).** In the most recent three-year period, ratings for projects in fragile situations have been improving compared with the previous time period (2014-2016), while performance in non-fragile contexts has been consistent for the main evaluation criteria. All criteria, with the exception of rural poverty impact, show an increase in moderately satisfactory ratings or better in 2017-2019 compared to the previous time period. Efficiency, government performance, adaptation to climate change and innovation show double digit growth. For some criteria the absolute percentage of moderately satisfactory or better ratings is higher in 2017-2019 for projects in fragile situations than those in non-fragile countries, and specifically for efficiency, adaptation to

⁴⁹ <https://pubdocs.worldbank.org/en/964161594254019510/Revised-Classification-of-Fragility-and-Conflict-Situations-web-FY21.pdf>

⁵⁰ The World Bank list was based on the CPIA up until 2019. The CPIA provides a rating of countries against a set of 16 criteria grouped into four clusters: economic management, structural policies, policies for social inclusion and equity, and public sector management and institutions. The Harmonized CPIA is calculated as the average of the World Bank CPIA and the African Development Bank or Asian Development Bank CPIA (as may apply to a given country).

⁵¹ <https://pubdocs.worldbank.org/en/176001594407411053/FCSList-FY06toFY20.pdf>

climate change, overall project achievement, gender equality and women's empowerment, IFAD performance, and relevance. However, the changes in ratings between 2017-2019

and 2014-2016 within the sample of projects in countries with fragile situations have shown no statistical significance.

Table 1 Percentage of moderately satisfactory ratings or better – fragile versus non-fragile situations (2017-2019 versus 2014-2016). IOE criteria ranked by change in percentage for countries with fragile situations

	Fragile situations			Non-fragile situations		
	2014-2016 (N=30)	2017-2019 (N=24)	Δ 2017-2019 vs 2014-2016	2014-2016 (N=52)	2017-2019 (N=44)	Δ 2017-2019 vs 2014-2016
Efficiency	40	58	▲ 18	60	55	▼ -5
Government performance	47	63	▲ 16	65	64	▼ -2
Adaptation to climate change	72	86	▲ 14	78	80	▲ 3
Innovation	73	83	▲ 10	85	89	▲ 4
Overall project achievement	70	79	▲ 9	76	75	▼ -1
Sustainability of benefits	50	58	▲ 8	67	70	▲ 3
Effectiveness	63	71	▲ 8	85	82	▼ -3
Gender equality and women's empowerment	80	88	▲ 8	70	69	▼ -1
Environment and natural resources management	76	83	▲ 7	84	88	▲ 4
IFAD performance	80	83	▲ 3	85	80	▼ -5
Relevance	93	96	▲ 3	79	80	▲ 1
Scaling up	60	63	▲ 3	73	75	▲ 2
Rural poverty impact	70	70	— 0	83	83	— 0

6. **Long term performance (2007-2019).** The table below indicates the average IOE rating per criterion and any disconnect in comparison to the respective PCR rating, for projects both in fragile and non-fragile situations. The distribution of project scores for relevance are nearly identical, and significance testing suggests no difference between the two

distributions ($p=0.88$). However, projects in fragile contexts show ratings significantly lower on effectiveness ($p<0.09$), efficiency ($p<0.002$), and sustainability ($p<0.03$). Overall project performance is also significantly lower, with the average project in a non-fragile context scoring 3.81 versus 4.05 in fragile contexts ($p<0.01$). Projects in fragile contexts

also tend to have lower ratings on most other performance criteria. They have lower ratings for government performance ($p<0.00$), scaling up ($p<0.04$), and rural poverty impact ($p<0.02$).

Table 2 Comparison of IOE's PCR/PPE ratings for projects in countries with fragile and not with fragile situations for all evaluation criteria: projects completed in 2007-2019 (N=298 total; N=102 fragile; N=196 non-fragile)

Criteria	Mean ratings		Disconnect (fragile vs non-fragile)	T-test (comparison of means)
	Projects with fragile situations	Projects in non-fragile situations		p-value ⁵²
Efficiency	3.36	3.72	-0.36	0.00***
Government performance	3.62	3.95	-0.33	0.00***
Overall project achievement	3.81	4.05	-0.24	0.01***
Scaling up	3.89	4.11	-0.22	0.04**
Sustainability	3.53	3.74	-0.21	0.03**
Rural poverty impact	3.92	4.13	-0.21	0.02**
Effectiveness	3.84	4.02	-0.18	0.09*
Innovation	4.10	4.24	-0.14	0.18
Gender equality and women's empowerment	4.07	4.15	-0.08	0.39
Environment and natural resources management	3.95	4.02	-0.07	0.49
Adaptation to climate change	3.84	3.88	-0.04	0.74
IFAD performance	4.17	4.20	-0.03	0.66
Relevance	4.27	4.27	0.00	0.88

Note: Statistical significance: * <0.10 ; ** <0.05 ; *** <0.01 .

Criteria listed based on ranking by gaps between the two groupings.

52 This p-value was calculated using a t-test, to compare average ratings within the two samples, with significance at 10 per cent level. The analysis is based on the PCR/PPE/IE data series.

7. When examining the percentage of projects (completion between 2007 and 2019) rated moderately satisfactory or better and moderately satisfactory or worse, there is a clear tendency for projects in countries with fragile situations to underperform in most IOE criteria.
8. The projects in countries with fragile situations have lower ratings for overall project performance ($p<0.001$), government performance ($p<0.01$), scaling up ($p<0.05$), innovation ($p<0.05$), IFAD performance ($p<0.05$), and rural poverty impact ($p<0.01$). They also appear to have lower ratings on gender equality and women's empowerment and environment and natural resources management ($p<0.1$). None of these criteria showed statistically significant differences; however, there are no instances of a higher share of projects in fragile contexts having higher ratings.

Chart 1 Percentage of IOE ratings for projects in countries with fragile and not with fragile situations (2007-2019): Project performance

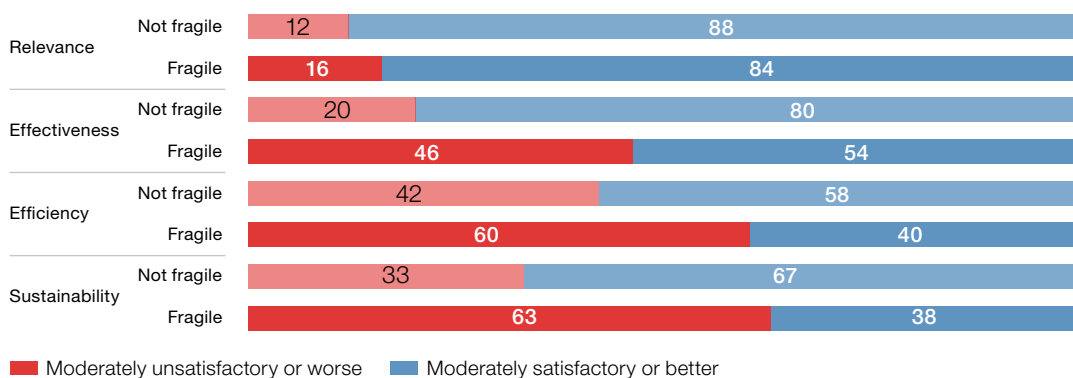


Table 3 Percentage of IOE ratings for projects in countries with fragile and not with fragile situations (2007-2019): Other IOE criteria

Other IOE Criteria	Country Status	Unsatisfactory	Satisfactory
Innovation	Not fragile	16	84
	Fragile	25	76
Scaling up	Not fragile	23	78
	Fragile	35	65
Gender equality and women's empowerment	Not fragile	19	81
	Fragile	26	75
Environment and natural resources management	Not fragile	19	81
	Fragile	32	68
Adapation to climate change	Not fragile	24	76
	Fragile	33	67
Rural poverty impact	Not fragile	15	85
	Fragile	30	70
IFAD Performance	Not fragile	13	87
	Fragile	25	75
Government performance	Not fragile	30	70
	Fragile	51	49
Overall project achievement	Not fragile	19	81
	Fragile	42	58

9. The long-term performance of countries in fragile versus non-fragile situations is also analysed through the three-year rolling average for each criteria starting with projects completed in 2007.
10. **Relevance.** In 2017-2019, fragile countries showed a higher percentage of satisfactory ratings than non-fragile countries, and a higher share of highly satisfactory ratings (4 per cent versus 2 per cent in countries not in fragile contexts).
11. **Effectiveness.** In 2017-2019 fragile countries showed the opposite trend for effectiveness (increasing) than non-fragile (decreasing). However, the percentage of moderately satisfactory or better ratings in the most recent time period is higher in non-fragile (82 per cent versus 71 per cent).

Chart 2 Relevance: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)

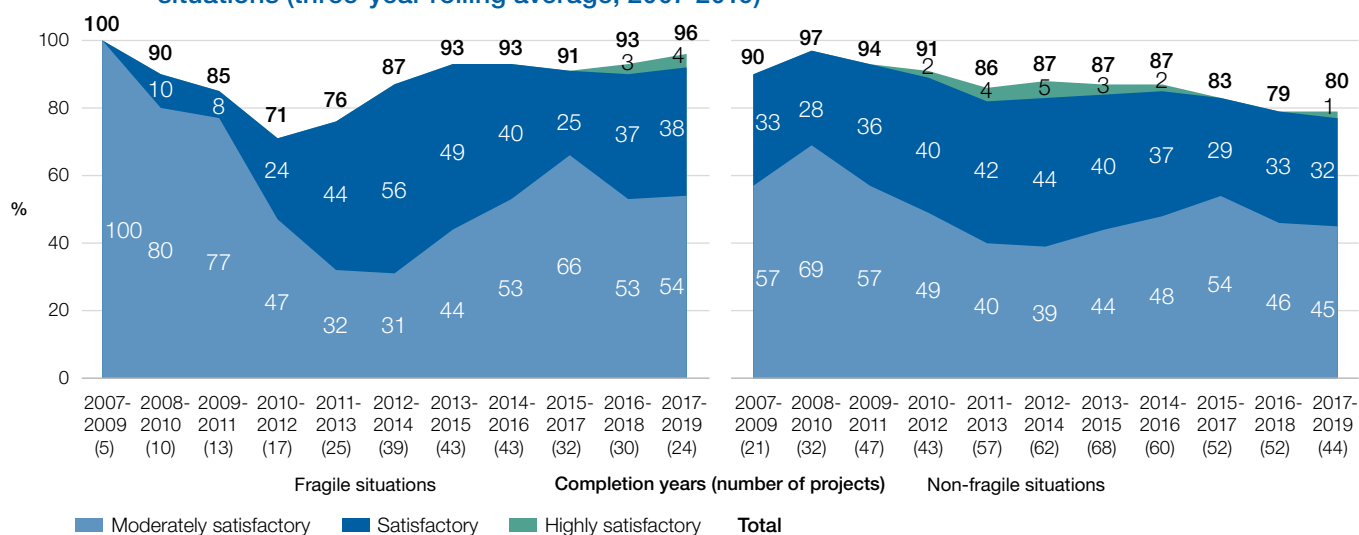
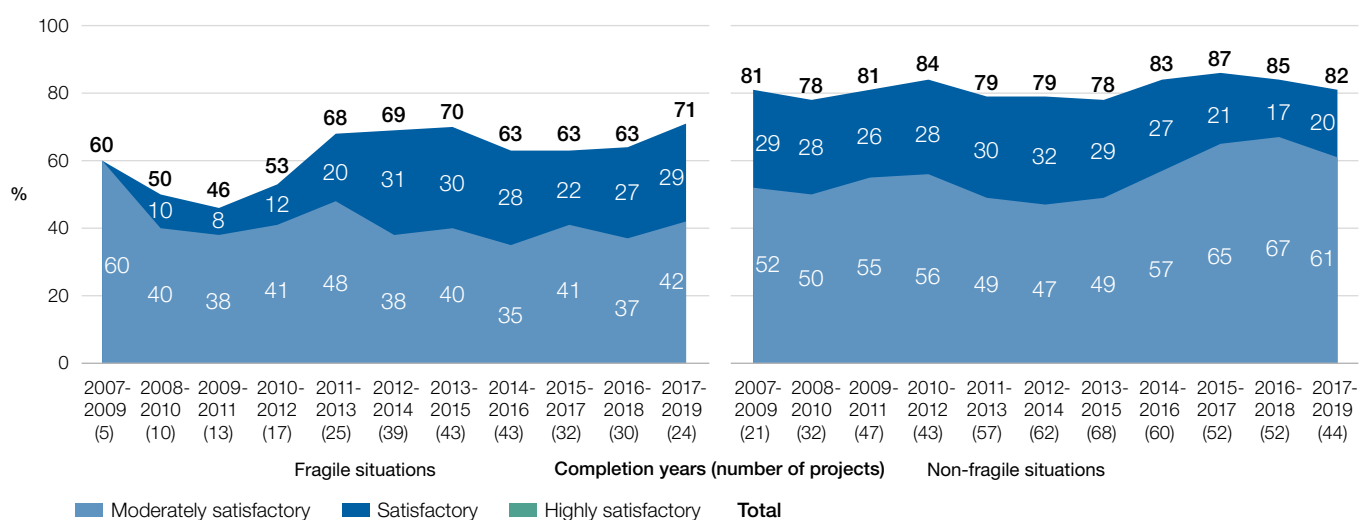


Chart 3 Effectiveness: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)



12. **Efficiency.** The projects in countries with fragile situations show a significant percentage increase of moderately satisfactory or better ratings since 2016, reaching 58 per cent in 2017-2019 (compared with non-fragile countries having 55 per cent in the same period).

13. **Sustainability of benefits.** The sustainability of benefits criterion shows a flat trend for the projects in countries not with fragile situations, and a significant increase for those in countries with fragile situations in 2017-2019 versus the previous time period (+8 percentage points).

Chart 4 Efficiency: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)

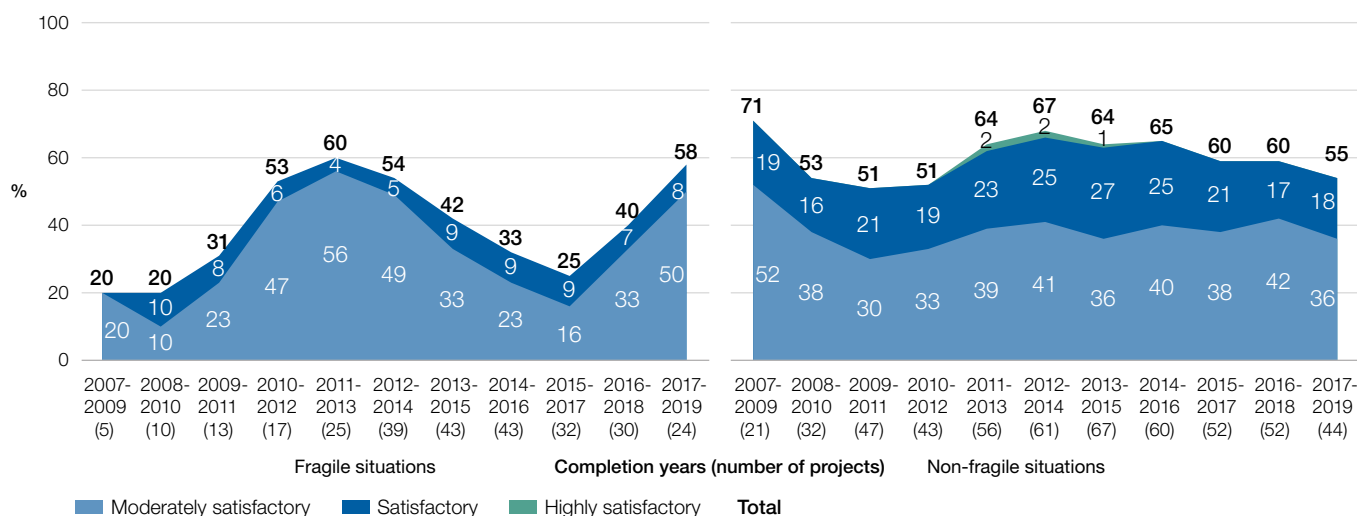
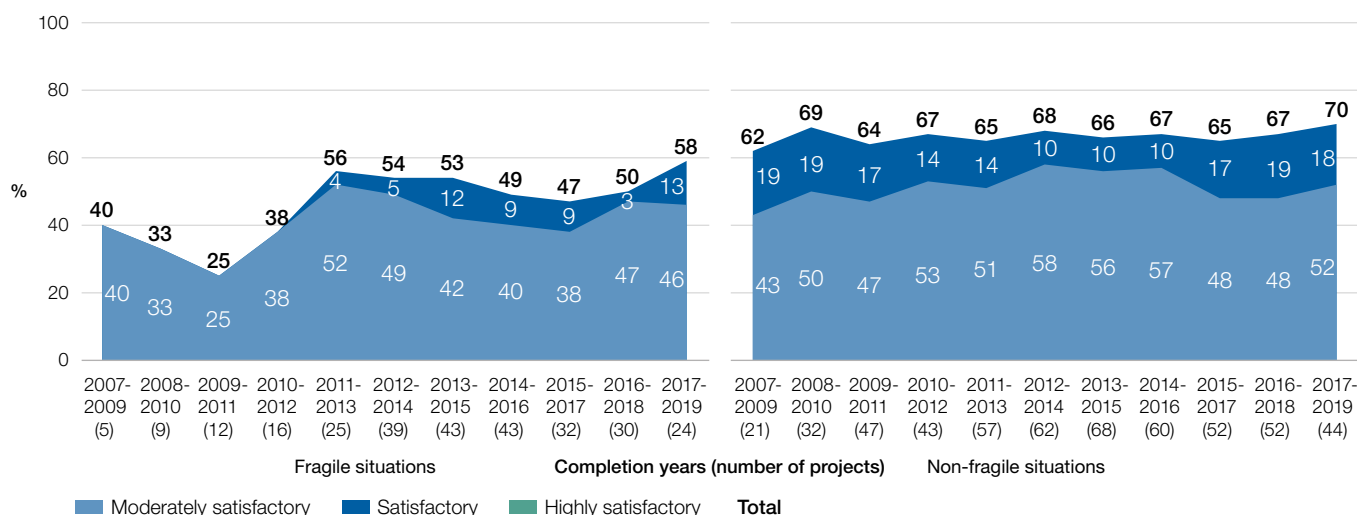


Chart 5 Sustainability of benefits: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)



14. **Rural poverty impact.** This is the only criterion with a flat trend for both fragile and non-fragile contexts, with the latter clearly indicating a higher percentage of moderately satisfactory or better ratings (83 per cent versus 70 per cent) in 2017-2019.

15. **Innovation.** In this criterion, both groups show an increase in the share of projects with moderately satisfactory or better ratings from 2016-2018 to 2017-2019: +10 percentage points for those in fragile contexts, and +4 percentage points in others. Overall, projects in countries with fragile situations have a higher percentage of highly satisfactory ratings than those for non-fragile between 2014 and 2018.

Chart 6 Rural poverty impact: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)

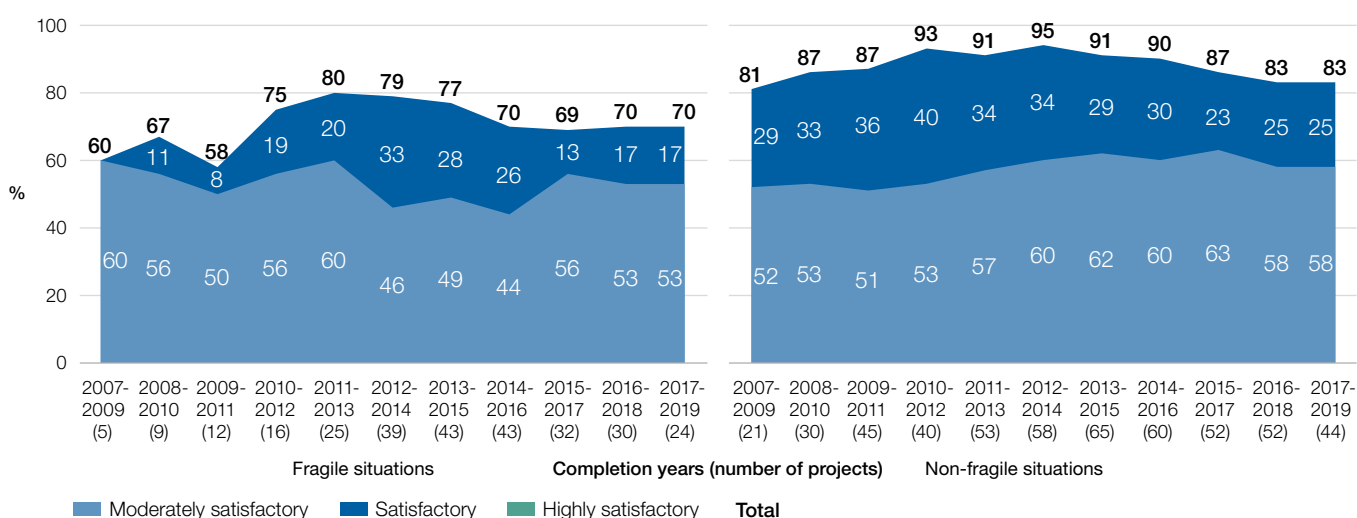
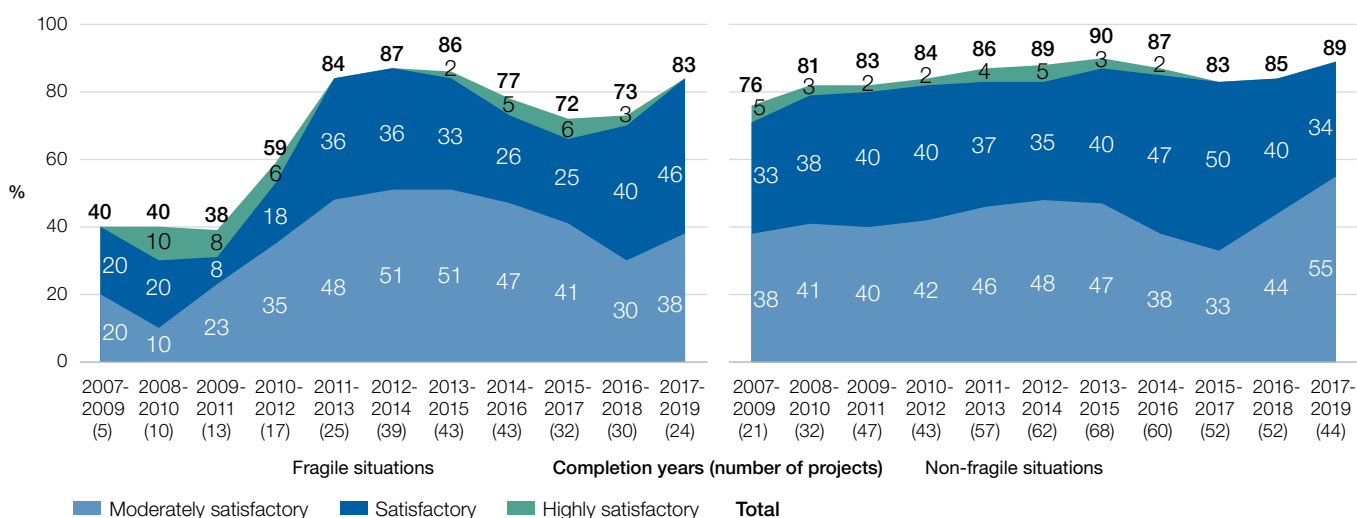


Chart 7 Innovation: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)



16. **Scaling up.** Projects in countries not with fragile situations show a flat trend, but with a higher percentage of highly satisfactory ratings. The projects in countries with fragile situations show an increase but still remain at a lower percentage of moderately satisfactory or better ratings overall.

consistent decline for countries not with fragile situations since 2011. The projects in countries with fragile contexts not only show the opposite trend (increasing in 2017-2019 by 8 points versus 2016-2018) but also reach a higher percentage of moderately satisfactory or better ratings in 2017-2019 (88 per cent, compared to 69 per cent in countries not with fragile situations).

17. **Gender equality and women's empowerment.** The criterion shows a

Chart 8 Scaling up: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)

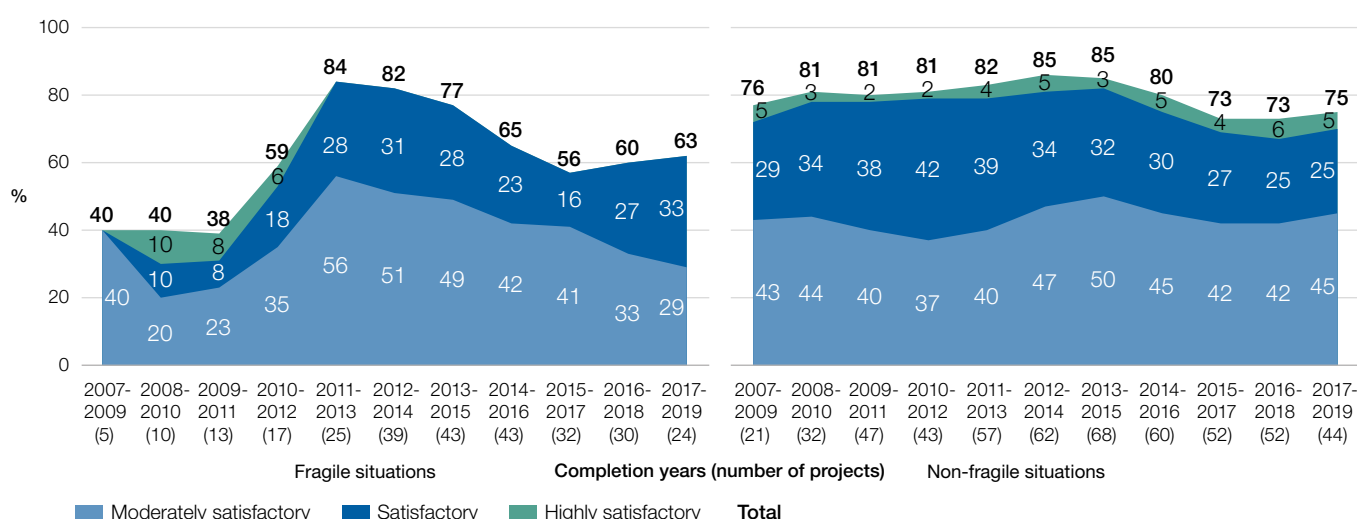
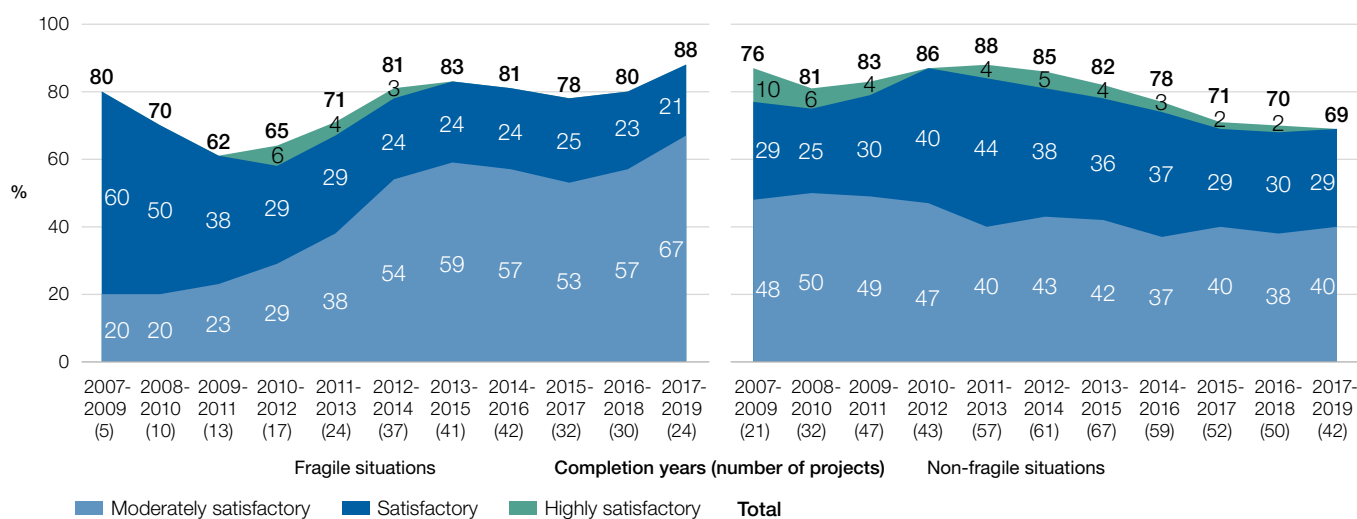


Chart 9 Gender equality and women's empowerment: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)



18. **Environment and natural resources management.** Both groupings maintain a high percentage of moderately satisfactory or better ratings (above 80 per cent in 2017-2019).

19. **Adaptation to climate change.** The projects in countries with fragile situations show a significant increase in the percentage of moderately satisfactory or better ratings since 2016, reaching 86 per cent in 2017-2019, compared to 80 per cent in countries not with fragile situations in the same time period.

Chart 10 **Environment and natural resource management: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)**

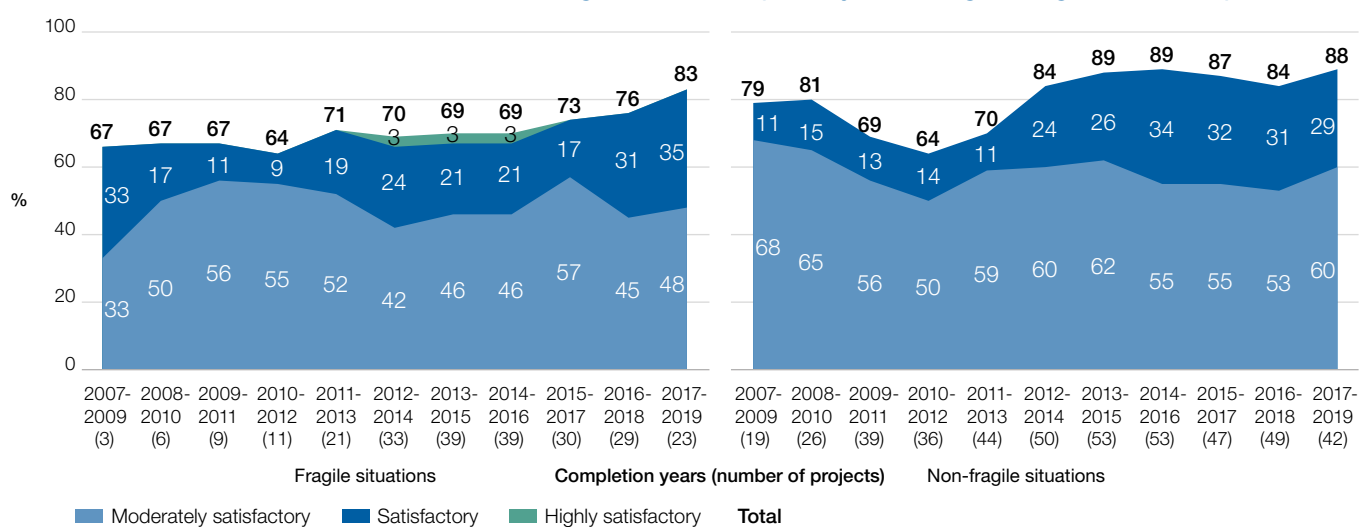
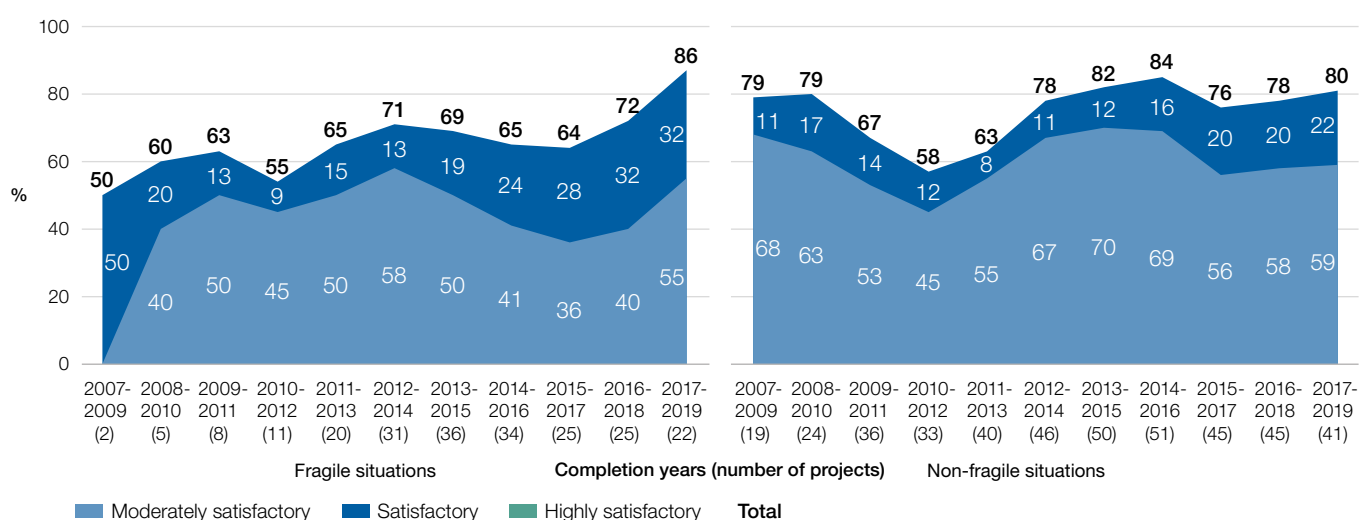


Chart 11 **Adaptation to climate change: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)**



20. **Overall project achievement.** Unlike projects in countries not with fragile situations which show a decline in ratings since 2016, those in countries with fragile situations show an improved performance starting in 2016 and reaching 79 per cent with moderately satisfactory or better ratings in 2017-2019.

21. **IFAD performance.** This criterion shows a similar level of performance in both groups. Of the projects completed in 2017-2019, 83 per cent of the projects in countries with fragile situations were rated moderately satisfactory or better (with a slight improvement from 2016-2018), compared to 80 per cent in countries not with fragile situations.

Chart 12 Overall project achievement: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)

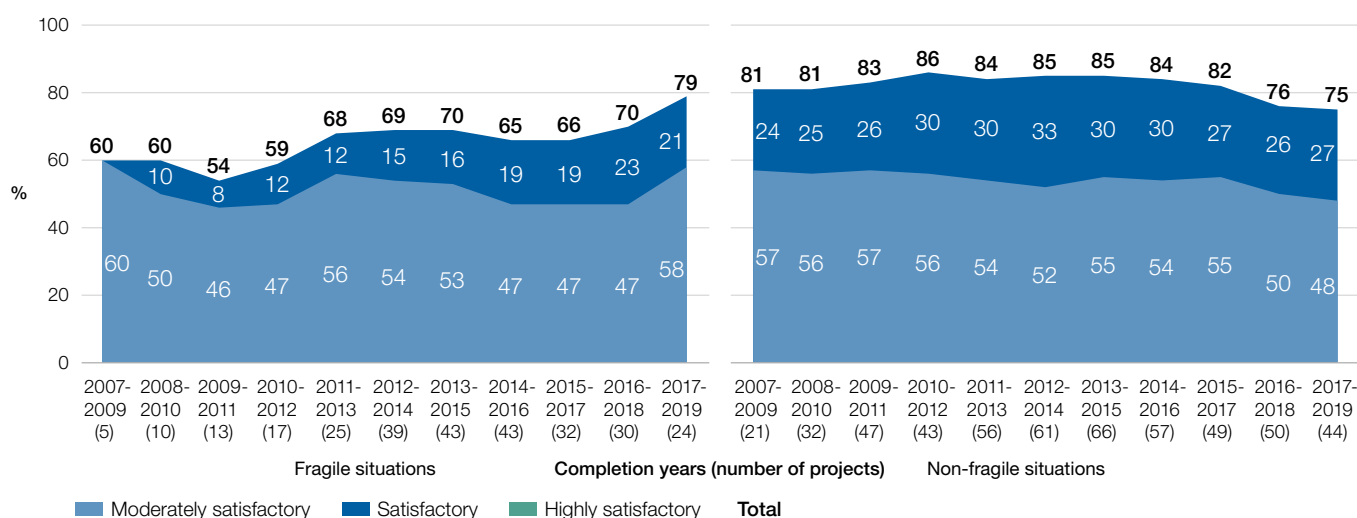
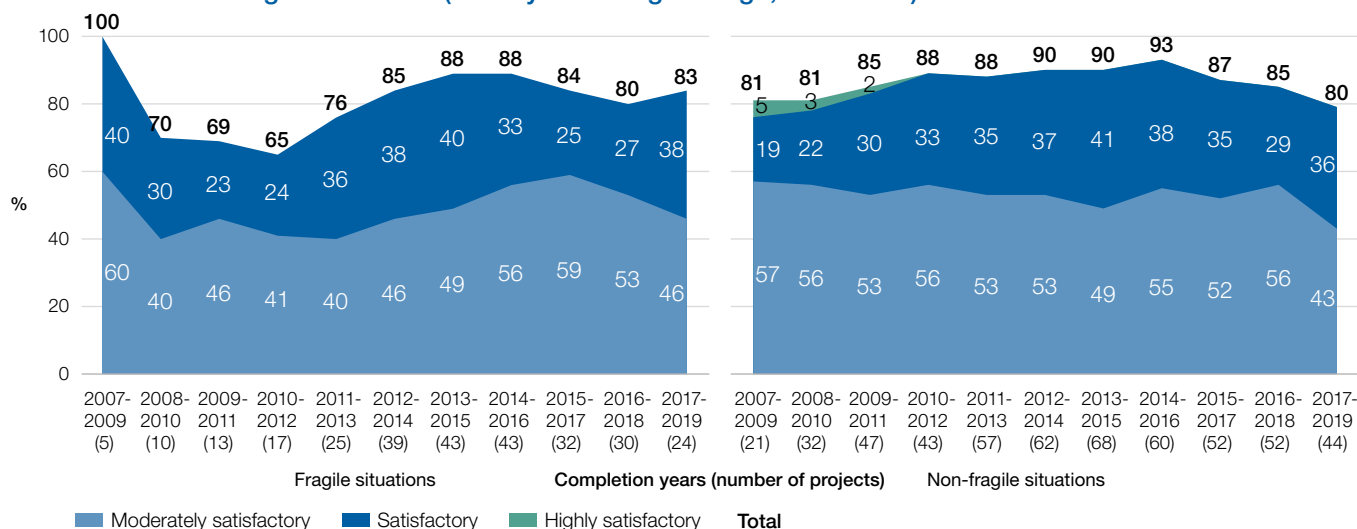


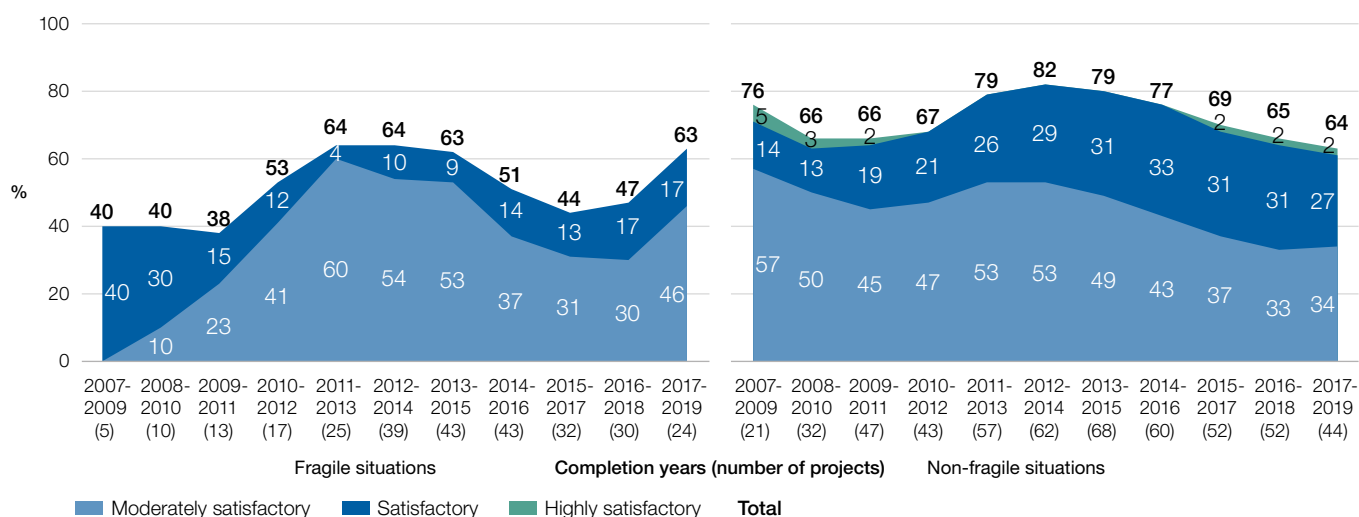
Chart 13 IFAD performance: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)



22. **Government performance.** The projects in countries not with fragile situations show a consistent decline in percentage of the projects rated moderately satisfactory or better since 2013, reaching 64 per cent in 2017-2019.

The projects in countries with fragile countries reflect the same trend, but with a notable improvement in 2017-2019 (47 per cent in 2016-2018 versus 63 per cent in 2017-2019).

Chart 14 **Government performance: percentage of IOE ratings for projects in countries with and not with fragile situations (three-year rolling average, 2007-2019)**



23. **Projects selected for the qualitative analysis on countries with fragile situations (chapter IV of the 2021 ARRI).** The projects for the qualitative analysis on countries with fragile situations included in chapter IV of the 2021 ARRI have been selected with the following methodology: (i) the universe from which projects have been selected is composed of all project evaluations (PPEs and PCRVs) completed by IOE in the latest three years (2018, 2019 and 2020), giving a total of

147 projects; (ii) within this group, all projects/countries have been mapped related to their "fragile situation" based on the 2019 World Bank harmonized list of countries in fragile situations; (iii) based on the mapping, the projects selected for the sample are only those that were considered in a fragile situation at their year of completion. As a result, the final sample comprised 23 projects, indicated in the table below.

Table 4 List of projects in countries with fragile situations selected for qualitative analysis

Project ID	Region	Country	Project name
1100001460	APR	Afghanistan	Rural Microfinance and Livestock Support Programme
1100001469	ESA	Burundi	Agricultural Intensification and Value-Enhancing Support Project
1100001318	ESA	Madagascar	Project to Support Development in the Menabe and Melaky Regions
1100001275	LAC	Haiti	Small Scale Irrigation Development Project – Phase 2
1100001421	NEN	Lebanon	Hilly Areas Sustainable Agriculture Development Project
1100001277	NEN	Sudan	Western Sudan Resources Management Programme
1100001503	NEN	Sudan	Rural Access Project
1100001524	NEN	Sudan	Supporting Small-scale Traditional Rainfed Producers in Sinnar State
1100001612	NEN	Sudan	Seed Development Project
1100001332	NEN	Sudan	Butana Integrated Rural Development Project
1100001579	WCA	Central African Republic	Project to Revitalize Crop and Livestock Production in the Savannah
1100001446	WCA	Chad	Pastoral Water and Resource Management Project in Sahelian Areas
1100001582	WCA	Chad	Rural Development Support Programme in Guéra
1100001583	WCA	Congo	Agricultural Value Chains Support Development Programme
1100001435	WCA	Côte d'Ivoire	Agricultural Rehabilitation and Poverty Reduction Project
1100001589	WCA	Côte d'Ivoire	Support to Agricultural Production and Marketing Project
1100001501	WCA	Liberia	Agriculture Sector Rehabilitation Project
1100001616	WCA	Liberia	Smallholder Tree Crop Revitalization Support Project
1100001444	WCA	Mali	Fostering Agricultural Productivity Project
1100001441	WCA	Mali	Rural Microfinance Programme
1100001310	WCA	Sierra Leone	Rural Finance and Community Improvement Programme
1100001054	WCA	Sierra Leone	Rehabilitation and Community-Based Poverty Reduction Project
1100001558	WCA	Togo	Support to Agricultural Development Project

	Relevance	Effectiveness	Efficiency	Sustainability	Overall project achievement
	5	5	4	4	5
	5	4	4	4	4
	4	5	5	4	5
	5	3	3	3	3
	3	3	3	3	3
	4	5	4	4	5
	5	3	3	3	3
	5	4	5	4	5
	4	4	4	4	4
	5	5	4	5	5
	4	3	2	3	3
	4	4	5	3	4
	5	5	5	4	5
	5	3	2	3	3
	4	4	3	3	4
	4	3	3	3	3
	5	4	4	4	4
	4	5	4	3	4
	5	4	3	3	4
	6	5	4	5	5
	5	4	4	4	4
	5	5	3	4	5
	3	3	3	3	3

Annex VIII Performance by region and comparison IOE PPE/PCR ratings

Performance by region

1. The overall average of the difference between IOE and PCR ratings per evaluation criteria is shown in the table below. This is based on the

difference in the average ratings by IOE and PCRs by evaluation criteria and by region, and the difference in the average ratings by IOE and PCRs at global level.

Table 1 Overall average of IOE-PCR disconnect average by evaluation criteria, by region and global

PCR/PPE data series, 2007-2019

	Regions (PCR/PPE 2007-2019)					
	APR	ESA	LAC	NEN	WCA	All regions*
Average disconnect	-0.25	-0.35	-0.25	-0.32	-0.32	-0.3

Source: IOE evaluation rating database and IFAD project completion report rating database.

* This is the average of average disconnect for all projects by criteria, and not the average of regional averages.

2. The tables below indicate the performance of each region within each criterion analysed in the most recent periods presented in the ARRI 2021. Table 2 presents the percentage of moderately satisfactory and better ratings (PCR/PPE data series) by region in 2017-2019. Dark cells indicate a negative trend compared to the previous three-year period of 2016-2018. Table 3 indicates the magnitude of the decline or increase between 2017-2019 and 2016-2018.
 - percentage point compared to 2016-2018. Eight criteria had a positive double digits percentage increase, the highest being efficiency and government performance.
 - LAC shows rising ratings across all criteria except for the criteria on efficiency and government performance, with 4 and 8 percentage points decreases respectively.
 - NEN performance shows improvement across all criteria. The most substantial improvements can be seen in gender equality and women's empowerment, relevance, efficiency, project performance and government performance.
 - In WCA, all criteria are improving except for IFAD performance, falling by 3 percentage points. Innovation increased significantly by 14 percentage points, rural poverty impact and adaptation to climate change both increased by 10 percentage points.
3. The following observations can be made from the data:
 - APR presents declining trends for all criteria. Efficiency represents the highest decline by 8 percentage points, followed by sustainability of benefits and project performance, both 7 percentage points.
 - ESA performance in 2017-2019 decreased slightly for two out of the 14 criteria by one

Table 2 Percentage of moderately satisfactory or better ratings by region, 2017-2019 (by year of completion)

Criteria	APR (22 projects)	ESA (11 projects)	LAC (8 projects)	NEN (9 projects)	WCA (17 projects)
Relevance	82	73	88	78	100
Effectiveness	91	82	63	89	59
Efficiency	68	55	38	78	35
Sustainability	77	73	50	89	41
Project performance	73	36	50	78	35
Rural poverty impact	91	64	63	89	76
Innovation	86	100	88	89	76
Scaling up	73	82	75	78	53
GEWE	82	60	86	78	76
ENRM	95	80	57	100	81
Adaptation to climate change	86	82	50	100	79
IFAD performance	82	64	100	89	76
Government performance	77	55	50	78	47
Overall project achievement	86	73	50	89	71

■ Negative trend □ Positive trend

Table 3 Percentage point increase/decrease in the share of the projects with moderately satisfactory or better ratings, between 2017-2019 and 2016-2018 period (by year of completion)

Criteria	APR	ESA	LAC	NEN	WCA
Relevance	-6	1	4	15	8
Effectiveness	-5	10	4	1	0
Efficiency	-8	19	-4	15	2
Sustainability	-7	16	8	1	8
Project performance	-7	15	8	15	2
Rural poverty impact	-5	-1	4	1	10
Innovation	-2	0	13	14	14
Scaling up	-3	10	8	3	3
GEWE	-6	6	13	28	1
ENRM	-1	18	3	0	9
Adaptation to climate change	-2	13	17	0	10
IFAD performance	-6	-1	8	1	-3
Government performance	-3	19	-8	15	5
Overall project achievement	-5	8	5	1	8

■ Negative trend □ Positive trend

Comparison of IOE's PPE and IE ratings with PCR ratings, ranked by disconnect

Table 4 All evaluation criteria, only PPEs and IEs completed between 2007-2019 (N=88)

Criteria	Mean ratings		Disconnect	Mode		Obs.	
	IOE	PMD		IOE	PMD	IOE	PMD
Relevance	4.10	4.89	-0.73	4	5	88	87
Scaling up	4.07	4.64	-0.47	4	4	88	88
Project performance	3.98	4.40	-0.42	4	4	88	88
Government performance	4.07	4.35	-0.28	4	4	88	88
Sustainability	3.81	4.14	-0.34	4	4	88	88
IFAD performance	4.16	4.56	-0.30	4	4	88	88
Efficiency	3.76	4.16	-0.40	4	4	88	88
GEWE	4.14	4.57	-0.48	4	4	87	87
Overall project achievement	4.09	4.45	-0.30	4	4	86	86
Effectiveness	4.08	4.44	-0.36	4	4	88	88
Innovation	4.22	4.48	-0.22	4	4	88	88
Adaptation to climate change	3.89	4.34	1.51	4	4	72	72
Rural poverty impact	4.15	4.32	-0.21	4	4	87	87
ENRM	3.95	4.26	-0.23	4	4	79	79

Source: IOE evaluation rating database and IFAD project completion report rating database.

Table 5 All evaluation criteria, only PPE/IE evaluations completed between 2017-2019 (N=13)

Criteria	Mean ratings		Disconnect	Mode		Obs.	
	IOE	PMD		IOE	PMD	IOE	PMD
Relevance	4.08	4.77	-0.69	4	5	13	13
Scaling up	3.77	4.54	-0.77	4	5	13	13
Project performance	3.92	4.32	-0.39	4	4	13	13
Government performance	4.38	4.50	-0.12	5	5	13	13
Sustainability	3.69	3.96	-0.27	4	4	13	13
IFAD performance	4.00	4.46	-0.46	4	5	13	13
Efficiency	3.62	4.04	-0.42	4	4	13	13
GEWE	3.50	4.54	-1.31	4	5	12	13
Overall project achievement	4.00	4.40	-0.08	4	5	13	10
Effectiveness	4.15	4.50	-0.35	4	5	13	13
Innovation	4.46	4.69	-0.23	4	5	13	13
Adaptation to climate change	4.23	4.42	-0.17	4	4	13	12
Rural poverty impact	3.92	4.19	-0.27	4	4	13	13
ENRM	4.08	4.38	-0.31	4	4	13	13

Source: IOE evaluation rating database and IFAD project completion report rating database.

Annex IX Comparison of IFAD-funded project performance with operations supported by other international financial institutions

1. The ARRI situates the performance of IFAD operations with reference to the performance of the agriculture-sector operations of other international finance institutions (IFIs) and regional development banks i.e. the African Development Bank (AfDB), the Asian Development Bank (AsDB) and the World Bank.⁵³ Although each organization differs in its size of operations, scope of portfolio, project approaches and geographic focus, their operating models as IFIs providing loans for investment operations with sovereign guarantees are more comparable to IFAD than the United Nations specialized agencies, programmes and funds. As members of the Evaluation Cooperation Group of the Multilateral Development Banks, their independent evaluation offices use similar methodologies and maintain independent evaluation databases.
2. In the table below, IFAD's project performance is shown together with other IFIs on a similar criterion for the period from 2013 onward, which coincides with some changes that were introduced in measuring aggregate

performance such as inclusion of sustainability in IFAD's project performance. However, these figures need to be viewed with caution, as they may not be directly comparable since the method of aggregation of project performance is not uniform across the IFIs in terms of the criteria used in aggregation. For example, the World Bank does not include sustainability in aggregate performance but IFAD, AsDB and AfDB do. Furthermore, at IFAD, "project performance" is an arithmetic average of the ratings on relevance, effectiveness, efficiency and sustainability of benefits, whereas the similar criterion for comparison is assigned an absolute rating at the World Bank and AsDB.⁵⁴ This could make it more challenging for projects at IFAD to have the average aggregate rating greater than 4: for example, the arithmetic average could be close to 4 but less than 4. Lastly, even if these projects are classified in the sector relating to agriculture and rural development, the types of interventions may be quite different (e.g. oriented to large-scale infrastructure development or community-based development).

53 The Inter-American Development Bank and the International Bank for Reconstruction and Development are not included in the benchmarking analysis because the former does not use a rating system, while the nature of focus and coverage of the latter is significantly different from IFAD. Therefore, the World Bank's performance is used to benchmark performance in the LAC and NEN regions as per Management's 2018 request.

54 For example, the same 1-6 scale rating is assigned at the World Bank (from highly unsatisfactory to highly satisfactory). AsDB has three categories, "successful" (which is considered as moderately successful or better), "less than successful" and "unsuccessful".

Table 1 **Project performance rating at IFAD compared to a similar criterion at other IFIs**

Percentage of completed agriculture and rural development projects rated moderately satisfactory or better (MS+) by the independent evaluation offices, 2013-2019 (year of completion)⁵⁵

Criteria	Projects completed between 2013 and 2019										
	Overall project achievement		Project performance								
	World		World		Africa		Asia-Pacific		Latin America-Caribbean		Near East-North Africa-Europe
	IFAD	IFAD	WB	IFAD	AfDB ⁵⁶	IFAD	AsDB	IFAD	WB	IFAD	WB
% of projects rated MS+	76%	57%	79%	48%	87%	79%	70%	59%	87%	59%	83%
No. of agriculture projects evaluated	213	216	251	109	71	53	44	28	39	39	40

WB: World Bank; AfDB: African Development Bank; AsDB: Asian Development Bank.

Source: AfDB Independent Development Evaluation Unit, AsDB Independent Evaluation Department, World Bank Independent Evaluation Group of the World Bank and IOE evaluation database (all evaluation).

Note: Data for AfDB are based on the year of evaluation, as the year of project completion is not available in the data provided by the IFI. Projects evaluated in 2019 are included as they refer to projects completed in 2018.

55 Data from the World Bank has been adjusted since the 2018 ARRI and the same methodology has been followed since the 2019 ARRI. In the past years the analysis was based on the "number of evaluations", including projects that were rated more than once in the time period considered. In this year's ARRI, the World Bank data has been aligned with AsDB and AfDB data and it only refers to the "number of projects" carried out in the time period considered for the analysis.

56 To make the comparison with the AfDB more consistent in terms of countries included, the total IFAD for Africa includes ESA and WCA, plus some African countries placed under the NEN division in IFAD (Djibouti, Egypt, Morocco, Sudan and Tunisia). The number of projects evaluated between 2013-2019 dropped compared to last year, due to the non-review/validation of PCRs of 2018 and 2019.

Annex X **Response of IFAD Management to the 2021 Annual Report on Results and Impact of IFAD Operations**

Introduction

1. Management welcomes the 2021 Annual Report on Results and Impact of IFAD Operations (ARRI), which provides valuable insights into the performance of the IFAD portfolio. Management finds that this year's ARRI is overall more balanced than in previous years: the report highlights strengths and weaknesses in the performance trends of the portfolio in a constructive fashion, citing both quantitative and qualitative analysis. The focus on learning is clear. Additionally, the two themes presented this year (fragility and efficiency) are of strong relevance for IFAD.
2. Management agrees with the key conclusions presented in the report. The analysis confirms that there are consistent trends in performance, with IFAD maintaining good results on innovation, environment and natural resource management, relevance, adaptation to climate change and IFAD performance. Nonetheless, areas of weakness identified by the Independent Office of Evaluation of IFAD (IOE) in past reports remain the same, as also confirmed by Management and reflected in the Report on IFAD's Development Effectiveness (RIDE), the corporate and regional portfolio stocktaking exercises, and the Report of the Consultation on the Twelfth Replenishment of IFAD's Resources (IFAD12). These include efficiency, government performance and sustainability; and to a lesser extent, they also touch some dimensions of the non-lending activities, such as policy engagement and KM.
3. Looking ahead to the start of IFAD12, IFAD will produce guidance as well as concrete and actionable plans to address the above-mentioned issues in line with IFAD12 commitments. This will include dedicated action plans on efficiency and sustainability, together with a set of monitorable key performance indicators. On non-lending activities, KM remains a top priority for IFAD12 and, in line with the IFAD12 commitment, the approach to achieving policy engagement results will also be reviewed. The updated Development Effectiveness Framework (DEF) and the monitoring, evaluation, adaptation and learning (MEAL) action plan will reinforce incentives, tools, mechanisms and approaches for learning, and the scaling up strategy will also be updated. Management looks forward to further engaging with IOE to receive further evidence and guidance to enrich the above-mentioned products.
4. Based on the conclusions drawn in the 2021 ARRI, Management commits to collaborating with IOE to find tools and solutions on the following themes: (i) project efficiency and implementation support in fragile contexts; (ii) improved performance in non-lending activities; and (iii) harmonization of performance evaluation criteria between IFAD and IOE. Additionally, Management's response provides a few key insights for the development of future ARRIs.

Improving project efficiency

5. As highlighted in both past and recent ARRI and RIDE reports, efficiency has been the weakest performing criterion overall. According to the latest RIDE figures, in the period 2018-2020 efficiency was rated as moderately satisfactory or above in only 68 per cent of completed projects. Management has been looking for options to identify early signals of low efficiency during implementation and has noted that some of the associated dimensions are: (i) quality of financial management; (ii) quality of project management; and (iii) value for money (VfM). According to IFAD's project implementation

guidelines, VfM is defined as “the capacity of a project to find the optimal use of resources. It assesses how economically project resources (inputs) are converted into the best results (outputs or outcomes) possible”.

6. VfM was one of the three focus areas of the 2021 portfolio stocktaking exercise undertaken at regional and corporate levels. The exercise highlighted how the assessment of VfM varies during the different project phases. It also brought to light recurrent issues regarding the first two dimensions of efficiency, i.e. quality of financial management and project management. Findings are in line with those of the ARRI, which recognizes the central role played by the governments in addressing issues related to staffing, procurement, financial management and monitoring and evaluation, and lack of incentives and accountabilities for expeditious decision-making. Management looks forward to the results of the ongoing evaluation synthesis on government performance and, in particular, to its recommendations on actions to strengthen the government accountability.
7. The efficiency action plan to be developed by the end of 2021 will build on these insights, provide clearer definitions of VfM, and a road map to harmonize guidance, streamline processes and build capacity for managing towards cost-effective results. One option under discussion is to identify methodologies, tools and incentives to achieve the prescribed shift from output measuring to outcome measuring when estimating VfM.

Supporting implementation in fragile contexts

8. The ARRI highlights IFAD’s valuable operational experience in working in contexts affected by fragility; recent performance of projects in countries with fragile situations has improved. Notwithstanding such improvements, the ARRI calls for solid strategies informed by dedicated

conflict and fragility analysis to address both the drivers and the consequences of fragility.

9. Management agrees on the importance of adopting an integrated framework to strengthen the quality of fragility and risk analysis, and incorporate flexibility and risk mitigation measures into project design and implementation. With specific regard to the conflict-affected states, Management is in the process of rethinking IFAD’s engagement from a policy, operational and financial standpoint, in collaboration with updated strategies in other international financial institutions.
10. The strategic focus on fragility, conflict and building resilience is also a key commitment under IFAD12. IFAD will review its engagement in fragile situations, including the special programme on fragility, to improve performance in building resilience, reducing humanitarian needs and engaging effectively in conflict-affected situations. Furthermore, it will develop specific initiatives for enhanced engagement in the Sahel and Horn of Africa, leveraging the Rural Resilience Programme, the Sustainability, Stability and Security Initiative in Africa and the Great Green Wall initiative to increase resources and strengthen collaboration with partners. Preparation of a dedicated strategy on Small Island Developing States (SIDS), a further commitment under IFAD12, is already under way.
11. The ARRI also mentions that social inclusion is critical to mitigating the potential factors of fragility and/or to addressing the needs of those affected by fragility. In this regard, Management would like to highlight its commitment to reviewing IFAD’s targeting policy by 2022. Specific attention will be given to targeting issues in countries with fragile situations, building on good practices.
12. Finally, the ARRI highlights simplified project design as an important feature to increase the likelihood of effective implementation in fragile situations. This forms a key consideration

when projects are discussed, as Management is well aware that simpler designs are required in these contexts. In this regard, Management would welcome the results of a broader analysis, putting together elements of design, relevance and adaptive management, and crossing them with different country contexts and types of interventions.

Improve performance in non-lending activities

13. Management concurs with IOE on the importance of strengthening policy engagement and dialogue to broaden and deepen the impact of IFAD's programme of work, and enhance sustainability. As highlighted in the ARRI, good KM is instrumental to the process, yet needs to be shifted to the country level to harness the experience, knowledge and lessons emerging from the country programme. However, Management notes that while ARRI suggests bringing policy engagement "to a higher level", grants and South-South and Triangular Cooperation remain the only tools suggested to do so. The coming paragraphs provide an overview of IFAD's ongoing and future plans to strengthen policy engagement, in line with IFAD12 commitments, which include updating the way policy engagement is prioritized and tracked/assessed for impact.
14. One of the objectives of the updated DEF, to be presented to the Board in December 2021, is precisely to move beyond a project-centred results logic, to a country programme results focus. The DEF will provide incentives and tools to make data and lessons about countries – economic analysis, sector analysis, vulnerability analysis, lessons learned, population and agricultural censuses, living standard measurement surveys and impact assessment data – more readily available for country teams undertaking country strategic opportunities programme (COSOP) designs or reviews. The DEF also places renewed focus

on ensuring that governments are empowered with data which they can use to practice results-based and adaptive policy-making and programming.

15. The relevance of KM will thus become even more significant under IFAD12, as institutional change and transformational country programmes cannot be achieved without a sound approach to knowledge generation, dissemination and use. Under the annually developed KM action plan, IFAD has already started incorporating some of the key elements that will be necessary to achieve the above-mentioned objectives. One of the priorities is to generate operational knowledge and lessons learned from IFAD operations to strengthen their contribution to COSOPs. KM will also be instrumental in the transition from IFAD's monitoring and evaluation system to a new, more comprehensive model focused on monitoring, evaluation, adaptation and learning.
16. Finally, Management will continue to leverage its increasing proximity to governments and other development partners through its ongoing decentralization process to ensure closer dialogue and policy engagement, more tailored KM and enhanced partnerships. Meeting the 45 per cent target for decentralization of staff by the end of IFAD12 should facilitate this process.
17. Within the above context, Management would welcome the opportunity to engage in a constructive dialogue with IOE on possible complementary tools to improve policy engagement through its programme of work.

Harmonizing performance evaluation criteria between IFAD and IOE

18. Management is pleased to note that the disconnect between IOE and Management ratings is declining – on average, IOE's scores

are 0.28 lower than Management's (on a 6-point scale). However, it would be useful if IOE could present, in the forthcoming editions of the ARRI, a sample of projects for which the disconnect is higher, and analyse the reasons for disconnect. Management believes the analysis would represent a good learning opportunity on both sides.

19. Management welcomes IOE's availability to engage on those criteria that have seen a larger or widening disconnect between IOE and Management ratings: relevance, gender equality and women's empowerment, and scaling up. Management would like to reiterate the importance of agreeing on a common definition to be reflected in the upcoming revised Evaluation Manual. Management underlines that the definition, while keeping consistency with international standards and criteria, also needs to reflect IFAD's unique positioning in the development agenda and incorporate the aspects that are most relevant to its implementation context.

Options for future ARRI's

20. For future editions, Management encourages the integration of quantitative data and trend analysis with two additional elements: (i) further qualitative insights, to accompany, enrich and contextualize findings from numeric figures; and (ii) analysis of causal relationships, where relevant. Management agrees that insights on specific themes (such as relevance and sustainability) from previous years' editions are helpful. At the same time, they rely on an older set of projects; in a fast-evolving context, conclusions from a younger portfolio would better help shape the design of future operations. As highlighted in previous exchanges with IOE, timeliness is an important factor in delivering performance analysis that can yield true learning and inform adaptive management.

21. Additionally, Management would like to encourage IOE to make use of impact data made available by the Research and Impact Assessment Division to complement the analysis in the ARRI. As discussed in the context of the Multi-Year Evaluation Strategy, IOE could make good use of data collected in the field through rigorous methodologies, while still keeping its independence in the methodology applied to analyse data and draw conclusions. The revised Evaluation Manual, to be presented to the Executive Board in 2022, provides a unique opportunity to set the path for this type of collaboration, without compromising mutual independence.

Looking ahead

22. Management appreciates the constructive tone of this year's ARRI and IOE's efforts to provide a detailed audit trail on Management comments. For future editions, Management encourages IOE to follow up on the suggestion to undertake further analysis on the driver of trends, as mentioned in section VI, to support learning within the institution. Management also values the interactions held with IOE prior to the finalization of the document, and remains fully available for enhanced interaction in the future.
23. Management looks forward to continuing to work constructively with IOE under the overall guidance and oversight of the Evaluation Committee and Executive Board on the revision of the Evaluation Manual, the alignment of the DEF and IOE's Multi-Year Evaluation Strategy, the evaluation synthesis on government performance and the finalization of the product mix, to ensure enhanced learning opportunities for the institution.

Innovation

ENRM

Relevance

Adaptation to climate change

IFAD performance

Rural poverty impact

Effectiveness

Overall project achievement

GEWE

Scaling-up

Sustainability

Government performance

Efficiency

83

81

79

78

76

76

71

66

63

56

75%

100%

75%

IOE



IFAD

Investing in rural people

Independent Office of Evaluation

Independent Office of Evaluation
International Fund for Agricultural Development
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