



MAINSTREAMING POLICY DIALOGUE: FROM VISION TO ACTION

WORKSHOP, 17 OCTOBER 2013

Workshop report

IFAD headquarters

Rome, Italy

**MAINSTREAMING
POLICY DIALOGUE:
FROM VISION TO
ACTION**

**WORKSHOP,
17 OCTOBER 2013**

Workshop report

TABLE OF CONTENTS

Abbreviations and acronyms	4
Introduction	5
Opening session	7
Session 1: Introductory session	9
Country-level policy engagement in IFAD	9
Discussant responses	11
Plenary discussion	15
Session 2: Sharing experience, drawing out lessons	17
Creating an enabling policy environment for IFAD-supported projects	17
Scaling up successful project experiences through national policies	19
Plenary discussion	22
Strengthening public policies/institutions and enhancing their pro-poor focus	24
Strengthening the policy capacity of national stakeholders	27
Plenary discussion	30
Session 3: Monitoring, measuring effects and impact	33
Presentations	33
Discussant response	35
Plenary discussion	36
Closing session: pulling it together and next steps	38
Appendixes	
Appendix I – Workshop agenda	41
Appendix II – Participants	44
Appendix III – Presentations	47

ABBREVIATIONS AND ACRONYMS

CAPAD	<i>Confédération des Associations des Producteurs Agricoles pour le Développement</i>
CLPE	country-level policy engagement
COSOP	country strategic opportunities programme
CPM	country programme manager (IFAD)
FAO	Food and Agriculture Organization of the United Nations
GDR	rural dialogue group
LAC	Latin America and the Caribbean Division (IFAD)
PTA	Policy and Technical Advisory Division (IFAD)
REAF	Specialized Meeting on Family Farming
RIMISP	Latin American Center for Rural Development
SSD	Statistics and Studies for Development Division (IFAD)



INTRODUCTION

Policies affect every dimension of the institutional context in which poor rural people pursue their livelihoods; they create incentives, constraints and opportunities that affect their strategies to overcome poverty, and structure the ways in which they participate in society and engage with other social and economic actors. Ultimately, policies can create an enabling environment for rural people to move out of poverty at a scale that no single project can address. It is through public policies that successful and proven experiences and strategies can be scaled up and reach another dimension.

There is a strong link between IFAD-supported projects and national policies. Enabling policies create an agenda that leads to projects that are more relevant to the needs of poor rural people, and can help to create an environment that is conducive for implementing projects and achieving impact. Projects can also offer a vehicle for governments to operationalize their policies at field level: effectively, the projects become an instrument of policy for driving public investment in the rural areas and ensuring their focus on the poorer sections of the rural population. Additionally, projects can be used to strengthen the public institutions responsible for policy analysis and formulation, and so improve the quality of public policies. And finally, IFAD-supported projects can provide a laboratory for learning and accumulating evidence about effective approaches to rural poverty reduction, which can be capitalized by engaging in national policy processes with a view to influencing a broader, national agenda.



©IFAD/Carla Francescutti

It is not just through projects that IFAD can engage in national policy processes. IFAD staff also play a key role, identifying policy issues of relevance to the country programme and taking these to government, or working with non-government stakeholders in national policy processes. With increasing numbers of IFAD country offices now operational, there are more opportunities for IFAD to work in partnership with other development partners and to participate actively in the country-level forums for policy dialogue with governments and other national stakeholders.

Policy engagement is becoming increasingly important for IFAD as a vehicle for scaling up development impact. More and more of IFAD's Member States are gaining middle-income country status; as they do so, their interest in what IFAD can offer them is changing. IFAD's resources, its loans and grants, may be of only limited value to these governments if they are not paired with the opportunity to draw on IFAD's experience and expertise in rural poverty reduction and to develop new approaches that governments can then integrate into their national policies and programmes. This has long been true in parts of Latin America; today it is increasingly the case in all regions.

IFAD's Medium-Term Plan for 2013-2015 reflects a new understanding that policy dialogue, and policy engagement more broadly, is an important part of IFAD's core business. It needs to be recognized as a distinct activity within the country programme and supported with specific tools, a dedicated budget and delivery of products.

The workshop was held to make a substantive contribution to IFAD's evolving agenda for country-level policy engagement (CLPE) in three main areas:

- To provide an opportunity for participants to review what CLPE means for IFAD and to reach a shared understanding around this, as well as to discuss and analyse possible objectives, activities and instruments for CLPE.
- To allow participants to share real experiences of CLPE, drawing out the outcomes and impacts achieved and lessons learned.
- To initiate a discussion within IFAD as to possible approaches for monitoring and measuring the effects and impacts of its CLPE.

The workshop was organized by the Latin America and the Caribbean Division (LAC) and the Policy and Technical Advisory Division (PTA): LAC as the operational division with probably the most substantive policy agenda – at both country and subregional levels – of all of IFAD's regional divisions; and PTA as the division with a corporate mandate and responsibility for promoting the CLPE agenda.

LAC and PTA are not alone in working on this agenda, as the other IFAD regional divisions are also pursuing country-level policy activities. For example, the Statistics and Studies for Development Division (SSD) is currently tackling the critical issue of how IFAD can measure its policy engagement and impact; and the Independent Office of Evaluation has made a preliminary assessment of IFAD's performance in the area of policy dialogue. The workshop also drew on the experience and contribution of these divisions.

In addition to IFAD, a number of external participants with direct experience of country-level policy work were also invited to participate and enrich the discussion with their expertise and experience.

Edward Heinemann
Senior Policy Adviser, PTA

Paolo Silveri
Country Programme Manager, LAC



OPENING SESSION

The workshop was opened by **Ms Josefina Stubbs, IFAD Director, LAC**, who welcomed participants and encouraged them to exchange their views and experience on policy dialogue. She summarized this as an exercise to influence decision makers to take decisions that benefit the rural sector where farmers, smallholders and small entrepreneurs work, and where issues of food security, nutrition and environmental conservation are critical. Ms Stubbs added that for many years this sector has been virtually excluded from the mainstream of public policies, with smallholders unable to access resources, knowledge and technology. Therefore, when policy dialogue in Latin America is discussed within the IFAD framework, it is not only about policy negotiation but having an influence to advocate and convince.

Ms Stubbs cited IFAD's country experiences, where much knowledge has been gained in influencing laws on the rural sector, markets and peace-consolidation processes. She highlighted the need to take on board IFAD's experiences in policy dialogue and to make it a part of IFAD's daily work. She added that the workshop was the first time that discussions on policy dialogue were being held in a corporate, trans-divisional manner. Ms Stubbs also highlighted IFAD's primary role as facilitator and catalyst in the process, as well as its need to learn from the practical experiences of the participants.

Mr Adolfo Brizzi, IFAD Director, PTA, explained that mainstreaming policy dialogue in IFAD has become increasingly important, especially as IFAD has evolved from a



©IFAD/Carla Francescutti

When I first came to IFAD, I asked myself if IFAD should engage in policy dialogue as there are many other organizations with more influence that are engaged in policy dialogue. Then I started to think again and put myself in the 'shoes of the other side'. If you have influence, you could be seen as intrusive, especially when you recommend policies that are prescriptive and could unsettle vested interests, or you try to change things that have been in place for a long time. It is potentially more threatening than project work.

If you look at the cases where policy dialogue has worked, at least for IFAD, they show that not having power can be an advantage because you do not come with an agenda. You want to be a partner not only with governments, but with stakeholders and poor people's institutions, with civil society, with the media and with academics. You want to influence the debate in a way that stimulates it at the national level. It is not about taking a front seat. If changes are made, it is because the stakeholders wanted them, based on the information or the analysis that we have provided in that particular country.

Mr Adolfo Brizzi

project-based institution whose work was outsourced, to an organization with a growing country presence and with an increasing engagement in global agendas. Policy dialogue and the creation of a favourable policy environment have the potential to leverage programme and project impacts. At the same time, project experiences provide the evidence that is needed to influence policymakers.

Mr Brizzi emphasized the need for in-house capacity to engage more effectively in policy dialogue, and how the workshop would help IFAD staff and others to gain a better understanding of different policy dialogue approaches and experiences through projects, grants and direct engagement. He underscored the need for networks and partners in this effort.

SESSION 1: INTRODUCTORY SESSION

The introductory session began with an IFAD presentation on CLPE and what it means in practical terms for the organization. The presentation was followed by three discussants who offered their perspectives. The workshop was then opened to the floor for participants to have the opportunity to pose questions and share their ideas and experiences.

Country-level policy engagement in IFAD

Mr Edward Heinemann, Senior Policy Adviser, PTA, gave a presentation on IFAD's emerging approach to CLPE. A summary of the main points of the presentation follows.

IFAD's interest is in those policies that are relevant to its mandate, those policies that shape the opportunities for rural people to move out of poverty. That interest primarily is in agriculture but also in the larger non-farm economy. For IFAD, CLPE is a process for it to collaborate, directly and indirectly, with its partner governments and other country-level stakeholders to influence policy priorities or the design, implementation and assessment of formal policies that shape the opportunities for large numbers of rural people to move out of poverty.

As more and more of IFAD's member countries gain middle-income status and are able to access funds on commercial markets rather than coming to IFAD, IFAD's funds are less critical to their development programmes. Therefore, governments are looking to a different range or mix of services from IFAD. In this regard, policy engagement linked to projects presents a way that IFAD can respond to what is a changing demand from its members. It is a service that is going to become ever more important, and one that will increasingly underpin IFAD's relevance as an institution.

In broad terms, IFAD's CLPE has four sets of objectives. First, the national (or subnational) policy environment has to enable effective project implementation and the achievement of development impact – and where necessary IFAD or IFAD-supported projects engage governments over the specific policies that may be constraining project implementation. Second, IFAD seeks to draw out the lessons learned under the projects it supports to scale up successful experiences through integration into national policies, thus having an impact which goes far beyond what a single project can do. Third, IFAD works to strengthen public policies for rural development and their implementation (including through projects) and the responsible institutions, and improve their pro-poor focus. And fourth, IFAD builds the capacity



©IFAD/Carla Francescutti

More and more projects have a strong focus on monitoring and evaluation (M&E) systems and knowledge management. M&E is the entry point for knowledge management, which is the starting point for policy dialogue. Building that linkage is an important part of the project design process.

Mr Edward Heinemann

of national stakeholders, particularly those directly representing poor rural people, to participate effectively in policy processes and shape national policies.

IFAD uses three types of instruments for policy engagement, which are overlapping and linked:

- IFAD-financed investment projects
- country- and regional-level grant-financed projects
- analysis and related engagement provided by the country programme manager (CPM) and the IFAD country office.

The activities that IFAD finances through its investment projects include:

- strengthening the capacity of government agencies to formulate and implement national policies
- analysing implementation experiences and feeding them into national policy processes
- promoting policy dialogue between different stakeholders
- supporting policy forums
- operationalizing a policy, strategy or programme at a local level.

IFAD-supported projects often serve to bring the federal policy down to the state level and see it operationalized.

Through the grants programme, rural people's organizations are supported to engage in national policy processes and conduct policy dialogue with government. In particular, in Latin America IFAD has supported initiatives that provide opportunities for sharing relevant policy experiences and approaches across countries and regions. In addition, CPMs and officers are increasingly engaging directly in dialogue with government, looking at policy bottlenecks relevant to the country programme and agreeing on reforms prior to project implementation, during implementation and at completion. They are also participating in country-sector working groups which serve as an established forum for governments and the governments' development partners to sit together and identify and prioritize policy issues and pursue policy dialogue.

In recent years, IFAD has recognized the importance of stepping up its work in the policy area, a recognition which was reflected in the consultation document for the Ninth Replenishment in 2012. A position of policy adviser was created, and subsequently an action plan for CLPE was prepared, which is based on:

- better integrating policy issues into country programmes (country strategic opportunities programmes [COSOPs], project design and implementation support)
- making resources available for policy analysis
- stepping up efforts to better monitor and report on policy work
- strengthening in-house capacity.

In every country, IFAD's agenda for policy engagement is shaped by its mandate – to enable poor rural people to move out of poverty – and by the country programmes. It is the country programmes that shape and determine the range of areas in which IFAD is likely to become involved in policy work. The way in which IFAD conducts its policy work will vary enormously. There is not a single model, since there are very different realities, opportunities and requirements in different places. IFAD's role is a direct one of participating directly with governments and engaging in dialogue relative to

specific policies. It has also an indirect role of helping to create the conditions in which national stakeholders can dialogue, and negotiate and formulate policies. Ultimately, it is not IFAD's role to be discussing policies with governments; it is the role of national stakeholders, people with a legitimate interest and stake in those policies.

Lessons learned

- Policy processes need consistent, long-term commitment and engagement, and the results are by no means certain. This is a risk that needs to be recognized.
- Bringing evidence to the table to enable stakeholders to engage in a more informed discussion is an important part of IFAD's role. Having that information and knowledge is power in negotiations. Therefore, when IFAD is sponsoring policy analysis, it must be clear who it is for, who has access to it, who can understand it and who can actually use it.
- Building partnerships and coalitions is critical for having policy influence. Working with a group of development partners, farmers' organizations or stakeholders in key ministries is usually more likely to have policy influence than working alone.
- Projects are a means to an end. They can be laboratories for learning about policy issues, and the lessons that emerge can be used to feed into policy processes.
- It is critical to understand the national context before formulating project proposals – how policies are formed, who the key stakeholders are in those policy processes, and the entry points for activities that can influence policy.

Discussant responses

Ms Ignacia Fernandez, Coordinator, Rural Dialogue Group, Latin American Center for Rural Development (Chile), began her contribution by describing the Knowledge for Change programme that the Latin American Center for Rural Development (RIMISP) launched three years ago. The programme is piloting a new approach to engage with key stakeholders in policy dialogue on rural poverty and development. Under this initiative, rural dialogue groups (GDRs) were created in Colombia, Ecuador, El Salvador and Mexico, each with between 10 and 30 highly influential individual members from different sectors of government, civil society and academia. Each GDR is convened by representatives from national governments as well as civil society, and defines its policy and institutional change objectives and a specific agenda to achieve these objectives.

Policy analysis is a key component of the programme. Putting knowledge through policy analysis at the service of policy change processes is at the core of the programme, which has developed technical inputs for the policy dialogue process. These inputs include diagnostic studies related to the agenda of each GDR, including the first Latin American rural poverty and inequality report. The programme is preparing the next edition.

In the Latin American context, the relationship between policies and politics in the decision-making process requires reflection. Political and technical interests are present

The formula of 'one policy dialogue initiative is equal to one new project' is near-sighted and cannot be effective in a region where national decision makers are increasingly sophisticated, discerning and demanding. However, over time IFAD has expanded its successful engagement in policy processes as well as its partnerships with development actors. This should also result in opportunities for new operations and will require additional capacity to learn how to take advantage of the opportunities created through policy dialogue and policy engagement.

Ms Ignacia Fernandez

in the policy processes in every country, but the distinction between the two is not clear enough in Latin America. That is why it is particularly important for the GDRs to take advantage of the opportunities that emerge in the public debate and public agenda in every moment and context.

Two policy dialogue objectives are particularly relevant to the work of the GDRs:

- creating an enabling policy environment for effective implementation of IFAD-supported projects
- strengthening public policies for rural development and enhancing their pro-poor focus.

Regarding the former, in Mexico, the Ministry of Finance requested technical assistance from IFAD to prepare a draft strategy and development programme to increase production and income of small farmers as an integral part of the national crusade against hunger. These initiatives then provided major inputs to the preparation of the new COSOP in Mexico. Regarding the latter, each GDR achieved important results that have the potential to significantly impact the lives of hundreds of thousands of poor rural households and communities. For example, in El Salvador the GDR led the preparation of the strategy and plan for the development of the coastal region, about 75 municipalities, which is the basis for a US\$3 million investment for the Millennium Challenge Corporation. The title of the plan makes its priority explicit: Stimulating Opportunities for Youth and Women in the Coastal Region.

Regarding the GDRs' contribution to IFAD's work, during the first phase of the programme one of the biggest challenges was to be useful to government strategies while at the same time safeguarding the independence of the GDRs. A related challenge is now to ensure that the GDRs remain autonomous from IFAD's operational work while being useful to IFAD's strategic objectives in the relevant countries. However, the new outcomes of the GDRs will support and add value to IFAD-funded operations in five different ways:

- strengthening their linkages with new influential public and private partners
- providing them with a clear and relevant analysis of trends and issues that affect poor rural people in different ways
- allowing better understanding of the livelihood strategies of poor rural people in different contexts
- highlighting new opportunities and making the existing constraints for rural development projects visible
- directly supporting and creating more enabling policy environments for IFAD's country programme management teams and for direct supervision of IFAD operations.

Mr **Álvaro Ramos**, Coordinator, FIDA MERCOSUR (Uruguay), took the floor and began by highlighting that policy dialogue is an ongoing, systematic instrument and not an end in itself. It is important to understand how we are engaged in policy dialogue: how we do it, and how the form in which we do it can be and should be useful to improve the performance of IFAD's portfolio



©IFAD/Carla Francescutti



©IFAD/Carla Francescutti

of projects and development projects in general. In addition, in order to engage in policy dialogue, an institutional environment is needed. This implies beginning by setting rules and respecting the rules, and engaging in dialogue rather than negotiations. It also means ensuring the representation of all stakeholders, setting aims and pursuing outcomes, creating trust and having a long-term vision.

Policy dialogue also has to become legitimate by producing results. The results must be visible and measurable. IFAD should contribute to improving the quality of the demand from stakeholders and governments. Rural development is based on needs, but the transformation of these needs into demands and then into instruments is a process which needs to be understood.

Dialogue requires at least two people, but in policy dialogue three entities are needed: governments, the beneficiaries and IFAD. What does IFAD do in this dialogue process? IFAD is a catalyst and honest broker that is present to facilitate and ensure continuity in the short, medium and long terms. IFAD also helps to develop methodologies and provide essential funding.

Lessons learned

- ***Policy dialogue feeds into projects and nourishes them.*** Many of the issues on the Specialized Meeting on Family Farming (REAF) agenda have been transformed into instruments that IFAD projects now take on board and implement.
- ***Policy dialogue has meant that the projects today are much more a part of public policy than they were in the past.*** If public policy is lacking, projects have less of an impact on reducing poverty.
- ***IFAD has a role in facilitating a constructive dialogue among very diverse partners, without imposing its views on national actors.*** Its presence also levels asymmetries between stakeholders from institutions, government and civil society, whereby the 'end-users' of public policies usually need support to have their voices heard at the policy drawing table.
- ***Projects cannot be executed in an isolated manner.*** For example, in Argentina, the Unit for Rural Change involves not only IFAD projects but also projects of the Inter-American Development Bank, the World Bank and others. This has brought together the investments in infrastructure and capacity-building, which are the outcomes of the institutional reforms that emerged as a result of intra-regional policy dialogue.

The final speaker, **Mr Jean Balié, Team Leader, Policy Analysis, Monitoring and Evaluation, Food and Agriculture Organization of the United Nations (FAO)**, began by asking where it is that we want to engage in policy dialogue. How do we want to address the continuum – from the problem or issue to resolve, to the analysis, advice or assistance – through dialogue? It is the moment when all the knowledge and evidence is shared to arrive at the end result: change or reform. This is an interactive rather than linear process, and one whose effectiveness has been mixed for a number of reasons. Shortcomings have included:

- lack of anticipation of opportunities
- lack of understanding of the real issues that are in the minds of most stakeholders
- lack of understanding of the power of balance among the stakeholders.

In addition, since policy dialogue is a long-term process with very uncertain results, building coalitions and partnerships can help make the process less risky and costly, and minimize deadlocks.

Understanding the national policy context is critical. The issues being addressed are directly connected to people, who are conveying key messages in a specific context that could be called the climate. Climate is a combination of important factors, but a key point is to understand whether there is a window of opportunity for policy change. This window does not appear by chance. It needs to be discerned and the factors involved are complex. Moreover, how much control does IFAD or any other agency or donor have over these factors?

In this regard, monitoring plays an important role – monitoring of the policy context, the situation at country level – and calls for continuity. Is the political will in place? Are there decision makers who are ready to engage in policy change? Are the issues sufficiently supported by evidence? Are the players, all the stakeholders, on board? Are they all aligned and ready to actually support decision-making? Is there an internal ‘policy champion’ willing to support policy change?

Timing is also critical. Embarking in policy assistance or policy dialogue in a given country at a time when it is convenient for the technical agency is not necessarily useful. It is more important to understand whether the conditions at country level are right to engage in policy assistance and policy dialogue.

What is at stake is to discover the set of activities that an organization such as IFAD or FAO would need to carry out to gain the required knowledge and understanding of the national context and also the information that is necessary to be able to influence the policy assistance process.

This understanding is not derived from any quantitative indicators. It is essentially about non-technical issues: it requires interacting with people and understanding how things work. It is about process. Finally, it is useful to think about a typology that distinguishes different sorts of countries according to policy climate or mood on one hand and policy capacity on the other. This could be expressed graphically, with the policy mood on the vertical axis and the in-country policy capacity on the horizontal axis. Different countries would be placed in different locations in the graph according to the interplay of these two characteristics.

Policy mood and capacity: four country categories

- ***Countries with low capacity and unfavourable policy mood.***
These are the countries where effective policy engagement is likely to be difficult.
- ***Countries with very strong capacities and that are favourable to change.***
These are the countries where work can be done immediately because there is a window of opportunity.
- ***Countries that are favourable to change but do not have capacity.***
These are the countries where technical agencies like IFAD and FAO have a role to play to build capacities.
- ***Countries that are not so favourable to change but have high capacity.***
These are countries that require the right interlocutors who have a sound understanding of the key constraints and the main hesitations of the stakeholders.

Plenary discussion

The following observations were brought to the floor in plenary:

- **Two different approaches to policy dialogue.** A first approach is to provide inputs to the different positions within government. Evidence needs to be provided, and a sense of legitimacy created, since there are many interests within a government. Having this legitimacy inside the government often requires substantial external support. A second situation is one in which some actors of the government are not convinced of a particular issue and therefore need to be influenced to put the issue on the agenda. This is a very different type of dialogue. The former is about persuading and convincing the public sector; and the latter is about supporting part of the public sector and helping it bring about the institutional, operational, programmatic, priority and budget changes that are needed. They are two different approaches that require different coalitions and inputs to move the process forward.
- **Non-neutrality of policy analysis.** Policy analysis and its implementation through investments and regulations are not neutral. This can be seen in Europe, for example, where the Common Agricultural Policy is not neutral but reflects the capacity of different stakeholders, lobby groups and advisory groups to shape the policy and its implementation towards their needs and aspirations. IFAD's role must be to invest in supporting the institutions that are genuinely representing poor rural people to have the capacity to influence policy processes, backed up by informed policy analysis.
- **IFAD as broker and beyond.** There are tensions in the idea of IFAD's role being one of an honest broker, because it is clear that IFAD does have a mission and cannot simply accept the policy environment as given, but will want to seek ways to shape the policy space, to change the face of the issue. What is IFAD's role beyond that of broker and facilitator, and what legitimacy does it have to play such a role? What are its limits and parameters?
- **Monitoring as a long-term process.** A long-term process poses the risk of engaging in an activity in which it is difficult to know if things are going on the right track. It is very important to have intermediate results and milestones, as well as an elaboration of expected results.
- **From project experience to formal dialogue.** Projects can be like laboratories for policy dialogue. A forum such as this one needs to be an instrument to understand how to systematically structure project experiences to bring them into the more formal policy dialogue arena.



©IFAD/Carla Francescutti



SESSION 2: SHARING EXPERIENCE, DRAWING OUT LESSONS

The second session provided an opportunity for experiences to be shared and lessons to be drawn relative to CLPE. The session was divided into four segments, reflecting the different objectives of IFAD's CLPE:

- creating an enabling policy environment for IFAD-supported projects
- scaling up successful project experiences through national policies
- strengthening public policies/institutions and enhancing their pro-poor focus
- strengthening the policy capacity of national stakeholders.

In each of the segments, two presentations were made. Questions and discussion time was given after the second and fourth segments.

Creating an enabling policy environment for IFAD-supported projects

Mr Tomás Rosada, Regional Economist, LAC, gave a presentation entitled "*Mexico. Democratizing productivity: new discourse, new opportunity.*" Various analyses of the agricultural and rural sector of the country indicate that it is characterized by stagnant productivity, persistent levels of rural poverty and inefficiencies in public action, which are evident in heavily regressive rural spending patterns, lack of coordination and, in many cases, a top-heavy bureaucracy.

In 2012, a change in government resulted in two main framework documents, which are fundamental for understanding the priorities of the policies of the current government: the National Development Plan 2013-2018, under which the concept of democratization of productivity is put forward; and the National Crusade Against Hunger, whose objectives are to boost food production and smallholder incomes. It is in these two new political spaces that the COSOP has been prepared, and the Knowledge for Change initiative is moving into its second phase. In the light of the government's new strategies, a country grant was designed by LAC as a vehicle to react rapidly to engage in policy dialogue with the new government.

There were two objectives to the policy dialogue:

- engage with the government at the highest possible level
- generate a concrete proposal and policy recommendations for improving fiscal or public spending for the rural poor.

The policy outcomes included:

- the preparation of a technical proposal that was brought to the attention of the government authorities
- a policy and technical partnership with all major actors in the Executive branch

- the provision of inputs for the National Development Plan, including a six-year vision of national priorities
- the provision of inputs to the Secretariat of Social Development, which is responsible for one of the largest programmes in the region focusing on transferring resources to poor people.

Lessons learned in Mexico

- LAC is a middle-income region that mobilizes significant portions of domestic resources for rural development. In this regard, IFAD needs to be creative in its efforts to engage in policy discussions.
- Monitoring and follow-up are key because this is where it is possible to detect when and where new spaces open up and new players appear with whom IFAD can engage.
- There is demand for rapid-response mechanisms to establish policy dialogue relations and contacts for short-term input for governments.
- Partnerships must be maintained. IFAD has the capacity to mobilize, supervise and accompany internal expertise towards a longer-term time frame.
- Policy dialogue is different from operational dialogue.
- The relevance of IFAD needs to be understood at different levels above and beyond stand-alone projects.

Mr Alessandro Marini, CPM, Uganda, East and Southern Africa Division, gave a presentation entitled “*PROFIRA, Uganda. Getting the policy framework right for project implementation.*” IFAD has been investing in rural finance in Uganda for many years. During the life of the Rural Financial Services Programme, which has now closed, there was a dramatic change in the policy framework. This created a less than conducive environment for investment, with most of the partners withdrawing from the subsector. IFAD redesigned the programme to accommodate the new context and used it as an opportunity for dialogue. This was a strategic decision that gained to IFAD the reputation of a credible partner with government and allowed it to maintain a preferential channel of dialogue on policies related to rural finance.

In 2012, in the course of developing the new COSOP 2013-2018, the government requested IFAD’s assistance to finance a new project in rural finance. IFAD raised some of the policy issues that were experienced during the previous programme. The context presented a good opportunity for strategic dialogue as the government was evaluating its own microfinance policy and strategy.

Together with government, IFAD identified three key areas for policy dialogue:

- the new microfinance and rural finance strategy
- the regulatory framework for the savings and credit cooperatives, which was IFAD’s main investment
- government engagement with savings and credit groups.

The main interlocutors were senior policymakers, whose policy agenda was not necessarily aligned with best industry practices. However, the technocrats within the Ministry of Finance were aware of best practices, but did not have enough leverage. IFAD’s role was to draw on their experiences for policy dialogue, support their reform

agenda and give them a voice. This situation confirms that a government is not a monolithic institution; within a government there are different views and interest groups that need to be taken into account when engaging in policy dialogue processes.

The approach was to use the design process as an opportunity for dialogue with senior policymakers, for the provision of technical assistance and for in-country discussion among stakeholders. Key activities were to:

- articulate to the government how the weak policy framework would pose a risk to the new project, and
- produce key policy messages from the evidence of the earlier Rural Financial Services Programme to put on the table the concerns and shortcomings of such policies.

The main outcome after discussions was the government's approval of the principles for the new regulatory framework for Tier 4 financial institutions (including savings and credit cooperatives). Another positive outcome was that the government decided not to inject public funds into savings and credit groups as a way of channelling money to rural areas. This would have disrupted the savings and credit groups' methodology. Evidence from other countries was provided to substantiate this. In addition, the government requested IFAD's support to elaborate the new rural finance strategy – through a new project but also through IFAD's capacity independently of the new project – to operationalize the Tier 4 regulatory framework. In pursuing this agenda, it is important that IFAD join with other development partners who have the technical capacity to support the government's requests, but may not have IFAD's open channels of dialogue.

Lessons learned in Uganda

- **Willingness to take risks.** Engaging in policy dialogue involves willingness to take risks and accept uncertainty of outcomes. In this regard, support by senior management is indispensable.
- **Reputation as credible partner.** This involves not having a pre-set agenda, but behaving as a genuine partner that does not sanction the government, creates space for diverse stakeholders to contribute, and has the capacity to provide or bring together the necessary technical inputs.
- **Evidence-based policy messages.** The use of ongoing project and direct supervision experiences is critical to generate evidence in support of policy decisions.
- **Conditionality on investments.** The borderline between conditionality and the need to ensure a conducive framework for investment is subtle but must be respected.

Scaling up successful project experiences through national policies

Mr Iván Cossío Cortez, CPM, Brazil, LAC, gave a presentation entitled "*Brazil: From field experience to public policies: dialogue between national policymaking and state-level implementation.*" He provided an overall context of the Brazilian economy and government public policies for rural development and family farming.

The Brazilian economy has performed very well in the last years and the government is strongly committed to combating rural poverty and creating an environment of

favourable public policy for smallholder agriculture and family farming. However, the poorest and most isolated rural populations have difficulties in accessing and benefiting from this favourable context and from the programmes financed and implemented in the framework of these policies.

The Dom Hélder Camara Project was implemented by the Ministry of Agrarian Development as a vehicle for operationalizing rural development public policies and programmes. The project was evaluated as very successful. It generated relevant innovations in products and technologies, and supported beneficiaries to incorporate them. Furthermore, the project constituted an important source of concrete experiences that fed back into the design of public policies.

The public policies for rural development and family farming designed and implemented by the Ministry of Agrarian Development have an overall vision of environmental, economic and social sustainability. Among other key themes, access to water is a priority, which is particularly relevant in the North-east semi-arid region where IFAD works. Public purchase of agricultural products from family farmers is another important element of national public policy for family farming, since these purchases constitute potential and extremely important markets for the more deprived and smaller producers. To access these markets, however, they need to have sufficient organizational and managerial capacities, quality products and the ability to understand and adhere to institutional procedures.

Brazil's COSOP includes policy dialogue and knowledge management as key axes. It also defines, as a priority, the partnership with state governments for the implementation of IFAD-supported projects, while the federal government remains a fundamental partner and main counterpart regarding policy dialogue. In this framework, five state-level projects have been designed, all of which have benefited from the success stories of the Dom Hélder Camara Project and all aligned with the COSOP.

A second phase of the Dom Hélder Camara Project has been designed, and implementation will be starting soon; its development objective is to contribute to the reduction of rural poverty and inequalities by improving the coordination in the implementation of rural development policies with a territorial approach. Under this objective, the project aims to support the access of the poorest and most isolated family farmers to existing public programmes, disseminate and scale up the innovations generated by this project and feed the design of public policies for family farming. In this regard, it is important to highlight the strong involvement of the project (and of IFAD) in the policymaking and policy implementation processes, which demonstrate that successful experiences in the field have the potential to feed into policymaking and support programme implementation. Additionally, the successful experiences generated in the first and second phases of the Dom Hélder Camara Project will be shared with the state-level projects mentioned above, which implies the dissemination and scaling up of these experiences.

The institutional arrangements for project implementation include the establishment of an executive committee composed of high-level authorities of the Ministry of Agrarian Development. The committee will promote a coordinated implementation of public policies at national and state levels, drawing on the experiences generated by the project, allowing them to decant and then feed them back into the design of public policies.

A network will be created with the participation of this project and other projects that IFAD is supporting at state level. This network will serve to promote the dissemination

of information and sharing of experience, and to shorten the learning curve of the state-level projects. It will also be a tool for knowledge management and scaling up. For the federal government, this represents a channel to obtain feedback from the field regarding the performance of policies, and to influence the implementation of the state-level projects that IFAD supports.

This experience demonstrates that engagement with public policymaking can strongly benefit from solid field experiences. This is particularly evident when concrete experiences have been built through a project's implementation. In the case of Brazil presented here, IFAD became a relevant interlocutor for the government on policy dialogue thanks to its experience in the field.



©IFAD/Carla Francescutti

Lessons learned in Brazil – the importance of successful field experiences

Successful field experiences:

- have the potential to feed into policymaking and support programme implementation, provided they are well-documented, evidence-based and rigorously analysed.
- can be shared with state-level governments and institutions, which implies the dissemination and scaling up of these experiences, as well as a better integration of federal policies and programmes with those developed at state level.
- have concrete chances to inform public policies, especially when concrete experiences have been built.

Abdelhaq Hanafi, CPM, Egypt, Near East, North Africa and Europe Division, gave a presentation entitled *“Egypt, West Noubaria Rural Development Project: taking forward the lessons learned.”* He mentioned that the ten-year project will be closing in 2014 and then provided some background information about the country's agricultural sector.

Faced with limited availability of arable land, successive Egyptian governments have pursued a strategy of land reclamation and irrigation expansion to create additional agricultural lands. Government-led land reclamation in the project area started in 1997. The plan was to accommodate educated unemployed young people, with each settler receiving a small house and 2.3 hectares. The government invested substantial amounts and effort into the reclamation and sediment process. However, poverty remained widespread and there was considerable concern in assuring the future stability and sustainability of new land conditions. The settlers needed access to finance, water and electricity. They were unfamiliar with farming systems, especially in the new and highly unfertile lands; and conditions for women were particularly harsh.

It was to these challenges that the West Noubaria Rural Development Project sought to respond to. It acted on four components: community development; technical operation including crop cultivation, water management and livestock production; market operation support; and credit facilitation.

The project interventions had considerable impact:

- Prior to the start of the project, the establishment of settlements had reached only 25 per cent of the target. Five years after project implementation, the settlement rate in the project area had reached 100 per cent.
- Smallholder incomes increased 43 per cent for conventional export crops and 63 per cent for organic horticultural products.
- Farm gate prices increased up to 33 per cent.
- Farmers' marketing associations promoted contract farming in approximately 6,000 hectares and for 26 commodities.
- Farmers' marketing associations linked farmers to about 60 private marketing companies.
- Irrigation costs decreased by 25 per cent through enhanced managerial capacity of water users' associations, the conversion from diesel to electric pumping and the promotion of drip irrigation systems.
- Market price of the land increased 20-fold due to improved infrastructure and access to services promoted.

In terms of increased income, the impact study showed that the average annual household income had reached US\$8,300 (in a country whose average yearly minimum wage is US\$2,200). In addition, for each settler household, it was estimated that at least four new jobs have been created through the provision of services, retailing, input supplies and agricultural marketing. The project has enabled the settlers to transform their lives, and from being a burden on society they have become active participants in the economy and have pulled themselves sustainably out of poverty.

The main lessons learned under the project have been drawn upon in the National Agriculture Sustainable Development Strategy 2030, which has been prepared by the government in close collaboration with IFAD. Two other IFAD-supported projects, the On-farm Irrigation Development Project in the Oldlands and the Promotion of Rural Incomes through Market Enhancement Project, both build upon the West Noubaria project's experiences, with a particular focus on marketing activities.

The achievements and impact of the project on its beneficiaries has also led to a request by the government for IFAD to scale up the project to six Governorates, claiming additional irrigated land from the desert and targeting some of the poorest areas of Egypt. Cofinancing from the Saudi Fund for Development is considered a distinct possibility.

Plenary discussion

The following themes emerged during the plenary discussion:

Evidence-based policy engagement. One of the great challenges in policy engagement is making a concrete link between the practical experience of projects and the policy dialogue. The budgets for agricultural and rural development of many governments are increasing dramatically, which makes even the previously 'big players' small. IFAD has the potential to influence, but this influence depends on the credibility that it brings through its work. IFAD needs to produce well-documented, evidence-based and rigorously analysed project experiences from which to distil policy-relevant evidence, which is different from evidence for operational purposes. Moreover, this evidence needs to be readily and easily available. Policy dialogue could be facilitated if, in addition to

mobilizing national 'expertise' and activating reliable institutional networks, measured experiences could be put on the table that are evaluated as successful or unsuccessful. Efforts need to be made to move beyond anecdotes or case studies to more systematic data to observe or foresee more long-term tendencies: not only the snapshot observed in a supervision mission, but something more systematic that could connect points over time. The evidence-gathering process needs to be performed in collaboration with local institutions as well, and not simply on a project-by-project basis.

Leadership role within the ministries. The involvement of different actors in the discussion among ministries requires that there be a leading ministry and a secretariat. Each ministry has an important role, but there must be a clear leader or 'champion' among them. Otherwise, confusion prevails.

Incorporating climate change issues into policy dialogue. The topic of the environment is usually connected to ministries of environment, while IFAD's dialogue is usually taken up with ministries of agriculture. A topic as important as climate change needs to be part of the policy dialogue process, even if it involves ministries that are not necessarily partners with IFAD at public-sector level. At the same time, IFAD needs to be strategic in the choice of the sectors and areas it wants to engage in. This will depend very much on the country programme, where the investment has been made, where there is an evidence base, and where there is capacity at country office level, CPM level and divisional level. Sometimes, the hard choice needs to be made of not engaging directly in a particular issue, but engaging through a partnership with other development partners or other players that have greater technical capacity or greater institutional legitimacy.

Gender equality. Through IFAD's grants programme, a study was conducted to understand the expectations of young women today. The study has helped IFAD to understand that some young women do not want to remain in agriculture, but would prefer to go into business. How does IFAD respond from the operational portfolio as well as from the policy dialogue front?

Policy outcomes versus intermediate results. It is important not to confuse policy outcomes with what are actually intermediate results or outputs of a project that could feed into policy outcomes. These outputs then need to be carefully monitored to determine if and how they can be translated into policy outcomes.

Beyond neutrality. An overemphasis on neutrality is somewhat disingenuous. IFAD has a specific interest to support governments to develop policies that are pro-poor. In project design, IFAD will necessarily consider who it is going to target and how to go about its targeting. This 'non-neutral' thought process also needs to take place relative to policy work: Who is IFAD trying to benefit from its policy engagement? What are likely to be the implications of policy change for the poorest groups, for rural women, for different groups within the rural space?

Strengthening public policies/institutions and enhancing their pro-poor focus

Mr Ganesh Thapa, Regional Economist, Asia and the Pacific Division, gave a presentation entitled *“Strengthening the capacity of ministries of agriculture in pro-poor policy analysis and formulation: IFAD’s experience in selected Asian countries.”*

Mr Thapa explained the rationale behind a regional approach, citing a number of advantages, such as it:

- provides a better opportunity to share experiences and learn from each other across countries
- offers economies of scale to organize training and other capacity-building programmes at the subregional and regional levels
- explores, from a regional perspective, subregional and regional issues like trade and food safety.

The Pro-Poor Policy Formulation, Dialogue and Implementation at the Country Level programme, implemented in eight countries at very different stages of economic growth and policy capacity, was funded through a regional grant of US\$1.5 million and an FAO technical cooperation programme grant of US\$0.5 million. IFAD partnered with FAO because of its longstanding collaboration with ministries of agriculture, its strategies for agricultural development and its ongoing initiatives in these countries.

The programme had three objectives:

- build capacity of key partners in government, mainly the ministries of agriculture, in policy analysis, dialogue and implementation
- promote experience-sharing and lessons learned across and within countries
- promote greater participation of civil society and the private sector in policy dialogue and advocacy.

The initiative began with a regional inception workshop, which was a knowledge-sharing event for the partners in the different countries. Afterwards, country inception workshops were held in each country to discuss major policy issues in the agriculture sector and to identify policy topics for analysis. Participants included government representatives, civil society, private-sector partners, policy research institutions and farmers’ organizations. In total, 23 policy topics were studied, covering five broad themes: land use; markets and services; institutions; organizations; and different strategies of development.

There were several key innovative features:

- a sense of ownership by governments – senior officials (in most cases, the joint secretary of planning) were chosen as a national focal point to act as a bridge between senior policymakers and the policy researchers and other stakeholders
- the choice of policy topics, which were based on national priorities and multi-stakeholder participation, i.e. not only government officials but also civil society and other partners
- national stakeholder workshops in each country, in which all of the policy results were discussed and validated through a participatory approach
- the support provided by the programme, which was not limited to policy analysis but also covered policy dialogue, formulation and implementation.

Policy recommendations from almost 50 per cent of the policy studies were internalized by national governments. As only two of many examples:

- In Indonesia, based on the recommendations of a rice insurance study, the Ministry of Agriculture drafted legal documents for the provision of rice insurance, and local governments allocated money for agricultural insurance.
- In Viet Nam, based on the recommendations of a land consolidation study, a new land law was drafted and a network on agricultural land policy was established to promote policy dialogue and sharing. Viet Nam also established a policy network on contract farming, which was based on a policy study conducted under the programme.

The most important contribution made by the programme was to bring to the attention of policymakers and ministries of agriculture the fact that many of their policies lacked an explicit pro-poor focus. In addition, in some countries, the programme helped to build the capacity of government officials to translate policy recommendations into actual policy reform. The programme also strengthened capacity: on the demand side, for example when senior policymakers need to write terms of reference for a policy study, understand its recommendations and translate them into actions; on the supply side, when policy researchers and policy research institutes need to reflect on the emerging policy issues related to trade, risk, market volatility and the effects of climate change.

There were some weaknesses as well, such as:

- The national focal points were not able to devote sufficient time to the programme and so were unable to bring other government ministries into the policy platform.
- Too many thematic areas were selected.
- Although this was a reflection of national priorities, it did not allow for sufficient cross-country comparison and learning.
- In most cases, the analytical studies focused on a particular set of policy analyses but did not provide strategic policy options to policymakers. The assumption was that whatever policy studies were conducted under the programme were the best options.



©IFAD/Carla Francescutti

- No attempt was made to identify resource requirements to translate some of the policy recommendations into actual policy dialogue.

These lessons have been brought forward into the second phase of the programme, which is currently being implemented. This phase is more focused in terms of thematic areas and the number of countries has been reduced from eight to four – based on demand as well as potential for impact. In addition, attempts are being made to promote linkages with other ongoing IFAD-sponsored policy initiatives and the efforts of other development partners.

Mr Guilherme Cassel, Board Director, Banco do Estado do Rio Grande do Sul (BANRISUL), gave a presentation entitled *“REAF, Regional policy dialogue in MERCOSUR: impact on country-level public policies for rural poverty reduction and family farming.”* He opened his presentation by stating that REAF (Reuni3n Especializada de Agricultura Familiar, or Specialized Committee for Family Farming) has been a success. It has strengthened, disseminated and qualified public policies for family farming; increased the income derived from family farming; opened markets, especially for purchasing; and redirected country budgets to family farming.

It is important to understand that REAF was born and developed within certain political and economic contexts, in which there was a wealth of opportunity and where progressive governments were present. There had been many agrarian conflicts in the region and the subject of food security had begun to gain more importance.

The main fuel for REAF’s vitality has been trust and confidence. In REAF there is recognition and legitimization of the difference among all parties, which is what builds confidence. Other critical elements that have fueled this confidence are:

- an institutional link to MERCOSUR, which forced REAF to regularize operations
- democracy as an important institutional link, which means voice and vote equality
- an efficient and politically sensitive executive bureau, in this case IFAD/ MERCOSUR, which is more important than technical efficiency
- national sections with tasks, agendas and assignments
- alternating and temporary presidents
- efficient funding.

Looking ahead, it will be the task of REAF to lead the discussion in MERCOSUR for a different model of agricultural production, one that is more economically sustainable, socially fair and environmentally sound. 2014 is the International Year of Family Farming, which presents a good window of opportunity. A variety of stakeholders will need to participate in meetings, including the private sector, cooperatives and banks.

Policy dialogue is always political dialogue, and both are always a human adventure. The leap must be taken.

Strengthening the policy capacity of national stakeholders

Mr Jean-Philippe Audinet, Senior Technical Adviser, Producers' Organizations and Rural Development, PTA, gave a presentation entitled "CAPAD, Burundi: IFAD's partnership with a smallholder farmers' organization in national-level policy dialogue."

His presentation follows below.

When IFAD's last COSOP was designed in Burundi, the country was among the ten poorest countries in the world. The years of civil conflict during the 1990s and lasting until 2004 were accompanied by a regional economic embargo and suspension of most bilateral development assistance. However, IFAD continued its operations in the country, which is characterized by a weak institutional capacity and policy framework, significant corruption and high dependence on external aid. In the agricultural sector, all farmers are smallholders.

IFAD prepared its first COSOP in 2008, which has evolved from a post-conflict strategy more towards value-chain development. Farmers' organizations have a central role in IFAD's engagement as well as in the policy dialogue domain.

An apex national farmers' organization, the *Confédération des Associations des Producteurs Agricoles pour le Développement (CAPAD)*, was created in 2003 and is now made up of 72 cooperatives with about 20,000 members in ten of the country's 17 provinces.

It is the only such organization in the country that covers all commodities and types of producers. One of its main objectives is to promote a stronger farmers' movement capable of influencing public policy.

IFAD has consulted with CAPAD and involved it as an implementation partner in at least two investment projects, and has also indirectly supported the advocacy work of CAPAD, whose leaders have been invited more than once to the Farmers' Forum in Rome. This is important for the policy aspect because when major development partners publicly recognize an institution like CAPAD, it has an influence on the way government and other donors look at the organization.

Most substantively, however, IFAD has supported CAPAD through two regional grants: Support to farmers' organizations in Africa Programme (SFOAP); and through support to AgriCord, the network of agri-agencies.

One of the main components of SFOAP, a US\$30 million programme being implemented in 50 countries, is to support national farmers' organizations in policy engagement. The programme is channelled to the national farmers' organizations through a number of regional networks of farmers' organizations. The annual programme of work is entirely defined by the national farmers' organizations themselves.

The grant provided to AgriCord is to support farmers' organizations in engaging in IFAD country programmes, through technical assistance and South-South cooperation. Bringing farmers' organizations from other African countries to share their experience and provide support has been particularly effective in Burundi for CAPAD's policy engagement efforts.

Some of the main results of its policy engagement include:

- recognition by the government and policymakers of the role of CAPAD as a legitimate interlocutor for policy advocacy on agriculture; CAPAD is now formally part of the policymaking process



©IFAD/Carla Francescutti



©IFAD/Carla Francescutti

- creation of the Agriculture Advocacy Group (GPA), bringing together 8 national farmers' organizations and 11 non-governmental organizations (NGOs) and think tanks
- an increase in the share of agriculture in the national budget from 3.6 per cent in 2010 to 10 per cent in 2012, achieving the Maputo commitment of African governments
- the approval of a new law on pre-cooperative groups, tax exemption on agricultural inputs and subsidies on fertilizers.

In December 2011, the first national farmers' forum in Burundi was held. Farmers' organizations and many NGOs developed a new agenda and submitted their policy requests to the government. This was immediately followed by the 2012 business meeting of the national agriculture implementation plan, where a new GPA declaration with more specific requests was addressed directly to donors.

Major pro-smallholder policy changes can be achieved by a national farmers' organization provided it is able to:

- develop a clear policy agenda through inclusive consultation of its members
- build coalitions and alliances with a larger constituency among other farmers' organizations, NGOs, GPA and government officials
- support its advocacy work with studies and credible analytical work
- be recognized (and supported) by external partners, including regional farmers' organizations, international NGOs and donors.

Lessons learned in Burundi

- Achieving change in legislation, budget and investment programmes is necessary but not sufficient. Close and continuous monitoring of the implementation of policy change by civil society is often a condition of success.
- In the case of Burundi, IFAD's contribution to policy changes has been more through support to the national farmers' organizations than through direct engagement in policy dialogue. However, similar approaches in other countries have been less effective. Success remains highly dependent on the local institutional and political context.

Mr Manuel Chiriboga, GDR Executive Secretary, Ecuador, gave a presentation entitled "*Shift in national policies in Ecuador and Colombia: the rural dialogue groups' contribution*". He began his presentation by asking a number of questions related to the multi-actor, multi-stakeholder mechanism as an effective vehicle for policy dialogue with states. Is it possible for a group made up of such different people to reach consensus and provide recommendations to the government or other actors on how to proceed? Is it possible to produce well-grounded, solid documents? And, lastly, can this be useful? He then gave the floor to **Mr Santiago Perry, GDR Group Executive Secretary**, to speak about the Colombia experience.

The Colombian GDR has been working with other stakeholders for many years and has become fundamental in the public debate. Rural issues have been high on the radar screen for a long time, and the group has advocated for equity and better distribution of income and resources to promote more dynamic rural development. It has also

advocated for increasing human, social and physical capital and to move away from a limited agricultural focus and towards a broader effort on the part of the country to enhance its development efforts.

This has been achieved in a number of ways. The members of the GDR have been part of the land law project and rural development law, which is a framework law for rural development in Colombia. The issues included in the draft law were part of the agenda for the peace negotiations. The group ensured that the law would not be limited to assigning land to people who did not have land, but also to developing projects and programmes with these communities to generate income and strengthen their local organizations. More recently the group has been working with the National Institute for the Elimination of Extreme Poverty to help formulate a policy to uproot abject or extreme poverty in rural areas.

The group has also contributed to the discussions of poverty reduction and rural development by organizing studies, seminars, workshops and other events. The group managed to bring together stakeholders who had not been speaking to one another, thus building trust and providing a better supply and flow of information. Administration at the regional level has been brought into the dialogue as well, in an effort to develop regional and GDRs around the country.

Mr Chiriboga then took the floor to discuss the Ecuador experience, where GDRs are set up as the main vehicle for promoting dialogue. The groups involve all possible stakeholders, including the Ministry of Agriculture, the Ministry of Trade and the Ministry for the Coordination of Economic Policy, depending on the issue or the theme under discussion at the time. The theme is represented by a specialist on the basis of well-grounded studies and specifically prepared for discussion by a dialogue group to arrive at some degree of consensus. For example, in the discussion of productivity, family farming came into the picture and one of the core issues in productivity increase was seed supply. On the basis of discussion among the group, it was possible to come up with a programme that would focus on high-yield hybrid seeds to farmers' groups, which contributed to a greater degree of efficiency in maize production in the country.

Currently, there is a major discussion taking place on the reform of the agriculture and livestock-raising credit bank. Discussions were held together with representatives of public banks, cooperatives, savings societies and associations, and a consensus-based proposal was reached and is now being considered for discussion. As a result of these dialogue groups, there are many elements of innovation, change and development under way.

Lessons learned in Ecuador

- Policy dialogue groups, involving a wide range of stakeholders, have proven to be effective vehicles for bringing a multisectoral approach to address rural development challenges.
- Policy analysis and studies provide an evidence base and an important starting point for the discussions of the groups.
- While ensuring that the autonomy of the GDRs is maintained, IFAD has a place in this process of dialogue; in particular, during both the stage of government consultations around policy decisions, and the COSOP design process. In both Ecuador and Colombia the GDRs have been involved in this process, and have added real value to it.

Plenary discussion

Mainstreaming policy dialogue/engagement in IFAD. Policy engagement and policy results are part of IFAD's strategic objectives, and are one of the four fundamental objectives of its grant policy. Therefore there is an operational instrument that is explicitly dedicated to policy engagement. However, policy-relevant hard evidence is

Political dialogue needs to be radically democratic, and this is also accompanied by many risks. With democratic political dialogue, you know how it starts but you never really know how it is going to end. This is the difficulty, but it is also the adventure.

Mr Guilherme Cassel

critical, and there are major shortcomings with respect to reporting and sharing information, even in-house. In this regard, project experiences need to be systematically and rigorously documented. In addition, policy engagement results, outcomes and impacts need to be included in IFAD's planning, monitoring and reporting systems. This is a challenge. For example, a seed law or microfinance regulation cannot be reported as an IFAD product or an IFAD-supported result.

The issue is one of attribution. How do you attribute a given result to a certain process in the dialogue? IFAD will need to decide how it plans to fund policy engagement. The grant facility might be the appropriate facility but IFAD needs to decide how much, and how it will allocate resources to this activity. Finally, IFAD will also need to decide how it wants to assess and manage the risks associated with policy engagement. The risks of engaging in policy are different from the risks of giving technical assistance or credit to poor households. In many ways they are greater, even if the windows of opportunity are shorter. On the other hand, while the risks of policy engagement may be great, the risks of not being involved in policy engagement may be even greater.

IFAD and consensus. The arrival of newcomers to the table may bring a change, and even a radical one. For example, Bolivia, Ecuador and Venezuela are bringing new ideas and they are not necessarily the same ones as IFAD. They are also thinking differently about what family farming involves and they would like to change the current way of thinking in REAF. Does this represent an opportunity or a challenge for IFAD?

Balance between short- and long-term strategies and responses. The window of opportunity that is here today and gone tomorrow is too narrow to be seized through all of the different processes that are usually followed. Thinking about medium-term sustainable strategies that offer flexibility for short-term action may be a way forward. This situation needs to be considered when envisaging the sort of instrument that would enable IFAD to work in both dimensions – supporting the medium-term processes that carry risk, and the day-to-day emergencies that arise. At the same time, in many countries where IFAD works, the issue is actually one of long-term engagement in building the context in which policies can be developed. It is about capacity-building, and this requires engagement for many years. So how to combine a structural influence on countries' capacity to formulate policies that are inclusive of the interests of the poor, and at the same time be able to intervene more specifically in these windows? A balance needs to be found if there is to be an effective instrument for support.

Cost of understanding policy context. Real-time policy engagement and awareness at the country level is challenging and costly. An analysis of the costs and benefits would be useful, because such policy engagement requires a long and costly investment to be able to act on the very limited time horizon. Very few organizations have the means to afford this kind of systematic country coverage for all countries of the world. This may call for partnerships with like-minded institutions that are also interested in conducting this type of country surveillance.

Policy analysis: country versus multi-country. Discussion among Latin Americans is often very country-focused. The COSOPs are also very country-focused. However, in Africa, for example, it is very thematic-focused and the real gains in looking at these themes are through cross-country analysis. It is the multi-country analysis that has truly shed light; the within-country analysis is often tainted by ideology and preconceived notions. For Latin America, will the real gains in policy analysis be made not only through multi-country analysis but also by starting to compare Latin American countries with countries outside? The implication for IFAD is very important because of the possibility of large grants for policy analysis. Should these grants go to multi-country, worldwide, or should they be focused on within-country analysis, which is what most CPMs would like? However, policy analysis is distinct from policy dialogue, which needs to be largely at country level. If the results of a multi-country analysis are then applied at the country level, there is a solid and empirical basis with which to engage in discussions.



©IFAD/Carla Francescutti



SESSION 3: MONITORING, MEASURING EFFECTS AND IMPACT

The third session focused on a new theme for IFAD: how it can better monitor its policy engagement and measure its effects and impact. Two presentations were made on IFAD's initial ideas and on practices elsewhere. Following the presentations, one discussant offered his comments on the presentations. Participants then had the opportunity to pose questions and share their ideas and experiences.

Who will be in charge of evaluating IFAD's policy engagement? Is it IFAD, or is it the government in each country? And who will be paying for it?

Ms Margarida Rodrigues

Presentations

Ms Constanza di Nucci, Researcher, SSD, gave a presentation entitled "*Evaluation of public policies.*" The entry point from SSD is related to the IFAD9 consultation commitment to reach 90 million people, and of those 90 million to move 80 million people out of poverty. The division is committed to conducting, synthesizing and reporting on 30 project impact surveys by 2015.

Policy dialogue or country-level policy engagement is understood as a means to achieve and ensure a pro-poor policy and institutional environment. The focus is on evaluating those changes in the policy and institutional environment to which IFAD has contributed. Mozambique is one example where the work of IFAD contributed to generate a change in the regulations in the fisheries sector. An exclusive three-mile zone was established for artisanal fisheries, representing a closed-season regime differentiated from industrial fishing. Industrial fishers used to go to the same places where artisanal fishers went, but with different capacities and creating unequal competition. With the regulation, the competition has been eliminated, resulting in positive outcomes for artisanal fisheries: fish stocks, fish size, market value, marine management plans and economic diversification.

Another case for impact evaluation is in the framework of REAF. The National Register of Rural Workers and Employers (RENATRE) was established in Argentina, which was a recommendation that came out of REAF. This voluntary register has effects on social security, including unemployment benefits and access to social services, finance and targeted programmes. These outcomes have an impact not only on income but also on the non-income dimensions of poverty.

It is clear that activities conducted in terms of CLPE and policy dialogue are inserted into national policy cycles or processes at different stages and with different elements and tools. Engagement at a given point leads to policy and institutional changes, but the causality is usually not direct. However, if the policy and institutional changes take place, they lead to better conditions for rural poverty reduction and for projects such as those supported by IFAD to reach their goals. This needs to be assessed; but above all,

what requires to be evaluated – in those cases where IFAD contributed to those policies or institutional changes through its policy dialogue and engagement – are the effects and impact of those changes on rural poverty reduction.

Many methodological approaches can be considered, depending on which policy is going to be evaluated, which change is going to be analysed, the capacities in the countries and the political will. There are large-N statistical designs, experimental and quasi-experimental, that require counterfactual and comparison groups. There is a consensus on what constitutes a valid approach when it comes to these designs. However, there is not a consensus on the small-N designs, which include qualitative evaluation and have larger room for bias. Poverty and social impact analysis is a tool that the World Bank has been using to evaluate the economic and social impact of policy changes on different actors.

Final considerations:

- Impact evaluations are needed. Outcome monitoring is not a valid basis for rigorous measurement.
- Theory-based evaluations need to identify the causes of change and the mechanisms by which complex social processes mediate impact.
- The theories of change are complex and vary from case to case, but there may still be shared points.
- The incentive frameworks that induce patterns of behaviour need to be understood, since these are the behaviours that certain policy changes are going to affect.
- The underlying factors that affect the political process also need to be understood; they are not only political and economic, but are also historical and cultural.
- The methodological approach depends on the specific policy to be evaluated, which is why there is no consensus or single recipe.
- Policies are not neutral. They have positive and negative impacts which must be taken into account.
- The aim of IFAD is rural poverty reduction. Therefore impact evaluation needs to focus on individual and household levels. Many outputs that come out of policy dialogue cannot be easily measured at these levels. However, IFAD needs to demonstrate that those changes in the political and institutional context lead to poverty reduction.

Ms Margarida Rodrigues, Post-Doctoral Fellow, Unit of Econometric and Applied Statistics of the European Commission, gave a presentation entitled "*Impact evaluation using counterfactuals.*" She began by asking what impact evaluation is and why it is different from other types of evaluation. An impact evaluation is a data-driven ex-post evaluation that estimates the impact that can be attributable to the intervention, isolating it from other factors and potential selection bias. This is conceptualized through 'counterfactual' thinking: What would have happened if this intervention had not taken place?

The aim is to compare the group of affected individuals with a control group – a group of non-affected individuals that are as similar as possible to the first group. If different outcomes can be discerned, these differences can be attributable to the intervention. It is very challenging to find this control group, but there are several approaches: the experimental approach, usually called randomization; and the quasi-experimental approach where, by using statistical techniques, it can be assured that the

control group is similar to the affected group and therefore causality can be argued. This quasi-experimental approach explores variations in policy implementation, so if the policy targets only one group of people or only one region or country, then other groups of people, other countries or other regions can be used to serve as control groups.

Impact evaluation has a number of ingredients:

- **Understanding the intervention process.** Why did this policy change or this programme take place? Why was it designed the way it was designed? Who are the targeted people? What are the expected results? What are the final outcomes being sought? Is it poverty, income, employment rate? These should be measurable variables.
- **Clearly defining the intervention and the policy change, and the treated and control groups.** Clear definitions enable the theory of change to be better identified, as well as the rationale for expected results.
- **Having appropriate and sufficient data.** Data can come from different sources: administrative, secondary data and surveys; baseline data; and end-line data.

Impact evaluation also has a number of challenges:

- **Data availability.** Without appropriate and sufficient data, a rigorous evaluation cannot be conducted.
- **Convincing stakeholders of the need.** Evaluations require effort, time and financing, but they are indispensable to understand what works from what does not work.
- **Planning.** Rigorous evaluation involves planning, which also involves time and costs.
- **Timing.** When should the evaluation be conducted? This consideration is very intervention- or policy-specific. Some policies need more time to macerate and deliver results. An impact evaluation should not be conducted immediately after a policy has been established because it needs time. On the other hand, if it is done too late then other policy changes could have taken place, making it difficult to determine whether a particular impact was due to one policy and not another.

It is important to start with the existing tools and data, even if they are not methodologically ideal, and to build from them. This will have important returns in the future. Not only does it promote the culture of evaluation in the countries but it also has returns in terms of data collection, capacity-building, accountability and evidence-based policy-making – and ultimately will have impacts on the lives of poor rural people.

Discussant response

Mr Osvaldo Feinstein, Independent Consultant, Evaluation, commented on the presentations. He began by explaining the difference between evaluating policies and evaluating programmes: primarily that the latter have a start and end date, while the former generally do not have an end date and go far beyond a programme.

Some argue that only by using counterfactuals can a genuinely rigorous impact evaluation be conducted. The distinction between implicit and explicit counterfactuals is useful because there is not a single evaluation where counterfactuals are not being

used. What happens is that people sometimes are not aware of the counterfactual, the implicit counterfactual. When referring to explicit counterfactuals, there is a whole set of alternatives; control groups are only one of the ways by which counterfactuals can be done.

In this regard, counterfactual thinking is critical. Even in the absence of an explicit counterfactual, counterfactual thinking can be applied in designing appropriate evaluations.

When an intervention is designed, there are generally some types of assumptions about what would happen if a particular scenario did or did not take place. This is the implicit theory of change, although one may also consider this in terms of the logic of the intervention. The important thing is to understand what the logic was in the design, and then to ask a fundamental question to identify a relevant comparison. 'Comparison groups' is a broader term than control groups because sometimes a control group cannot be established, but comparison groups may be found. This has to do with the way in which the policies have been implemented. In fact, there are implementation strategies that facilitate evaluations. One of the challenges that IFAD is facing in terms of the 30 impact evaluations is not having simultaneous implementation with different modalities, which would have created opportunities for establishing comparison groups.

With regard to rigour and lack of rigour as they relate to scaling up successes, it may happen that a project has success at a certain scale, for example a microfinance project for 5,000 persons, and consideration is being given to scale the project up to 50,000. But insights from the project at 5,000 is not necessarily evidence for scaling up to 50,000. This is one of the major issues in terms of experimental and quasi-experimental methods. The reverse is also true. Some will argue that a small-scale failure should not be scaled up, whereas it may be possible that the failure was due to the small size itself (for example, because of economies of scale). Methods that appear to be rigorous may be lacking in rigour for external validity, which is very important in terms of scaling up, because of importance of the context. Decisions concerning which evaluation methods to use should be pragmatic, taking into account that there are different methods, none of which is 'the best'. Frequently, what is most suitable is a combination of different methods.

Plenary discussion

Role of the Independent Office of Evaluation. The Office of Evaluation assesses policy dialogue in all country programme evaluations as part of the assessment of non-lending activities. Since policy dialogue is relatively recent in IFAD, to date the evaluations have been reporting on the extent to which country programmes are paying attention to this issue. Looking ahead, IFAD will need to engage in an internal discussion on what the role of the Independent Office of Evaluation could be in evaluating the impact of policies, including a cost-benefit analysis, to best understand how IFAD can contribute to reducing the poverty of 80 million people.

Incorporating policy dialogue within IFAD's corporate strategy. IFAD engages in dialogue about public policy, and it does so in different ways. What needs to be determined is how the organization incorporates policy dialogue as an instrument within its strategy. In this regard, IFAD will need to have a sound understanding of its different forms of policy engagement and to systematize its knowledge and experience.

IFAD cannot evaluate events about which there is no information. In addition, a distinction needs to be made as to whether policy dialogue is being evaluated or the quality of the implementation of policies is being evaluated.

Scope of IFAD evaluations. For IFAD, evaluating the impact of broad policies may be beyond its capabilities. Poverty and poverty reduction are usually the result of more than one policy. The cost of trying to have a single policy impact assessment is far beyond the benefits that IFAD can expect to realize from the effort. Moreover, it can be extremely difficult to attribute an outcome to a particular institution. In this regard, perhaps the evaluation of the process needs to be emphasized more than the evaluation of what is achieved in terms of outputs. Trying to document and measure IFAD's efforts in influencing policy processes may be more realistic.

Incentives for evaluation. What incentives or indicators can be put in place to promote and evaluate staff engagement and performance in policy processes? In essence, what can be defined that can drive incentive?

Results framework for policies and policy dialogue. Thinking in terms of a results framework for policies and for policy dialogue makes sense for new or ongoing operations. Objectives should be articulated in such a way that they can be evaluated based on intermediate outcomes and outputs, and with an emphasis on learning. This will help not only the evaluation but also the management process. In addition, the implementation strategy should be designed to maximize opportunities for learning and for applying the learning during project implementation. For operations already under way, contribution analysis is helpful and particularly given the way in which IFAD has been working in terms of working with other partners. It is a credible method, although attribution will be elusive.

If we want to evaluate policy dialogue in REAF, we can see that many of the policies in place today had been tested in some of IFAD's projects implemented in the region. It is crucial to locate these project examples and systemize them, in order to provide hard evidence.

Mr Álvaro Ramos

IFAD has committed itself to take people out of poverty and also to show that it has contributed to create better frameworks and better contexts for achieving this. This is actually what we need to prove – by evaluating the changes that IFAD has contributed to through its policy dialogue.

Ms Constanza di Nucci



CLOSING SESSION: PULLING IT TOGETHER AND NEXT STEPS

The closing session gave three members of IFAD's management team the opportunity to speak. A summary of their discussion follows.

Ms Josefina Stubbs, Director, LAC

In the past seven to nine years, IFAD has been making qualitative leaps. Direct supervision is offering a different view of what is happening in reality. Decentralization to CPMs and programme staff in the field is also giving IFAD more possibilities to help expand the scope, impact and sustainability of its work. IFAD is certainly more aware that policy dialogue makes a difference and is necessary for IFAD to expand the scope of its impact and to ensure sustainability.

IFAD is a small organization. Nevertheless it must capitalize on its knowledge. IFAD must be practical and pragmatic in looking at how policy dialogue is contributing to achieving its results. There is much work ahead, but much has already been achieved. The advances made are cumulative and must be recognized. And action needs to follow words.

Mr Carlos Seré, Associate Vice-President, Strategy and Knowledge Management Department

There are many think tanks developing policy, and it is therefore important to identify IFAD's niche vis-à-vis other policy developers, lobbyists, etc. The intersection between IFAD's investment and policy efforts, and the effort to optimize that synergy, is critical. The obvious place to start is with issues that are specific to rural development and that can directly trigger project impact.

However, there is another role for policy engagement. IFAD produces certain public goods, including knowledge, which is going to generate ideas for future projects. IFAD can justify investing resources in documenting its knowledge, experience and innovation, both within projects but also disembodied from specific projects. At the very least, it is important to conduct outcome mapping to demonstrate that while IFAD may not be able to foresee political processes, it can document the processes that have taken place.

It is critical that IFAD be part of the broader group of organizations that are at the cutting edge, that are thinking about impact evaluation in general and policy in particular. Investments must be made to be part of the process – to be engaged, to share, to take stock and basically be part of the cutting edge in this thinking. This amounts to making investments in IFAD's own capacity.

Mr Kevin Cleaver, Associate Vice-President, Programme Management Department

Mr Cleaver closed the workshop by stating that IFAD's ambition now goes beyond programmes and projects and that it will have to make a contribution to policy dialogue and analysis at the country, regional and international levels – an essential way to have

greater impact, to scale up and to influence. As a result, when IFAD designs projects with its partners – governments, civil society and other international development agencies – it will need to think rigorously about the policy implications.

Cross-country analysis will enable IFAD to understand the kinds of policies to pursue, and what works in terms of the policy content of the projects it supports. Moreover, when engaging with an international organization, government officials are interested in what that organization can bring from other countries, not merely what the organization has to say about the government officials' country. In this regard, the adaptation of one country experience to another is often the puzzle, and a complex one; however, it needs to be done.

Collecting and documenting lessons is going to be key, and IFAD's CPMs and staff will need help in this effort. They will need the cross-country comparisons, the raw material, access to specialists, and more. This is an ambitious but important undertaking. Grants can be used much more strategically for this purpose, particularly in conducting policy analysis at the cross-country level, because IFAD has regional and global grants. They are a powerful instrument and can be used to this end.

With respect to measurement of policy influence and impact, 'adequate for our circumstances' is the appropriate path. Nevertheless, more rigour is required as the evaluations can be quite superficial and, in their superficiality, unfair. At the same time there is an opportunity cost, so a compromise might be in order: one in which the focus and the resources are placed on conducting comparative analyses, on tapping the literature for the best policy advice possible, and training sessions for CPMs so they are informed when they make recommendations or promises.

One of the advantages of becoming involved in policy dialogue for an institution like IFAD, which has very good relationships with farmers' organizations, is IFAD's ability to bring people from those organizations to the table. This was the case with REAF/MERCOSUR, and it should be continued.



©IFAD/Carla Francescutti

APPENDIX I

WORKSHOP AGENDA

OPENING SESSION

Opening remarks: Josefina Stubbs,
Director, Latin America and the Caribbean Division

Adolfo Brizzi
Director, Policy and Technical Advisory Division

SESSION 1

Introductory session

Moderator: Paolo Silveri

Presentation on country-level policy engagement (CLPE) in IFAD
Edward Heinemann
Senior Policy Adviser, Policy and Technical Advisory Division

Response by discussants: Ignacia Fernandez
*Coordinator, Rural Dialogue Group,
Latin American Center for Rural Development*

Álvaro Ramos
Coordinator, FIDA MERCOSUR

Jean Balié
Team Leader, Policy Analysis, Monitoring and Evaluation, FAO

Plenary discussion

SESSION 2

Sharing experience, drawing out lessons

2A Creating an enabling policy environment for IFAD-supported projects

Moderator: Hoonae Kim

Presentations: Mexico. Democratizing productivity: new discourse, new opportunity
Tomás Rosada
Regional Economist, Latin America and the Caribbean Division

PROFIRA, Uganda. Getting the policy framework right for project
implementation
Alessandro Marini
Country Programme Manager, Uganda, East and Southern Africa Division

2B Scaling up successful project experiences through national policies

Moderator: Hoonae Kim

- Presentations: Brazil: From field experience to public policies: dialogue between national policymaking and state-level implementation (Dom Hélder Camara Project)
Iván Cossío Cortez
Country Programme Manager, Brazil, Latin America and the Caribbean Division
- Egypt, West Noubaria Rural Development Project: taking forward the lessons learned
Abdelhaq Hanafi
Country Programme Manager, Egypt, Near East, North Africa and Europe Division

Plenary discussion

2C Strengthening public policies/institutions and enhancing their pro-poor focus

Moderator: Tomás Rosada

- Presentations: Strengthening the capacity of ministries of agriculture in pro-poor policy analysis and formulation: IFAD's experience in selected Asian countries
Ganesh Thapa
Regional Economist, Asia and the Pacific Division
- REAF, Regional policy dialogue in MERCOSUR: impact on country-level public policies for rural poverty reduction and family farming
Guilherme Cassel
Director, Banco do Estado do Rio Grande do Sul (BANRISUL)

2D Strengthening the policy capacity of national stakeholders

Moderator: Constanza di Nucci

- Presentations: CAPAD, Burundi: IFAD's partnership with a smallholder farmers' organization in national-level policy dialogue
Jean-Philippe Audinet
Senior Technical Adviser, Producers' Organizations and Rural Development, Policy and Technical Advisory Division
- Shift in national policies in Ecuador and Colombia: the rural dialogue groups' contribution
Manuel Chiriboga
Executive Secretary, Rural Dialogue Group, Ecuador

Plenary discussion

SESSION 3

Monitoring, measuring effects and impact

Moderator: Edward Heinemann

- Presentations: Evaluation of public policies
Constanza di Nucci
Researcher, Statistics and Studies for Development Division
- Impact evaluation using counterfactuals
Margarida Rodrigues
Post-Doctoral Fellow, Unit of Econometric and Applied Statistics of the European Commission

Response by discussant: Osvaldo Feinstein
Independent Consultant, Evaluation

Plenary discussion

CLOSING SESSION

Pulling it together and next steps

Moderator: Josefina Stubbs

Synthesis remarks and way forward

REMARKS

Closing remarks: Josefina Stubbs,
Director, Latin America and the Caribbean Division

Carlos Seré
Associate Vice-President, Strategy and Knowledge Management Department

Kevin Cleaver
Associate Vice-President, Programme Management Department

APPENDIX II

PARTICIPANTS

Jean Philippe Audinet, Senior Technical Adviser, Producers' Organizations and Rural Development, Policy and Technical Advisory Division, IFAD

Jean Balié, Team Leader, Policy Analysis, Monitoring and Evaluation, FAO

Enika Basu, Consultant, Policy and Technical Advisory Division, IFAD

Cristina Benvenuti, Consultant, Independent Office of Evaluation, IFAD

Julio Berdegue, Principal Researcher, RIMISP

Willem Bettink, Programme and Change Officer, Programme Management Department, IFAD

Clare Bishop Sambrook, Senior Technical Adviser, Gender, Empowerment and Social Inclusion, Policy and Technical Advisory Division, IFAD

Eric Amoo Bondzie, Intern, Independent Office of Evaluation, IFAD

Adolfo Brizzi, Director, Policy and Technical Advisory Division, IFAD

Guilherme Cassel, Director, Banco do Estado do Rio Grande do Sul (BANRISUL)

Rosa Valeria Cerza, Consultant, Independent Office of Evaluation, IFAD

Soma Chakrabarti, Consultant, Policy and Technical Advisory Division, IFAD

Manuel Chiriboga, Executive Secretary, Rural Dialogue Group, Ecuador

Kevin Cleaver, Associate Vice-President, Programme Management Department, IFAD

Iván Cossío Cortez, CPM, Latin America and the Caribbean Division, IFAD

Daniela Cuneo, Internal Communications and Social Media, Communications Division, IFAD

Evert De Witte, Consultant, Statistics and Studies for Development Division, IFAD

Robert Delve, Technical Adviser, Agronomy, Policy and Technical Advisory Division, IFAD

Constanza Di Nucci, Researcher, Statistics and Studies for Development Division, IFAD

Thomas Elhaut, Director, Statistics and Studies for Development Division, IFAD

Salik Farooqi, Consultant, Statistics and Studies for Development Division, IFAD

Oswaldo Feinstein, Independent Consultant, Evaluation

Fabrizio Felloni, Senior Evaluation Officer, Independent Office of Evaluation, IFAD

Ignacia Fernandez, Coordinator, Rural Dialogue Group, Latin American Center for Rural Development

Carla Francescutti, Consultant, Latin America and the Caribbean Division, IFAD

Ariane Frier-Ferrari, Portfolio Support Officer, East and Southern Africa, IFAD

Alessandra Garbero, Statistician, Statistics and Studies for Development Division, IFAD

James Garrett, Senior Researcher (Nutrition), Policy and Technical Advisory Division, IFAD

Beatrice Gerli, Consultant, Policy and Technical Advisory Division, IFAD

Sorinel Ghetau, Programme Director, Oxfam Italy

Fanny Grandval, Consultant, Policy and Technical Advisory Division, IFAD

Cintia Guzman, Budget and Results Officer, Latin America and the Caribbean Division, IFAD

Adelhaq Hanafi, CPM, Near East, North Africa and Europe Division, IFAD

Edward Heinemann, Senior Policy Adviser, Policy and Technical Advisory Division, IFAD

Marina Izzo, Consultant, Independent Office of Evaluation, IFAD

Sun-ae Kim, Portfolio Support Officer, Environment and Climate Change Division, IFAD

Hoonae Kim, Director, Asia and the Pacific Division, IFAD

Roberto Longo, Technical Adviser, Policy and Technical Advisory Division, IFAD

Joaquin Lozano, Subregional Coordinator and CPM, Latin America and the Caribbean Division, IFAD

Iain MacGillivray, Special Adviser to the President, Office of the President and the Vice-President, IFAD

Maria Elena Mangiafico, Knowledge Management and Grants Officer, Policy and Technical Advisory Division, IFAD

Alessandro Marini, CPM, East and Southern Africa Division, IFAD

Laure Martin, Regional Analyst, Latin America and the Caribbean Division, IFAD

Juan De Dios Mattos, Regional Climate & Environment Specialist, Latin America and the Caribbean Division, IFAD

Carlos Mermot, Technical Assistant, FIDA MERCOSUR

Juan De Dios Moreno, CPM, Latin America and the Caribbean Division, IFAD

Estibalitz Morras, Programme Officer, Environment/Climate Portfolio, Latin America and the Caribbean Division, IFAD

Enrique Murguía, CPM, Latin America and the Caribbean Division, IFAD

Marzia Perilli, Consultant, Statistics and Studies for Development Division, IFAD

Santiago Perry, Director, Corporación PBA, Colombia

Jesus Quintana, CPM, Latin America and the Caribbean Division, IFAD

Álvaro Ramos, Regional Coordinator, FIDA MERCOSUR

Margarida Rodrigues, Post-Doctoral Fellow, Unit of Econometric and Applied Statistics of the European Commission

Tomás Rosada, Regional Economist, Latin America and the Caribbean Division, IFAD

Roxanna Samii, Manager, Web, Knowledge Management, Social Media and Internal Communications, Communications Division, IFAD

Carlos Seré, Associate Vice-President, Strategy and Knowledge Management Department, IFAD

Paolo Silveri, CPM, Latin America and the Caribbean Division, IFAD

David Soto, Director, ACUA-FIDA

Josefina Stubbs, Director, Latin America and the Caribbean Division, IFAD

Ganesh Thapa, Regional Economist, Asia and the Pacific Division, IFAD

Benoit Thierry, CPM, Asia and the Pacific Division, IFAD

Miguel Torralba, Evaluation Officer, Independent Office of Evaluation, IFAD

Francesco Torrigiani, Director, Latin America and Caribbean Programme, Oxfam Italy

Carolina Trivelli, Researcher, RIMISP

Jacob Tuborgh, Associate CPM, Latin America and the Caribbean Division, IFAD

PRESENTATIONS

1. ED HEINEMANN, IFAD'S EVOLVING APPROACH TO COUNTRY-LEVEL POLICY ENGAGEMENT



**Mainstreaming policy dialogue:
from vision to action**

IFAD's evolving approach to country-level policy engagement

Edward Heinemann
17 October 2013

Enabling poor rural people to overcome poverty




What is CLPE?

- 'Policy' can refer to legislation and policy statements and documents; sector plans, budgets, strategies and programmes; high-level rules of government agencies.
- IFAD's interest is solely in those policies that shape the economic opportunities – in agriculture and the larger rural non-farm economy – for rural people to move out of poverty.
- Country-level policy engagement can be seen as:
A process for IFAD to collaborate, directly and indirectly, with its partner governments and other country level stakeholders, to influence policy priorities or the design, implementation and assessment of formal policies that shape the economic opportunities for large numbers of rural people to move out of poverty.




Why is CLPE an issue for IFAD?


- For IFAD, country level policy engagement - CLPE - serves for:
 - Ensuring that policy environment allows for effective project implementation and impact, or scaling up the impact of successful project experiences
 - Going beyond projects – contributing to creating an enabling environment for rural people to overcome poverty
- Particularly in growing number of MICs, where IFAD resources of less critical importance to governments, support for policy processes an important service to offer
- SF 2011-2015 highlights importance of, and commits us to, policy analysis and dialogue – a key vehicle for IFAD's scaling up agenda



How to think about CLPE?



- By objective
- By instrument
- By activity

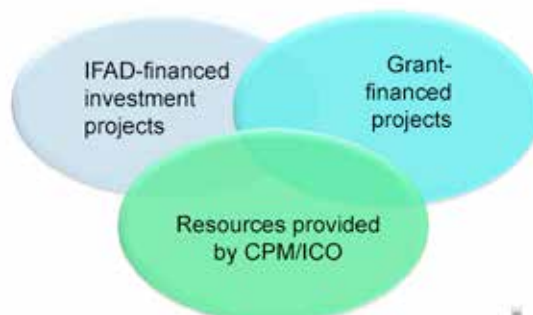


Objectives of CLPE

- Create an enabling policy environment for the effective implementation of IFAD-supported projects and their achievement of development impact
- Draw out lessons learnt under IFAD-supported projects and scale up successful experiences through integration into national policies, institutions and strategies
- Strengthen public policies for rural development and their implementation – and the responsible institutions, and enhance their pro-poor focus
- Help build capacity of national stakeholders to participate effectively in policy processes and shape national policies



Instruments for CLPE



Activities for CLPE (1)

Through IFAD-financed investment projects

- The capacity of government agencies to formulate national policies is supported
- Implementation experiences are analyzed to feed into national policy processes
- Policy dialogue between national stakeholders is promoted
- A policy, strategy or programme is operationalised at local level



Activities for CLPE (2)

Through the grants programme

- Rural people's orgs. are supported to enable them to conduct policy dialogue with government
- Opportunities for regional / south-south sharing of policy experience and approaches are provided



Activities for CLPE (3)

Through resources (time, funds) provided by CPM/CPO

- Dialogue with government:
 - Prior to project start-up: agreeing on critical reforms
 - During implementation: identifying policy bottlenecks
 - At completion: drawing on project successes
- Participating in in-country sector working group to identify and pursue priority policy issues with government
- Building partnerships for policy influence
- Sponsoring policy analysis work, short-term TA



IFAD's performance to date

- In many countries, IFAD's work has led to significant changes in the policies affecting poor rural people
- IFAD has important strengths
 - Seen as a credible 'honest broker', bringing resources yet no predefined agenda
 - IFAD Country Offices offer new opportunities to engage
- But IOE and Brookings Institute highlight weaknesses:
 - Achievements not consistent
 - Over-ambitious policy agendas, not followed through
 - Limited capacity: country presence, in-house skills
 - Lack of instruments / tools to support CLPE
- IFAD Consultation report (2012) committed IFAD to strengthening its policy work



So how has IFAD responded?

- Created post of policy advisor in PTA, to help define and promote IFAD's CLPE agenda, and support work of CPMs
- Developed an action plan for CLPE, based on:
 - More effective integration of CLPE in IFAD country programmes – COSOPs, project design and implementation support
 - Policy analysis as a distinct (**and resourced!**) tool to provide evidence base for policy engagement
 - Improved monitoring, reporting on activities and results; and KM
 - Strengthening capacity – promote shared in-house understanding, training/ experience sharing for CPMs
 - Developing learning partnerships – other interested development agencies, policy centres, think tanks etc



The funding for policy engagement

- Resources available from Innovation Mainstreaming Initiative (IMI)
- Allow CPMs to finance policy-related activities, e.g.
 - Policy analysis – studies, short-term TA
 - Workshops, seminars, exposure visits
- Should fit within / support national policy processes
- Up to ~US\$ 75,000 per country – simple to access



Ten preliminary lessons

1. IFAD agenda for CLPE shaped by mandate and country programme
2. Approaches to CLPE need to be context-specific. There is no single model
3. IFAD's role both to create conditions for national stakeholders to engage in policy dialogue, and to participate directly itself
4. CLPE often means participating in long-term process, with uncertain results
5. Policy analysis part of IFAD's role: evidence facilitates informed discussion, but must be accessible to all stakeholders
6. Building partnerships and coalitions is usually critical for having influence
7. Projects can be laboratories for learning about policy issues, and the lessons learned as an entry point for policy engagement
8. Interventions need to be based on understanding of national context: processes for policy development, and identification of key stakeholders
9. Importance of a theory of change for CLPE, reflected in logframe
10. Project designs need to establish links between M&E system, KM function, and CLPE agenda; between territorial and national agendas



2. JEAN BALIÉ, POLICY DIALOGUE IFAD

Mainstreaming Policy Dialogue from vision to action

Understanding the policy context: can a political economy approach help?

Jean Balié
FAO



Why do we engage in policy dialogue?

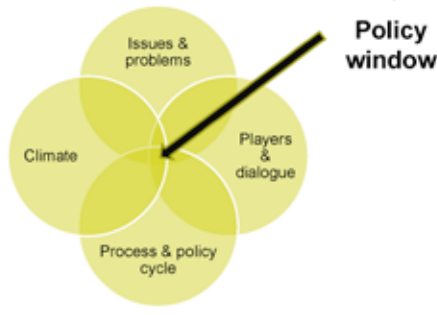
1. Policy assistance/ advice
2. Policy change /reform
3. Policy implementation

But

- Effectiveness of policy advice has been mixed at best
- Policy dialogue is a long term process with uncertain results
- What could be done to reduce uncertainty, risks, costs or deadlocks ?




Understanding the national context



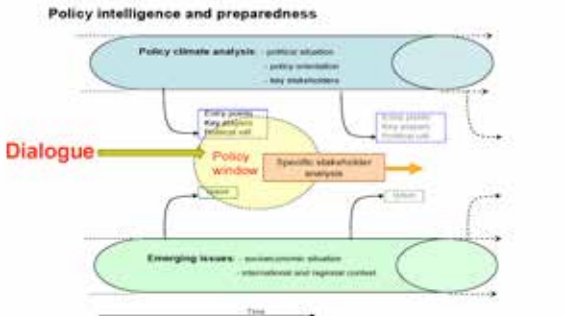
Policy window

Main factors influencing the occurrence of a policy window




A dynamic and interactive rather than linear process unfolding over time

Policy intelligence and preparedness



Policy Intelligence: Dimensions to be analyzed



Types of policy contexts



Conclusions

- The context matters
- A political economy approach is useful but non linear and continuity is key
 - **Timing and timeliness** vs. policy agenda/issue?
 - **Policy change:** opportunity? time horizon?
 - **Policy champion?**
 - **Policy options / alternatives:** Feasibility? credibility ?

3. TOMÁS ROSADA, MEXICO–DEMOCRATIZING PRODUCTIVITY: NEW DISCOURSE, NEW OPPORTUNITY



**Mainstreaming policy dialogue:
from vision to action**

**Mexico - democratizing productivity:
new discourse, new opportunity**

Tomas Rosada
17 October 2013
Enabling poor rural people to overcome poverty IFAD

Outline of the presentation

1. Context and rationale
2. Instrument
3. Objective and activities
4. Role of different actors
5. Policy outcomes
6. Lessons learnt

IFAD

Context and rationale

- Structural analysis for the rural sector:
 - Stagnant productivity
 - Persistent levels of rural poverty
 - Inefficiencies in public action → regressiveness, coordination, evaluability, heavy bureaucracy, etc.
- Situational analysis:
 - Change in public administration
 - Unprecedented **political space** (20 years)
 - National Development Plan → democratization of productivity
 - National Crusade Against Hunger → boosting food production and incomes of small holders.

IFAD

Instruments

- Policy dialogue triggered by:
 - Regional grant → K4Ch
 - Preparation of the RB-COSOP 2013-2018
- Country grant designed as a **rapid-reaction vehicle** for policy engagement with the government.
 - Technical assistance with concrete policy recommendations

IFAD

Objectives and activities

- Objectives:
 - Engage with the government on a high level policy dialogue.
 - Generate a concrete proposal on how to improve fiscal spending for the rural poor.
- Activities:
 - Inter ministerial discussions
 - Technical discussion group

IFAD

Role of different actors

- Secretary of Finance and Public Credit (SHCP)
- Secretary of Agriculture (SAGARPA)
- Secretary of Social Development (SEDESOL)
- Secretary of Agrarian, Territorial and Urban development (SEDATU)

IFAD

Role of different actors

- SHCP acted as a coordinator and focal point of the technical assistance.
- SEDESOL is the coordinator of the "National Crusade against Hunger"
- SAGARPA exercises the bulk of fiscal spending for productive initiatives in the rural sector (USD1,300 billion per year)
- IFAD as a provider of technical assistance, made operational with local experts.



Policy outcomes

- Technical proposal *per se*.
- Policy and technical partnership with all major relevant actors in the Executive branch.
- Inputs for the "National Development Plan" → a six year long term vision of national priorities.
- Input for the Secretary of Social Development (SEDESOL) responsible for one of the largest CCT programs in the world (PROGRESA-OPORTUNIDADES) → exit strategy and productivity of the rural poor.



Lessons learnt

- LAC is a middle income region, it mobilizes significant portions of domestic resources for rural development.
- To be alert to the political juncture → Mexico, Colombia, Cuba.
- There is demand for rapid-response mechanisms to engage at the highest policy-level discussions with governments.
- IFAD has the capacity to mobilize, supervise and endorse internal expertise.
- Policy dialogue **is different** from operational dialogue.
- Relevance of IFAD needs to be understood at different levels above and beyond stand-alone projects.



DISCUSSION.



4. ALESSANDRO MARINI, UGANDA: GETTING THE POLICY FRAMEWORK RIGHT FOR PROJECT IMPLEMENTATION



**Mainstreaming policy dialogue:
from vision to action**

**Uganda: Getting the policy framework right for
project implementation**

Alessandro Marini, ESA
17 October 2013

Enabling poor rural people to overcome poverty



Context

- IFAD-financed project in rural finance closing in 2013
 - Change in policy during implementation – ‘non-conductive’
 - Exclusive focus on SACCOs
 - Government-driven injection of ‘cheap’ funds in SACCOs
 - Most development partners withdrew from the sector
- ★ IFAD continued investing in the sector – project re-designed ★
- 2012 – GoU requests IFAD to finance new project in rural finance
- 2012 – New IFAD COSOP being elaborated
- 2012 – Microfinance policy being evaluated by MFPED



Objective of the initiative

Objective: Getting the rural finance policy framework right for new IFAD investment:

- New microfinance/rural finance strategy;
- Regulatory framework for SACCOs;
- Government engagement with savings and credit groups.

Interlocutors: senior policy-makers (Minister of Microfinance) responding to political agenda



Activities

- Identify weak policy framework as risk for new project... and opportunity for policy dialogue (buy-in/support by IFAD Senior Management)
- Produce key policy messages from evidence from on-going project (aide-memoires/wrap-ups of supervision missions)
- Use of design process as opportunity for:
 - Dialogue with senior policy makers on principles of engagement (key policies ‘right’)
 - Provision of TA (through design teams, incl. in-house capacity)
 - In-country discussion among stakeholders (design ‘task-force’)



Main actors

IFAD Country Team (Rome & Country Office)

- Give voice to MFPED technocrats
- Maintain dialogue with other DPs and stakeholders
- Technical inputs as needed (supervision and design)

IFAD PTA (Lead Advisor)

- Share the risk (active participation in design process)
- Provide technical inputs as needed

MFPED technocrats (including RFSP PMU)

- Feed policy dialogue with evidence (mainly from RFSP)
- Provide technical inputs as needed

Other DPs and stakeholders in microfinance sector

- Participated to design ‘task-force’ and shared key concerns



Main Outcomes

- Approval of new Regulatory Framework for Tier IV financial institutions (including SACCOs):
 - Principles approved by Cabinet in June 2013
 - Law/regulation being drafted for Parliament
- ★ Key policy element awaited for 10 years ★
- Stop on policy for injection of public funds in savings and credit groups
- GoU request of IFAD support for:
 - Elaboration of new rural finance/microfinance strategy
 - Operationalization of Tier IV Regulatory Framework



Lessons for effective policy engagement

- Willingness to take risks
 - Transparency on risks since beginning of process
 - Accept uncertainty of outcome
 - Support by Senior Management
- Reputation as credible partner
 - No pre-set agenda
 - Create space for various stakeholders to contribute
 - Capacity to provide technical inputs
- Evidence-based policy messages (use of on-going projects and direct supervision)
- Difference between 'conditionality' and need to ensure conducive framework for investment



5. IVÁN COSSÍO CORTEZ, BRAZIL—FROM FIELD EXPERIENCE TO PUBLIC POLICIES: DOM HÉLDER CAMARA PROJECT



**Mainstreaming policy dialogue:
from vision to action**

**From field experience to public policies:
Dom Helder Câmara Project, Brazil**

Ivan Cossio, LAC
17 October 2013

Enabling poor rural people to overcome poverty



Context: the country

- Good economic performance
- Strong commitment of the government (and of many others) in fighting against poverty and success in this fight
- Favourable public policy context for family farming

But, although big progress has been made:

- The semi-arid northeast remains the poorest region in Brazil
- Inequality is still a main feature of the country
- The rural poor face difficulties to benefit from the context and from public policies and programmes

Background: Dom Helder Câmara Project

- Evaluated as a very successful project (IOE, among others)
- Productive innovations: new products and techniques, sustainability, access to water, agro-ecological approach
- Access to markets and income generation
- Strengthening organizations, their managerial capacities and their participation in local policy processes
- Enhanced institutional-local framework: capacity building, partnership building, local decision making bodies
- Main tools: technical assistance and partnership building
- Results: proven experiences, methodologies and innovations with potential to be disseminated, scaled-up and to feed public policies

Background: IFAD country programme

The COSOP:

- Enhance and increase farm and off-farm production and income
- Knowledge management
- Policy dialogue, with the Federal Gov. as IFAD main partner
- Prioritize state-level projects

In this framework five state-level projects were designed:

- Aligned to the COSOP
- Taking advantage of the Dom Helder experience

The way forward

A second phase of the Dom Helder Project which development objective is:

"Contribute to the reduction of rural poverty and inequalities by:

- ... improving the coordination and implementation of rural development policies with a territorial approach*
- ... supporting the access of the poorest and more isolated family farmers to existing public programmes*
- ... disseminating and scaling-up innovations*
- ... feeding the design of public policies"*

What does it mean?

At federal level (MDA) the Project Executive Committee will:

- Promote better policy coordination taking advantage of the information provided by the project regarding their implementation
- Assess (and take advantage of) the Project's good practices and innovations with potential to be disseminated, scaled-up and to feed policy making

At territorial level (around 10 municipalities per territory):

- Support the coordination of public policies in the Territories of Citizenship, a key level for their implementation
- Strengthen the participation of family farmers in the Territorial Collegiates and, therefore, in local policy processes

What does it mean?

At municipal, community and family farm level:

- Facilitate the access of the smallest and poorest family farmers to public programmes
- Disseminate good practices and innovations

These actions will be promoted in the DHC project area and in the areas covered by state-level projects



The DHCP as part of a Country Programme

For IFAD:

- A sort of ring with potential to articulate a network formed by the state-level projects
- An instrument to promote knowledge sharing, to disseminate good practices and to shorten the learning curves of state-level projects
- A knowledge management and scaling-up tool!!!



The DHCP as part of a Public Policies

For the Federal Government:

- A channel to obtain feedback from the field regarding policies performance and to feed policy making
- An instrument to influence on state-level projects and to enhance the implementation of national policies in the states

For the state's governments:

- A source of proven innovations and good practices to be applied in IFAD supported projects at state-level and in other programmes and actions



Keywords

- Programme approach (for IFAD)
- Knowledge sharing, knowledge management, scaling-up
- Policy coordination, implementation and dialogue

Learning from the experience: IFAD engagement in policy processes strongly benefit from field experience and, in some cases, policy dialogue is possible only if is based on concrete ground experience



6. ABDELHAQ HANAFI, EGYPT: WEST NUBARIA RURAL DEVELOPMENT PROJECT

Egypt: West Nubaria Rural Development Project: Taking Forward the Lessons Learnt



Total cost: US\$54.8 million

IFAD loan: US\$18.5 million

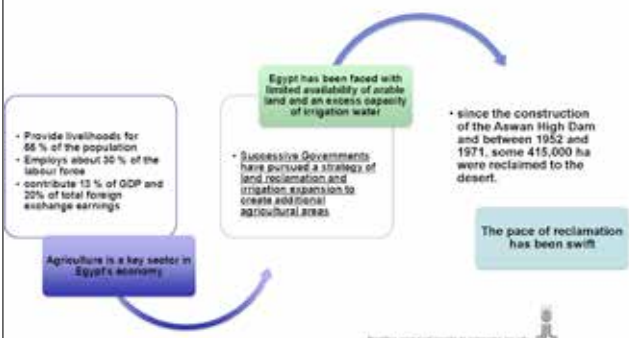
Co-Financiers: GoE US\$ 5.5 million and Italian Debt Swap US\$ 30.1 million, Beneficiaries US\$ 0.2 million

Duration: 2003-2013 – extended till June 2104

Directly benefiting: 17,000 HH

Project Area: The project covers some 23 520 ha


Agriculture Context in Egypt



- Egypt has been faced with limited availability of arable land and an excess capacity of irrigation water
- since the construction of the Aswan High Dam and between 1952 and 1971, some 415,000 ha were reclaimed to the desert.
- The pace of reclamation has been swift
- Successive Governments have pursued a strategy of land reclamation and irrigation expansion to create additional agricultural areas
- Provide livelihoods for 66 % of the population
- Employs about 90 % of the labour force
- contribute 13 % of GDP and 20% of total foreign exchange earnings
- Agriculture is a key sector in Egypt's economy

Building poor rural people to overcome poverty
IFAD

Land Reclamation Context



- Initially, minor areas were distributed to farmers
- land was reclaimed by state-run companies, which became characterized by mismanagement and inefficiency
- After a 7-year suspension in reclamation activity
- The government has resumed land reclamation
- New lands have been allocated to young graduates and landless farmers

Building poor rural people to overcome poverty
IFAD

Project Background: rationale for intervention

- The GoE-led Land Reclamation in the project area took place since 1997.
- Settlement areas were originally planned to accommodate educated unemployed youths, with each settler receiving a small house and 2.3 ha
- Poverty was widespread in the project area
- The Government invested enormous amounts of money and effort into the reclamation and settlement process. However, there were considerable concerns in assuring the future stability and sustainability of new land communities.

Project Background: Challenges Encountered

- Substantial efforts were needed to assist settlers to secure a sustainable livelihood
- Settlers needed access to finance, water and electricity supplies, as well as improved marketing
- Households were unfamiliar with farming systems appropriate to local conditions
- Conditions for women were particularly harsh especially in circumstances of minimal facilities

WNRDP in the context of a wider initiative on post settlement services

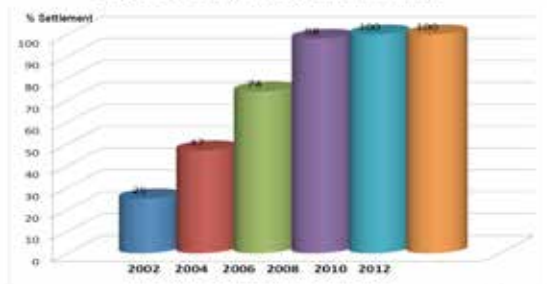


WNRDP Components

- Community development
- Technical Operations (crop cultivation and water management as well as livestock production)
- Marketing Operation Support
- Credit Facilitation

The project provided technical and investment support to build social assets, trained settlers in appropriate and productive technical and management practices, eased their access to credit for investment in productivity enhancing assets, including modern irrigation systems and horticultural crops and facilitated the establishment of remunerative marketing arrangements with wholesalers, processors and exporters.

Thanks to WNRDP the settlement rate in the project area reached 100% of the initial target



Enabling poor rural people to overcome poverty IFAD

Impacts of IFAD's Intervention

An increase in smallholder incomes by 43% for conventional export crops, and 63 % for organic horticulture products

An increase in farm-gate prices of up to 33 %
The FMAs have promoted contract farming, in an area of 5,864 ha and a total of 25 commodities
FMA linked farmers to about 60 private marketing companies.

A decrease in irrigation costs by 25 %, through enhanced managerial capacity of WUA committees, conversion from diesel to electric pumping, and promotion of drip irrigation systems

A decrease of 50 % in fertilizer use through fertigation

A 20-fold increase in the market price of land, due to improved infrastructure and access to services promoted by WNRDP



Enabling poor rural people to overcome poverty IFAD

Sustainability of IFAD's Impact



Key lessons learnt

- The National Agriculture Sustainable Development Strategy 2030, has been prepared by the Government of Egypt in close collaboration with IFAD (CPM, CPO and consultants) capitalizing on the main lessons learnt from WNRDP
 - Sustainable use of natural resources through enhanced water-use efficiency
 - Increased productivity (land and water)
 - Enhanced food security
 - Increased (agricultural) competitiveness
 - Improved enabling environment (agricultural sector)
 - Job creation, especially for rural youth

Enabling poor rural people to overcome poverty IFAD

How these lessons and experiences are being scaled up ?

- Under the MALR a National Programme for On Farm Irrigation Improvement has been launched optimizing water use in 5 million feddan in the old lands
 - The IFAD financed On-Farm Irrigation Development in the Oldlands (OFIDO) has played a catalytic role in close synergy with the government to mobilize additional donor resources (eg. WB US\$150 million Integrated Irrigation Improvement and Management Project)
 - The OFIDO has a marketing component which is a scaling up of the WNRDP achievements
- The 2030 National Strategy recognizes the importance of enhancing agricultural efficiency and developing export opportunities
 - The IFAD financed Promotion of Rural Income through Market Enhancement Project (PRIME); builds on WNRDP experiences with particular focus on marketing activities.

Enabling poor rural people to overcome poverty IFAD

Thank you



Enabling poor rural people to overcome poverty IFAD

7. GANESH THAPA, APR: STRENGTHENING THE CAPACITY OF MINISTRIES OF AGRICULTURE



**Mainstreaming policy dialogue:
from vision to action**


**Strengthening the Capacity of Ministries of Agriculture in
Pro-Poor Policy Analysis & Formulation: IFAD's Experience
in Selected Asian Countries**

Ganesh Thapa
17 October 2013

Enabling poor rural people to overcome poverty




Some project facts

- Why a regional initiative?
 - Regional grant: \$1.5 million + TCP of 0.5 million, 4 years (2007-2010)
 - Implementing agency: FAO Regional Office (with MOAs)
 - 8 countries- Cambodia, China, India, Indonesia, Nepal, Pakistan, Sri Lanka, Vietnam (differing stages of growth, policy capacity)
 - Three objectives: (a) build capacity of key government agencies, (b) promote sharing of experiences and lessons learned, (c) promote greater participation by civil society and the private sector in policy dialogue and advocacy
 - 23 policy studies completed focusing on 5 broad themes: *land use, markets and services, institutions (PPPs), organizations (farmer organizations and cooperatives), strategies for development (empowerment, common pool resource management, etc.)*.
- 


Key innovative features

- Sense of ownership by government— senior Ministry official acted as the National Focal Point
 - Coordination role and technical support by Regional Policy Facilitator
 - Regional Advisory Group (policy experts) served as resource persons in regional knowledge sharing workshops
 - Choice of policy study topics guided by practical needs and priorities
 - Key results of policy studies discussed and validated through national stakeholder workshops
 - Regional capacity building trainings for national focal points and leaders of study teams
 - Support for not only policy analysis and dialogue but also formulation/implementation
- 


Internalization of policy recommendations

- **Indonesia**: following rice insurance study Bumiputera Muda 1967 (a state-owned insurance company) received authorization to provide agricultural insurance services; relevant legal documents drafted and local governments allocated money for agricultural insurance
 - **Viet Nam**: MARD integrated recommendations relating to land consolidation into its formal policy proposal to amend the Land Law; a network on agricultural land policy was established to promote policy dialogue and sharing
 - **Vietnam**: a policy network on contract farming in agriculture was established, and a draft contract farming policy was prepared
 - **India**: MOA identified a three-pronged action plan focused on common pool resource development and rural employment skill development, awareness promotion in targeted beneficiary areas, and strategies for institutionalizing pro-poor policy
- 

What worked well?

- Drew attention of senior policy-makers to a major lacuna in economic policy-making- the lack of an explicit pro-poor focus
 - Integrated policy analysis with policy dialogue among key stakeholders within and among countries, with implementation of policies in some countries
 - Capacity for pro-poor policy analysis was built not only among producers of analytical work, but also among consumers, i.e. mid- to senior-level government officials
 - Used a sequence of national and regional-level multi-stakeholder workshops to propose topics for pro-poor policy analysis, and to internalize and validate the recommendations
 - Brought together stakeholders from the region to learn from one another's experiences
- 

What did not work well?

- NFPs built sense of national ownership, but could not give sufficient time; the lack of assistance also made it difficult for them to bring other government ministries on board
 - Large number of thematic areas reflected national priorities, but more difficult to conduct cross-country comparisons
 - the analytical studies did not always provide strategic policy options to policy-makers
 - no attempt made to identify resource requirements for implementing policy recommendations
 - no budgetary provision for country policy networks
- 

Follow up project

- Focus on pro-poor policies to enable smallholders and other rural poor deal with effects of **risks and vulnerability** (e.g. price volatility, effects of climate change)
- Only four countries- Cambodia, Laos, Nepal and Vietnam (based on demand and potential for impact)
- Linkages with other on-going IFAD-sponsored policy initiatives (e.g. policy think-tanks in Laos and Vietnam)
- Linkages with efforts of other development partners (e.g. recently formulated Agricultural Development Strategy in Nepal)
- Increased level of support at country level (e.g. national project coordinators)
- Increased level of collaboration with the private sector, civil society, etc.



8. GUILHERME CASSEL, REAF

REAF – REGIONAL POLICY DIALOGUE IN MERCOSUR

Impact on country-level public policies for rural poverty reduction and family farming

Guilherme Cassel
IFAD – Rome – October 2013

REAF IS A SUCCESS CASE

- REAF is 10 years old.
- It has achieved its objectives.
- It has opened new agendas (gender, youth, land foreignization).
- It has strengthened, disseminated and qualified public policies for FF.
- It has increased the income of FF.
- It has opened markets (public purchasing).
- It has redirected the countries' budget to FF.

WHAT CAN WE LEARN FROM REAF?

- Is there a recipe? A specific method? A safe path?

MAYBE!

- It's important to understand that REAF was born and developed within a **CERTAIN POLITICAL AND ECONOMIC CONTEXT**. (Window of opportunity?)

- * Progressive governments in the region
- * FTAA's failure
- * A lot of agrarian conflicts
- * Food Security (Zero Hunger)

IN ORDER TO UNDERSTAND REAF

- What is the main fuel which has ensured REAF so much vitality for so many years ?

TRUST

CONFIDENCE

- There is a recognition, **A LEGITIMATION OF THE DIFFERENCES** among all parties. They are all on the same side, even in diverse places.

WHAT WAS IMPORTANT IN ORDER TO BUILD THAT CONFIDENCE?

- 1) An institutional link to Mercosur. The assignments, agendas and obligations this kind of liaison requires/demands.
- 2) Democracy. Voice and vote equality in REAF meetings. Recognition of the importance of differences.
- 3) An efficient, politically-sensitive executive bureau (IFAD - Mercosur).
- 4) National sections with tasks, agendas and assignments.
- 5) Alternating pro tempore Presidency.
- 6) Funding.

REAF ALL THE TIME IN EVERY COUNTRY

REAF has been perceived as **BREEDING GROUND** to economic and political demands. New work groups and agendas are opened:

- * Youth
- * Gender
- * Land foreignization

REAF meetings become a special moment where all the work and mobilizations within one semester are shared in search of improvement.

NOW: OPENING ONE MORE CYCLE

After having grown a lot, new achievements may be harder than in the beginning.

We have progress, institutional architecture, ordinary operation and funding.

We need to earn status in Mercosur, enable trade for FF among countries and increase the income of FF.

It is also our task to lead the dispute in Mercosur for a different model of agricultural production - more economically sustainable, socially fair and environmentally sound.

A DIFFERENT CONTEXT

- 2014 – International Year of Family Farming
- FAF – We have a fund to finance the activities
- Inclusion of Venezuela
- More active participation of Chile and Bolivia
- Renewal of personnel (governments and social movements)
- Invite other sectors? Private Sector, coops, banks.

THANK YOU.



9. JEAN-PHILIPPE AUDINET, BURUNDI CAPAD



**Mainstreaming policy dialogue:
from vision to action**

CAPAD in Burundi


A smallholder farmers organization influencing national agricultural policy and investment plan

J.Ph. Audinet


17 October 2013 *Enabling poor rural people to overcome poverty*




CONTEXT: Burundi and IFAD

- A small, densely-populated agricultural based country, among the poorest in the world, that went through 10 years of civil conflict (1993-2004) and international embargo.
 - IFAD in Burundi: Remained present and active during the conflict, Post conflict strategy (2008 COSOP) evolving recently towards value chains development
 - Second strategic objectives of the COSOP: *Strengthen poor people's organizations, enabling them to access services and resources and participate in rural development policies*
 - Farmers Organisations (FOs) have a «central role» in the Country Program
- 


CAPAD: Confédération des Associations de Producteurs Agricoles pour le Développement

- A young national apex organization created in 2003 (end of the conflict) as a federation of 72 smallholders cooperatives (about 20 000 members in 2010 in 10 of the 17 provinces of Burundi).
 - Strategic objective of CAPAD: *To promote a strong farmer movement capable of influencing public policy and increasing the incomes of cooperatives members through professionalisation of agriculture*
 - Not the only national FO in Burundi but a remarkable convening power and agregation capacity. Extended partnership with other FOs and NGOs. Created the FOPABU (Burundi's Forum of FOs) with organizations of Coffee, tea, Coton and palm Oil producers.
 - Members of Eastern African Farmers Federation (EAFF)
- 


IFAD INSTRUMENTS

- Strong recognition of FOs in the IFAD country program, CPM regular consultation with CAPAD and actual involvement in projects implementation
 - Support of IFAD funded project to advocacy work (National Farmers Forum in 2012)
 - CAPAD involved in IFAD Farmers' Forum
 - 2 IFAD regional grants supporting CAPAD:
 - SFOAP
 - AGRICORD
- 

ACTIVITIES

- SFOAP I & II: Regional program providing financial support for institutional strengthening and policy engagement, through EAFF
 - AGRICORD: technical assistance, finance and South-south Cooperation with CNCR/ASPRODEB, based on tripartite agreement (CAPAD-IFAD-AGRICORD)
 - Creation of the **Agriculture Advocacy Group (GPA)** bringing together all national 8 national FOs and 11 support NGOs and think tanks.
 - National Campaign for increasing public finance to agriculture, input subsidies and new law on cooperatives and FOs
- 

POLICY OUTCOMES ACHIEVED

- CAPAD, FOPABU and GPA recognised by Government (and donors) as legitimate and useful interlocuteurs (in particular in the development of PNIA/NAIP)
 - Share of agriculture in national budget increased from 3.6 % in 2010, to 6% in 2011 and 10% in 2012, reaching Maputo commitment
 - New law on pre-cooperative groups approved
 - Tax exemption on agricultural inputs
 - Subsidies on fertilizers
- 

CONTINUING ENGAGEMENT

- December 2011: **National Farmers' Forum** held in Bujumbura organised by the GPA in partnership with IFAD funded PAIVA-B and Action Aid: letter to Head of State, Government and Parliament with additional policy agenda (access to credit, broadening inputs subsidies, involvement of GPA in implementation and monitoring of PNIA, policy on governance of land tenure)
- March 2012 Business Meeting for PNIA financing: new GPA declaration with more specific requests addressed directly to donors.



SOME LESSONS & REFLEXIONS

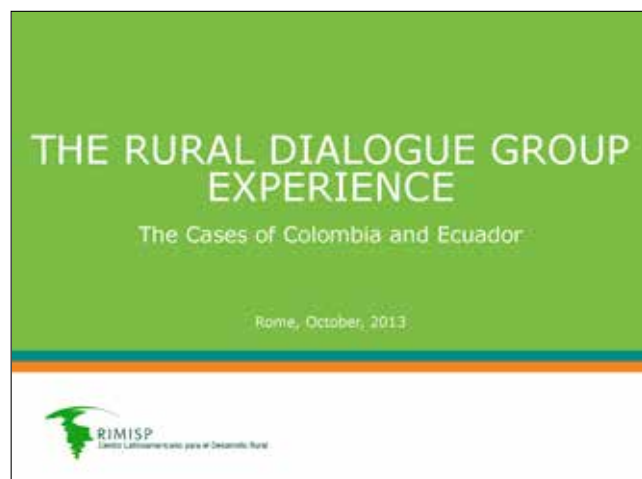
Major pro-smallholders policy changes can be achieved by a National Farmers Organisation provided it is able to:

- Develop clear policy agenda through inclusive consultation of its members
- Build coalition and alliance with larger constituency among other FOs, NGOs, Academy (GPA) and government officials;
- Support its advocacy work with studies and credible analytical work;
- Recognition (and support) by external partners, including regional FOs, international NGOs and donors;
- Obtaining change in legislation, budget and investment program is not sufficient. The devil is in implementation and monitoring.

In the case of Burundi and as per COSOP, IFAD contribution to policy changes has been more through support to the national FO than through direct engagement in the policy dialogue. But success highly dependent on the local institutional and political context.



10. CHIRIBOGA PERRY, THE RURAL DIALOGUE GROUP EXPERIENCE



THE RURAL DIALOGUE GROUP EXPERIENCE

The Cases of Colombia and Ecuador

Rome, October, 2013

RIMISP
Centro Latinoamericano para el Desarrollo Rural



GENERAL CHARACTERISTICS

- ▶ Composed of a diversity of actors, both socially and territoriality.
- ▶ Adaptation to Country Specificities and Context.
- ▶ Capacity to discuss emergent issues.
- ▶ Public Policy can be discussed before being enacted, working as a sounding board.
- ▶ A place where IFAD can consult on investing priorities.



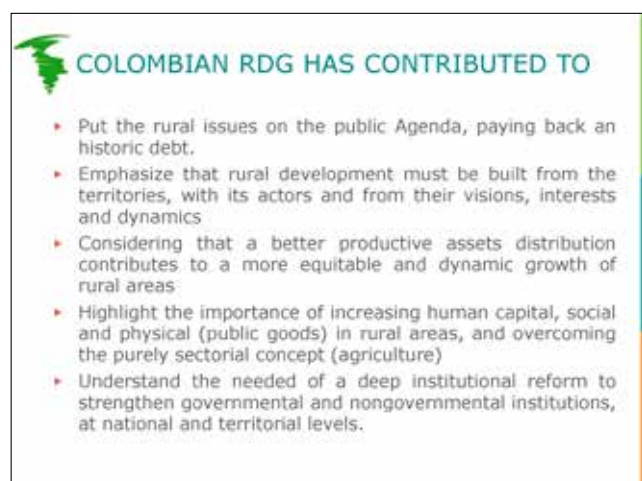

GENERAL CHARACTERISTICS

- ▶ Working through consensus, before bringing them to government attention.
- ▶ Discussions based on research commissioned by the group, a research based discussion.
- ▶ Independence from government, but presence and dialogue of high places government Officials.
- ▶ RDG coordinators are respected specialists and public figures.




COLOMBIA

Main Contributions

COLOMBIAN RDG HAS CONTRIBUTED TO

- ▶ Put the rural issues on the public Agenda, paying back an historic debt.
- ▶ Emphasize that rural development must be built from the territories, with its actors and from their visions, interests and dynamics
- ▶ Considering that a better productive assets distribution contributes to a more equitable and dynamic growth of rural areas
- ▶ Highlight the importance of increasing human capital, social and physical (public goods) in rural areas, and overcoming the purely sectorial concept (agriculture)
- ▶ Understand the needed of a deep institutional reform to strengthen governmental and nongovernmental institutions, at national and territorial levels.



MORE SPECIFICS CONTRIBUTIONS

- ▶ The Land Law Project includes issues such as:
 - ▶ Rural development with a territorial focus,
 - ▶ Comprehensive projects for income generation in poor communities,
 - ▶ The importance of public goods and social capital,
 - ▶ The strengthening of the participatory approach and take into account social organizations and civil society
- ▶ These issues are closely linked to the Peace Negotiations agenda being held in Havana, which will have a decisive influence in the short and medium terms
- ▶ INCODER has a more holistic vision and strategy of community support: income-generating projects, organizational strengthening and capacity building for communities endowed with land

THE RDG HAS ALSO HELPED TO

- ▶ An informed debate about the issues of agriculture and rural development and poverty reduction (i.e.: dissemination of studies and invitation to the country of experts from Brazil, South Africa, etc.).
- ▶ Support actors so they can have a more open dialogue (for example, bringing together the agricultural business associations such as SAC and farmers and peasant organizations)
- ▶ To bring these issues and these discussions to the regions (RDGs and forums in the Caribbean region, Huila and Boyacá)




ECUADOR

Main Contributions

ECUADOR RDG HAS CONTRIBUTED TO

- ▶ Policies such as seeds, competitive agricultural plans, Rural Development Bank, land, rural education have been discussed previous to their presentation to the Presidency.
- ▶ The RDG has invited ministers for Economic Policy, Social Policy, Chief Presidential Agricultural advisor and Trade Ministry to discuss rural groups concerns, going beyond traditional rural stakeholders.
- ▶ It brings together representatives of highland and coastal agricultural sectors to discuss both government initiatives, but also small farmer issues. It is a sounding board for agricultural and Rural Issues.
- ▶ The study on agricultural coastal small farmer productivity has been used by the undersecretary for agricultural trade to define specific policies and trading positions

THE ECUADORIAN RDG HAS ALSO CONTRIBUTED TO

- ▶ Insistence on the importance of providing public goods promoted among others the Seed Plan for corn, rice and potatoes, with an investment over US 10 million
- ▶ Discussion on productivity of small farmer rice production led to develop a Rice Competitive plan
- ▶ Public Private alliances for food sovereignty and security led to among others a new milk support system that includes exports
- ▶ Discussion on the new Rural Development Bank helped bridge relations with the Savings and loans coops and prepare for its presentation to the Presidency




GENERAL CONTRIBUTIONS AND NEXT STEPS

REGARDING IFAD

- ▶ RDG does not have a direct bearing on IFAD operations, none the less they have supported IFAD by :
 - ▶ Opening spaces to explore collaboration with the private sector, where members of RDG have been approached.
 - ▶ Increasing the visibility of IFADs with non traditional partners and have a sounding board regarding new ideas and emphasis.
 - ▶ Establish fora for consultations on COSOP priorities such as in Ecuador and Mexico.
 - ▶ It generates information and analysis that can support IFAD work as the study on rural poverty in Ecuador.



NEW EMPHASIS FOR 2013 / 2016

- Open new venues of activity for IFAD in participating countries increased presence at the RDG of representatives of small farmer and peasant organization and of organizations of the rural poor
- Increased capacity to deliver strategic support to government and private sector policies relating to the rural poor
- Focus dialogue on more strategic issues and areas in each country
- Give better follow – up to RDG proposals



THE RURAL DIALOGUE GROUP EXPERIENCE

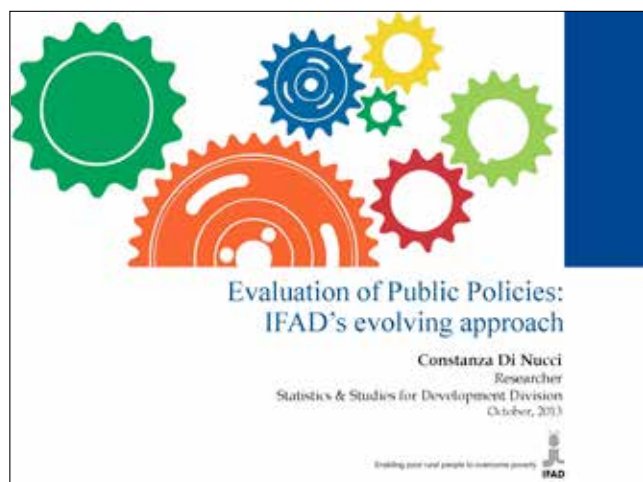
The Cases of Colombia and Ecuador
Rome, October, 2013

PHOTOGRAPHY
World Bank Images
Charlotte Keel & Dawn Huffman
CIAT
RIMISP



RIMISP
Center Latin American case of Decentralized Rural

11. CONSTANZA DINUCCI, EVALUATION OF PP - IFAD'S EVOLVING APPROACH



Outline

1. IFAD Commitments
2. Working Definition
3. Policies & Institutions
4. Cases: Mozambique & Argentina
5. Measuring Impact of Public Policies
6. Methodological Approaches
7. Final Considerations

1. IFAD Commitments

IFAD9 Commitments

- Reach 90M people, from 2010 to 2015
- Move 80M of these people out of poverty
- Conduct, synthesize & report on 30 project impact surveys.

By 2015, we will report on the millions of people graduated out of poverty through:

- a. IFAD's supported projects
- b. IFAD's supported research programs
- c. public policies emerged from IFAD's supported country programs**

2. Working Definition

Country Level Policy Engagement as a mean to achieve and ensure **pro-poor policy and institutional environment**

Environment as **"the rules of the game... or... humanly devised constraints"**
(Douglass North)

Rules of the game **"that promote the development of national and local conditions for sustained rural poverty reduction"**
(The Structure and Operation of a Performance-Based Allocation System for IFAD - IFAD, 2003)

3. Which Policies and Institutions?

PBAS: Rural Development - Sector Framework Indicators
(The Structure and Operation of a Performance-Based Allocation System for IFAD - IFAD, 2003)

↓

- a. Strengthening the capacity of the rural poor and their organizations
- b. Improving equitable access to productive natural resources and technology
 - Access to land
 - Access to water for agriculture
 - Access to agricultural research and extension services
- c. Increasing access to financial services and markets
- d. Promoting equitable gender relations
- e. Improving governance relative to rural development issues and activities

4. Cases at country level

- **Brazil:** What is the impact of identity cards for rural women on their access to credit, land and other resources?
- **India:** What is the impact of the use of women's self-help groups in domestically financed rural development initiatives on women's access to credit?
- **Peru:** What is the impact of the allocation of public resources through local councils (*Consejos Locales de Asignación de Recursos, CLARs*) on smallholders' income?
- **Argentina & Uruguay:** What is the impact of the introduction of a National Registry of Rural Workers on smallholders' access to social services and programs?
- **Mozambique:** What is the impact of the new regulatory framework for fishing in its territorial waters on artisanal fisheries' income?

4. Case I: Mozambique



Effects on:

- Fish stocks
- Fish size
- Market value
- Prevent elite capture
- Marine management plans
- Investments
- Economic diversification
- Biodiversity

Impact on:

- Smallholders' income
- Economic Growth
- Conservation of Natural Assets



4. Case II: Argentina



Effects on:

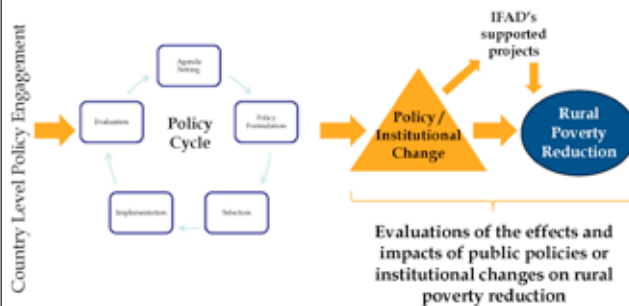
- Social security
- Social services
- Access to finance
- Access to targeted programs
- National Statistics

Impact on:

- Smallholders' Income
- Non-income dimensions of poverty



5. Measuring Impact of Policy Changes



5. Methodological Approaches

Large n statistical designs

- Experimental
- Quasi-experimental

- Consensus on approaches
- Higher control for biases

Small n design

- Process Tracing
- Contribution Analysis
- Poverty and Social Impact Analysis (PSIA)
- Success Case Method
- Most Significant Change
- General Elimination Methodology (GEM)
- Outcome Mapping

- No consensus on approaches
- Consensus on elements
- Higher potential for biases



6. Final Considerations

1. **Impact evaluations** are needed: outcome monitoring is not a valid basis for rigorous measurement.
2. **Theory-based evaluations** help to identify the causal chain and the mechanisms by which complex social processes mediate impact.
3. **Theories of change** are complex and vary from case to case (e.g. MERCOSUR).
4. **Incentive frameworks** that induce patterns of behaviour need to be understood.
5. **Underlying factors** that shape the political process need to be clearly identified.
6. **Methodological approach** depends on the specific policy to evaluate.
7. **Policies are not neutral:** positive and negative impacts.
8. Focus on the impact at individual / HH level (poverty reduction).
9. Partnerships with national evaluation institutions are essential.
10. Recognize difference between policy and politics. IFAD is a *political actor*.

"When it is obvious that the goals cannot be reached, don't adjust the goals, adjust the action steps."

(Confucius)



12. MARGARIDA RODRIGUES, IMPACT EVALUATION USING COUNTERFACTUALS

Impact Evaluation Using Counterfactuals

Margarida Rodrigues
CRIE - Centre for Research on Impact Evaluation
The Joint Research Centre - European Commission

October 17th, 2013
IFAD

The Joint Research Centre
The European Commission's in-house science service
www.jrc.ec.europa.eu

Why Evaluation?

- Accountability
- Fill gaps in understanding what works
- Better allocation of efforts and funds
- Evidence based policy making

- Types of evaluation:

- o Monitoring and Evaluation
- o Operational evaluation
- o Impact evaluation

- European Commission - 2014-2020 programming period

- o "EU will 'not accept' wasteful regional projects", Johannes Hahn, EU Commissioner
- o "Impact of programmes shall be evaluated in accordance with the mission of the respective CSF Funds in relation to the targets for the Union strategy", Article 47(1), European Funds Regulation

What is impact evaluation?

- Data driven ex-post evaluation
- **Causality / Attribution:** estimate the impact that can be attributable to the intervention, isolating it from other factors and potential selection bias
- **Counterfactual:** What would have happened had the intervention not existed?

Why is impact evaluation different?

Factual
Group of intervened individuals

Counterfactual
Group of intervened individuals had they not been intervened

Why is impact evaluation different?

Factual
Group of intervened individuals

Counterfactual
Group of intervened individuals had they not been intervened

Why is impact evaluation different?

Factual
Group of intervened individuals

Counterfactual
Group of intervened individuals had they not been intervened

Control group
Group of non-intervened individuals similar to the intervened one



Naïve Counterfactuals

E.g. The effect of training on employment

	Before	After
Participants		100%
Non-participants		

7



Naïve Counterfactuals

E.g. The effect of training on employment

	Before	After
Participants	50%	100%
Non-participants		

- Before/after comparison = $100 - 50 = 50$

BUT...

- Was it due to the intervention?
- Would it have happened anyway?

8



Naïve Counterfactuals

E.g. The effect of training on employment

	Before	After
Participants		100%
Non-participants		75%

- Post-treatment comparison = $100 - 75 = 25$

BUT... are participants and non-participants comparable (selection bias)?

9



How to identify a control group?

- **Experimental** - randomisation:
 - Selection of control group prior to the intervention;
 - Treated and control groups designed to be alike.
- **Quasi-experimental:**
 - Selection of control group after the intervention;
 - Ensure the similarity of groups through statistical design.
- Variation in eligibility (e.g. Training to long-term unemployed)
- Geographical variation (e.g. Intervention specific to some regions)

10



Ingredients for impact evaluation:

- Understanding of the intervention process
- Intervention, treated and control groups well defined
- Data availability:
 - Endline data
 - Baseline data
 - (re-construct - recall method)
 - Administrative, secondary data, surveys

11



Challenges:

- Stakeholders' willingness
- Planning
- Evaluation timing: too soon or too late?
- Contagion effects: control group may also be indirectly affected
- Existence of a control group

12



Evaluating Nationwide Policies

Existence of a control group???

Possibilities and suggestions:

- Pilot project
- Pipeline methods: gradual implementation /variation in exposure
- Other countries / sectors of activity as controls
- Before / after comparison
- Discount rival hypothesis

Theory-based evaluation:

- Simulate counterfactual
- Computable general equilibrium models
(e.g. Introduction of minimum wage)



13



Concluding Remarks

- There is not a one size fits all approach
- Impact evaluation has benefits even if not methodologically ideal
- Culture of evaluation
- Returns: data collection, capacity development, accountability, evidence policy-making



14

13 OSVALDO FEINSTEIN, COMMENTS EVALUATION, IFAD 17 OCT 2013

On Evaluating Policies and Policy Dialogue

Mainstreaming policy dialogue: from vision to action
Session 3: Monitoring, measuring effects and impact
Workshop organized by IFAD's LAC & PTA
Oswaldo Néstor Feinstein
Rome, IFAD, 17 October 2013

Comments on the title of session 3

- Session 3: *Monitoring, measuring effects and impact*
- The title of the session does NOT make explicit reference neither to EVALUATION nor to RESULTS or OUTCOMES
- The title emphasizes MEASUREMENT leaving aside ATTRIBUTION

2

Themes

1. Differences in evaluating policies and evaluating programmes and projects
2. Evaluating policy dialogue
3. Policy evaluation
4. Comments on the presentations
5. Some suggestions

3

Policy dialogue and Policy influence

- a) Words, words, words
- b) Words, words, action
- c) Words, action

- Words → Action

4

Evaluating Policy Dialogue

- Evaluability and Manageability of policy dialogue
specification of the objective

- 1) Policy dialogue → Policy approval
- 2) Policy approval → Policy implementation
- 3) Policy implementation → Policy results

5

Policies, Programmes & Projects

Projects without programmes without policies

Programmes without or with policies

Policies without or with programmes

Are there any differences for evaluation,
between policies & programmes/projects?

6

Policy evaluation

- *Traditional, ex-ante*: number of objectives in relation with number of instruments, ex post: via econ.wide models
- *Reducing policies to programmes/projects*
- *Using partial or general equilibrium models (in Latin America, Numerical Experimental Models)*
- *Pragmatic approach, using comparisons and case studies*

7

Comments on the presentations

- “Impact Evaluation Using Counterfactuals”
 - 1) *Is it possible to do an IE without using Cfs?*
 - 2) *Different types of counterfactuals*
 - 2.1) Implicit Cfs (M.Jourdain, Gopnik)
 - 2.2) Explicit Cfs (range of possibilities; comparisons, RCTs)

8

Counterfactual thinking in the two IFAD cases

- The presentation of IFAD's evolving approach to the evaluation of public policies includes 2 cases: National Registry of Rural Workers (NRRW) in Argentina and new regulatory framework for fishing (RFF) in Mozambique
 - *what would have happened, or could happen, in Argentina without a NRRW?
 - * what would have happened, or could happen, in Mozambique, without a RFF?

How were these policies implemented? Any possibility of identifying comparison groups? (simultaneous or phased implementation?)

9

Comments on the presentations

- 3) First best or second best?
Rolls Royce or Jeep?
- 4) Ethical issues and practical opportunities
(linked to the culture of evaluation)
- 5) Rigour and lack of rigour, internal & external validity
scaling-up, small scale success & failure

10

Suggestions

- Active search and use of the **evaluation literature** produced by evaluators (*AJE, Evaluation, Evaluation Review*) and Economists (*Journal of Economic Perspectives JEL*), UNEG, NONIE, DFID and WB. Regulatory Impact Assessments (RIA), 3ie. Center for Global Development, IFPRI
- When “attribution” appears to be impossible, “**contribution**” may come to the rescue
- Neither “one size fits all” nor “fit-for-purpose” but “**adequate for circumstances**” (AFC, including purpose, resources, capacities, time)

11



International Fund for Agricultural Development
Via Paolo di Dono, 44 - 00142 Rome, Italy
Tel: +39 06 54591 - Fax: +39 06 5043463
E-mail: ifad@ifad.org

www.ifad.org
www.ruralpovertyportal.org

 ifad-un.blogspot.com
 www.facebook.com/ifad
 instagram.com/ifadnews
 www.twitter.com/ifadnews
 www.youtube.com/user/ifadTV

CONTACTS:

Edward Heinemann
Senior Policy Advisor
Via Paolo di Dono, 44
00142 Rome, Italy
Tel: +39 06 5459 2398
Skype: [edward.heinemann](https://www.skype.com/name/edward.heinemann)
Email: e.heinemann@ifad.org

Paolo Silveri
Country Programme Manager
Latin America and Caribbean Division
Via Paolo di Dono, 44
00142 Rome, Italy
Tel: +39 06 5459 2409
Email: p.silveri@ifad.org

