



Final Report

Mid-term review of IFAD's Adaptation for Smallholder Agriculture Programme

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Authors: Jennifer Leavy, Ben Murphy, Karen Bahr Caballero, Fatima Laanouni,
Abdur Rob

Submitted by Itad

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Contents

List of tables, figures and boxes	iv
List of acronyms	v
Executive summary	1
1 Background to the mid-term review	1
2 Introduction	1
2.1 Adaptation for Smallholder Agriculture Programme	1
2.2 Purpose of report and intended users	2
2.3 The mid-term review	2
2.4 Overarching review questions	3
2.5 Report structure	3
3 The ASAP projects	3
3.1 Building resilience through ASAP funding	3
3.2 Expected results and theory of change	5
3.3 Activities	6
4 Findings	7
4.1 Results overview	7
4.2 How does ASAP support transformational change?	13
5 Theory of change and M&E system relevance	40
5.1 How relevant is the theory of change seven years after ASAP's starting point?	40
5.2 How could the M&E system be improved?	42
6 Conclusions	47
6.1 What is working well/less well for dealing with future climate change?	47
6.2 Drivers for scale-up, system change and sustainability	50
7 Recommendations	54
7.1 Operational	54
7.2 Strategic	55
8 Appendices	57
8.1 Terms of reference	57
8.2 Evaluation matrix	62
8.3 Portfolio snapshot	67
8.4 Methodology	72
8.5 Sampling	74
8.6 Coverage and treatment	75
8.7 Synthesising across the ASAP projects	76

8.8	Quality and strength of evidence base	77
8.9	Indicative signals for scale-up and sustainability	79
9	Further analysis of ASAP results	82
9.1	Land under climate-resilient practices	82
9.2	Access to water facilities for production and processing	84
9.3	Groups trained to cope with climate change	86
9.4	Infrastructure protected from climate change	88
9.5	Country-level indicators for policy engagement	90
9.6	Nutrition in ASAP	92

List of tables, figures and boxes

Table 1:	ASAP core indicators and progress against targets (ORMS 2020)	1
Table 2:	Main ASAP portfolio indicators and targets	5
Table 3:	ASAP Core Indicators and progress against targets as of April 2020	7
Table 4:	Outcome 1 Notable achievements.....	8
Table 5:	Outcome 2.a Notable achievements.....	9
Table 6:	Outcome 2.b Notable achievements.....	9
Table 7:	Outcome 3.a Notable achievements.....	10
Table 8:	Outcome 3.b Notable achievements.....	11
Table 9:	Outcome 4.a Notable achievements.....	11
Table 10:	Outcome 4.b Notable achievements.....	11
Table 11:	GHG calculations for selected ASAP projects using EX-ACT analysis	12
Table 12:	ASAP indicators and suggested additions	43
Table 13:	Adaptation-relevant indicators from ORMS spreadsheet (logframe).....	45
Table 14:	ASAP2 indicators and selected sub-indicators	82
Table 15:	Selected ASAP project outputs and outcomes: land under climate-resilient practices.....	82
Table 16:	ASAP 3 and ASAP 4 indicators and selected sub-indicators.....	84
Table 17:	Selected ASAP project outputs and outcomes: access to water.....	84
Table 18:	ASAP 5 and ASAP 6 Indicators and selected sub-indicators.....	86
Table 19:	Selected ASAP project outputs and outcomes: groups trained	87
Table 20:	ASAP and ASAP indicators and sub-indicators	88
Table 21:	Selected ASAP project outputs and outcomes: infrastructure protected	88
Figure 1:	Overview of the ASAP portfolio as of March 2020	6
Figure 2:	ASAP funding versus amount tagged as climate finance in successor IFAD loan	27
Figure 3:	Staged graduation of farm households the Rome-based agency collaboration.....	28
Figure 4:	Funding GEF 5 and GEF 6 by agency (USD million)	36
Figure 5:	Three interconnected evaluation tracks	72
Figure 6:	Itad’s conceptual model for understanding ASAP projects in pathways to scale and sustainability	73
Box 1:	Climate information services in Rwanda	16
Box 2:	Converting inclusion into benefits in Bangladesh	24
Box 3:	Measuring ASAP’s contribution to system change.....	43
Box 4:	Explanation of Context-Mechanism-Outcome configurations.....	74

List of acronyms

4P	Public – Private – Producer Partnership
APR	Asia and Pacific Region
ASAP	Adaptation for Smallholder Agriculture Programme
BIRDP	Butana Integrated Rural Development Project
BMD	Bangladesh Meteorology Department
CALIP	Climate Adaptation and Livelihood Protection
CAP	Climate Adaptation Plan
CC	Climate change
CEPAGRI	Centre for the Promotion of Agriculture
CIAT	Centro Internacional de Agricultura Tropical
CMO	Context-Mechanism-Outcome
CO ₂ eq	Carbon dioxide (equivalent)
COP	Conference of Parties
COSOP	Country Strategic Opportunities Programme
IFAD	International Fund for Agricultural Development
DFID	Department for International Development
DRR	Disaster risk reduction
ESA	East and Southern Africa
ENRM	Environment and Natural Resource Management
FAO	Food and Agriculture Organization of the United Nations
FFWC	Flash Flood Warning Centre
GALS	Gender action learning systems
GASIP	Ghana Agricultural Sector Investment Programme
GEF	Global Environment Facility
GHG	Greenhouse gas
ha	Hectare
HH	Household
HILIP	Haor Infrastructure and Livelihood Improvement Project
IPCC	Intergovernmental Panel on Climate Change
IWFM	Institute of Water and Flood Management
IWM	Institute of Water Modelling
km	Kilometre
LAC	Latin America and Caribbean

LAPA	Local Adaptation Plan of Action (in Nepal)
LGA	Local government area
M&E	Monitoring and evaluation
MDB	Multilateral Development Bank
MT	Metric tonne
MTR	Mid-term review
NDC	Nationally Determined Contribution
NGO	Non-governmental organisation
NRM	Natural resource management
ORMS	Organisational Results Management System
PAPAM	Projet d'accroissement de la productivité agricole au Mali
PMT	Pasture Meliorative Trust
PRELNOR	Project for Restoration of Livelihoods in the Northern Region
PV	Photovoltaic
RIDE	Report on IFAD's development effectiveness
RBA	Rome-based agencies
RQ	(Mid-term) review question
SECAP	Social, Environmental and Climate Assessment Procedures
SPIU	Single Project Implementation Unit
SYS	System change
TOR	Terms of reference
ToT	Training of trainers
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States dollar
WCA	West and Central Africa
WFP	World Food Programme

Executive summary

This mid-term review (MTR) assesses the extent to which the design and results to date of the Adaptation for Smallholder Agriculture Programme (ASAP) are relevant for farmers facing climate change. It considers ASAP's potential to transform the adaptation support available to farmers via the scaling up of successful approaches, changes to supportive systems, and by encouraging sustainability in support options.

ASAP has made good progress in achieving its targets, given disbursements to date. There has been notable success in establishing 'hardware'; for example, water technologies and productive infrastructure, as well as implementing interventions that improve or conserve natural resources. Attributing results solely to ASAP funding is often not possible because in many countries the project's activities are integrated with the IFAD loan and the substantive reporting does not always distinguish between them. However, this is not surprising given part of ASAP's mandate is to mainstream climate change adaptation. In countries where ASAP's components have been replicated in later IFAD projects, the link can be considered a desirable change to the support systems for smallholders. Table 1 presents ASAP's overall achievement as of April 2020 (Organisation Results Management System – ORMS).

Table 1: **ASAP core indicators and progress against targets (ORMS 2020)**

	#	ASAP core indicators (ORMS)	Original target (2012)	Adjusted ¹ targets (2020)	Progress (ORMS 2020)	% against 2012	% against 2020
Goal	1	Poor smallholder household members supported in coping with the effects of climate change	8,000,000	6,710,771	4,899,571	61%	73%
Outcome areas	2	Land under climate-resilient practices (hectares)	1,000,000	2,059,106	888,669	89%	43%
	3	Production and processing facilities supported with increased water availability and efficiency (facilities)	n/a	3,918	3,022	n/a	77%
	4	Households supported with increased water availability or efficiency (HH)	100,000	199,693	105,015	105%	53%
	5	Individuals engaged in NRM and climate risk management activities (People) ²	n/a	1,636,013	1,347,286	n/a	82%
	6	Community groups engaged in NRM and climate risk management activities (groups)	1,200	16,382	13,770	1,148%	84%
	7a	New or existing rural infrastructure protected from climate events (km)	n/a	758 km	409 km	n/a	54%

¹ A process of reformulation is conducted by HQ each year in liaison with PMUs to ensure data and projections are accurate. This has led to the removal in instances of double counting, reductions from MTRs, or attribution issues. Increases have been made where the original targets were considered not sufficiently ambitious, and decreases for overly ambitious designs, changes in targeting approaches or reduction in the total number of projects in the portfolio.

² The increase of people from indicator 6 is mainly due to instances of underreporting in previous years. In 2020, the ASAP logframes were analysed for gaps, and one identified gap was that when the multiplier of groups was used for indicator 6, there was not always data on the number of individuals that made up this group. As such, the disaggregated data was severely lagging. In 2020, this has been rectified, and the increased number is a result of all individuals within the community groups of the same indicator being captured.

	#	ASAP core indicators (ORMS)	Original target (2012)	Adjusted ¹ targets (2020)	Progress (ORMS 2020)	% against 2012	% against 2020
	7b	New or existing rural infrastructure protected from climate events (USD)	80,000,000	\$102,442,000	\$26,649,000	33%	26%
	8	International and country dialogues on climate supported	40	30	19	48%	63%

Nearly all operational projects have introduced multiple ‘no regrets’ changes that help with current climatic conditions and improve the environmental focus of the loan. A range of techniques that support livelihoods, natural resources and food and water security have been promoted, with good examples of mangrove restoration, soil conservation, and water storage and efficiency measures reported across several countries. Interventions often combine an appropriate technology with relevant technical capacity building, which can be further reinforced by more general capacity building from IFAD loans – such as in agricultural production, business and market processes, or organisational management. Furthermore, in a number of countries ASAP interventions have supported governance changes, which provide a surrounding architecture that bodes well for their sustainability (see below).

Outside of isolated examples, not enough has yet been done to help smallholders specifically build up the ability to anticipate and adapt to transition between their current and future livelihood contexts by making informed decisions, taking, testing and adjusting their actions. The technical challenge of efficiently establishing climate information services relevant to a farmer’s requirements is a major contributing factor, and partially outside of ASAP’s control. The limited use of repeat scenario planning is within ASAP’s control, and not enough has been done to convert the good examples into core programme practice. The examples visited and reviewed in this MTR suggest that scenario planning activities have good participation levels, especially when designed around experienced shocks. In this way, IFAD has the opportunity to promote the wider uptake of these across ASAP and wider.

Participatory planning has proved valuable across the portfolio. Many reports and interviews attribute it to increased levels of buy-in for ASAP’s technologies, and the approach has been used to promote, with some success, the inclusion of women. In countries where participatory approaches cover risk planning and climate modelling it is likely that ASAP is directly supporting capacities associated with resilience. ASAP projects have experienced challenges in encouraging farmers to consider the long-term (beyond a single season) implications of climate change. The projects demonstrate that addressing farmers’ immediate priorities is a good entry-point for the development of further capacities. However, there are also examples (within ASAP and in other programmes) which demonstrate that meeting immediate needs requires a careful balance between livelihood priorities between natural resource availability, using current and future scenarios, to avoid maladaptation for project or neighbouring farmers.

ASAP interventions have been scaled up in at least 12 countries, and supervision reports identify many others with the potential for wider adoption. In no country have ASAP interventions reached the full scale at which they are needed, though ASAP’s national policy successes increase the likelihood that they will reach scale in the future, especially in smaller countries such as Nepal and The Gambia. Adoption via IFAD and government processes are the most common pathways to greater scale, and the MTR also considers it likely that project participants are expanding the usage or benefits of interventions beyond those captured in the project figures. Increasing social inclusion is an important route to scale up, and the majority of ASAP projects match IFAD’s targeting focus on the poorest groups. In some instances, ASAP’s model of demonstrating successful interventions has required projects to work with better-off farmers, at least initially. ASAP encourages replication (typically via demonstration) but limited assessment of access and uptake requirements for poorer or socially excluded groups is conducted. Several challenges to

scaling up are found: delays in routine implementation; limited strategic planning for scaling up; and the cost of wider adoption. The conditions that encourage governments, farmers and the private sector to scale up ASAP's interventions overlap with those considered important for creating systemic change and encouraging sustainability, but there can be conflict between the processes. For example, in some projects the need to ensure demonstrable success has overridden local ownership and in others rapid scale-up has placed pressure on natural resources.

More than half of the ASAP projects successfully improve the governance systems for adaptation support. The programme's policy engagement tends to focus on technical rather than strategic issues, and has supported the development and/or the implementation of agricultural and climate-related policies, plans and regulations, working with national governments. ASAP has also enhanced the capacity of community groups, providing them with the skills to allow their leaders to (i) reflect on priority issues, (ii) interact with policy-makers and interested parties, and (iii) participate in national/local policy dialogue. Where IFAD continues to promote and update these activities, their successes are likely to sustain and represent important systemic changes. However, where IFAD's non-ASAP interventions do not take into consideration natural resource management (NRM), the risk of maladaptation and long-term climate planning, they have contradicted and undermined the results.

ASAP projects vary in the extent to which they engage with gender norms, roles and relations, and support gender equality and women's empowerment. Important steps have been taken to include women and to consider the impacts of climate change on their agricultural work. In this respect, ASAP does aim for gender inclusion rather than a transformation of the circumstances that keep women more vulnerable to climate change. Certain factors, such as the location of services and application requirements can exclude poorer people and entrench power imbalances at community level. More work is needed to include poorer and socially marginalised groups. Many of these challenges are not unique to ASAP but are shared with the IFAD project.

ASAP has introduced a number of measures designed to mitigate the risk of maladaptation; however, the examples from resource-constrained environments demonstrate the limitations.³ The climate-vulnerability mapping of ASAP is a key activity for reducing the risk of maladaptation, and capacity building is considered the lowest-risk intervention.⁴ Technologies have been introduced to sustainably meet water and income needs in drought-prone areas in at least five countries (Kenya, Nigeria, Egypt, Sudan, Malawi), though concerns about the pressures from intensification of smallholder production under the IFAD-supported project raise concern in at least three countries. There are only a few examples of ASAP (unintentionally) encouraging unsustainable practices. Although ASAP promotes NRM and encourages a wider understanding of surrounding ecological systems than just other IFAD projects, these techniques are not always sufficient to counteract environmentally damaging agricultural practices. There is a high level of certainty that pressure on natural resources will worsen in future decades,⁵ and, therefore, improving on the lessons from ASAP should be conducted alongside more challenging decisions about the viability of certain agricultural techniques.

A quarter of the ASAP portfolio has the potential to avoid 15 MT of atmospheric CO₂eq. Were the remaining three quarters of the portfolio to continue this trajectory,⁶ 60 MT CO₂eq could be avoided

³ Maladaptation is an unintended negative consequence arising from measures intended to address climate change. The problem is in part caused by the uncertainty inherent in climate projections. Barnett and O'Neill (2013) categorise these as: (1) Increasing emissions of greenhouse gases; (2) Disproportionately burdening the most vulnerable; (3) Introducing high opportunity costs, (4) Reducing incentives to adapt; and (3) Creating path dependency. Source: 'Minimising the risk of Maladaptation: A Framework for Analysis', Barnett, J. and O'Neil, S. in *Climate Adaptation Futures*, Chapter 7, February 2013, Online ISBN: 9781118529577.

⁴ Ibid, Barnett and O'Neill (2013).

⁵ IPCC, 2018: *Global Warming of 1.5°C. An IPCC Special Report on the impacts of global warming of 1.5°C above pre-industrial levels and related global greenhouse gas emission pathways, in the context of strengthening the global response to the threat of climate change, sustainable development, and efforts to eradicate poverty* [Masson-Delmotte, V., P. Zhai, H.-O. Pörtner, D. Roberts, J. Skea, P.R. Shukla, A. Pirani, W. Moufouma-Okia, C. Péan, R. Pidcock, S. Connors, J.B.R. Matthews, Y. Chen, X. Zhou, M.I. Gomis, E. Lonnoy, T. Maycock, M. Tignor, and T. Waterfield (eds)]. *World Meteorological Organisation, Geneva, Switzerland, 32 pp.*

⁶ Further analysis of IFAD projects by FAO is forthcoming.

because of ASAP, approximately 75% the programme's goal of 80 tonnes. Although ostensibly a short-coming, two factors should be considered: first, the target was calculated prior to the design of ASAP country projects and was not, therefore, based on an assessment of the potential in the portfolio. Second, under the United Nations Framework Convention on Climate Change (UNFCCC) ASAP countries are requested for voluntary contributions in greenhouse gas (GHG) emissions avoidance, and therefore any reduction in emissions while improving human development can be considered an additional benefit. The figures are based on country information, and do not include the GHGs emitted or conserved in the international operations of ASAP.

ASAP projects employ a range of activities that bode well for their sustainability; however, the level of attention given to formal and climate-appropriate exit strategies is mixed. Ownership by local groups is promoted in many ASAP projects and can be expected to improve the chances that the interventions continue, especially where a source of income or cost saving is included. The limited number of suitable exit strategies appears common to both ASAP and other IFAD projects. Not only does this create risk for the project achievements it makes it difficult to assess how sustainable the ASAP-introduced 'hardware' will prove to be. Relatively simple measures to maintain the infrastructure, technologies and equipment in many cases would increase benefits derived from the technology and make maintenance requirements and expectations clear to intended owners.

There is evidence from four countries (including two visited by the MTR team) that farmers have used ASAP interventions to mitigate the effects of weather events. Given the nature of the technologies introduced across the portfolio, it is likely that there are more instances of this (more especially in cases of less acute or slower onset stresses), but as projects do not routinely collect data on these events it is not possible for the MTR to present a fuller picture for the programme. Later studies should examine how smallholders use ASAP interventions in such circumstances and the extent to which their food security and livelihoods were affected.

Dealing with weather events demonstrates that ASAP is supporting people to develop assets and capacities that are relevant to their ability to deal with future climate change. However, they are not synonymous processes because of the different time scales and impacts involved; the ways in which farmers deal with future climatic change will demonstrate the efficacy of ASAP as an adaptation intervention, beyond its good NRM and development options. There is evidence that the adoption of ASAP's interventions increases when the activities are related to experienced shocks or stresses, and this should be considered as an important entry point in future designs.

While ASAP has made good progress, the challenges smallholders face in dealing with climate change remain, as does the need for concerted action on adaptation. Reports from the Intergovernmental Panel on Climate Change (IPCC)⁷ and many other sources since the start of ASAP indicate that the situation for smallholder farmers is expected to get worse, especially for those living on marginal lands, reliant on rainfed agriculture, or facing a list of social, economic and other exclusions. This is reinforced in a small way by the visits under this MTR to farmers, who, despite benefiting from access to new technology and capacities, still had many uncertainties regarding the near-term availability or condition of natural resources. ASAP is a significant undertaking within the global efforts to support these groups, but, as recognised in several supervision reports, greater and continued action is needed from IFAD and its partners.

⁷ IPCC, 2018: Global Warming of 1.5°C. An IPCC Special Report on the impacts of global warming of 1.5°C above pre-industrial levels and related global greenhouse gas emission pathways, in the context of strengthening the global response to the threat of climate change, sustainable development, and efforts to eradicate poverty [Masson-Delmotte, V., P. Zhai, H.-O. Pörtner, D. Roberts, J. Skea, P.R. Shukla, A. Pirani, W. Moufouma-Okia, C. Péan, R. Pidcock, S. Connors, J.B.R. Matthews, Y. Chen, X. Zhou, M.I. Gomis, E. Lonnoy, T. Maycock, M. Tignor, and T. Waterfield (eds)]. World Meteorological Organisation, Geneva, Switzerland, 32 pp.

1 Background to the mid-term review

This review is designed to support strategic and operational learning from the Adaptation for Smallholder Agriculture Programme (ASAP)'s initial 7 years of operation. It summarises programme results⁸ to date to help IFAD and ASAP donors assess whether the programme is implemented in a manner most likely to meet its objectives. It also provides lessons from the first ASAP-supported projects to have reached completion, and considers the implications for ASAP projects still in implementation.

Objectives of the mid-term review

1. To assess progress of ASAP in achieving its results as set out in its logframe.
2. To make recommendations on how ASAP can strengthen its performance and delivery of results, including impacts and sustainability.
3. Assess to what extent ASAP has led to new projects/programmes at country level, scaling up best practices to mainstream climate change.
4. Assess to what extent the programme has been able to deliver on specific transversal issues: focus on gender, improvement of policies, indirect impacts on nutrition, co-benefits in terms of mitigation.
5. Assess to what extent ASAP has improved the value added of IFAD in the landscape of the agencies involved in the adaptation of agriculture to climate change.
6. Assess to what extent ASAP's logframe is sufficient for capturing and understanding the effect that ASAP's projects have within their contexts. Make recommendations for relevant logframe indicators to strengthen ASAP ability to capture progress towards climate change adaptation and building resilience.⁹

Based on the MTR's assessment of ASAP's relevance and effectiveness, the review makes 10 recommendations covering the ASAP programme design, the results framework, and broader improvements for climate mainstreaming in IFAD investments (see Section 7).

The Terms of Reference can be found in Appendix 8.

2 Introduction

2.1 Adaptation for Smallholder Agriculture Programme

ASAP was launched by IFAD in 2012. A climate change adaptation programme with a specific focus on smallholder farmers, ASAP aims to increase the capacity of 8 million smallholder farmers to increase their resilience to climate-related shocks and stresses. It operates in over 40 countries in Africa, Middle East and Eastern Europe, South Asia and Latin America.

ASAP provides a dedicated financing window of more than USD 316 million from IFAD and 12 bilateral donors. ASAP grants are blended with regular loans funded IFAD investment projects, with the objective of mainstreaming climate change adaptation across IFAD's operations.

A further objective of the programme is to drive a major scaling up of successful 'multiple benefit approaches' to climate change adaptation in IFAD's programmes that aim to sustainably increase

⁸ The review was conducted at programme level – it does not duplicate or replace the mid-term evaluations and terminal evaluations which are conducted or foreseen by each ASAP-supported project.

⁹ As a separate, more detailed, exercise the MTR team has supported IFAD to update its logframe so that it is fit-for-purpose for the remainder of the programme.

agricultural system productivity and resilience to shocks in a rapidly changing climate, create carbon storage opportunities and achieve gender inclusion.

As a result of ASAP support, 42 IFAD project designs integrated climate change adaptation measures, including:

- Better analysis of climate risks and vulnerabilities, taking into account climate-related threats such as droughts, floods, tropical storms, sea-level rise, heat waves and future climate trends in project designs.
- More innovation. Improving access to innovative knowledge and technology through climate change mainstreaming in extension systems and at farm level to support adaptation to new and emerging risks.
- Scaling up of sustainable agriculture techniques, focusing on adaptation-relevant technologies and embedding these in local and national policies.

The programme has five main pillars and targets:

1. **Improved land management and gender-sensitive climate-resilient agricultural practices and technologies:** 1 million ha and 50% of women supported of the 8 million smallholder farmer target.
2. **Increased availability of water and efficiency of water use for smallholder agriculture production and processing:** at least 1,200 households have an increased and sustainable access to water for production and processing.
3. **Increased human capacity to manage short and long-term climate risks and reduce losses from weather-related disasters:** 100,000 persons are more resilient to climate risks and 1,200 groups at community level have increased capacities to cope with climate change.
4. **Rural infrastructure made climate-resilient:** up to USD 80 million of rural infrastructure is more resilient to extreme weather events.
5. **Knowledge on climate-smart smallholder agriculture documented and disseminated:** the projects foster at least 40 policy dialogues at the national and global level.

In addition to these targets, the programme aims to capture and store 80 million tonnes of CO₂ from the carbon sequestration associated with natural resource management.

2.2 Purpose of report and intended users

This report sets out the findings of the mid-term review of ASAP, to enable learning and analysis of the first phase of ASAP's initial 7 years of operation, including the lessons learnt from the first ASAP-supported projects that have reached completion. The review includes recommendations for future improvements for climate mainstreaming in IFAD investments, in line with IFAD's new strategy on climate change.

The review also identifies current and emerging lessons from the implementation of ASAP to help IFAD and ASAP donors to assess whether the programme is implemented in a manner most likely to meet its objectives. The intended users of this report are IFAD staff and ASAP donors.

2.3 The mid-term review

The mid-term review was carried out between 4 November 2019 and 30 April 2020. The evaluation team carried out semi-structured key informant interviews with IFAD staff, donors and partners, key informant interviews with ASAP-supported project staff in 16 projects, five regional interviews, analysis of internal and external documents for all 42 projects, and country visits to the ASAP-supported projects in Niger, Rwanda and Bangladesh.

The review synthesises results and findings from project to programme level. Appendix 8 sets out the methodology in more detail.

2.4 Overarching review questions

The review questions were largely those derived from the Terms of Reference, with separation made between analytical questions and requests for insights/recommendations. In recognition that not all groups access or respond to ASAP's interventions in the same way, we broke down questions related to results into more specific questioning aimed at understanding how sub-groups engage with ASAP. The overarching MTR review questions (RQs) are:

RQ1. What has ASAP achieved?

RQ2. How does ASAP support transformational change?

- a. What is the evidence for adaptation and transformation?
- b. What are the signals for scale-up, sustainability and systemic change?

RQ3. How do ASAP interventions work? For whom and why?

- a. Who, if anyone, has been excluded?
- b. What are important contextual factors in the change pathways?

RQ4. How relevant is the theory of change 7 years after the starting point?

- a. How appropriate are current logframe indicators for capturing progress in i) mainstreaming climate change and ii) building and strengthening adaptation and resilience.

These overarching RQs were underpinned by a number of sub-questions, set out in the evaluation matrix Appendix 8.2, which map against the review questions from the TOR.

2.5 Report structure

The remainder of the report is structured as follows: Section 3 describes the ASAP programme and projects, including project activity areas and expected results. Section 4 describes what the ASAP projects have achieved in the main outcome areas (with further detail in Appendix 9), followed by a discussion of their relevance for resilience, contribution to scale up, system change and sustainability. Section 5 discussed the implications for ASAP's theory of change and logframe. Section 6 and Section 7 set out Conclusions and Recommendations respectively.

3 The ASAP projects

3.1 Building resilience through ASAP funding

The overarching goal of ASAP is to **improve the climate resilience of 8 million farmers by 2020 through mainstreaming climate change into IFAD's existing work on rural development with poor smallholders.**

This is supported by two high-level goals:

1. Immediate benefits to smallholder farmers via new and additional finance for projects supporting improved capacities, technologies, infrastructure, knowledge, natural resources, as well as improvements in nutrition and women's empowerment;
2. Longer-term institutional change (in IFAD, national governments, other climate funds, private sector actors and farmer organisations) towards greater and improved support for smallholder farmers in dealing with climate change

3.1.1 Adaptation and resilience in ASAP

The contexts in which ASAP projects work are characterised by the presence of long-standing risks, such as ill health, market volatility, food insecurity and poor governance, which are increasingly compounded by natural resource degradation and climate change. Against this backdrop, poor rural people have few assets to spare in dealing with shocks and stresses, while new economic opportunities are often limited for a significant proportion of the at-risk population. In ASAP design documents, therefore, adaptation is understood to be the process of avoiding and managing climate risk as a fundamental step in enabling people to move out of poverty. ASAP responds to the need for innovative policies and investment programmes to help smallholders to anticipate,¹⁰ absorb¹¹ and recover from climate shocks and stresses.

This objective is in line with many of the international frameworks for understanding resilience strengthening, such as the Sendai Framework,¹² and the UNFCCC's model of adaptation and resilience for member states.¹³

ASAP adopts the common approach of measuring the number people with improved climate resilience capacities and taking this as a proxy for overarching progress, acknowledging that resilience is 'multidimensional, contextual, [and] with no standardised unit to count'.¹⁴ This proxy is operationalised as: 'improvements in individuals' capacities to adapt, anticipate and/or absorb climate-related shocks and stresses.'

The ASAP programme design adopts the World Bank definition of adaptation:

Adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects. Adaptation can be carried out in response to (ex post) or in anticipation of (ex ante) changes in climatic conditions. It entails a process by which measures and behaviours to prevent, moderate, cope with and take advantage of the consequences of climate events are planned, enhanced, developed and implemented (adapted from UNDP 2005, UKCIP 2003 and IPCC 2001). In this regard, an action is considered an adaptation response when it is only planned and an explicit response to climate risk considerations.¹⁵

3.1.2 Adaptation, development and mainstreaming

IFAD also follows a 'no regrets' principle in relation to adaptation and development. This means taking climate-related decisions or actions that also make sense in development terms, 'whether or not a specific climate threat actually materialises in the future.' This supports IFAD's aim to mainstream adaptation within its wider smallholder poverty reduction approach, as well as within countries' own development

¹⁰ Anticipatory capacity – 'the ability of social systems to anticipate and reduce the impact of climate variability and extremes through preparedness and planning' (Bahadur et al., 2015: p. 23). Bahadur et al. (2015) explain that anticipatory capacity shows that people recognise or predict shocks, stresses, or disturbances, and take proactive steps to prevent them and/or protect themselves. An example would be to cultivate mangroves and build sea walls to protect a coastal zone from storms and sea level rise.

¹¹ Absorptive capacity – 'ability of social systems to absorb and cope with the impacts of climate variability and extremes... it is concerned principally with functional persistence, that is, the ability of a system to bear, and endure the impacts of climate extremes' (Bahadur et al., 2015: p. 30).

¹² Which defines resilience as 'The ability of a system, community or society exposed to hazards to resist, absorb, accommodate, adapt to, transform and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions through risk management.'

¹³ See, for example: <https://unfccc.int/topics/adaptation-and-resilience/the-big-picture/what-do-adaptation-to-climate-change-and-climate-resilience-mean>

¹⁴ UK International Climate Finance Key Performance Indicator 4 Methodology Note, September 2019.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/835527/KPI-4-number-people-resilience-improved1.pdf

¹⁵ Source: ASAP Programme document.

policies, planning, programmes and budgetary processes. It encompasses cross-cutting issues such as gender, supporting indigenous peoples, nutrition, community empowerment and agronomy.

3.2 Expected results and theory of change

ASAP has ten key indicators, given in Table 2 below.¹⁶ Each indicator has an associated programme-wide target.

Table 2: Main ASAP portfolio indicators and targets

	10 Key indicators	2020 Target impact
Goal: Poor smallholder farmers are more resilient to climate change	1. # of poor smallholder household members whose climate resilience has been increased because of ASAP disaggregated by sex	8 million people including 4 million women and girls
Purpose: Multiple benefit adaptation approaches for poor smallholder farmers are scaled up	2. % of new investments in Environment and Natural Resource Management (ENRM) in IFAD 9th Replenishment compared to IFAD 8th Replenishment	Doubling share of ENRM investments in IFAD 9 compared to IFAD 8
	3. Leverage ratio of ASAP grants versus non-ASAP financing	1:4
	4. % of extent of land and ecosystem degradation in productive landscapes	30% decrease
	5. # of tonnes of GHG emissions (CO ₂ eq) avoided and/or sequestered	80 million tonnes
5 ASAP Outcomes		
1. Improved land management and gender-sensitive climate-resilient agricultural practices and technologies	6. # increased in hectares of land managed under climate-resilient practices	1,000,000 hectares
2. Increased availability of water and efficiency of water use for smallholder agriculture production and processing	7. % change in water use efficiency by men and women	100,000 households with increased access to water for production and processing
3. Increased human capacity to manage short- and long-term climate risks and reduce losses from weather-related disasters	8. # of community groups involved in ENRM and/or disaster risk reduction (DRR) formed or strengthened	1,200 community groups including especially disadvantaged men and women
4. Rural infrastructure made climate-resilient	9. \$ value of new or existing rural infrastructure made climate-resilient	\$80 million
5. Knowledge on Climate-Smart Smallholder Agriculture documented and disseminated	10. # of international and country dialogues where IFAD or IFAD-supported partners make an active contribution	40 dialogues including in specific areas such as gender and marginalised groups

¹⁶ Targets were based on ASAP's initial programme design and have undergone a series of adjustments since. Indicators are under further review based on the analysis of this MTR.

The ASAP theory of change sets out the pathways by which the programme hopes to achieve expected results. Underlying the theory of change is a recognition that adaptation options need to be specific in context, location and risk. What may work in one place may not necessarily work in another. Therefore, projects should be developed and designed with a thorough understanding of the context. Further, projects need to be well received and approved by recipient countries. Focused policy dialogues and capacity-building activities designed to raise climate change awareness, including an awareness of the implications of future climate trends, help to ensure the sustainability of chosen adaptation practices in the long run. Lastly, in the case of those technologies that prove to be successful, the policy, institutional and capacity-building processes required to secure their adoption are scaled up, thereby ensuring that multiple benefits are obtained on the basis of sustainable intensification approaches.

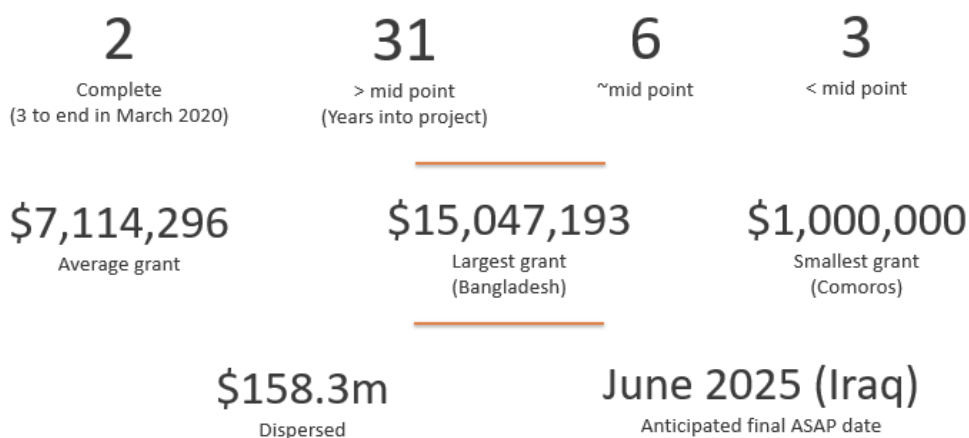
3.3 Activities

An overview of the ASAP-funded portfolio is provided in Appendix 8.3. Across the programme, ASAP funds activities in the following areas:

- Policy engagement – supporting agricultural institutions in IFAD Member States seeking to achieve international climate change commitments and national adaptation priorities;
- Climate risk assessment – facilitating the systematic use of climate risk information when planning investments to increase resilience;
- Women’s empowerment – increasing the participation of women in, and their benefits from, climate change adaptation activities;
- Private sector engagement – strengthening the participation of the private sector and farmer groups in climate change adaptation and mitigation activities;
- Climate services – enhancing the use of climate information for when planning investments to increase resilience;
- Natural resource management and governance – strengthening the participation and ownership of smallholder farmers in decision-making processes; and improving technologies for the governance and management of climate-sensitive natural resources;
- Knowledge management – enhancing the documentation and dissemination of knowledge on approaches to climate-resilient agriculture.

In any country, ASAP funding is used to integrate a selection of the above activities into the IFAD loan (or other project). In many cases, the loan supports activities that are important for general resilience, but without the specific focus on climate vulnerability.

Figure 1: Overview of the ASAP portfolio as of March 2020



4 Findings

This section presents the main findings of the MTR synthesis process. Section 4.1 focuses on what ASAP programme has achieved, synthesising across programme outcomes 2–8. The relevance and progress towards the overarching goal (ASAP 1), as well as signals of scale-up, systemic change and sustainability, are considered in section 4.2.

4.1 Results overview

Progress towards the eight ASAP's indicators is presented in Table 3. The figures are based on aggregated results reported by the projects. Beneath the table, each outcome areas (ASAP2-8) is discussed in turn, covering the results to date against targets and notable project activities contributing to progress. Further analysis is provided in Section 9.

Table 3: **ASAP Core Indicators and progress against targets as of April 2020¹⁷**

	#	ASAP core indicators (ORMS)	Original target (2012)	Adjusted ¹⁸ targets (2020)	Progress (ORMS 2020)	% against 2012	% against 2020
Goal	1	Poor smallholder household members supported in coping with the effects of climate change	8,000,000	6,710,771	4,899,571	61%	73%
Outcome areas	2	Land under climate-resilient practices (hectares)	1,000,000	2,059,106	888,669	89%	43%
	3	Production and processing facilities supported with increased water availability and efficiency (facilities)	n/a	3,918	3,022	n/a	77%
	4	Households supported with increased water availability or efficiency (HH)	100,000	199,693	105,015	105%	53%
	5	Individuals engaged in NRM and climate risk management activities (People) ¹⁹	n/a	1,636,013	1,347,286	n/a	82%
	6	Community groups engaged in NRM and climate risk management activities (groups)	1,200	16,382	13,770	1,148%	84%
	7a	New or existing rural infrastructure protected from climate events (km)	n/a	758 km	409 km	n/a	54%

¹⁷ Source: ORMS, April 2020.

¹⁸ A process of reformulation is conducted by HQ each year in liaison with PMUs to ensure data and projections are accurate. This has led to the removal in instances of double counting, reductions from MTRs, or attribution issues. Increases have been made where the original targets were considered not sufficiently ambitious, and decreases for overly ambitious designs, changes in targeting approaches or reduction in the total number of projects in the portfolio.

¹⁹ The increase of people from indicator 6 is mainly due to instances of underreporting in previous years. In 2020, the ASAP logframes were analysed for gaps, and one identified gap was that when the multiplier of groups was used for indicator 6, there was not always data on the number of individuals that made up this group. As such, the disaggregated data was severely lagging. In 2020, this has been rectified, and the increased number is a result of all individuals within the community groups of the same indicator being captured.

	#	ASAP core indicators (ORMS)	Original target (2012)	Adjusted ¹⁸ targets (2020)	Progress (ORMS 2020)	% against 2012	% against 2020
	7b	New or existing rural infrastructure protected from climate events (USD)	80,000,000	\$102,442,000	\$26,649,000	33%	26%
	8	International and country dialogues on climate supported	40	30	19	48%	63%

4.1.1 Land under climate-resilient practices

MAIN FINDINGS

ASAP has made good progress in achieving ASAP 2 targets. Projects report achievements across a range of outputs, including land rehabilitation, improved cropland management practice and the establishment of agroforestry systems. These can be considered important risk mitigations and 'stepping stones' towards enhancing people's broader resilience capacities.

Many projects refer to evidence of improved varieties, crop rotation and diversification. However, projects are not required to report on outcomes in terms of yield increases, increased incomes and other higher-level well-being outcomes and, therefore, these not measured consistently across the portfolio. This makes it difficult to assess whether and where resilience capacities have been built.

Intervention success can be attributed in part to the way a number of activities work together in combination. Credibility has been enhanced through information sharing and collaboration across institutional levels, while responding to contextual needs has contributed to community buy-in.

Overall, ASAP has achieved 43% of its ASAP 1 target 'Land under climate-resilient practices' (ORMS 2020). The projects report under Outcome 1 'Increase in hectares of land managed under climate-resilient practices' for this ASAP target. Table 4 shows countries that have made notable achievements between 2018 and 2019 on bringing land under climate-resilient practices.

Table 4: Outcome 1 Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Burundi	1,139 ha	5,193 ha	2,330 ha	223%
Ethiopia	15,601 ha	46,029 ha	73,600 ha	62.5%
Niger	85,040 ha	146,760 ha	210,785 ha	69.6%
Moldova	146.15 ha	2523.15 ha	808 ha	312%

Activities under this outcome point to benefits in terms of absorptive and adaptive capacities, and link to the mitigation potential via increasing soil carbon/carbon sequestration (see IFAD 2015 *The Mitigation Advantage*). The activities mainly relate to land rehabilitation, improved cropland management practice and the establishment of agroforestry systems. Notable outputs and outcomes encompass: afforestation (Mali); mangrove rehabilitation (Djibouti); improved varieties, crop rotation and diversification (Vietnam, Nigeria); grassland rehabilitation (Kyrgyzstan); and better management of fodder crops (Kyrgyzstan).

4.1.2 Access to water facilities for production and processing

MAIN FINDINGS

ASAP outcomes for access to water reflect the progress made in supporting production and processing facilities with measures to increase water availability and efficiency. While changes in secondary outcomes are not systematically quantified (for example, changes in yields, income or morbidity), there is evidence of a range of secondary outcomes representing improvements in resilience capacities, including adaptation. This is mainly achieved through increased availability of water for agricultural production (including livestock) and knock-on effects for household water use and food consumption.

There is some evidence of time saved in water collection due to project activities, which can be critical in enabling women to participate in other project and income-generation activities. However, information on this is not captured systematically, and so it is challenging to understand if the time saved is used to support resilience capacities.

Enablers include provision of tools and capacity building for maintaining and operating water infrastructure. Water-related activities can provide an essential entry point for involving people in other project activities. Prohibitive costs of smaller individual irrigation systems can be a barrier to uptake.

Projects report under two ASAP indicators for access to water:

- **ASAP 3:** Production and processing facilities supported with increased water availability and efficiency
- **ASAP 4:** Households supported with increased water availability or efficiency

Overall, ASAP has achieved 77% of its ASAP 3 target and 53% of its ASAP4 target (ORMS 2020).

This overall outcome seeks to increase water availability and water use efficiency for smallholder agriculture production and processing, and includes increased water availability and efficiency for households. Activities are mainly related to irrigation and water harvesting. Specific activities include: borehole construction (Cabo, Sudan Butana), access to sustainable water bodies (e.g. Bangladesh), irrigation (Cambodia, Ethiopia, Morocco, Mozambique, Moldova, Nigeria), construction of water harvesting structures (Chad, Gambia, Uganda), water infrastructure schemes (Laos), catchment protection (Malawi), water drainage (Rwanda).

Activities falling under this outcome area (ASAP 3 and 4) point to benefits in terms of **absorptive and adaptive capacities**.

Projects report under Outcome 2.a: 'Number of Production and processing facilities with increased water availability and efficiency' for ASAP 3 and Outcome 2.b: 'Number of households with increased water availability and efficiency' for ASAP 4. Tables 5 and 6 show countries that have made notable achievements between 2018 and 2019 on these outcomes:

Table 5: Outcome 2.a Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Nicaragua	725 facilities	812 facilities	1,000 facilities	81.2%

Table 6: Outcome 2.b Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Montenegro	287 households	410 households	600 households	68.3%

4.1.3 Groups trained to cope with climate change

MAIN FINDINGS

The outputs and outcomes related to engaging individuals and groups in NRM and climate risk management activities potentially contribute to anticipatory capacity insofar as they strengthen individual, household and community ability to plan and therefore reduce losses due to climate-related hazards. Where improvements in capacity lead to shifts in power this has transformative potential.

Outcomes from this set of activities tend to take time to come to fruition, but they may be seen as the foundations for achieving higher-level outcomes related to adaptation and resilience building. There is some anecdotal evidence of higher-level outcomes.

Constraints to achievement under this outcome area include lack of equipment and insufficient awareness raised due to incomplete capacity building.

A range of rural institutions strengthened, from NRM user groups, local participatory planning groups, cooperatives, and new extension groups using the farmer field school model.

Projects report under two ASAP indicators for the outcome areas ‘Groups trained to cope with climate change’:

- **ASAP 5** Individuals engaged in NRM and climate risk management activities
- **ASAP 6** Community groups engaged in NRM and climate risk management activities

Overall, ASAP has achieved 82% of its ASAP 5 target and 84% of its ASAP 6 target (ORMS 2020).

The goal of this output is increased human capacity to manage short- and long-term climate risks and reduce losses from weather-related disasters. Activities include: establishment of extension committee and extension hub (Cambodia), agro-dealer training (Kenya), community training and hiring a climate expert (Kyrgyzstan), farmer training (Laos, Uganda), rangeland management training (Lesotho), and community investment groups (Vietnam). In Bangladesh, ASAP has arranged demonstrations, training, exchange visits and field days under crop and horticulture, village forestry, poultry and livestock, fisheries and common livelihood activities. The outputs and outcomes potentially contribute to anticipatory capacity insofar as they strengthen individual, household and community ability to plan and therefore reduce losses due to climate-related hazards. Where improvements in capacity lead to shifts in power this has transformative potential.

The related outcomes for ASAP 5 and ASAP 6 that projects report under are:

- **OUTCOME 3.a:** Number of individuals (including women) engaged in climate risk management, ENRM or DRR activities
- **OUTCOME 3.b:** Number of Community Groups engaged in climate risk management, ENRM or DRR activities

Tables 7 and 8 show countries that have made notable achievements between 2018 and 2019 on these outcomes:

Table 7: Outcome 3.a Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Vietnam	19,539 people	23,971 people	30,000 people	79.9%

Table 8: Outcome 3.b Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Burundi	117 groups	254 groups	132 groups	192%

4.1.4 Infrastructure protected from climate change

MAIN FINDINGS

Project achievements tend to be reported in terms of outputs but there is also some evidence of a range of follow-on benefits to people from the contribution that climate-resilient infrastructure makes towards adaptation and other resilience capacities.

Evidence of withstanding the impact of shocks (flood) during implementation demonstrates improved absorptive capacity and resilience in the face of climate shocks and stresses. There is also evidence that infrastructure improvements may help project participants react and deal with changing climate conditions through widening available strategies.

Projects report under two ASAP indicators for the outcome area 'Infrastructures protected from climate change':

- **ASAP 7a** New or existing rural infrastructure protected from climate events (km of road)
- **ASAP 7b** New or existing rural infrastructure protected from climate events (USD '000)

Overall, ASAP has achieved 54% of its ASAP 7a target and 26 % of its ASAP 7b target (ORMS 2020).

The goal of this output is that rural infrastructure is made climate resilient. Activities include: village protection infrastructure (Bangladesh), livestock shelters and rehabilitated roads (Kyrgyzstan), road construction (Montenegro), management of public infrastructure for sustainability (Mozambique), solar powered milk cooling and washing facilities (Rwanda) and solar cook stoves (Uganda).

Projects report under Outcome 4.a: Km of rural infrastructure made resilient for ASAP 7a and Outcome 4.a: Km of rural infrastructure made resilient for ASAP 7b. Tables 9 and 10 show countries that have made notable achievements between 2018 and 2019 on these outcomes:

Table 9: Outcome 4.a Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Burundi	85 km	162 km	133 km	121%

Table 10: Outcome 4.b Notable achievements

Country	2018 Cumulative	2019 Cumulative	End target	Results vs target
Burundi	\$1,420,000	\$5,054,510	\$2,427,000	208%

4.1.5 Mitigation co-benefits

Although ASAP's priority is to support smallholder farmers to adapt to climate change, a number of its interventions also help to sequester or avoid the emission of greenhouse gases (GHG). Table 11 below provides estimated GHG figures for 10 ASAP projects over a 20-year period.²⁰ The calculations were performed by FAO and IFAD using the former's Ex Ante Carbon-Balance Tool (EX-ACT).²¹

A quarter of the ASAP portfolio has the potential to avoid 15 metric tonnes of atmospheric CO₂eq.

Were the remaining three quarters of the portfolio to follow this trajectory,²² 60m tonnes CO₂eq could be avoided because of ASAP; approximately 75% the programme's goal of 80 tonnes. Although ostensibly a short-coming, two factors should be considered: first, the target was calculated prior to the design of ASAP country projects and was not, therefore, based on an assessment of the potential in the portfolio. Second, under the UNFCCC ASAP countries are requested for voluntary contributions in GHGs avoidance, and therefore any reduction in emissions while improving human development can be considered an additional benefit. The figures are based on country information, and do not include the GHGs emitted or conserved in the international operations of ASAP.

Determining the most effective means of CO₂eq avoidance requires a contextual assessment. Nevertheless, across the portfolio the agro-forestry practices and pasture restoration offer noticeable estimates of CO₂eq avoidance. Projects promoting improved agronomic practices also contribute to ASAP's overall avoidance level, as do those reducing pressure on forest and shrubland by promoting the use of biodigesters. The main factor increasing emissions is a rise in the number of cattle, and in some cases an increase in mechanised production means, such as fisher boats in Djibouti. Noticeably, these net emitting projects contain significant sequestration activities, demonstrating that positive actions can be counteracted in the absence of a comprehensive project plan for GHG avoidance. Future analysis could assess the impact that an ASAP project has to the carbon balance of its associated loan, which could inform efficiency measures in project management and transport.

Table 11: GHG calculations for selected ASAP projects using EX-ACT analysis

Project	GHG balance in CO ₂ eq	CO ₂ eq per hectare	Main contributing factors
Sudan Butana	-4,787,000	-46.5	Sinks: Improved forest and rangeland management, cropland restoration Sources of emissions: Increase in the number of heads of cattle, road construction
Nicaragua	-924,700	-54	Sinks: Agroforestry, introduction of shade trees in coffee and cocoa plantations, new plantations Sources of emissions: Use of synthetic fertilisers
Kyrgyzstan	-2,259,000	-10.7	Sinks: Winter and spring pasture improvement and controlled grazing, slight decrease of the number of dairy cattle and sheep Sources of emissions: Slight increase in the number of horses
Djibouti	+17,000	+70	Sinks: Mangrove restoration

²⁰ Based on results achieved as per March 2020. Calculations made for 20 years (6 years of project implementation and 14 years of further impacts). Projects were purposefully sampled to provide a diversity of scope and geographic region.

²¹ EX-ACT calculations are based on the Intergovernmental Panel on Climate Change (IPCC) methodology, and include GHG emission and sequestration across seven categories: Land Use Change; Crop Production; Grassland/Livestock; Management of Degradation; Coastal/Wetlands; Inputs and Investments; Fisheries/Aquaculture. The avoidance of atmospheric CO₂eq is estimated as the estimated difference caused by project activities to a Business-As-Usual trajectory <http://www.fao.org/tc/exact/ex-act-home/en/>

²² Further analysis of IFAD projects by FAO is forthcoming.

Project	GHG balance in CO2eq	CO2eq per hectare	Main contributing factors
			Sources of emissions: Increase in the number of fisher boats
Cambodia	-1,127,000	-21.3	Sinks: Promotion of new agronomic practices for rice, maize, cassava
Rwanda	-870,400	-28.7	Sinks: Improved agronomic practices for maize, cassava, potatoes and beans Sources of emissions: Use of synthetic fertilizers
Paraguay	+91,100	+15	Sinks: Improved agronomic practices, bio-digester promotion Sources of emissions: Use of fertilisers for improved sesame and cassava, increase in the number of dairy cattle (from 2 to 4 by HH).
Bolivia	-219,000	-9	Sinks: Improved agronomic practices for onions, potatoes, beans, upland rice and fruit trees
Mali	-38,800	-6	Sinks: Biodigesters, woodlots, land restoration, improved agronomic practices on cowpea Sources of emissions: Use of synthetic fertilisers, lowland rice cultivation
Chad	-156,800	-9.7	Sinks: Hedgerows to protect flood recession cropping sites, improved agronomic techniques for production of vegetables Source of emissions: Slight increase in the number of goats, use of synthetic fertilisers
Niger	-5,263,000	-23.3	Sinks: Assisted natural regeneration, pasture restoration, improved agronomic practices on cereals Sources of emissions: use of synthetic fertilisers for horticulture
Total:	-15,537,600		

4.2 How does ASAP support transformational change?

ASAP was designed to catalyse ‘major changes in how rural development is practised’ in response to current and future climate change.²³ Its Concept Note refers to three important steps in achieving this: risk-informed project and policy design, the scaling up of successful multi-benefit practices, and new efforts to encourage public and private funding architecture to support smallholder adaptation. Later programme documents explicitly refer to these steps, and ASAP as a whole, as part of a transformational shift in the way that adaptation support for smallholders is provided. The programme features as a key part of IFAD’s Strategic Framework 2016–25 ‘Enabling Inclusive and Sustainable Rural Transformation’.

This section considers where ASAP is on this journey; how it encourages transformational change, and how it works in relation to other initiatives – from the community up to the national and international levels – towards this holistic shift in adaptation support.

A tailored version of the conceptual model in Appendix 8 is used to present how ASAP’s work relates to transformational change, and the section is structured around its four stages:

- **Relevance:** Projects succeed in their high-level objective of supporting smallholder farmers to adapt to climate change
- **Scale-up:** Usage and benefits of the projects are expanded beyond the groups or interventions initially involved

²³ ASAP Concept Note.

- **Systemic change:** The architecture for providing adaptation support to smallholder farmers is improved, encouraging greater national and international action
- **Sustainability:** In transformational terms, sustainability is reached when a 'new normal' is established in which smallholder farmer adaptations become routine, sufficiently resourced, and maintained despite shocks and set-backs. As ASAP is still a relatively new initiative in many contexts, we have assessed sustainability at the intervention level

We have described the signals that ASAP is making progress under each category. These are based on the case studies, interviews and the supervision and mid-term reports.

4.2.1 Relevance

This section reviews the extent to which ASAP has introduced suitable initiatives for smallholder adaptation to climate change. Establishing relevant initiatives is considered a pre-requisite for scale-up, systemic change and sustainability, which are covered in the following sections.

MAIN FINDINGS

- A number of ASAP projects cluster interventions to support adaptive processes
- IFAD projects support a set of secondary-level capacities, which will have general utility in dealing with shocks and stressors
- Despite notable examples, relevant climate information services are proving challenging to establish, largely because of the cost and technical requirements involved in downscaling meteorological data to an appropriate level for farmers
- Many projects appear to place greater focus on delivering technological fixes to current problems, and less on the capacity to adapt these over time
- Nearly all operational projects have introduced multiple important 'no regrets' changes that will help with current climatic conditions
- In resource-constrained environments ASAP faces a heightened risk of introducing maladaptation. There are examples of this risk being mitigated with project time frames, but also other concerns for the post-project periods

4.2.1.1 The extent to which ASAP encourages adaptive processes

Climate change brings uncertainty and requires smallholders to take, and continue taking, action to protect agricultural livelihoods, and broader development goals, over and beyond 10 to 20-year periods. Processes that allow smallholder farmers to make informed decisions, implement change, assess their new contexts, and alter their actions, if necessary, are key to the capacity to adapt.

A number of ASAP projects cluster interventions to support adaptive processes. The best examples link some form of livelihood improvement to, at a minimum, locally interpretable climate information, natural resource planning, and local agriculture service providers trained by the project in climate change. Combinations of these appear to be yielding results in Rwanda, Malawi and Vietnam. Although the true test of adaptive capacity will be realised in the way these farmers deal with future climatic and other change, current participation levels indicate that these projects have, at the least, raised awareness of both future risk and viable solutions.

In Vietnam the ASAP project clusters a large number of initiatives, and is reported to have built strong resilience capacity for partners and communities. The project has successfully mainstreamed climate-

informed socio-economic development plans in all communes in two provinces, and supports 'participation in planning, membership of social networks, capacity building, access to knowledge, diversified livelihood and income streams, access to credit, climatic risk hazard reduction through infrastructure and better soil and water management and water saving techniques'. As of September 2019, only 'exceptional groups' (or those that had developed into a cooperative, thus accessing more government support) were considered to be sufficiently oriented on the need for long-term and continued action. However, as capacities are built over longer time frames it may be that other groups reach this stage during or after the project.

Laos, Lesotho and Nigeria have good plans for supporting adaptive processes, but were hampered by low implementation at their last Supervision Report. The former uses a climate change adaptation approach combining 'principles of diversity, efficiency, capacity to change, and information availability'. Extension workers and other advisors have been trained on the approach, thus increasing the number of actors who can support adaptive processes. Lesotho is expected to increase household resilience 'as a result of improved agricultural practices, access to improved climate information services, diversified income sources, and increased adoption of adaptive practices'. Similar to Rwanda, it had also used the Participatory Integrated Climate Services for Agriculture (PICSA) approach, although had found the process difficult to sustain (see section 4.2.4).

Relevant meteorological information services are proving challenging to establish. Nine countries include activities intended to improve the meteorological information available to smallholder farmers. Of these five (Rwanda, Nigeria, Malawi, Lesotho and Ghana) provide climate or seasonal information, intended to support long-range adaptations; and four (Mozambique, Uganda, Bangladesh and Kyrgyzstan) are focused on weather information, supporting near-term responses. In Bangladesh and Kyrgyzstan, the service is part of the national early warning system, for dealing with flash floods and temperature changes respectively.

If the connection to smallholder farmers can be established, it would likely lead to a substantial increase in the ability of farmers to deal with climate change, as confirmed by visits and several supervision reports that highlight a need for the information. Rwanda (see Box 1 overleaf) and Nigeria appear to have progressed more than other countries, with scale-up reported in both. However, in the remaining projects it is too early to assess the effectiveness of the intervention, and at least five projects have incurred implementation challenges. The ASAP monitoring and evaluation (M&E) framework does not have an indicator to track access and ability to use climate information, which means a significant part of its current and future support is not captured.

Box 1: Climate information services in Rwanda

The MTR visits to six cooperatives in Rwanda provided examples of how farmers use information as part of their adaptive capacities, and the current limits to this. ASAP has supported the national meteorological agency to focus on information and communication modes relevant to smallholder farmers. Information is provided on a daily basis via SMS and WhatsApp, and farmers can phone a toll-free call centre to request information or provide feedback. The project supports two forms of training to farmers: one using the Participatory Integrated Climate Services for Agriculture (PICSA) process, and the other incorporated into the district-level training provided by the national meteorology agency prior to the planting season. The following results were reported across focus group discussions and interviews:

- Widespread recognition among farmers of the value of the daily weather information, with high relevance at the district level but some concern about information specificity for village level application
- Arable farmers adapting their post-harvest drying processes on a daily basis, which has reduced losses and aflatoxin development. Time saved for women, who lead the drying process and previously have had to adjust their work frequently in response to sporadic rainfall
- Farmers using seasonal forecasts to determine appropriate planting (choice of crops, type of varieties, and timing), although with less confidence than the daily adaptations due to higher levels of uncertainty in seasonal data. Use of rain cessation dates for maximising household water storage
- Cooperatives using the meteorological information to request appropriate seasonal support from extension workers
- Cooperatives using notice boards to share daily weather information with the wider community, with usage for farm and non-farm activities reported by cooperatives and meteorological staff
- Farmers as yet unable to incorporate climate projections into longer-term livelihood strategies, and a range of non-climate risks causing longer-term uncertainty on the viability of agriculture
- Livestock farmers are less able to access the climate information planning processes, and have limited options to deal with increased temperatures
- Meteorological agency reports a new two-way connection to smallholders and improved ability to provide relevant information, which is said to have increased farmers' trust in the meteorological service. Prior to ASAP the agency's only means of communicating with smallholder farmers was via television or radio, and the information provided was more general

IFAD projects support a set of supplementary capacities that have general utility for adapting and dealing with stressors. Nearly all IFAD loans associated with the ASAP offer some form of capacity building towards agricultural production, business and market processes, or organisational capacity. In Egypt and The Gambia, the IFAD projects offer more basic education skills, and Bangladesh uses a vocational training model from which, it is reported, 80% of graduates have entered waged employment. These skills are likely to be beneficial for building up absorptive capacity, and may eventually lead to a transformation of economic conditions for the groups involved. A range of social benefits are reported in Sudan and Bangladesh, supporting cohesion in the former and elevating the status of marginalised groups in the latter. The visits to cooperatives in Rwanda confirm that IFAD initiatives can increase the status of the recipients, and be used to share climate change and NRM messages more broadly than direct

beneficiaries.²⁴ Bhutan is reported to have developed a recognition of shared responsibility for vital communal assets. Although these capacities are not specifically focused on the ability to manage climate risk, they help build up capitals that can be drawn upon to deal with threats.

Nearly all operational projects have introduced multiple ‘no regrets’ changes that help with current climatic conditions. The portfolio figures for this are presented in section 4.1 above. The truest no regrets interventions are those that improve or conserve natural resources.²⁵ A range of techniques are encouraged across ASAP, from mangrove restoration (Gambia, Djibouti), pasture land preservation (Kyrgyzstan, Tajikistan, Rwanda), soil conservation, water storage and efficiency measures (Ethiopia, Rwanda, Mozambique, Sudan).

Nepal and Uganda have introduced energy efficient cook stoves, which in both countries have reduced pressure on forest, woodlots and communal tree cover. A 50–60% drop in wood consumption is reported in Uganda. Mali has registered similar results by providing biodigesters/photovoltaic kits to 500 households, which have also improved household lighting and provided fertiliser as a by-product. All three countries report that their respective technologies have decreased women’s workload, and the stoves are reported to have improved family health from the smoke reduction. In Uganda, the project has promoted local production of the stoves as a form of enterprise associated with the NRM.

A number of reports mention that some activities can be singularly focused, without planning their connection to wider systems. Some activities have raised concerns about blocking access routes for pastoralists, water supplies, or the effect of pollutants from agricultural inputs. It is not always possible to tell from the reports whether the issues are related to the ASAP component or the loan, but even if the latter, it shows that ASAP’s good practices are not automatically transferred. Many activities are applied within an approach that recognises a wider system, such as the restoration of watersheds (Ethiopia), pastureland (Tajikistan, Kyrgyzstan, Lesotho) or landscape (Nepal), though this does not necessarily equate to a holistic understanding of possible effects to or from the project.

There is evidence that ASAP interventions are being used to mitigate the effects of stressors and shocks. In four countries the ASAP intervention is reported to have supported people during weather events. There may be more examples as the supervision missions are not required to report on this. However, in three countries it is mentioned that farmers face continued exposure to shocks because of a lack of progress in ASAP activities.

Bangladesh provides the clearest example of intervention use in a rapid onset shock: 125 MT of paddy were saved during the Haor flash floods in 2017, despite the fact only a limited number of *killas* (temporary storage facilities) had been constructed (39% progress) at that time. The project is working on an early warning system that will provide further support for flash flooding. The intervention was very relevant for Haor area, where a scarcity of highland seriously affects lives and livelihoods of the poor. The *killa* has opened up the prospect for integrating vegetable cultivation outside of the typical season, and some swamp trees have been planted around the *killa* to protect from wave action and to increase biodiversity.

The visits to farmers in Rwanda revealed several instances of ASAP-assisted interventions being useful in dealing with droughts, excessive rainfall and uncertainty. The examples were not always explicit in the intervention assumptions and cannot always be isolated from IFAD’s non-ASAP investments. For example, two cooperatives had set aside space in their ASAP-modified warehouses to store food and seed for all vulnerable households (non-cooperative members) during a recent drought, reducing levels of food insecurity in the wider community. The awareness campaign was the cooperative’s initiative, and hermetically sealed bags were provided from a World Food Programme (WFP) project.

²⁴ Beyond these examples, many Supervision Reports refer to relevant processes, such as empowerment and building human and social capital, but describe them generally and without a clear description of their results.

²⁵ Well-planned NRM interventions hold the potential for multiple benefits to livelihoods, health, shock/stress protection, social cohesion and GHG avoidance, and these can significantly outweigh the risks of introducing such interventions.

Infrastructure improvements in Kyrgyzstan (livestock shelters, water troughs, housing for herders and rehabilitated roads) have helped pastoralists react and deal with changing climate conditions through widening strategies available, in particular improving livestock mobility and flexible management practices, suggesting improved adaptive capacity. Making communities more aware of the risks of climate change and options for how to adapt was also a reported outcome of the infrastructure work.

The projects in Mozambique, Sudan and Ethiopia are reported to have supported people during droughts, although in the latter, ASAP is encouraged to move beyond irrigation technology to other measures that help address erratic rainfall (which leads to flooding) rather than only shortages. Other countries have tested and then introduced drought resistant varieties for crops or fodder, which, if they can be successfully adopted on to farms and within food and market systems, will support the ability to deal with water shortage.

Project reviews and interviews suggest that ASAP is predominately focused on single threats rather than multiple or general risk(s). The latter is closer to the experience of smallholder farmers, as climate change is unlikely to be their primary stressor or cause for uncertainty. Farmers interviewed in Bangladesh experienced weather events among other threats, such as upstream industrial pollution, and the Supervision Report mentions the effects of slash-and-burn practices and the impacts of local mining. In Rwanda, dairy cooperative members mentioned that hotter ambient temperatures were increasing the rate of livestock sickness, despite ASAP's introduction of cooling technology to preserve milk. Although the maize farmers had reduced post-harvest losses, a number of groups were concerned about pre-harvest flooding and pest outbreak. And in Nigeria, the Social, Environmental and Climate Assessment Procedures (SECAP) assessment in the Supervision Report²⁶ details the wider social and environmental risk context in which farmers and the project operate.

Outside of isolated examples, not enough has been done to help smallholders build up the capacity to continue adapting. Although hardware – for example, technology, infrastructure, crop varieties – combined with the capacity building described above is important for resilience, it is a single adaptation rather than adaptive capacity. The latter requires farmers to take informed decisions relevant to their contexts, to implement change, re-assess and alter their actions as required, and to continue this process. The distinction is highlighted well in the Supervision Report from Ghana:

Local communities were confident in sharing lessons learned and willingness to adopt these technologies in their own fields, namely zero-tillage cropping, row planting and fertiliser placement, soil moisture conservation, crop residue retention, appropriate crop rotations, cover cropping. The target to increase yield for maize under conservation agriculture demonstration field from 1 to 2.5 MT/ha was met and GASIP is already above the target with 2,7 MT/ha

The discussions with farmers revealed challenges that could hamper the promotion and uptake of conservation agriculture, and the strengthening of local production systems to climate change effects. These [include] the unavailability of climatic information to help them plan their farm activities

Similar instances in which the supportive processes for adaptation lag behind successful technological interventions are found in Kyrgyzstan, Tajikistan, Malawi, Ethiopia, Moldova, Bhutan and Bolivia.²⁷ In Rwanda, the livestock cooperatives had not received the same level of support for using meteorological data as the arable farmers. In Malawi, ASAP has worked with the agrometeorological network on climate

²⁶ March 2019.

²⁷ CIAT (2019) 'Evaluating ASAP projects under the lens of a Climate-Resilience Sensitive Programming Evaluation Framework'.

information services, although the lesson here and elsewhere in ASAP is that this high-level support needs to connect to specific information that farmers can interpret and apply.

It appears that the climate risk mapping (a key innovation under ASAP) has been treated as a one-time technical solution as there are few instances of them being updated or closely linked to project activities, a point raised in a number of supervision reports and the case studies.²⁸ Bolivia and The Gambia appear to be positive exceptions; the latter produced 55 hydrological maps which are used to monitor local resources as the climate changes.

In one country, the ASAP project introduced a canal that posed a flood threat to some farmers during the heavy rain season. The issue was corrected after being raised through the grievance redress mechanism, highlighting the importance of supporting community capacity alongside the technological solutions.

ASAP has introduced a number of measures designed to mitigate the risk maladaptation; however, the examples from resource-constrained environments demonstrate the limitations.²⁹ The climate-vulnerability mapping of ASAP is a key activity for reducing the risk of maladaptation, and capacity building is considered the lowest-risk intervention.³⁰ Technologies aimed at meeting water and income needs in drought-prone areas have raised concerns in at least five countries (Kenya, Nigeria, Egypt, Sudan, Malawi). In two of these the issue is linked to the intensification of smallholder production from the IFAD project. Although it is not often the ASAP technology that causes the concern, these contexts highlight: (i) the limitations of ASAP to counteract detrimental practices, and (ii) the fine balance between short-term benefit and long-term harm. In Egypt, for example, IFAD works in very marginal lands reclaimed from the sea and desert. The project appears to have dealt with concerns regarding aquifer depletion by using solar rather than battery powered water pumps, and by linking to government monitoring of water levels. Other programmes in the surrounding areas have not employed these techniques and have led to unsustainable irrigation practices that may affect the livelihood options of IFAD's farmers.

ASAP's livestock initiatives have also raised concerns linked to the pursuit of near-term successes. In Kyrgyzstan, Tajikistan, Lesotho and Rwanda the projects are trying to balance their support for improved pastureland with unsustainable increases in herd size. In Kyrgyzstan, the project's road infrastructure has opened up access to new pasture areas at a quicker pace than its reclamation of land. Increased herd sizes have put pressure on spring and autumn pastures, which are reliant on snow melt and susceptible to degradation. The project is exploring solutions via the national pasture management strategy. In each of these countries herd size is linked to socio-economic status, and challenging to overcome without sustained awareness raising.

ASAP has enacted a number of changes in the institutions that are important for supporting resilience capacities. Further information on this component is provided in section 4.2.8 Systemic change below.

4.2.1.2 Relevance for whom?

Socio-economic inclusion

In most cases ASAP follows the pattern of poverty targeting in the loan,³¹ and the grant is therefore applied in the remotest areas (Bhutan, Egypt), with the poorest groups (Bangladesh, Sudan, Kenya, Mozambique, Nepal), or better-off farmers (Tajikistan, Bhutan, Lesotho, Malawi and Rwanda) in line with the existing targeting.

²⁸ Ibid.

²⁹ Maladaptation is an unintended negative consequence of measures intended to address climate change. Barnett and O'Neill (2013) categorise these as: (1) Increasing emissions of greenhouse gases; (2) Disproportionately burdening the most vulnerable; (3) Introducing high opportunity costs; (4) Reducing incentives to adapt; and (3) Creating path dependency. Source: 'Minimising the risk of Maladaptation: A Framework for Analysis', Barnett, J. and O'Neill, S. in *Climate Adaptation Futures*, Chapter 7, February 2013, Online ISBN: 9781118529577.

³⁰ Ibid., Barnett and O'Neill (2013).

³¹ In many instances it is not possible to isolate the ASAP targeting approach from that of the loan in the supervision report.

Bangladesh provides a prominent example of working with the poorest and at-risk groups. The Haor Basin (in eight north-eastern districts) constitutes the main drainage outlet for the Meghalaya mountain range in India. The basin is completely inundated with 4–8 metres of water for around 6–7 months of the year. Densely inhabited villages are built on artificially constructed mounds of earth, and during the monsoon season they turn into islands, with boats being the primary mode of transport. The majority of the population is poor and a significant percentage is categorised as ultra-poor. Due to its alternating wet and dry climate, the ecosystem offers two major livelihood options: fishing in the wet season (June–October) and cropping in the dry season (December–April).³² Taking this unique geographic condition into consideration, the project targets small and marginal farmers, fisherfolk, landless people, poor women and small traders and micro-entrepreneurs.

Where determined by the loan's geographic areas, ASAP may not be working with the most climate vulnerable nationally – for example in Ethiopia, the Somali region, Afar, Gambella and Benishangul Gumuz have higher vulnerability and poverty levels than the more developed regions of Amhara, Tigray, SNNPR and Oromia, though areas in these regions are still highly susceptible to drought. The Participatory Small-scale Irrigation Development Programme (PASIDP) is working in the poorer areas below the regional level.

The innovation and scale-up focus of ASAP may encourage the prioritisation of better-off farmers.

Where it is possible to identify divergence from the loan (Uganda, Moldova), ASAP is working with more viable farmers to increase the likelihood that an innovation may succeed. This strategy is also used below the community level even in countries targeting the poorest and hard-to-reach areas. More viable members are often selected as leaders or demonstrators (Bhutan, Egypt, Rwanda). There are no recorded instances of the ASAP encouraging the loan to work with poorer or harder-to-reach groups, though this is not its aim.

Conversely, Bolivia has focused its innovation on the inclusion of people who typically face challenges in participation. Georeferenced 'talking maps', a visual and inclusive form of natural resource mapping that is especially suitable in areas with low-literacy, are used to disseminate knowledge and experiences about indigenous adaptation practices, with potential for replication. Based on these efforts, an inventory of options for financing, and funding is released through a system of local competitions, or *concurso*. These have proven to be a successful mechanism to encourage communities to engage in natural resource management, ensure the equal participation of community members, including women, and prioritise their funding according to various criteria, including nutrition.

Although the majority of ASAP targets the poorest, substantive inclusion of those not immediately able to access ASAP appears to be lacking. Across the IFAD/ASAP portfolio, eight countries³³ are advised to take affirmative action to ensure the poorest, and in three cases³⁴ socially marginalised groups are included. A number of these countries are targeting the poorest communities but not necessarily reaching the most vulnerable households. In Malawi, the participatory rural appraisal (PRA) techniques were reported to have excellent engagement of women and youth, but it is also recognised as it is in most of the MTR interviews, that these groups are typically the most proactive in the context. Qualitative inclusion would ensure that women especially are not burdened by being the 'catalyst' or the targeted group in ASAP and other interventions, or, as suggested in Mozambique, are able to retain a level of control over the income benefits at the household level. This issue is highlighted in Nigeria, where, despite reasonable quantitative participation of women in the PRA, women's priorities were not included in the activities for fund allocation.

In some cases, inclusion is challenged by the operating context. In Kenya, for instance, it is reported that project staff and farmers in certain areas travel long distances to provide or access programme services respectively. For this farmer the cost can be greater than their contribution to the voucher. Although the

³² Design report.

³³ Bhutan, Laos, Nigeria, Ethiopia, Cambodia, Laos, Kyrgyzstan, Nepal.

³⁴ Ethiopia, Laos, Cambodia.

KCEP project uses a graduation pathway (see section 4.2.2 Scale-up) in a Rome-based agency partnership, WFP is not present in all of the ASAP targeted areas and so it is not applied there. Similar considerations are mentioned in Sudan and Egypt.

Application procedures can delay or inhibit inclusion to the more substantive benefits. In Benin, groups of beneficiaries were considered to be excluded from the business plan because it required a technical expert to lead the process. In Rwanda, the Single Project Implementation Unit (SPIU) and field officers spent a significant amount of time to help community and business applicants to understand the climate criteria, and in Lesotho the 'wish-list' of adaptation actions has delayed the distribution of equipment because the requests are not linked to an action plan. In Vietnam, the report suggests the funds for adaptation have a bias towards group leaders, allowing, as in Nigeria, instances of elite capture. The Supervision Report for Moldova recommends that a service provider be contracted to identify and support smallholder men and women farmers in the application process, noting that a lack of information and the complexity of the grant process are potential barriers to the inclusion of poorer farmers.

Although IFAD's requirements that participants make a contribution to any intervention has benefits (see section 4.2.4 Sustainability), financial contributions can inhibit inclusion. Of the two livestock cooperatives visited in Rwanda the better-off group was able to raise enough capital to access a matched grant for a solar powered milk cooler. The reliable power supply had increased the longevity of the cooperative's produce and significantly reduced energy costs (to almost zero for large parts of the year). The poorer group was not able to raise the capital and so chose a cheaper technology (for a different problem). The group experiences milk spoilage when temperatures rise and this has affected their supply contracts. In Lesotho the project has recognised the challenge, and has been reluctant to request people to make a financial contribution.

Purely nomadic groups are under-represented across ASAP. Several projects work with livestock keepers (Tajikistan, Kyrgyzstan, Lesotho, Rwanda) or agro-pastoralists (Sudan, Kenya, Niger). In Niger and Nigeria, the project has benefited purely nomadic groups via NRM activities – recovery of biomass on pastoral land in the former and reducing distance to watering points in the latter. However, engaging pastoralist groups in other project processes is reported as challenging (Sudan, Rwanda), and it appears they are not benefiting from climate awareness raising or other aspects of capacity building.

Women's inclusion in ASAP

There are encouraging examples of ASAP supporting transformative approaches in project design. For example, the use of Gender Action Learning Systems (GALS)³⁵ in Nigeria, Malawi, Uganda, Ghana and Madagascar, where this methodology is scaling up; in integration of gender into operational components in partnership with a specialised agency (UN Women) in Bolivia. This observation is consistent with IFAD's assessment of its commitments to gender mainstreaming. In this, 82% of IFAD projects are rated as partial gender mainstream (target: 90%); 52% achieve gender mainstreaming (target: 50%) and only 25.6% are gender-transformative (target: 50%).³⁶

Most ASAP projects have some form of consideration to gender issues.³⁷ Encouraging examples are: Malawi, where the project design highlights inequalities in rural areas with respect to access to resources and services, and Uganda, where projects are screened using SECAP to ensure that gender, along with nutrition and youth, are integrated into design.³⁸ The Uganda ASAP used experience gained during implementation of an IFAD Gender Award Winning project, and is linked with other projects that are using

³⁵ GALS is an empowerment methodology specifically aiming to give targeted groups (i.e. women and youth) more control over their lives and catalyse sustainable gender equality. According to Gender Assessment and Learning Review – Final Report (2018), empowerment refers to the process of increasing the opportunity of people to take control of their own lives. It is about people living according to their own values and being able to express preferences, make choices and influence – both individually and collectively – the decisions that affect their lives.

³⁶ IFAD, 2017 Mainstreaming climate, gender, nutrition, and youth.

³⁷ DAI Lessons Learning ASAP Phase II_2018–19 Annual Report (final).

³⁸ IFAD, 2018, ASAP Gender assessment & learning review.

IFAD's gender tools.³⁹ More widely, the causal linkages between women's improved access to skills and assets (Intervention outputs), changes in gender relations (Intervention outcomes) and changes in income, roles and well-being for women and men in terms of gender equality (Interventions impacts), could be made more explicit in most projects design. New or forthcoming IFAD gender tools are likely to be positive for ASAP's ability to address the conditions that keep female farmers vulnerable to climate change.⁴⁰

ASAP-supported projects designs have a strong emphasis on targets for women's participation – either in project activities or in leadership roles in producer groups and community committees or both.⁴¹ The programme introduces numerous technologies that benefit women, reducing their workload, saving time, reducing health risks and establishing links between adaptation and nutrition.⁴² These include: multifunctional boreholes, homegrown gardens, cooking stoves, low labour intense agricultural techniques and watershed management techniques using biological grass strips.

At least 10 countries have registered positive results from targeting women.⁴³ Fixing quotas for women and young people's inclusion has proved useful (Tajikistan, Moldova, Niger), as has targeting female headed households, which is reported to have expanded access to and control of assets for women in Ethiopia. Self-targeting and community-based methods have proved conducive to providing project services, responding to the specific needs derived from existing gender roles, especially for female headed households (Mozambique, Ecuador, Kyrgyzstan, Bangladesh). However, there appear to be fewer activities for women in male headed households (who in many contexts make up the majority) and for young women (reported in Paraguay). IFAD's policies on targeting (2008), indigenous peoples (2009), gender equality and women's empowerment (2012) provide overall guidance to help staff and consultants integrate these issues into project design and implementation. Key methodologies, lessons and tools have been developed to support work in these areas.⁴⁴ Consideration of gender equality and women's empowerment as it intersects with other aspects of identity (such as age or indigenous rights) needs to be developed further as climate change impacts increasingly exacerbate underlying trends in small-scale agriculture.⁴⁵

Some ASAP-supported projects develop a gender strategy or adopt the gender strategy of host governments to mainstream gender.⁴⁶ Implementation guidelines are a step forward in the operationalisation of these strategies.

More work is needed to include strategic and operating links between gender dynamics, vulnerabilities to climate change impacts and capacities for adaptation; as well as to prioritise and monitor indicators identified in gender guidelines and action plans, including indicators related to empowerment.⁴⁷ ASAP-supported projects' design documents indicate that a gender analysis should be done as part of a project's early phase but, in many cases, the analysis is delayed and/or applied only to specific components instead

³⁹ IFAD, 2017, How to do note. Poverty targeting, gender equality and empowerment during project design. Gender, targeting and social inclusion <https://www.ifad.org/documents/38714170/41240300/How+to+do+note+Poverty+targeting%2C+gender+equality+and+empowerment+during+project+design.pdf/0171dde5-e157-4a6a-8e00-a2cafaa0e314> consulted in March 2020.

⁴⁰ DAI Lessons Learning ASAP Phase II_2018-19 Annual Report (final).

⁴¹ IFAD, 2018, ASAP Gender assessment & learning review.

⁴² Mozambique: Supervision Report [October 2019]; Nepal: Supervision report [March 2020]; Nigeria: Supervision report [November 2019]; Ethiopia, Niger.

⁴³ Nigeria: Supervision report [November 2019]; Kyrgyzstan: Supervision report [February 2019]; Uganda: Supervision report [September 2019]; DFID PRELNOR Uganda mission report; Ghana: Supervision report [June 2019]; Gambia: Supervision report [April 2019]; Cambodia: Supervision report [November 2019]; Cambodia: Supervision report [November 2019]; Rwanda: Supervision report [October 2019]; Laos Supervision report [April 2019]; Niger.

⁴⁴ Gender <https://www.ifad.org/topic/resource/overview/tags/gender>;

Targeting www.ifad.org/targeting/index.htm; Indigenous peoples www.ifad.org/english/indigenous/index.htm and Youth www.ifad.org/english/youth/index.htm

⁴⁵ IFAD, 2018, ASAP Gender assessment & learning review.

⁴⁶ DAI Lessons Learning ASAP Phase II_2018-19 Annual Report (final).

⁴⁷ Ethiopia Supervision Report [June 2019]; IFAD, 2018, ASAP Gender assessment & learning review.

of applying to the whole intervention. A power analysis is often lacking for the designs. The visit to Rwanda suggests that ASAP programmes are often not the only intervention that recognises the contribution women make to the success of an intervention, and therefore there may be a risk in targeting them without the wider assessment. Specific methodologies addressed to women and youth are also necessary.⁴⁸

A few supervision missions stress that a lack of gender expertise among project staff is hindering the achievement of ASAP objectives (Ghana, Côte d'Ivoire, Niger). Although most projects have a gender focal point, in at least two cases this position was filled late or closed early, suggesting a low prioritisation in project management (Bangladesh, Niger). In at least two countries (Mozambique, Laos), the presence of trained gender focal points (including at local levels) is considered necessary to ensure correct implementation, sustainability and scale-up. The support of a gender specialist is typically important in any development programme, and this is highlighted in relation to IFAD's Gender and Youth Action Plans.⁴⁹

There are good examples of ASAP-supported projects providing women with relevant and increased access to project benefits. These occur across the ASAP country, both in terms of inputs (better access to production assets, post-harvest storage options, finance for adaptation) and outcomes (increased equity in agro-sylvo-pastoral production, marketing and trade activities related to agriculture).⁵⁰ ASAP-supported projects are expanding women's access to and control over productive assets – knowledge, capital and natural resources. They have enhanced women's mobility through community infrastructure and service, and provision of sanitation.⁵¹ To achieve this, IFAD has promoted partnerships with government entities, civil society organisations and other UN agencies (Bolivia, Vietnam, Ethiopia and Niger).⁵²

Many ASAP projects have an element promoting women's economic empowerment. Some projects confront gender relations by addressing discriminatory norms and practices that may limit women's access to productive resources (e.g. land, inputs) or restrict their mobility, thereby constraining them from accessing markets, training and other business services. Gender-based violence was highlighted as an important issue to address in Uganda. Several projects reported promoting women's time-saving through the project activities. However, it is difficult to assess whether women have benefited from time-saving and reduced workloads, as well as the extent of these benefits, as the evidence is largely anecdotal.⁵³

However, examples across ASAP show that women's experience of project benefits can be blocked or quickly undermined without concerted attention to gendered norms. This is especially the case for training opportunities⁵⁴ In some cases, structural gender constraints have obstructed women's access to training. In Cambodia, for instance, it is reported women do not participate in trainings because of literacy constraints, and in Kyrgyzstan women do not wish to take part in mixed-group training sessions. Some projects include gender as a topic in capacity building and training activities for implementing partners (Ghana) and project staff (Nepal). In Ecuador, for example, the project allocates human and financial resources to mainstreaming gender equity in training activities.

⁴⁸ IFAD, 2019, Nicaragua, Mid Term Review; Ivory Coast Mid-term Review [2018]; Niger interviews.

⁴⁹ Ghana_mtr_report; Moldova supervisión report.

⁵⁰ PRODAF, Stratégie Développement équitable et autonomisation des femmes et des jeunes SDEAF/J.

⁵¹ Bangladesh: Supervision Report [April 2019].

⁵² Noted also in DAI Lessons Learning ASAP Phase II_2018-19 Annual Report.

⁵³ IFAD, 2018, ASAP Gender assessment & learning review.

⁵⁴ Kenya: Supervision Report [September 2019]; Malawi: Supervision Report [January 2019]. Comoros Supervision Report [November 2018].

Box 2: Converting inclusion into benefits in Bangladesh

Interviews with Haor Infrastructure and Livelihood Improvement Project/ Climate Adaptation and Livelihood Protection (HILIP/CALIP) participants in Bangladesh demonstrate the benefits that the interventions have brought women. The comparison between the male and female participants, however, highlights issues women have in converting them into more meaningful development goals.

In project areas approximately 10%⁵⁵ of the total households are women headed, and of these approximately 89%⁵⁶ are poor. Single females are often socially neglected and abused or harassed, and have little participation in decision-making processes in the society. The project engages these women in labour contracting societies for employment generation, including post-harvest activities such as winnowing, drying and storing paddy, and other economic activities, such as kitchen gardening, duck rearing, chicken and cattle raising. In addition, women were engaged in value chain development interventions to promote seedling generation for landscape rehabilitation and swamp forestry, farm and non-farm product development and non-farm vocational training.

The training provided to women is very popular, and new skills in tailoring, block batik, chicken rearing, duck rearing and paper box making are reported to have led to significant income gains for the women. Female trainees also mention passing on their skills to large groups of other women and starting up collectives. However, the amounts made by women are smaller than those by men, even from the same activity, and the level of scale-up far smaller. For example, a male breeder has developed a flock numbering over 1,000, whereas the women breeders have increased in tens or to low hundreds or have been reduced to zero. Similarly, several men have converted their training in a new formal business enterprise separate from the homestead, whereas for most women interviewed this was still an ambition or had been done only on a small scale.

The project has not expanded the type of activities that women engage in as training was kept within gendered norms. While this may increase the speed at which profits are realised, it is likely that the male activities are in more profitable sectors.

Nearly all of the women mention that family responsibilities have affected their ability to utilise, and in some cases nullified, project benefits. Limited time availability to sustain the benefits is the most commonly mentioned factor, but women also mention prioritising their food production for family consumption (reducing saleable surpluses). Profits are often used to pay for household expenses and to compensate for household shocks, reducing the amount reinvested in female enterprises. Other challenges faced by women include accessing raw material from Dhaka and, in one case, harassment while travelling to the training.

Male interviewees mention few challenges and none of the above. Most are focused on expanding benefits further with more training and investment. Two men who have become employers from the training mention paying women employees less than their male counterparts for the same task. This is likely a wider phenomenon linked to social and employment norms, but is an important consideration for ASAP's scale up strategies.

⁵⁵ Detailed design report.

⁵⁶ Detailed design report.

Supporting young people to adapt to climate change

Many ASAP projects promote youth inclusion or are associated with loans that do. Of 25 ASAP projects reviewed by IFAD in 2020, 14 projects were classified as youth ‘sensitive’ and the remaining 11 as youth ‘aware’.⁵⁷ Projects combine geographical-, self- and direct-targeting (such as in Kenya) to reach youth, and is reflected in high youth participation numbers in a number of countries. In Sudan Butana and Niger, for example, the majority of participants in the vocational and technical trainings are young people. In Bolivia a 50% youth quota in the entrepreneurship scheme means more young women participating, and the approach is also used in Niger and Lesotho.⁵⁸ In other countries youth targets have been achieved by default because of demographics within a targeted geographic area. There are numerous examples of opportunities created for young people, individually or through their organisations, such as enterprise development, training, capacity building, and production activities.⁵⁹

In some countries there is a specific overlap to a climate activity, such as Sudan Butana’s natural resource management initiatives. In most examples the youth related outcomes are good general capacities that are likely to support resilience capacities. For example, impacts on youth empowerment and human and social capital are registered in a number of countries, increasing their roles in community processes, and enabling them to enter the labour market.^{60,61} Although important, these actions do not directly engage young people in climate issues nor take advantage of their particular strengths.

Concerns about youth disinterest in agriculture and their low involvement in group activities are widespread and may undermine climate awareness. This is specifically mentioned in Uganda, Mozambique, Cabo Verde and Malawi, although it is likely to be more prevalent. Enterprise development and modern agriculture practices are reported to be more in line with youth aspirations.⁶² Fourteen ASAP projects have also invested in ICT initiatives, which, as well as a possible incentive, holds promise for promoting the ability to engage with informational requirements of adaptation. In Uganda, the project has been advised to use the new (and natural resource saving) technologies introduced by the project to encourage youth interest in agriculture. Although only single country example, the interviews in Bangladesh marked a stark contrast in levels of climate change awareness between farm and non-farm participants, despite the fact that the latter are still at risk of its impacts via weather and health events.

Encouraging young people into agricultural livelihoods requires a greater contextual understanding informed by climate projections. The viability of agriculture in certain areas requires more profound policy decisions than a single ASAP project could engage in. In this respect, the level of diversification offered to young people is a positive intermediate step, and already proving useful in areas where land and water resources are restricted. In Cabo Verde and Madagascar, ASAP has promoted hydroponics opportunities for young people, and in Chad, modern bee keeping practices are being adopted by young people, who in turn have diversified their products (honey-based cosmetic product). Nevertheless, support for planning climate appropriate agriculture for young people/future generations would be more influential delivered via the loan engagement in conjunction with other stakeholders.

⁵⁷ In IFAD’s assessment, a “youth-sensitive” project is one that is considered to generate long-term youth employment and/or entrepreneurship opportunities by addressing context-specific challenges and potential of rural youth. A youth-sensitive project design is one that: 1) describes youth and its context-based challenges and opportunities in the project design analysis; and 2) informs a targeting strategy that explicitly targets youth with concrete objectives and activities to achieve impact in priority areas, expressed as part of the project’s theory of change, approach and results framework. It also allocates resources to deliver activities targeting youth. A “youth-aware” project is one that has some of the above elements but not all.

⁵⁸ IFAD, 2019, Economic Inclusion Programme for Families and Rural Communities in the Territory of Plurinational State of Bolivia. Implementation Support Report.

⁵⁹ Supervision reports > Kyrgyzstan, Montenegro, Morocco, Nigeria, Sudan, Butana, DFID Mission Reports > DR Mission Report BIRDP Sudan-converted; Supervision reports > Bolivia,

⁶⁰ Supervision Report Chad.

⁶¹ Supervision reports > Sudan Butana.

⁶² Supervision reports > Mozambique.

4.2.2 Scale-up

To catalyse the use of adaptation initiatives beyond ‘exploratory, diagnostic and pilot phases’, ASAP aims to ‘drive a major scaling up of successful “multiple benefit” approaches which can increase agricultural output while at the same time reducing and diversifying climate-related risks.’⁶³ This section reviews the progress towards this objective, and describes some of the enablers and barriers to scale up.

MAIN FINDINGS

- At least 12 countries have scaled up ASAP elements beyond the farmers initially involved; a further seven are identified as having potential for the future scale-up
- The ASAP portfolio features multiple pathways for scale-up. IFAD and government processes are the most common, but scaling out from the project level may also be happening without being documented
- Increasing social inclusion is an important route to scale up
- Several challenges to scale up are found; including unsatisfactory implementation, expense, natural resource constraints and inadequate knowledge management
- The conditions that encourage scale-up through non-IFAD routes overlap with those considered important for systemic change and sustainability (see sections 4.2.3 and 4.2.4), but they are not always synonymous or mutual reinforcing

Twelve countries have scaled up ASAP elements beyond the farmers initially involved. These elements include technologies (Mozambique, Bangladesh), NRM techniques (The Gambia, Tajikistan, Sudan Butana, Bangladesh, Vietnam and Rwanda), and approaches for incorporating smallholder farmers in climate adaptation planning (Rwanda, Nepal, Nigeria).⁶⁴ In Bhutan, ASAP is transferring its climate village approach to new villages with the support of additional finance. In Mali, the ASAP-funded biodigesters were one part of PAPAM’s direct response to rural development needs, in line with national policies and strategies. They have now been scaled up under IFAD’s successor loan, MERIT (see section 6.2.1).

A further nine countries have one or more elements with recognised potential to scale. In Uganda the innovative design of linking community access roads with water harvesting structures and reforestation is considered ready to be transferred for other investment once the lessons are captured. Ethiopia, Cambodia, Moldova, Sudan Butana Integrated Rural Development Project (BIRDP), and Laos were also considered to have a useful combination of technologies, techniques and approaches recommended for wider adoption.

The ASAP portfolio features multiple potential scale-up pathways. Beyond using implementation to demonstrate viable adaptation initiatives,⁶⁵ ASAP does not have a portfolio-level strategy for how to scale up. While this is specifically noted as a draw-back in two countries, the pathways differ in relation to the context.

⁶³ ASAP Concept Note.

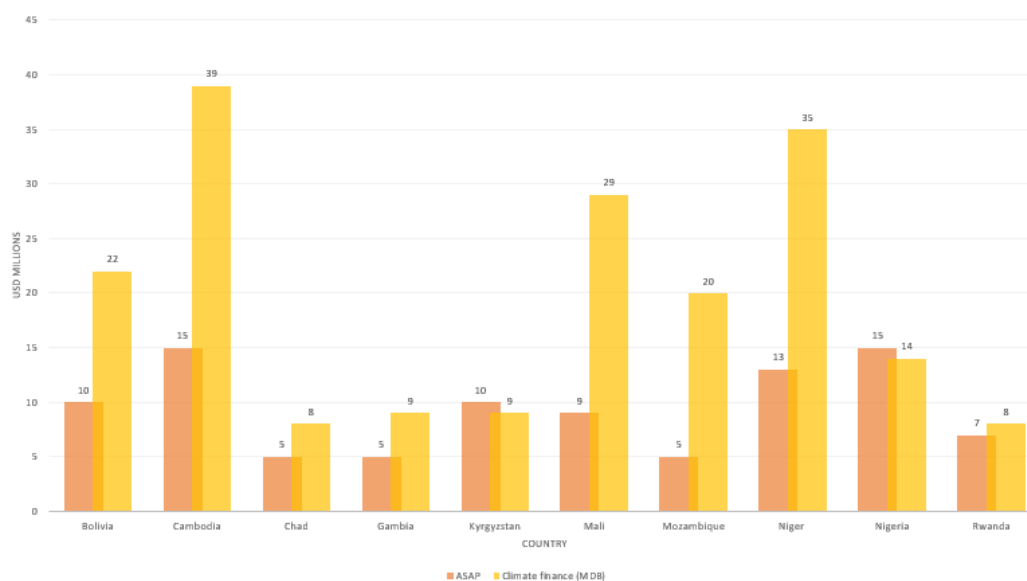
⁶⁴ It is not viable in this review to quantify the extent of scale-up in each instance because the data is not routinely captured and some are still at early stages of implementation. Figures, where available, are presented through this section. Country-focused studies in the future could calculate extent of scale-up.

⁶⁵ Only in two countries (Malawi and Sudan) does it appear that ASAP focused on scaling an initiative that has been proved in a non-ASAP project. In Malawi it has been recommended that the ASAP focus on scaling out the best practices in watershed-based approaches, agro-biodiversity and soil and water management from the GEF-fund ERASP to the irrigation schemes in the remaining 10 PRIDE (IFAD loan) areas.

4.2.2.1 IFAD processes

The most common method for scale-up is to incorporate ASAP components in new IFAD loans, which may have a larger budget and/or cover new geographic areas. Ten countries have developed new loans that incorporate elements of their ASAP. Of these, eight have been approved and two are pending approval.⁶⁶ In all but two countries IFAD-channelled funding to climate change has increased beyond the ASAP amount, and where it has decreased the amount by which it has reduced is small (Figure 2). These figures do not represent a direct comparison within any one country as the later values use, for the first time, the Multilateral Development Bank methodology for calculating climate finance, and so almost certainly contain elements that were applied under non-ASAP funding in each country’s previous loan.⁶⁷ Nevertheless, the qualitative data suggests that ASAP has been influential in demonstrating technologies and NRM techniques that have wider applicability than the grant.

Figure 2: ASAP funding versus amount tagged as climate finance in successor IFAD loan⁶⁸



The most prominent examples are Mozambique, Mali and The Gambia, which have all introduced technologies and techniques that have proved popular with their respective national governments. In Mozambique, the new PROCAVA project will transfer the multifunctional borehole innovation to central and northern provinces. In The Gambia, the design of the upcoming IFAD ROOTS project took account of lessons learnt from NEMA and a scale-up mangrove restoration, which will be rolled out via the institutional changes put in place by the first project.

Although the new loan is an IFAD process for scale-up, it does demonstrate that the national government is willing to invest in adaptation solutions when the ASAP grant is closed. Given the popularity of this route to scale up, it may be expected that other countries will follow as their ASAP progresses.

Other IFAD processes for encouraging scale

IFAD’s 4P (Public–Private–Producer Partnership) model holds promise as a seed for ‘crowding in’ (see section 4.2.2.4 Community-level processes), but how well the climate component is maintained is yet to be tested. At least five ASAP countries (Gambia, Rwanda, Mozambique, Lesotho, Burundi) use IFAD’s 4P model, bringing together Public finance, the Private sector and Producers into a partnership for a joint investment. Not all of these countries use it under the ASAP, but the example from Rwanda suggests that

⁶⁶ Approved (New loan project name): Cambodia (SAAMBAT), Chad (RePER), Gambia (ROOTS), Mali (MERIT), Mozambique (PROCAVA), Niger (PRECIS), Nigeria (VCDP), Rwanda (KIIWP1). Pending: Bolivia (CAMBIOSUR), Kyrgyzstan (RPLP).

⁶⁷ It was not possible to make an analysis at the activity level during this review.

⁶⁸ Itad MTR report, using IFAD data.

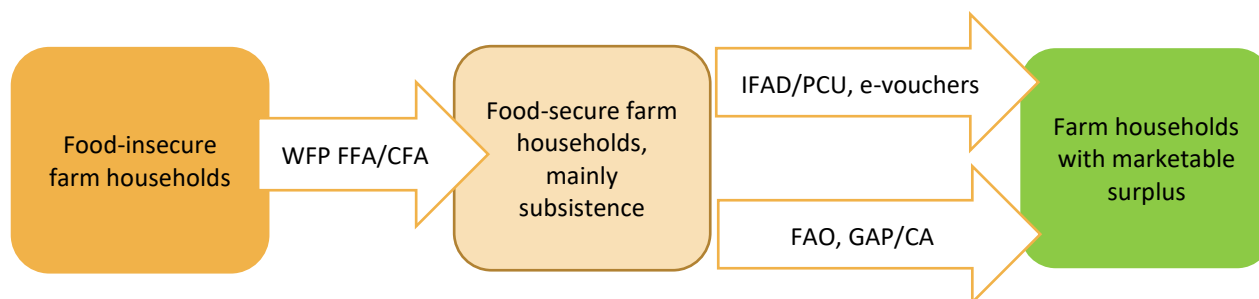
the model exposes the partners to ASAP’s climate eligibility criteria, techniques and technologies, and rewards partnerships that involve greater numbers of smallholders. The test of the model as a mechanism for scaling up climate interventions will be: (i) the extent to which the no ‘regrets’ technologies are continued when the IFAD granting ceases; and (ii) as highlighted in The Gambia, the level to which the public and particularly private partners recognise producers’ exposure to shock and their need to adapt, perhaps modifying the initial commercial relationship.

Social inclusion is an important element of scale-up, although rarely acknowledged as a strategy.

Several IFAD and external interviewees have described ASAP’s prioritisation of smallholder farmers in new and existing adaptation processes as an innovation and equating to a scale-up. At the project level, however, the category of ‘smallholder farmer’ is more nuanced. As described in section 4.2.1, ASAP works with both the poorest and most remote farmers as well as the better-off, or those closer to commercial viability. However, in most cases these approaches are kept distinct. Tajikistan, Bhutan, Lesotho and Rwanda refer to targeting more viable farmers, at least initially, to increase the likelihood that an innovation may succeed. Although many countries use demonstration models – such as lead farmers, training of trainers or farmer field visits – to share the results, these do not necessarily include activities to ensure poorer or marginalised farmers could apply them.

Only in Kenya is ASAP linked (via the loan activity) to a defined graduation pathway from food insecurity to a surplus.⁶⁹ Households at risk of seasonal food insecurity are entered into WFP’s Food Assistance (or Cash) for Assets programme (FFA/CFA), in order to smooth consumption patterns and build productive and protective assets. When they reach eligibility, farmers may enter IFAD’s e-voucher scheme and purchase subsidised inputs from an IFAD-supported network of agro-dealers. The ASAP provides support for NRM activities when farmers reach the second stage. The pathway also includes a project exit strategy, as the level of subsidy is decreased from 90% in the first year to 40% in the second and is phased out in the third.⁷⁰

Figure 3: Staged graduation of farm households the Rome-based agency collaboration⁷¹



Note: Project Coordination Unit; GAP = Good agricultural practices; CA = Conservation agriculture

The road construction scheme in Bangladesh also incentivises the engagement of the poorest groups in climate-appropriate works, and the modality itself is intended as a means of scaling up secure and direct transfer of cash payments for labour services, especially to women. Different to the Kenya model, it reverses the incentive (paying the largest amount on completion) and is applied on a shorter time frame. Interviews with landless farmers involved in the scheme show that the new roads have brought benefits to agriculture in the area, creating new interest, making harvesting more convenient, and protecting the villages from floods. Although the project supports workers to form Landless Contracting Societies, (intended to encourage their participation in other works), those spoken to so far viewed the scheme as a

⁶⁹ Uganda has also observed household graduation under the loan and ASAP cook stoves are provided to female headed households. However, the combination does not appear to be part of a strategy, as acknowledged in the Supervision Report. RCTP in Montenegro has a focus on graduation although the baseline socio-economic status of farmers may be expected to be higher than those engaged in Kenya and Uganda. The ASAP activities had not progressed beyond design stage at the latest Supervision Report.

⁷⁰ Radcliffe, D. Kenya Mission Report 2017.

⁷¹ Adapted from: Radcliffe, D. Kenya Mission Report 2017.

one-time and short-lived initiative.⁷² Furthermore, at least two groups had reduced earnings or pending payments because of construction issues, demonstrating that such schemes can pose risks to workers' capital.

Considering inclusion as a means of scaling up adaptation practices that have proved successful with better-off farmers is especially important in resource-constrained environments with high levels of poverty. The interview in Sudan, for example, refers to the challenges of scaling up when people spend a significant amount of time queuing for food. It is also recommended in Nigeria as means of scaling up the NAgripreneurs (loan activity) from literate to non-literate farmers, which would be equally applicable to climate awareness and meteorological information.

Embedding in the scale-up of non-ASAP activities appears so far to have been an underutilised pathway.

Four supervision reports note loan components that have been taken to scale by non-IFAD processes. Embedding relevant aspects of the ASAP component into this scale-up appears to have so far been partial (or at least unclearly documented) but holds promise as another pathway. In Kenya, for instance, the e-voucher mechanism (see above) is under consideration for expansion within its existing counties, nationally and internationally, but the link to the NRM activities and other climate interventions in the expanded initiative is reported to be limited. In Cambodia, Agriculture Services Programme for Innovation, Resilience and Extension (ASPIRE) has achieved national coverage with its support for financing extension work via the provincial level. The opportunity to integrate climate resilience agriculture via the provincial level is recognised but has not yet been established. In Lesotho, the IFAD-introduced breeding programme is expected to become the national pillar of animal breeding and could transform the wool and mohair production in terms of quality and productivity. However, climate modelling under the ASAP has struggled, and the links have not been made.

In Rwanda the national government has recently allocated its own budget to expand post-harvest activities – the focus of Post-Harvest and Agribusiness Support Programme (PASP) – especially the maize drying facilities, to parts of the country not covered by the loan. It will be interesting to see how many of the ASAP components are embedded in this. It may be expected that any construction of drying facilities will use the ASAP-introduced climate-sensitive building codes, and that training on drying processes will benefit from ASAP's climate support to the meteorological department, if not the more expensive direct training to cooperatives.

Lateral scale out has been limited within ASAP and IFAD projects. Although 10 countries have been willing to extend ASAP activities in a new loan, the transfer of lessons across ASAP countries is regularly described as weak. Furthermore, in Cambodia and Ghana, the connection between the ASAP grant and loan is reported as being low; this may be assumed from the countries that are promoting ecological approaches under the ASAP and reporting risks with agro-chemicals under the loan.

4.2.2.2 Government processes

There are examples of governments transferring ASAP elements to new geographic areas with non-IFAD funding. In Nepal and Nigeria subnational governments of the ASAP project area have transferred project components to other sites within their jurisdiction. In Nigeria, the Katsina state government has scaled up climate services (especially access to climate information through the Seasonal Rainfall Prediction) to all local government areas (LGA). In Sokoto the state government has approved the scaling up of interventions similar to the CASP in other LGAs and communities. Nepal has taken a two-pronged approach to scale up its Local Adaptation Plan of Action (LAPA) preparation approaches. The national government has incorporated the ASAP experience into the final draft of LAPA Revision Framework 2019, meaning its approach is now a reference point for planning in all municipalities. Second, the project has secured funding commitments for the local governments covering the 30 project sites (6% ASAP resource

⁷² 43,828 (85%) of the Landless Contracting Societies members have been trained in various livelihood and vocational training for sustainable livelihoods.

leverage) to apply the approach in all wards within their purview. However, the project has been encouraged to do more to promote uptake by local governments outside the project areas.

Although ultimately more sustainable, the time frame for scale-up is determined by government processes. In Kenya, the establishment of County Climate Change Fund (CCCF) in the ASAP 4 counties was delayed, and subsequently the financing of priority community-level investments. The CCCF shapes the investments priorities for building climate resilience, and so will be important for future scale-up of NRM activities. In Laos ASAP has identified 60 sustainable land management practices but has only replicated 30 (at the time of the Supervision Report) due to a lack of capacity in the responsible departments. This was also attributed to the project's capacity-building techniques.

Although there are few examples of governments taking an ASAP-introduced element to a national scale, progress has been made by working on policy and institution changes that will have a national bearing (see section 4.2.3 Systemic change).

4.2.2.3 Other development initiatives

Lateral scale out appears to have been an underutilised pathway, and there are few recorded instances of ASAP elements transferring to other development initiatives. The key success under this pathway is Mozambique's promotion of the multifunctional borehole technology, which has been replicated by the African Development Bank in a number of communities in southern Mozambique and encouraged adoption in Angola and Rwanda. Participatory Small-scale Irrigation Development Programme (PASIDP) II in Ethiopia was able to mobilise additional funds of USD 499,905 from a south-south technical cooperation grant, which supports the ongoing effort to enhance water use efficiency and productivity. Other countries have formally shared ASAP approaches with other actors, such as in Kyrgyzstan, in which ASAP and the World Bank (WB) have adopted elements of the other's pasture management techniques, and certain projects (Sudan BIRDP, Nepal, Egypt) are engaged in regular joint planning or knowledge sharing with other resilience actors. However, a number of reports identify that far more could be done.

4.2.2.4 Community level

Scale out of ASAP interventions is seen to occur at the community level, although its extent and consistency are not well tracked in the M&E data. In the Bolivia case study, the extent of community engagement was considered the greatest strength for scale-up and sustainability,⁷³ and a similar perspective was registered by the MTR's visit to cooperatives in Rwanda. In Niger, this was present in home-gardens and farmer field schools; however, communal management of the water resources was proving challenging and the project was looking into individual options.

A number of projects use a demonstration model through which a smaller number of community members promote the adaptation initiative to a larger group, within or beyond project areas. These range from the formal farmer field schools (The Gambia, Egypt, Laos, Niger and others), Training of Trainers (Lesotho, Kenya, Rwanda), trials at local agricultural research sites (Rwanda), to project facilitated lead farmer models (Bhutan). It is also apparent from the visit to Rwanda and interviews from Moldova that once an intervention demonstrates success at the local level it can attract significant interest in replication beyond the project participants.

The visit to cooperatives in Rwanda found a number of unintended positive scale out pathways:

- **Project recipients sharing the results of the programme, often in a formal process:** For example, a cooperative that received 25 water tanks has set up a scheme whereby recipient households paid into a fund to buy further tanks. The cooperative management expected to reach all 125 members in five years and had set up an accountability mechanism to demonstrate progress. In other sites, the cooperatives had set up credit mechanism for those unable to pay for services they now considered

⁷³ CIAT (2019) 'Evaluating ASAP projects under the lens of a climate-resilience sensitive programming evaluation framework'.

essential, such as crop insurance (not an ASAP initiative). This approach is also in use to scale up ownership of breeding pigs in Cape Verde.

- **Greater demand for climate solutions:** All visited sites that had trained on weather information were making informed requests for additional support of their agricultural extension workers based on known options. This used the closer linkages to extension workers and Rwanda Agricultural Board (RAB) built by the project.
- **'Crowding in':** A community group becomes a viable partner, creating interest from businesses, development actors and the government, who add components to a popular initiative and may transfer the lessons elsewhere. This is also experienced in Bhutan, where the government recognised the success in ASAP villages and introduced additional services.

4.2.2.5 Challenges to scale-up

Approaches to knowledge management are regularly considered a barrier to the scale-up of ASAP interventions. Few countries appear to be using knowledge management strategically to promote scale-up of ASAP or loan initiatives. The best examples are Laos, Bhutan, Cape Verde and Djibouti; the latter especially is reported to have a good annual plan linked to objectives, management actions, and dissemination strategies based on audience and media channel analysis. The majority, however, appear to be doing standard or no knowledge management, and this is directly associated as a barrier to scale up of promising initiatives in five countries.⁷⁴ Knowledge management for technical implementation appears to be applied better, and in more countries, and useful for disseminating approaches to project participants. However, many supervision reports recommend that the capture of technical information should be improved in a way that could support governments adopt (for example, cost-benefit analysis, inventories, social and environmental impact studies), and is considered a negative for sustainability.

The lack of knowledge management in ASAP was noted by many interviewees, and with broader consequences than slowing scale-up processes. Particular gaps include a general understanding of the activities across the portfolio and the major lessons from their implementation. Although the Advantage series developed early on in ASAP's timeline highlights themes across the projects, it is based on design information and has not been following up with achievements, challenges or new themes. Ad hoc knowledge transfer has been conducted – regional learning visits, for example – but these appear to be on a small scale (compared to the portfolio) and opportunistic based on sharing good examples rather than systematic knowledge management for implementation success.

In a number of cases scale-up is held back by implementation challenges. Although there are multiple pathways to scale up in ASAP, they are nearly all contingent on proving a successful model or technology before expanding its usage. Six supervision reports identify implementation problems, in either or both of the loan and the ASAP, that have prevented scale-up in the country. In most cases the problem is a delay in implementation, which, recognised in at least two countries, holds the promise that scale-up will be unlocked once activities are implemented. However, some reports note the consequential effects of delays, identifying poor sequencing and missed opportunities to scale up NRM techniques.

⁷⁴ This number does not include those countries where the implementation has not started. See next paragraph.

4.2.3 Systemic change

Beyond the wider application of adaptation techniques, ASAP aims to improve the national and international architecture related to smallholder farmers and climate change. It has two forms of interventions for doing so: policy dialogue and support for institutional change. These are applied globally, within the project countries, and also cover the internal influence on IFAD.

MAIN FINDINGS

- ASAP has increasingly supported IFAD's engagement into global frameworks, partnerships and climate change agreements under the UNFCCC
- More than half of the ASAP projects support the development and/or the implementation of agricultural and climate-related policies, plans and regulations
- The provision of technical assistance and the support to institutional arrangements have been key incentives to strengthen the institutions' capacity to engage on climate-related issues
- ASAP has allowed IFAD to embark on a climate mainstreaming agenda and partnership building

4.2.3.1 Policy dialogues

More than half of the ASAP projects support the development and/or the implementation of agricultural and climate-related policies, plans and regulations. The bulk of the ASAP's support has been channelled to government agencies. Complementary to the central governments, these bodies have contributed to a range of inclusive bottom-up successful approaches.

In Madagascar for example, ASAP contributes to the implementation of Malagasy land reform aimed at decentralising land management by supporting a network of communal land offices responsible for assigning property certificates and developing territorial and municipal plans, which in turn contributed to the successful development of communal development plans and municipal development schemes. Sharing the knowledge gained from this experience, ASAP supported a regional workshop gathering African land institutions dedicated to securing community land rights in Africa.⁷⁵ In the same vein, in Mozambique, ASAP funded the development of District Adaptation Plans and supported government institutions to implement a participatory land registration and land certification process.⁷⁶ It has also supported farmers' associations and value chain platforms, which has resulted in a critical increase in production. The experience gained informed IFAD country programmes working on securing land tenure rights and community-based natural resource management, and in turn has bolstered the IFAD country programming process.

In Tajikistan, ASAP supported the revision of the 2013 Pasture Law by strengthening the operational and organisational capacities of the Pasture Meliorative Trust (PMT) institution. This critical support enabled the PMT to contribute to an inclusive policy dialogue process resulting in the adoption of a new law approved in June 2019. Measures are now envisaged to mitigate the impact of the project's closure on the PMT's operations as the lack of personal and alternative resources may hinder the PMT's future capacity to fulfil its mandate. In Kenya, ASAP has been successful in creating awareness around the need for county governments to allocate a percentage of their annual budget to fund climate adaptation and to create County Climate Change Funds for this purpose. In Nepal, ASAP supports the development of Local Adaptation Plans (LAPAs) implemented by the Ministry of Forest and Environment to deliver on the

⁷⁵ The workshop took place in May 2019 and was co-organised by the Rights and Resources Initiative, the International Land Coalition, and the 'Solidarity of land stakeholders' organisation, in collaboration with the Malagasy Ministry of Regional Planning.

⁷⁶ Land tenure regularisation and security is high on the agenda of the Government of Mozambique (and its development partners) as illustrated by its ambitious programme entitled Terra Segura, which has as its goal the issuing a total of 5 million land certificates and 4,000 community land delimitations. COSOP Republic of Mozambique 2018–22.

National Adaptation Programme of Action. The LAPAs currently serve as reference documents for local government planning. In Vietnam, ASAP contributed to the successful establishment and institutionalisation of climate-informed socio-economic development plans at the communal level and to support the Department of Planning and Investment in integrating climate change into two consecutive provincial socio-economic development plans (2016–20 and 2021–25) – thereby demonstrating ASAP’s potential for long-term policy impact. The opportunity for a wider replication seems to have been seized as various LGAs have developed consultation-based socio-economic development planning.

In a range of countries, ASAP policy engagement centres on technical rather than strategic issues.

Rwanda has supported the design specifications for climate-resilient warehouses, which have been incorporated in the Rwandan Building Code as a national standard. In addition to the climate-smart demonstration warehouses supported by ASAP, additional warehouses funded solely by the Ministry of Agriculture (including beneficiaries’ contributions) have followed this design. Further work is now required to institutionalise the new codes and standards and ensure adherence to them by local contractors. In Nicaragua, ASAP has contributed to the production and dissemination of climate-resilient technologies, certifications and agro-climatic information with an emphasis on disease control. This support has helped the implementation of national strategies related to coffee and cocoa production. One critical output of ASAP’s support has been the establishment of a census and registration process for the families producing cocoa.

ASAP has enhanced the capacity of community groups, providing them with the skills to allow representatives to (i) reflect on priority issues; (ii) interact with policy-makers and interested parties; and (iii) participate in national/local policy dialogue and change. ASAP has played a significant role in supporting community-based land mapping, for example, and has tended to effectively incorporate in this approach the knowledge and experience of those communities affected by land- and natural resource-use decisions. In Bolivia, georeferenced ‘talking maps’ have been developed on the basis of scientific data and traditional community knowledge in order to identify issues and adaptation priorities. The participation of the communities in mapping exercises has empowered the natural resource users to take a more active role in exploring resource management issues and contributing to their responses. In Mali, ASAP has strengthened the capacity of smallholder farmers to collect, analyse and disseminate climate information through better access to seasonal weather forecasts, while communal adaptation plans have been integrated into local development plans. In Sudan, climate-resilient community village plans have been developed and an annual mapping exercise is carried out concerning fodder resources in order to provide timely information to herders about the overall availability and quality of animal fodder.

ASAP has increasingly supported IFAD’s engagement into global frameworks, partnerships and climate change agreements under the UNFCCC. These efforts are commendable, but do not appear to be organised in a strategy to ensure the programme’s lessons further international dialogue on adaptation practice.

In the framework of the Nationally Determined Contributions (NDC)-partnership, ASAP contributes to the Thematic Working Group on Agriculture, Food Security and Land Use and promotes the place of agriculture in the UNFCCC processes and NDCs implementation. It also contributes to the National Designated Authorities Partnership platform to promote policy dialogue, the agenda for environmental and climate finance with a focus on smallholder agriculture, and capacity building in climate finance programming. ASAP supports the Learning Alliance for Adaptation in Smallholder Agriculture set up in 2015 to produce and disseminate evidence⁷⁷ in high-level forums such as the COP22 and COP23, South–South events and research projects. Flagship publications include for example country assessments (Rwanda, Mali and Nepal); assessment of ASAP gender-transformative approach; or research on economic

77 IFAD–CGIAR Research Programme on Climate Change, Agriculture and Food Security (CCAFS).

valuation (Nicaragua, Uganda and Vietnam). The Alliance is currently stepping up its efforts to ensure the uptake of its products at national and regional level.⁷⁸

Finally, IFAD has committed to investing a quarter of its PoLG (2019-2021) in climate-focused activities; last year the Fund adopted the Multilateral Development Bank (MDB) Methodologies⁷⁹ to monitor progress towards this target. In this framework, ASAP data feed IFAD's reporting and working groups' discussions around tracking adaptation finance. Eleven country strategies have been approved under IFAD11 with the main NDC priorities included and classified according to MDB methodologies (e.g. Rwanda country strategies provide a great depth of detail on NDC priorities) and ten adaptation sectors have been referenced – crop and food production being the most commonly mentioned.⁸⁰

4.2.3.2 Institutional change

At country level, the provision of technical assistance and the support to institutional arrangements have been key incentives to strengthen IFAD's capacity to engage on climate-related issues and ensure a more effective implementation of climate change related policies.

In The Gambia, ASAP supports the rolling out of a National Climate Change policy adopted in 2016 and more specifically the launching and institutionalising of the agencies outlined in the policy (i.e. the National Secretariat and National and Regional networks) and the structures which can critically contribute to the implementation of the policy – using for example the schools as entry points to target the youth. ASAP has also been instrumental in facilitating the revival of a National Climate Change Committee whose platform serves to encourage complementarity and synergies. In Mozambique, ASAP enhances the capacity of the Centre for the Promotion of Agriculture (CEPAGRI) to mainstream climate change issues in the work of the Ministry of Agriculture and Food Security and better anchor climate change adaptation in its PROSUL (Pro-poor Value Chain Development Project in the Maputo and Limpopo Corridors) programme. A key element of ASAP's support entails the placement of a fully dedicated project management team within the CEPAGRI Delegation in order to facilitate project supervision and fieldwork in a dynamic and proactive manner.

In Bangladesh, ASAP relies on the expertise of government-run vocational training institutions and local-level private sector actors. A situation providing what appears to be an effective model as the trainers are also the businesspeople involved with the same trade and/or product and thus potential employers of the skilled trainees. Standardisation of training hours of different courses and the delivery of training certificates has had positive outcomes in terms of job placement opportunities and is a positive feature promoted by the Local Government Engineering Department national counterpart.

The project has also formed a consortium comprised of: i) Bangladesh Meteorology Department (BMD) ii) Institute of Water and Flood Management (IWFM), iii) Institute of Water Modelling (IWM) and iv) Flash Flood Warning Centre (FFWC) for collaboration to develop an effective weather and flash flood forecasting and early warning system. Each of consortium member provides information in line with their mandate. For example, BMD transfers its weather data automatically to IWFM, IWM and FFWC. IWFM constructs its flood forecasting model as a research initiative to lay the foundation for developing a Bangladesh specific model. In order to institutionalise the collaborative mechanism/process and bring changes in institutional delivery system in coordination, the project has been providing technical assistance in terms of training, technology, knowledge management.

ASAP has allowed IFAD to embark on a climate mainstreaming agenda. Although ASAP's effects on IFAD's internal processes was not within the remit of this review, it is clear that ASAP has made

78 Report on the review of the learning alliance for adaptation in smallholder agriculture. Julia Ekong. March 2018.

79 Since 2011 six MDB jointly report on their programmed climate finance using the MDB Methodologies: the African Development Bank; the Asian Development Bank; the European Bank for Reconstruction and Development; the European Investment Bank; the Inter-American Development Bank; and the Islamic Development Bank.

80 IFAD Mid-term of the Eleventh Replenishment Report. IFAD12/1/R.2. January 2020.

noteworthy contributions to integration climate considerations into IFAD's policies and frameworks⁸¹ and strengthen its institutional capacity.⁸² The programme has also provided an incentive to systematically analyse and address climate-related risks in the design and implementation of country programmes: Country Strategic Opportunities Programmes (COSOPs) are used as tools for policy engagement at the nexus between environment, climate change, social inclusion, development and associated financing; the Social, Environmental and Climate Assessment Procedures (SECAP) have been mandatory requirements since 2015; climate markers have been integrated into IFAD's quality assurance protocols; and climate adaptation indicators into IFAD's Results and Impact Management System, to cite a few examples.

The added value of ASAP to IFAD was recognised by an independent review in 2015.⁸³ Although not a core-focus of this 2020 review, the benefit of increasing staff knowledge on climate change is evidenced in many of our interviews and visits. Anecdotal evidence suggests that ASAP's external 'brand' has not yet reached the level of recognition anticipated. Based on this MTR's observations, many of the strengths and weaknesses of the ASAP model identified in the 2015 review are still relevant in 2020. For example, the separate grant process requires dedicated administrative and monitoring and evaluation at HQ and project level. However, given the size of the investment in ASAP, and the uniqueness of the technical service in IFAD, these are still justifiable in the near- to mid-term, and the costs will be comparatively small if they eventually encourage the full organisation and government partners to only support agriculture intervention appropriate to the adaptation and mitigation objectives outlined by the UNFCCC. The reduction in the number of staff dedicated to ASAP's knowledge management function has decreased the non-project costs but has likely slowed this process.

Beyond mainstreaming climate, ASAP contributes to strengthen IFAD's case for being the lender of choice in an international financial landscape where developing countries are increasingly able to borrow from private financial markets for investments that are within IFAD's mandate. ASAP2 raises the imperative to be more financially independent from the fluctuations of bilateral financing and leverage more investments.⁸⁴ However, access to public climate financing mechanisms proves to be challenging in a global finance climate architecture characterised by a large degree of heterogeneity, stiff competition, and need for greater coordination. This access also proves to be challenging in terms of ensuring that an inclusive process engages all the stakeholders at national level while at the same time adhering to in-house⁸⁵ and Climate Funds complex procedures.

In this context, increased resources and expertise have been mobilised to access supplementary funds; strategic partnerships have been either initiated, with the Green Climate Fund,⁸⁶ or strengthened with the Adaptation Fund⁸⁷ or the Global Environment Facility, where the share of the IFAD portfolio has remained very limited, compared to other UN agencies, during the last decade.⁸⁸

⁸¹As is seen in the Strategy and Action Plan on Environment and Climate Change 2019–25 and the Strategic Framework 2016–25.

⁸² Notably with the establishment of an Environment and Climate Division, now the Environment, Climate, Gender and Social Inclusion Division.

⁸³ ODI (2015) Review of the ASAP Programme.

⁸⁴ The target by 2025 is mobilise up to USD 500 million in supplementary climate finance in IFAD 11 and IFAD 12 (at least USD 200 million during IFAD 11).

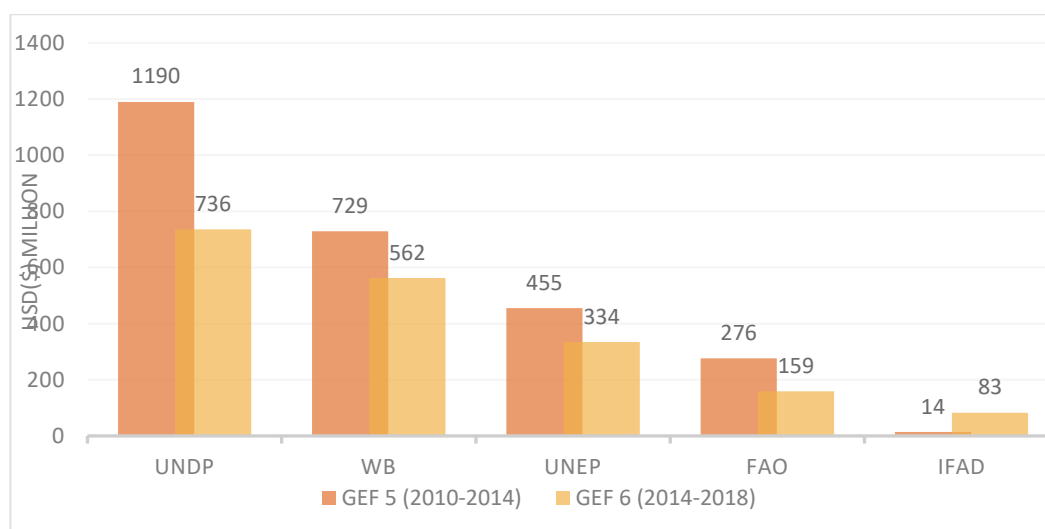
⁸⁵ 'It is difficult to iron out everything when we start, especially with climate funding. Right now, the MTRs are the mechanism to allow the implementation to adjust.' This quote, captured during the field phase, summarises the views from a range of interviewees.

⁸⁶ Two projects have been approved in 2019 in Belize (Be-Resilient) and in Niger (Inclusive Green Financing for Climate Resilient and Low Emission Smallholder Agriculture) for a total budget of USD 18 million while nine are in the pipeline.

⁸⁷ From 2012 to 2018, two projects were submitted to and approved by the Adaptation Fund Board. In 2019, IFAD has enhanced its collaboration with the Adaptation Fund, resulting in three projects approved (20.5 million). IFAD Climate Action Report 2019.

⁸⁸ Under the GEF-7 portfolio, three projects have been approved (USD 16 million), and nine projects are in the pipeline. Ibid.

Figure 4: Funding GEF 5 and GEF 6 by agency (USD million)⁸⁹



ASAP supports a range of initiatives to leverage co-financing: regional workshops⁹⁰ have, for example, been carried out to engage with authorities responsible for climate finance and build linkages with the NDAs. These workshops contributed to IFAD’s present business model, increase awareness on the need to channel climate finance in the agriculture sector, identify priorities that enhance IFAD investments, and support the programming of climate finance.

In 2018, a Memorandum of Understanding has been renewed by the Rome-based agencies; however, joint contribution to ASAP objectives at country level remains scarce and only a few examples are reported – in Lao PDR where the Rome-based agencies implement the Food Security & Nutrition and Market Linkages Programme, and in Kenya in the framework of the Cereal Enhancement Programme and Climate-Resilient Agricultural Livelihoods Window. In both countries, efforts are made to deliver a common message to government counterparts despite challenges in ensuring consistent joint programme planning and implementation.

The experience gained with ASAP has helped to position IFAD as a lead agency for the set-up of a number of pilot initiatives such as the Food Security Integrated Approach Pilot programme targeting 10 million ha of production landscapes with two to three million beneficiary households in the dryland ecosystems of 12 African countries. The Integrated Approach Pilot benefits from an ASAP–Global Environment Facility (GEF) co-financing in Niger, Kenya, Ethiopia and Malawi. Still, at the regional level, ASAP contributed to the set-up of the West African Initiative for Climate-Smart Agriculture (Lab WAICSA) launched in partnership with the Global Innovation Lab for Climate Finance. Expected to be launch in 2020, WAICSA is a blended finance mechanism initiated by the Commission of the Economic Community of West African States to support the uptake of climate-smart agricultural practices through the provision of grants for technical assistance, subsidised-rate loans, and guarantees and equity investments for smallholder farmer organisations and agricultural businesses.

4.2.4 Sustainability

Transformational change is considered to become sustainable when adaptation for smallholder farmers becomes:

1. Normalised as a routine practice for all relevant actors in a system

⁸⁹ Source: GEF PMIS.

⁹⁰ The last IFAD-NDA Partnership and Climate Finance workshop took place in Senegal in February 2020.

2. Generates sufficient resources to continue its application and further adaptation
3. ... and both 1 and 2 are maintained despite environmental, political, economic, social or other forms of shocks

ASAP does not set these as its portfolio goals,⁹¹ and nor would it be realistic for one agency to achieve them alone or in the time elapsed under ASAP so far. The signals of scale-up and system change above are considered the totality of the achievement in these areas so far and may become sustainable if continued on a positive trajectory.

Sustainability is considered here at the intervention level and this section examines the signs that the technologies, techniques and approaches introduced by ASAP are likely to continue. Given the threat and uncertainty in climate change, sustainability is not treated here as an irreversible end point, but a stage reached by which the interventions have sufficient capacity to be reasonably expected to maintain despite a shock. As ASAP combines interventions at the policy, institutional and financial levels it is possible to consider the progress towards a sustained transformational shift in adaptation support and reflect on what else is needed.

MAIN FINDINGS

- There are early indications of sustainable initiatives via community management
- Community contributions bode well for sustainability but bring certain risks for adaptation
- The sustainability of 'hardware' solutions is not guaranteed because adaptive capacity is not yet assured
- Attention to exit strategies appears mixed

There are encouraging signs from the older or closed projects that ASAP has built community ownership of adaptation technologies and NRM techniques. The Gambia, Rwanda, Mali and Kyrgyzstan report positive results from encouraging ownership of activities in strengthened community organisations. The final report from The Gambia considers that mangrove restoration is likely to expand, and communities will continue to use the compost chambers to produce biological fertilisers and neem for plant protection. This is attributed to the popularity of the activities and the project's formalisation of the hand-over process, with training provided to local groups in organisational management, infrastructure repairs and sustainability planning.

Each time a site is officially handed over to a contractor in presence of the VFA [Village Farmers Association] and their leaders, sub-committees specific to the type of intervention are then formed WUG [Water Users Group], Mangrove committee, etc., which always includes a member of the VFA). The committees are then provided with relevant trainings, equipment and material support. Supervision Report

In Mali, PAPAM capacitated 152 producer organisations benefiting from the irrigation infrastructure and sub-projects. At the time of the mid-term report, 114 (75%) were functional and held a maintenance fund. The producer organisation opened an account at the decentralised financial system level with a contribution of approximately 130,000 FCFA per infrastructure, intended for maintenance and management. Similar to Kyrgyzstan, the Supervision Report in Mali considered these structures themselves to be nascent and requiring time and support to ensure their sustainability; however, a number were sufficiently set-up to comply with the national act governing the operation of producer

⁹¹ Sustainability in the ASAP portfolio is largely defined as an agro-ecological capacity, the objective of improved natural management techniques. It is not described as an objective for the activities themselves, and still less the project(s) as a whole.

organisations. The Kyrgyzstan and Djibouti reports highlight the need for assured funding to the groups. As in Rwanda, trained groups generated increased income from membership and other fees as a result of the IFAD/ASAP intervention, but this may not be sufficient, or prioritised for NRM, if project funding ceases.

In Niger, project activities are covered by several local governance mechanisms, including surveillance committees, management committees, village M&E committees, water users' associations, although some need adjustments to reach their full potential. The village M&E committees are a cornerstone of PRODAF's M&E system. They are relatively expensive but considered by the project to be an important means to measure impacts at the household level. Whether this mechanism becomes a systemic change depends on (i) communities' ability to link their M&E with local development plans and to community development strategies; and (ii) whether the participatory M&E processes can empower the whole community – including women and young.

Some form of ownership by local groups is present in many other ASAP projects and can be expected to improve the chances of sustainability if set up properly. There are several examples in ASAP of these groups having a low understanding of the maintenance requirements and the expectations on members, suggesting that the approach is not consistently applied across the portfolio.

IFAD's policy of requirements for beneficiary contribution to all projects appears to generate a level of buy-in to the loan, although the components important for adaptive capacity are not directly leveraged this way. All but two countries have some form of contribution. Although the greater part of these contributions may relate to the core IFAD project in a country, they also include contributions to climate change adaptation technologies via the ASAP components. It is difficult to isolate the precise amounts from the data, and, given the overlap between the ASAP and the loan, may not be revealing.

Six supervision reports refer to the community contribution as a positive for beneficiary engagement and prospects of sustainability, and in a further two the absence of a contribution is considered a negative. It is also noted in four reports that the beneficiary contribution is poorly captured by the project and likely under-reported. A case study of ASAP in Bolivia noted the recognition of beneficiaries' contribution to be an important factor in increasing the popularity of the initiative.⁹²

Beneficiaries do not make a financial contribution to the soft skills in ASAP, such as climate awareness raising, planning, information services and NRM support, and so the sustainability of these activities is not directly leveraged by monetary investment. (However, the time investment in attendance and travel can be substantial, as found in Kenya and Bhutan.) The visits to cooperatives in Rwanda suggest that the knowledge and skills can be sustained if linked to a community's investment. In the visited examples, the communities were applying adaptive capacities to the natural resource covered by the investment – for example, monitoring and distributing precipitation projections so that rainwater harvest tanks were properly used for maximum storage; applying, and training others on, daily and seasonal meteorological information so that the community could produce sufficient maize to justify the new warehouse; and, continuing the testing and sharing of potato varieties to make use of an improved seed bank. In all examples the natural resource was linked to an income source and, for the maize growers, new buyer contracts, which further necessitated and incentivised the use of the adaptive capacities (see 'Crowding in' in section 4.2.2 Scale-up).

The risk inherent in the community contribution is mentioned in the Kenya Supervision Report, where poorer participants sold assets ahead of the agricultural season to buy into the scheme. This weakens both adaptive and absorptive capacities, as well as making sustainability for these groups very unlikely. The risk is seemingly smaller in the countries where the contribution is made in-kind (Ethiopia, Nigeria, Moldova), or minimal if covered by a municipality (Montenegro). Taking loans to build the contribution (Rwanda) allows communities to retain assets to deal with a stress or shock, but adds a further layer of

⁹² CIAT (2019) 'Evaluating ASAP projects under the lens of a Climate-Resilience Sensitive Programming Evaluation Framework'.

risk if productive assets are severely disrupted. Participant contribution is also a potential exclusionary factor, as highlighted in Bolivia and Kenya.

It is not possible to assess how sustainable the ASAP-introduced 'hardware' will prove to be. In most ASAP countries the infrastructure, technologies and equipment are relatively new and covered by people still engaged in the project, such as community groups, IFAD field staff, and/or government agencies. Certain sustainability issues have been raised in several supervision reports, but there is still time to correct these (if they have not been already), and it appears that supervision missions often propose relatively simple measures that, in many cases, would add to the number of benefits derived from the technology.

Details of access and costs for technological inputs and parts are not systematically captured in the supervision reports and are likely to be context specific. In the interviews and visits conducted, ASAP had introduced technologies that had relatively good local availability, even for solar energy systems in rural Rwanda. The example of the prohibitive costs associated with the smart drip irrigation schemes in Mozambique was provided recommendations on local materials and suppliers by the Supervision Report. Bangladesh provides a good example of ASAP seeking to overcome the cost-hurdle by testing the 'value for money' of a range of innovations and presenting the results in 20 dissemination workshops. The project's intention is to demonstrate to the government which innovation could be supported, either with national public finance, the mobilisation of private investments and external remittances, or climate change funds. The HILIP/CALIP project has will also develop a framework for pro-poor adaptation pathways which it intends to become an instrument for policy dialogue.

The greater focus on hardware compared to adaptive capacity (see 5.1 Relevance) presents a general concern for the sustainability of the former as it cannot be assured that the owners will be able to recalibrate, replace or even abandon the technology should climate change events happen differently to expected. The limited downscaling and updating of ASAP climate-vulnerability mapping contributes significantly to this concern, and there are examples in ASAP of infrastructure already being weakened by weather events that are projected to worsen in the coming years.

We talk about putting in climate-proofed infrastructure and I say to myself are we really calling it that? Because we don't know what's going to happen. And we might put it in infrastructure that's good for five years, and then it comes useless. Is there something that we can do that makes that a particular thing perhaps more adaptable by thinking further ahead? And that's where it becomes a challenge. Interviewee

A positive signal is that the hardware introduced does appear to be directly associated with improved income sources and other benefits. If these continue despite shocks and stressors, it is likely that management groups will recycle profits in the modifications and forego cheaper, less environmentally friendly options.

Bangladesh is a good example of pursuing sustainability by offering multiple benefits to farmers. CALIP reduces the impact of wave action through the re-establishment of village forestry across the landscape using locally found hydrophytes (plants adapted to grow in water). This intervention serves the dual purpose of promoting ecosystem conservation and slope protection, reducing flood impact on roads and *haatis* (sub-village level homestead area) while providing local raw materials for enhanced livelihoods opportunities.

Attention to formal exit strategies is mixed. Nine of the IFAD projects had a written exit strategy at their last supervision mission, but 13 had an inadequate strategy or none. Of those that did not have a strategy, three were recognised as undertaking actions consistent with a suitable exit of the project.⁹³ The exit

⁹³ In a further two it is not possible to tell whether the project has a strategy.

strategies referred to in the supervision reports apply to the IFAD loan, and only in one case (Nepal) is it possible to see specifically how IFAD intends to move out of the ASAP project. Nevertheless, the overlaps between the two mean that the loan's strategy is likely to cover aspects, if not all, of the ASAP project.

Djibouti presents the clearest case in which the lack of exit strategy creates risk for the project achievements (mangrove restoration). Eighteen months before the end of the project, the Supervision Report recommends a multidimensional plan for handing-over by building the capacities of government entities and community groups, and generating resources through fishery market chains, beneficiary contributions, donor funding and credit agencies. Different to the community governance model in Niger and elsewhere, the Supervision Report suggests that the mangroves are so precious they require government protection.

5 Theory of change and M&E system relevance

5.1 How relevant is the theory of change seven years after ASAP's starting point?

The overarching goal of ASAP is increasingly relevant and urgent. The most recent Intergovernmental Panel on Climate Change (IPCC) assessment highlights the effects expected even in the most ambitious scenario of limiting global warming of 1.5°C:

The impacts of 1.5°C of warming would disproportionately affect disadvantaged and vulnerable populations through food insecurity, higher food prices, income losses, lost livelihood opportunities, adverse health impacts and population displacements [...] Some of the worst impacts on sustainable development are expected to be felt among agricultural and coastal dependent livelihoods, indigenous people, children and the elderly, poor labourers, poor urban dwellers in African cities⁹⁴

Based on current emissions trajectories, global warming to 1.5°C is expected between 2030 and 2052.⁹⁵ The adaptation requirements are projected to increase significantly, and become more challenging, in a 2°C scenario.⁹⁶

Overall, ASAP activities and outcomes are relevant for building adaptation and resilience of project participants over the long run. Projects are designed with context in mind, with ASAP funding used to enhance existing agricultural interventions and make them climate-aware and adaptive. There is evidence that project interventions are in line with IFAD priorities, and on the whole are also in line with national priorities.

It is difficult to determine how the project activities, working together, lead to outcomes. Outcomes are difficult to ascertain from the monitoring data (ORMS and ASAP indicators) as many indicators stop at the output level. They tend to focus on what has been delivered rather than uptake, usage, and intermediate and higher-level well-being outcomes. Output indicators are appropriate for the majority of projects at the programme's mid-term; however, it would be of value to consider processes and outputs beyond delivery in at least three areas:

⁹⁴ IPCC, 2018: Global Warming of 1.5°C. An IPCC Special Report on the impacts of global warming of 1.5°C above pre-industrial levels and related global greenhouse gas emission pathways, in the context of strengthening the global response to the threat of climate change, sustainable development, and efforts to eradicate poverty [Masson-Delmotte, V., P. Zhai, H.-O. Pörtner, D. Roberts, J. Skea, P.R. Shukla, A. Pirani, W. Moufouma-Okia, C. Péan, R. Pidcock, S. Connors, J.B.R. Matthews, Y. Chen, X. Zhou, M.I. Gomis, E. Lonnoy, T. Maycock, M. Tignor, and T. Waterfield (eds.)]. World Meteorological Organisation, Geneva, Switzerland, 32 pp.

⁹⁵ Ibid.

⁹⁶ Ibid.

1. The intermediate outcomes of NRM and infrastructure uptake, such as crops in use and improved productivity (discussed in the next section).
2. Whether ASAP's climate messaging leads to a raised awareness among project participants and public service providers that climate change is a long-term process requiring further and ongoing adaptation. Whether raised awareness leads to the adaptation of practices should be tested in longer running projects, in contexts where baseline levels of awareness are high, and/or as a post-hoc measure.
3. Going beyond ASAP's 'active contribution' to international and national dialogues to assess and explain the specific changes in the support system for adaptation to which ASAP contributed (see 'Measuring System Change' below).

The theory of change underlying ASAP needs a sharper focus on how projects enhance adaptive capacity and resilience. A key consideration is the balance between: (i) the programme's desire to address community's current needs; and (ii) the need to build community awareness of climate change impacts as a long-term challenge. Addressing immediate need is important: farmers must be interested in what a project has to offer in order to participate and be able to pilot adaptations with low risk and minimal outlay. However, it is only the longer-term adaptive processes that distinguish ASAP as a climate change programme, rather than purely NRM or livelihood intervention, and they are key to the sustainability of the project's innovation. There are good examples in ASAP of projects meeting immediate needs and using technology/infrastructure to capture interest and build climate knowledge, and this could be developed into a more coherent pathway/strategy in the theory of change.

A second consideration is targeting: ASAP does not provide clear advice on whether and when to follow IFAD's core purpose of working with the poorest, or where initially working with better-off farmers is required to prove an innovation before scale out. There is a strong focus on the economically active and approaches to getting up the ladder in terms of a 'hanging-in, stepping-up, stepping-out'⁹⁷ livelihoods approach. ASAP-supported projects vary in the extent to which they engage with gender norms, roles and relations, and support gender equality and women's empowerment.

The theory of change and the results framework contain ambiguity as to whether results are (or should be) achieved directly or via scale-up. ASAP's Concept Note places as much emphasis on the scale-up objective as the number of people reached, and this is arguably a unique selling point for ASAP among the funds that focus on project implementation or pilots. It is not clear from programme design documents and interviews,⁹⁸ however, whether the overarching goal⁹⁹ or any of the five outcome areas that represent direct benefits to farmers¹⁰⁰ are to be delivered by the project's resources or as a result of government, community and/or private sector adoption. The ambiguity has two potential implications:

1. Given sufficient resources and achievable numerical targets, a project may aim to fulfil its contribution to ASAP's high-level goal via direct delivery, cutting out a major pathway in the ASAP theory of change and risking the sustainability of the intervention. This has occurred in several slower starting projects that were encouraged to prioritise delivery in order to catch up.
2. Alternatively, a project may choose more ambitious numerical targets and expect to reach these later on in the project via the long-term engagement of future owners and promoters of their intervention. Their results are subject to the time frames of others, and the SPIU may find it difficult to realise results within the project window.

⁹⁷ Andrew Dorward, Simon Anderson, Yolanda Nava Bernal, Ernesto Sánchez Vera, Jonathan Rushton, James Pattison & Rodrigo Paz (2009) Hanging in, stepping up and stepping out: livelihood aspirations and strategies of the poor, *Development in Practice*, 19:2, 240–7,

⁹⁸ That projects are only required to report to on one mandatory indicator (ASAP1) adds to the ambiguity as an intended causal chain cannot be assessed unless voluntarily created by the project.

⁹⁹ # of poor smallholder household members whose climate resilience has been increased because of ASAP.

¹⁰⁰ # of tonnes of GHG emissions avoided or sequestered; # increase in hectares of land managed under climate resilience practices; % change in water use efficiency; # of community groups involved in ENRM and/or DRR formed or strengthened; and \$ value of new or existing rural infrastructure made climate resilience.

The two interpretations of ASAP's theory of change demonstrate that the programme is working with different pathways; one in which IFAD is a major deliverer of climate change adaptation in a national context, and the other in which IFAD is seeking to transform the national architecture. The two are reconcilable, but the ambiguity weakens ASAP's overarching change statement and confuses implementation.

5.2 How could the M&E system be improved?

ASAP's achievements towards outcomes in line with resilience capacities (absorptive, anticipatory, adaptive) are not well captured by the programme's logframe or other IFAD indicators. ASAP is, therefore, at risk of underreporting and learning from its efforts to build adaptive capacity and resilience (and those of the wider project, given the tendency for the ASAP to become subsumed within the wider project as it achieves its mainstreaming aims).

Asking projects to report on resilience capacities would be a significant undertaking at this stage of ASAP. However, the programme would benefit from focused analysis of how its interventions support people's capacities. The selection of these projects should consider:

- Communities that have experience shocks and stresses in the lifetime of ASAP
- Countries in which the national-to-local transmission of meteorological data is known to be weak
- Climate, geographical and topographical diversity in the portfolio
- The livelihood sectors represented in the portfolio (particularly pastoralist)
- The ability of women to (i) respond to shocks and stresses, and (ii) benefit from ASAP

More focus could be applied to the changes ASAP aims to achieve in the supporting architecture for adaptation. Other funds have developed approaches for this. The Climate Investment Funds approach to identifying and measuring signals for transformational change¹⁰¹ has been further developed as an organising framework to take in to account the temporal dimensions of implementation as well as different starting points/starting contexts of different projects and locations.¹⁰²

- Early, interim and advanced signals
- Unpacking 'relevance' to encompass absorptive, anticipatory and adaptive capacity (as well as processes: linking across institutional levels; future-proofing; magnitude, scale and scope of change; policy engagement)
- Projects will need sector or activity specific indicators:¹⁰³ a 'menu' approach (already begun in adaptation options work)

Again, retrofitting these indicators to existing projects would be challenging, but they could feature in early projects and certainly factored into the design stages of a new ASAP project (see Recommendation 10)

In addition, systematically collecting data on climate-related shocks and stresses and how people perceive and experience these, as well as how they have responded to them, will allow projects to demonstrate how adaptive and resilient participants are in the face of shocks and stresses and the role the project has played in this.

¹⁰¹ Used as the framing for this MTR.

¹⁰² https://www.climateinvestmentfunds.org/sites/cif_enc/files/knowledge-documents/tc_signals_brief.pdf

¹⁰³ ASAP has commissioned an assessment of relevant sector indicators, and the programme's M&E team has included some relevant indicators within reporting requirements. However, this is not systematic and indicators are not used consistently across all the projects working on the same activity areas.

Box 3: Measuring ASAP’s contribution to system change

At country level, ASAP has enhanced the capacity of governments and the participation of the smallholders in policy processes. Measuring its additionality remains challenging as procedural steps are as important as the results realised in policy engagement. The programme aggregate indicator¹⁰⁴ presents a good indication of IFAD’s numerical engagement, but it does not allow measurement of the substantive change and, subsequently, the contribution of the result to a series of different outcomes. Few countries¹⁰⁵ have tailored their logical frameworks to include specific indicators related to their policy engagement objectives. Most of the logical frameworks reviewed only include the ASAP aggregate indicator; as a consequence, monitoring reports include very limited and mainly quantitative information. There is a reason to suspect that a range of achievement is unrecorded (the Niger country case study is a relevant example).¹⁰⁶ In order to better capture and assess the effects of ASAP support to IFAD’s engagement in country-level policy processes, the future COSOPs should make the most of the existing range of indicators and/or develop specific indicators allowing to monitor and evaluate more effectively ASAP contribution to policy engagement.

Furthermore, ASAP has increasingly contributed to IFAD strategic positioning at the global level. Reported to a certain extent,¹⁰⁷ this contribution should be better captured and showcased as a myriad of activities are supported by the programme at both the global and regional level.

5.2.1 Other existing options for measurement

Improvements to the reporting system can be made using the project information already available to IFAD. Table 12 shows the main focus of reporting to each of the ASAP indicators. The right-hand column provides a compilation of outcome indicators used singularly (or in clusters) by projects, and which may give a better representation of the portfolio were they to be collected systematically. Within each ASAP indicator category, the list of potential outcomes starts with the broadest measurement and ends with the most specific (and most challenging to monitor centrally).

Table 12: **ASAP indicators and suggested additions**

ASAP indicator	Indicator focus	Potential outcomes (intermediate and higher)
ASAP 1: Goal	Targeting /reach	Expand goal to include people <i>benefiting as well as supported</i>
ASAP 2: Land	Outputs: change measured according to adoption of practices	<ul style="list-style-type: none"> ▪ Farm output increases ▪ Yield increases (productivity)
ASAP 3 and 4: Water	Access and user rights provision of water facilities	<ul style="list-style-type: none"> ▪ Improved nutrition and health, particularly among women and children ▪ Improvement and diversification of agricultural production ▪ Reduction of conflict over water sources ▪ Improvements in crop productivity, quality and production ▪ Scale and scope: how much water provided; seasonal availability ▪ Time saved

¹⁰⁴ Number of international and country dialogues on climate supported.

¹⁰⁵ Cambodia, The Gambia, Mali and Vietnam.

¹⁰⁶ In Niger, the PRODAF contributes to the development of a new rural land policy via a technical/financial support to the development and the implementation of land development schemes in Maradi and Zinder or supports the authorities in the implementation of a ‘removal order’ mechanism that has been scaled up and institutionalized by means of an inter-ministerial decree.

¹⁰⁷ For example, by the Learning Alliance dissemination to the Conference of Parties to the UNFCCC annual negotiations.

ASAP indicator	Indicator focus	Potential outcomes (intermediate and higher)
ASAP 5 and 6 Individuals and groups trained NRM	Numbers of people trained, awareness raising activities completed, training materials produced	<ul style="list-style-type: none"> ▪ Higher-level outcomes such as: ▪ Increased incomes ▪ Improved yields and production ▪ Improved practices
7a and 7b infrastructure protected	Infrastructure outputs	<ul style="list-style-type: none"> ▪ More strategies available (adaptive and coping) ▪ Better health: reduced indoor pollution during cooking ▪ Solar PV beneficiaries reported better class attendance by pupils, improved security, and better health care ▪ Access to health, education and other services ▪ Reduced post-harvest losses ▪ Reduction of fuelwood use ▪ Reduced pressure on woodlots and communal tree cover ▪ Efficiency gains in cooking time and costs for households
Gender	Gender disaggregated data	<ul style="list-style-type: none"> ▪ Women’s involvement in leadership roles ▪ Inclusion of women’s priorities in fund allocation and in planning activities ▪ Women’s decision making within organisations ▪ Participation of women in organisational activities ▪ Number of women who are part of management boards ▪ Measures to protect vulnerable women in the organisation ▪ Responsibilities assigned to women in the organisation

ASAP projects are already collecting data on indicators that can be used to specifically capture adaptation. A selection is given in Table 13 (overleaf) and each is linked to the projects applying them. However, they are not systematically captured to describe adaptation and are not explicitly included as ASAP indicators. This is especially the case because of ASAP’s mainstreaming modality, which means project and ASAP outcomes are inseparable in many contexts.

Table 13: Adaptation-relevant indicators from ORMS spreadsheet (logframe)¹⁰⁸

Adaptation-related project logframe indicators outside of ASAP indicators	
Captured across a range of ASAP projects:	Bhutan
<ul style="list-style-type: none"> ▪ 1.2.3 Households reporting reduced water shortage vis-à-vis production needs ▪ 1.2.4 Households reporting an increase in production ▪ 1.2.8 Women reporting improved quality of their diets ▪ 1.1.5 Persons in rural areas accessing financial services (also credit for farming activities) ▪ 2.2.1 New jobs created also increase in both number and resulting income of rural poor HHs having wage and non-farm sector employment ▪ Increased value of household assets ▪ 3.2.2 Households reporting adoption of environmentally sustainable and climate-resilient technologies and practices 	<ul style="list-style-type: none"> ▪ Reduction in the prevalence of child malnutrition, as compared to baseline ▪ Increase in production of vegetables and dairy products ▪ HH in vulnerable areas with increased water availability for agriculture production ▪ HH adopt sustainable agricultural practices ▪ People in groups managing productive infrastructure ▪ VC stakeholders report the use of market information in investment decision making ▪ 2.3 Households reporting a significant reduction in the time spent for collecting water or fuel ▪ Individuals/ community groups engaged in NRM and climate risk management activities
Nigeria	Laos
<ul style="list-style-type: none"> ▪ Reduction in child malnutrition in targeted LGAs ▪ Beneficiaries of HH in targeted areas with improvement in asset ownership ▪ Food poor persons decreased in the programme states (2010 NGS figures) ▪ HH suffering from first hunger season ▪ Rural persons (33% of beneficiaries) pulled out of poverty (using the USD 2.0 based World Bank definition) ▪ Increase in net income of 727 000 individuals (disaggregated by women, youth) ▪ Production increases in identified food staples by No. metric tonnes ▪ Increase in number of farmers with reduced erosion in their fields ▪ Increase in yield/ha of selected commodities per state (disaggregated by commodity) ▪ Increase in total production of selected commodities per State ▪ Reduction in pre- and post-harvest losses by commodity and state ▪ Smallholder farmers using improved high-quality seeds ▪ People in saving and credit groups formed/strengthened ▪ Saving and credit groups with women in leadership positions 	<ul style="list-style-type: none"> ▪ 2,000 HHs out of poverty (with a per capita income of USD 190 per annum) ▪ 6000 HHs with improved food security (HFIAS score of 7.0 or lower) ▪ Child malnutrition at least 10% better than the national average ▪ 50% HHs with an asset index of at least 0.3 ▪ 50% HHs report and agricultural output of food crops of at least 2.0 tonnes/ha ▪ 900 vulnerable HHs cultivate 270 ha vegetables ▪ 4,000 HHs have increased access to financial services ▪ 3,000 of target HHs have entered into a successful PPP ▪ 4,200 direct beneficiary HHs moved down the CC vulnerability scale by at least one step ▪ At least 85% of HHs demonstrate improved knowledge in nutritional home gardening ▪ 1.2.2 Households reporting adoption of new/improved inputs, technologies or practices
	Ghana
	<ul style="list-style-type: none"> ▪ Number of agribusinesses experiencing sustainable growth ▪ Number of farmers linked to markets by programme

¹⁰⁸ Source: ASAP project logframe report 5 February 2020.

5.2.2 Measuring gender contributions

While IFAD intended to track progress against all relevant indicators by gender, more efforts should go to monitoring and analysing gender-, age- and poverty-disaggregated data to ensure targets are being met.

The MTR noted significant efforts to capture sex-disaggregated data across ASAP. Nevertheless, M&E systems are not always able to measure and monitor the changes generated by the project on women and young people and thus these are not reflected in project reports. These shortcomings can be due to the absence of baseline data, tools and gender-specific collection mechanisms and lack of participatory M&E.¹⁰⁹ This is accentuated by the low capacity of the Gender Project team.¹¹⁰

To get around these limitations, some countries are including specific indicators for measuring gender equality and women's empowerment in their logical framework and are planning participatory M&E feedback systems leading to specific outputs and results.¹¹¹ Others have incorporated the Women Empowerment in Agriculture Index (WEAI) in their baseline study.¹¹² Indicators are now disaggregated to reflect male youth and female youth or disaggregated according to the gender of the household head.¹¹³ Others are using monitoring tools to measure women's leadership and decision making, including variables such as: participation of women in organisations, decision making within the organisations, number of women who are part of the board, measures to protect vulnerable women in the organisation, and responsibilities assigned to women in the organisation.¹¹⁴

Qualitative methodologies, research and studies, could complement these quantitative approaches by shedding light on complex processes, such as empowerment.¹¹⁵ These M&E and reporting issues at a project level are preventing ASAP from telling the story of its contribution to gender equality and women's empowerment. The ASAP Gender Assessment & Learning Review (2018) found that supervision mission reports tend to have limited inputs on gender. In these supervision mission reports, one of the projects (CALIP) was scored Highly Satisfactory (6) and considered to be gender-transformative, while another the Project for Restoration of Livelihoods in the Northern Region (PRELNOR) shows potential in its design for also being gender-transformative although it has only recently become operational. Reporting on gender tends to be limited under the ASAP portfolio.¹¹⁶

¹⁰⁹ Ghana: Supervision Report [June 2019]; Ivory Coast Mid-term Review [2018].

¹¹⁰ Ivory Coast Mid-term Review [2018].

¹¹¹ Ghana: Supervision Report [June 2019].

¹¹² WEAI is an index developed by the International Food Policy Research Institute (IFPRI) to capture the roles and extent of women's engagement in the agriculture sector in five domains: decisions about agricultural production, access to and decision-making power over productive resources, control over use of income, leadership in the community, and time use.

¹¹³ DAI Lessons Learning ASAP Phase II_2018-19 Annual Report (final).

¹¹⁴ Ecuador Supervision Report [June 2019].

¹¹⁵ Gambia: Supervision Report [April 2019].

¹¹⁶ IFAD, 2018, ASAP Gender assessment & learning review.

6 Conclusions

ASAP has made good progress in supporting smallholder farmers; however, the challenges that these people face in dealing with climate change remain. Reports from the Intergovernmental Panel on Climate Change and many other sources since the start of ASAP indicate that the situation for smallholder farmers is expected to get worse, especially those living on marginal lands, reliant on rainfed agriculture, or facing a list of social, economic and other exclusions. ASAP is a significant mechanism in the global effort to support these groups, but, as recognised in several supervision reports, greater and continued action is needed.

This section covers the lessons regarding what is working well, or less well, in the ASAP portfolio. It draws on the results information presented in Section 5.1 and 5.2 and explains the most prevalent processes underpinning Relevance, Scale-up, Systemic Change and Sustainability.

6.1 What is working well/less well for dealing with future climate change?

6.1.1 Relevance: Establishing and building on successful entry points

6.1.1.1 Identifying quick wins

ASAP projects establish their relevance sooner when participants realise gains relatively early on. In the vast majority of cases this is an increase in income.¹¹⁷ The second most popular ‘quick-win’ is infrastructure, although linked to livelihood productivity (such as the opening up of new pasturelands via access roads in Kyrgyzstan) or water availability (Egypt, Sudan, Mozambique). The quickest carried out is a food, cash or subsidy transfer, as in Kenya and recommended in Uganda. Although necessary for the most food insecure, the potential impact of a transfer on existing livelihoods, food production and surrounding markets should be taken into account.

Most income increases in ASAP come through existing livelihood strategies, and suggest that the gains do not have to be realised in the first year of the intervention. Many ASAP projects promote future benefits, from trialling new crops or by applying NRM on pastureland, and appear to be well received by participants. Although trialling new techniques helps build farmers’ knowledge, future adoption is reliant on demonstration effects, which are susceptible to weather or other risks, especially when conducted on a farmer’s land.

Single projects may bring multiple benefits, such as reducing the cost of production, improving quantity and quality of crops, which attracts new buyers and increased prices, which in turn leads to reputational benefits for the cooperative in the community and expands membership numbers and fee generation. Harvested water was also being used to improve production, post-harvest handling, and as a new source of income when sold.

In six countries a focus on demonstrable results has placed a premium on hardware and quicker solutions, rather than less tangible components, such as awareness, ownership and capacities. This is confirmed by interviews. In one country for example, the Supervision Report encourages to prioritise ‘hard activities with impacts’ in its last six months, and in three other countries measures to speed up implementation were said to have overridden techniques for local ownership of the ASAP project at government and community levels. In another, the project was advised to drop options with least potential to scale up, such as poultry and pig rearing. These activities were part of a diversification strategy of the project, and, while the advice may be relevant in the market context, it does demonstrate that visible results can take priority.

¹¹⁷ As demonstrated in interviews, supervision reports and visits.

6.1.1.2 Developing the slower wins: building adaptive capacity

A smaller number of projects have built on a key incentive to support longer-term capacities. In Kenya, the project has found it more effective ‘training farmers to build their self-esteem, confidence, skills and knowledge when accompanied with tangible benefits, either financial, physical, social or natural resources asset’. Egypt uses the converse model, delaying the infrastructure development and making it conditional on training and NRM.

The speed at which ASAP has supported adaptive capacity appears linked to people’s experience of changing natural resources and their levels of self-efficacy. In most ASAP countries, the adoption of new practices appears to be catalysed by the solutions they offer to experienced shocks or stresses. The connection is most visible in relation to seasonal water shortage (inter alia Egypt, Sudan, Ethiopia, Rwanda, Niger). In Moldova, for example, the 2016 drought is said to have made actions to address climate change ‘common sense rather than a fringe idea’ and is associated by the project with an increased demand for new NRM techniques. In less acute situations, experience alone does not seem to be always sufficient. In Uganda and Bhutan, the ASAP projects have worked with communities to overcome a sense that ‘nothing can be done’ or that past coping mechanisms will continue to be adequate. This has implications for the sequencing of activities.

Whether ASAP projects have raised awareness that climate change is a long-term process requiring further adaptation beyond the project, rather than a single adoption, will become evident as more projects reach their close. The indications are currently mixed, and it is clear that in many countries ASAP is building basic awareness of threat from low baselines. In Rwanda, the meteorological agency purposefully uses the term ‘climate variability’ to focus farmers on the near-term and avoid the sense of paralysis that can be associated with the long-term projections. In Moldova, it was mentioned that people are focused on the threat of another disaster event, rather than the long-term uncertainty.

Projects are using indigenous knowledge to establish the relevance of climate interventions: Ethiopia, Sudan Butana, Bolivia and Nepal recognise results from building on traditional or indigenous knowledge, and more countries are likely to be doing so through participatory climate modelling and farmer field schools. In Bolivia the use of local knowledge is attributed to low costs for ASAP’s resilient rural infrastructure and water activities.¹¹⁸ In these countries the information introduced by the project is supplementary to existing knowledge and seen to improve it through the application of scientific climate information and/or more efficient or effective NRM techniques. Uganda is also incorporating indigenous knowledge although it is too early to see the results.

Projects that have combined existing and new knowledge are likely to establish their relevance and application earlier, which was mentioned during community interviews in Rwanda. Bhutan, similar to many other ASAP projects, introduces and partly designs its interventions through lengthy community discussion around observable natural changes and current practices. In Nepal, the practice has been incorporated in the national LAPA framework as a result of the ASAP project’s approaches. In Nigeria and Laos, the ASAP projects have had to overcome detrimental traditional practices, although the extent to which these were practised out of necessity rather than tradition is not clear.

Supporting smallholders to address climate change may require close and ongoing support at the field level. Projects in Egypt, Uganda, Rwanda and Laos have spent considerable time working closely with farmers to understand the climate change, the new approaches, and/or the ASAP application criteria. This is typically the role of field staff, but the visit to Rwanda shows the SPIU is required to spend a significant amount of time helping field officers understand the criteria.

6.1.1.3 Participatory planning

¹¹⁸ IFAD, 2019, Economic Inclusion Programme for Families and Rural Communities in the Territory of Plurinational State of Bolivia. Implementation Support Report.

Participatory planning has proved popular in all regions of the ASAP portfolio. It is widely attributed to increased levels of buy-in and, when combined with risk planning and climate modelling, can directly support resilience capacities. Although most often applied at the community level, ASAP has also registered results by co-developing a climate-focused research agenda with government agencies (Rwanda) and in building value chains for NRM products (Bangladesh, Kyrgyzstan).

In Mali, with the additional ASAP funding, the project was able to support Communal Climate Change Adaptation Plans (CAP).¹¹⁹ These plans are based on community diagnoses and activities carried out by beneficiary communities, administrative authorities and local authorities. The plans are validated by the municipal councils and their implementation is entrusted to the municipalities concerned. Technical support is provided by specialised bureaux with regard to: (i) the procurement process; (ii) preparation of pre-project studies and technical files; (iii) social mobilisation around infrastructure; and (iv) quality control.

CAP methodology also strengthens local governments' capacities to identify other sources of funding for the implementation of the identified measures, becoming a development tool for the municipality.

Participatory selection practices are found to be good for inclusion, although climate change adds a layer of complexity. Participatory techniques have been recognised as successful for inclusion in Mozambique, Laos, Bolivia, Rwanda and Malawi. In the latter, the participatory rural appraisal was considered detailed in many aspects of smallholder farming but lacking in explaining the climate change effects. The Gambia is reported to have used particular sensitisation models to good effect, including specific training (games) to train groups to comprehend climate change, e.g. climate quiz, climate messages, farming joggles and drama. A Resilience Profile Analysis Survey using FAO's SHARP tool was conducted, allowing ASAP to specifically target vulnerable communities. It was found in Rwanda that the participatory process can detail a range of issues faced at the community level, many of which are beyond the project's influence.

6.1.1.4 Sequencing for success

A number of lessons relate to the order in which activities are delivered or become possible:

ASAP's climate-vulnerability mapping is a good project starting point but needs scaling down to community-level decision processes. The maps also require updating with the latest seasonal and climate projections and community data at defined intervals. These issues are found in Malawi and Bolivia, but they are of general concern for any project that has not designed interventions based on localised projections for future climate trends.

- **Each project requires sufficient time to develop Project Implementation Unit, government and community understanding of what is required for adaptation.** This is found in Uganda, Egypt, Rwanda, Laos, and likely applies to many more countries. The learning period postpones the realisation of results, but is an essential preparatory activity in countries with limited experience of climate change programming. This period could be reduced (and results expected sooner, in any successor adaptation investment in an ASAP country) and should be assessed in countries that have scaled up ASAP interventions via a new loan.
- **'Bottom-up' needs to meet 'top-down' action** – starting early on with resources and focus/support for policy engagement and 'advocacy' work with government (Nicaragua).
- **ASAP influences contexts in ways that make create further conditions for change.** For example, Rwanda had improved product quality such that farmers could establish commercial Buyer Agreements, and with these farmers were able to access finance. In Bhutan the Climate Villages have attracted the attention of the government, who are willing to add to their success by adding more

¹¹⁹ FIDA, 2018, Projet d'accroissement de la productivité agricole au Mali (PAPAM). Rapport d'achèvement du projet.

initiatives. Recognising this trajectory, projects may be better able to identify their entry points and create clearer results chains.

6.2 Drivers for scale-up, system change and sustainability

6.2.1 Scale-up

The following factors have been found to encourage scale-up in ASAP. These are based on the experience of interventions that reached scale or are considered as having strong potential:

- Demonstrating a solution to a known problem, in line with national, subnational and/or community priorities (various)
- Providing technical capacity for the roll out of National Climate Change initiatives (The Gambia)
- Leveraging relationships with subnational governments to expand to other areas (Nepal, Nigeria)
- Demonstrating results with farmers more likely to succeed (Various), while considering ways to overcome barriers for engagement of the poorest (Kenya) and socially marginalised groups
- Convening productive partnerships around ASAP's climate eligibility criteria (Rwanda)

In a number of countries, ASAP benefited from being linked to a project that was already considered a scale-up of an older IFAD project, and a trajectory towards greater scale across projects has emerged. In Bangladesh, for example, CALIP (ASAP) is implemented alongside HILIP project, which was a scaled up version of the Sunamganj Community-Based Resource Management Project (SCBRMP). In the process, community infrastructure, livelihood protection and NRM activities expanded from one to five districts, and from 9 to 28 *upazilas* with greater larger resources and activities. CALIP has scaled up two important activities under HILIP – low-cost village protection walls and livelihoods diversification – from 78 to 224 villages. The recently launched PROVATI3 project has replicated a number of HILIP CALIP activities, such as the construction of rural roads and markets, application of vetivers for road protection, and a much larger vocational training programme. In Niger, PRODAF works with non-governmental organisations (NGOs) comprising farmer groups created and/or consolidated by the previous IFAD project. Although these NGOs do not yet appear to have full programmatic and financial autonomy, they are a clear improvement in ability of rural civil society to support climate change adaptation.

The following factors are found to prevent scale-up or create risks in the process. These are taken from projects that have reached a stage of implementation whereby their interventions may be considered for scale-up.

- Ensuring responsible resource use amid scale-up, especially via commercialisation (Kyrgyzstan, Nigeria, Egypt, Kenya)
- Overcoming the cost-hurdle: moving between project input to subsidy or community ability to pay (Rwanda, Mozambique)
- Scaling up from low existing capacities (Laos) or awareness (Uganda)
- The challenges of working in subnational geographic areas outside of IFAD's experience (Sudan, Kenya)
- Commercial resistance: larger agriculture businesses reject climate research or ASAP technologies (Rwanda and Bangladesh)
- Quality control
 - Ensuring ToT and other replication models pass on technically sound information (various)
 - Avoiding the promotion of single, technological solutions to climate change (various).

Scale-up in ASAP is rarely supported by a strategy and therefore appears to rely on the initiatives of individuals or default routes of government engagement. Three supervision reports identify the lack of a strategy for the scale-up and recommend one be put in place. In many more it is implicit in the knowledge management discussion. Were each country required to produce and track a scale-up strategy it may be expected that non-IFAD routes to scale-up would be more prevalent. It may also be expected that there would also be fewer requests for additional finance, although additional finance does appear to be useful for covering the time it takes for staff, partners and farmers to familiarise themselves with climate change adaptation.

The MERIT project and future projects should focus on sustainability, an understanding of determinants of the success of the scaling up, a definition of transposition routes to more and the driving forces behind this change of scale, and a support team made up of people and organisations to promote and facilitate wider use of innovation.

6.2.2 Systemic change

Political momentum for climate adaptation offers entry points for ASAP. In a number of countries (Bhutan, Egypt, Gambia, Rwanda, Mali, Bolivia) interviewees and reports mention that ASAP corresponds to the government's intention to act on climate change or an associated threat. Here ASAP has supported the architecture and range of options for taking action. In at least one country the implementation and scale-up of ASAP has benefited from a change in the political system. In a number (Rwanda, Nicaragua, Moldova) ASAP has encouraged the government to channel adaptation support to smallholder farmers, which is especially relevant for climate information services in rainfed systems. However, the extent to which ASAP could encourage governments to support socially marginalised groups is unexplored, although may be explored with greater use of SECAP.

The grant is an attractive mechanism for prioritising government action on adaptation, principally because the country does not have to take a loan to support adaptation. This is in line with the 'polluter pays' principle, as mentioned in Nepal, although the principle is lost when scale-up involves incorporating adaptation support into new loans. In Egypt the grant has allowed IFAD to include a strong element of capacity building, which is important for resilience but not always possible through the loan. Similarly, the grant model has allowed IFAD to work with a variety of relevant partners – including NGOs, universities, and technical institutions – to support the adaptation processes.

The flexibility of ASAP allows IFAD to support national priorities. ASAP is perceived by implementers as a very flexible model, which is visible in the variety of activities implemented. Depending on the country context, it has been used with greater emphasis on grassroots organisations capacity strengthening or to institutionalised climate change adaptation in national governance structures.

6.2.3 Sustainability

The most promising approaches for intervention sustainability appear to bring multiple-stakeholders together around a popular initiative, with an income incentive and capacity building for management. In this respect, ASAP benefits from the IFAD loan strategy, rather than the other way around. However, ASAP brings the consistent focus on natural resource management, helping to ease or overcome the tension between the income incentive and finite resources. Examples from IFAD and other projects show that in more resource-constrained environments, improved NRM is unlikely to be sufficient for commercialisation, especially when the impact of intensive agricultural production on wider social and ecological systems is taken into account.

ASAP's level of community-level buy-in bodes well for sustainability, but two challenges put this at risk: (i) in a range of countries such as Kenya, Kyrgyzstan, Ethiopia and Uganda, the supervision reports have underlined the need to improve the provision and maintenance of goods and equipment in order to fully

engage with community groups eager to improve their knowledge and performance; (ii) maintaining the social momentum at the local level appears to be difficult when the government cannot match the communities' commitment to NRM due to resource gaps.

It is not clear that ASAP has sufficiently considered future risks for its interventions to be truly sustainable. As mentioned in Section 4, ASAP has so far focused on the introduction of technologies and approaches that are no-regret options for the current context. It is quite possible that climate change or other shocks may undermine these interventions because adaptive capacity has been a secondary focus. This risk is explicitly highlighted in two ASAP countries, though it applies to all and especially those in resource-constrained environments. The climate-vulnerability mapping should enable governments to prioritise areas most at risk, but only if localised and updated.

Given the increasing exposure to climate change risks, including drought, erratic rains and hurricanes, the project is required to work harder in maintaining and replicating the climate and environment related achievements. Supervision Report

It is also possible that the number and severity of shocks faced by a farmer has been underestimated in ASAP designs. Greater attention could be paid to a broader range of natural risks (drought and flooding; extreme temperatures; changing disease vectors) as well as human-induced, such as price volatility, remittance reductions and localised conflict, especially in relation to natural resources. The extraordinary events of the East African locust outbreak and COVID-19¹²⁰ are extreme examples witnessed in the MTR; they could not have been factored into any ASAP project design but do represent an evolution in the shock context of farmers which should be factored in to future designs.

Climate change requires ASAP to re-think its exit strategies. As mentioned above, projects have spent significant time building basic awareness of climate change. The proof of long-term capacity to deal with climate change will be realised in the face of shocks and stress beyond the life of any single ASAP project.

The visit to Rwanda suggests that building adaptive capacity may require changes to the typical IFAD exit strategies, which require that capacity-building support is phased out before the end of the project. This may be relevant where the recipient has long and ongoing exposure to particular skill area – for example, cooperative management – but less so for climate modelling and information usage, which are very new and are only practicable over several seasons. In order to exit the Post-Harvest and Agribusiness Support Programme the project closed a contract with a youth organisation that was set to promote the climate information training applied under the project. It is expected that the promotion will eventually commence without the contract, but there has been a break in continuity.

Expectations for intervention sustainability may not be reasonable in first time ASAP countries. Eight ASAP projects have extended beyond their intended start dates, and in several the justification for the extension is in part linked to putting in the necessary conditions for sustainability and scale-up. It is mentioned in a number of interviews, reports and visits that ASAP presented a learning curve – for IFAD, the government and communities – in the approaches and technologies that the projects were soon responsible for scaling up. In Niger, sustainability is sought through a long-term scaling up strategy linking several successive IFAD projects.

6.2.4 Including women

The approach to mainstreaming gender and other thematic areas within the ASAP portfolio is conducive to its financing through replenishment resources, given that cross-cutting activities are embedded in

¹²⁰ The impact of COVID-19 on IFAD's stakeholders was apparent in the interviews in Bangladesh. Almost all farm and non-farm activities were facing shut down or very limited operation. Many of the businesses have lost a significant amount of working capital during the lockdown and said they will need finance immediate after the lockdown is withdrawn.

various project design processes, components and budgets, rather than free-standing.¹²¹ As a follow-up to the MTR of IFAD's gender policy, all COSOPs, loan- and grant-financed project designs are reviewed for their gender analysis and strategy.¹²² Across projects, there is evidence that financial and human resources for gender mainstreaming are not adequate. Exceptions include Bhutan, where the budget allocation for gender activities is provided across all components and activities. It has been noted that resource constraints faced by implementing agencies, from government departments to NGOs, can affect their capacity to conduct in-depth gender and social analysis or evaluation. ASAP Gender Assessment & Learning Review recommends that dedicated funding be allocated to support all levels of mainstreaming and capacity development, including community extension workers and district officers.¹²³

There is strong evidence to suggest achieving women's empowerment and gender equality, requires investing in women's participation in the design and operation of project activities, in sensitisation on gender issues, in promoting women's representation, leadership and decision making in local structures, and in capacity strengthening for grassroot organisations.¹²⁴ This requires qualitative participation,¹²⁵ beyond understanding gender as a proxy for the project targets for ensuring both women and men participate in activities and processes.¹²⁶

Efforts in this regard are deployed in ASAP, and should be continued. Particularly attention should be paid to means by which women's priorities are captured activities for fund allocation,¹²⁷ and decisions around community infrastructures, which can become male dominated.¹²⁸ In order to do this, gender analysis is essential to identify women's contribution and experience to the participatory processes.

Concerted efforts are required to improve representation of women and securing leadership roles in grassroot structures.¹²⁹ More systematically disaggregated data on the number of women involved in leadership roles is needed.¹³⁰ When these conditions are met, the participation of women in local structures has provided for a dynamic process at the village level.¹³¹ Among good practices, can be cited Uganda, where targets are set for female participation in the various initiatives and governance bodies established by the project and a staff member is dedicated to gender and community development issues,¹³² and Mozambique, where specific methodologies designed to strengthen the quality of women's participation are used, enabling them to participate in collective decision making and express their views.¹³³

¹²¹ IFAD Gender and Nutrition.

¹²² IFAD, 2017, Mainstreaming of climate, gender, nutrition and youth.

¹²³ IFAD, 2018, ASAP Gender assessment & learning review.

¹²⁴ Ghana_mtr_report; NEMA Gambia_mtr_report; Butana MTRreportBIRDP-Final-Feb2013; IFAD, 2019, Nicaragua, Mid-Term Review; Cabo Verde Supervision Report 2019. 11032020_ASAP_Ecuador_Arcos; Bangladesh: Supervision Report [April 2019]; Kenia Supervision Report [2019].

¹²⁵ Ethiopia Supervision Report [June 2019].

¹²⁶ Malawi: Supervision Report [January 2019]; Kenia Supervision Report [2019]; IFAD, 2018, ASAP Gender assessment & learning review.

¹²⁷ Nigeria: Supervision Report [November 2019].

¹²⁸ Niger interviews.

¹²⁹ Cabo Verde Supervision Report 2019. KYG Interview; Ethiopia Supervision Report [June 2019]; Buthan Supervision Report [June 2019]; Gambia: Supervision Report [April 2019].

¹³⁰ Cambodia: Supervision Report [November 2019]; Ecuador Supervision Report [June 2019].

¹³¹ Sudan Butana: Supervision Report [October 2019]; Ethiopia Supervision Report [June 2019].

¹³² DFID Supervision Report. ASAP Review (Phase III) – PRELNOR Uganda Mission Report.

¹³³ GALS methodology to this purpose. Mozambique: Supervision Report [October 2019].

7 Recommendations

The following ten recommendations are provided to support IFAD make improvements to ASAP. They are grouped as **Operational** recommendations, which focus on actions that could be taken to improve the implementation of the ASAP projects currently running, and **Strategic** recommendations, which focus on ASAP and, more broadly, IFAD's longer-term climate support for smallholder adaptation. The time frames provided do not take into account the extraordinary conditions of COVID-19, and, where affected, should be applied when normalcy resumes.

Lead entities have been suggested for each recommendation and indicate who would be best placed to initiate and assume responsibility for the recommendation. The entities are described as broad categories to allow IFAD to assign internally. Project-level recommendations have been written to hold relevance to all ASAP countries, but those that have not reached their mid-points have the opportunity to go further with Recommendations 1, 2, 3, 4, 6 and 9.

7.1 Operational

	Recommendation	Time frame	Lead entity
1	Develop scale-up strategies for interventions. Where not present, projects should develop plans that describe the form and extent of the desired scale-up, expressing the difference in the level of usage/benefit between that delivered by ASAP's implementation and that registered when scale-up is achieved. This assessment could include a national gap analysis for adaptation support and must consider the risks associated with expansion in a context. Crucially, the strategies should articulate IFAD's tactics for achieving scale, which should be tailored towards the enablers and barriers to scale up in a particular context. Greater use of knowledge management and advocacy techniques may be appropriate as part of this, and the strategy should be managed adaptively.	Within the next 6 months	ASAP countries, especially those that have not reached their mid-point
2	Modify IFAD's exit strategies to ensure they are climate relevant. The chief consideration in this process is the long-term nature of climate change adaptation, which necessitates action beyond the project time frame. This may require new partnerships and/or different contractual terms. Consideration should be given to the time required for farmers, staff and government partners to familiarise themselves with climate approaches. The exit strategies should reference the scale-up processes and state whether and how IFAD plans to withdraw from direct implementation before, during or after an increase in the usage/benefit of adaptation support.	Starting immediately	HQ and ASAP project leads
3	Plan for building adaptive capacities Adaptation and resilience need to be defined better and a greater range of indicators for both processes and intermediate outcomes need to be included systematically in ASAP reporting and M&E, across all projects. This will allow projects to better capture and evidence progress towards adaptation by ensuring that targets extend beyond outputs/ delivery of technological fixes to adaptation itself. A more detailed theory of change that describes underlying change pathways and allows assumptions to be interrogated would be useful here.	Starting immediately	HQ
4	Improve gender analysis to identify women's potential contribution: in order to include women's priorities in the activities for fund allocation and ensure that women's participation is not overlooked while planning activities focus on community infrastructures, where projects tend to centre around men's participation. Need to go beyond understanding gender as a proxy for the project targets for ensuring both women and men participate in activities and		ASAP country leads

	Recommendation	Time frame	Lead entity
	processes. Better assessment and evaluation could help establish causal links between increased access to project benefits and potential empowerment processes. By identifying barriers and opportunities, women's empowerment could be further supported through clearly identified pathways.		
5	Increase consistent usage of the SECAP in supervision reports and ensure standardised focus on: 1) Risks of maladaptation, 2) Farmer's experience of shock/stressors, 3) Social and other exclusions. Application of the SECAP in the most recent supervision reports at the time of this MTR differs greatly across the portfolio, but the best examples demonstrate the valuable insights it can provide if used well.	For next set of supervision reports	HQ

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7.2 Strategic

	Recommendation	Time frame	Responsible
6	Consider concerted efforts for supporting inclusion in adaptation. Within and outside ASAP certain groups have routinely proved challenging to engage in climate change programming. A focus on supporting inclusion could be a unique selling point of ASAP, especially in countries that have registered a level of success with better-off farmers. IFAD has a comparative advantage because of its Rome-based agencies partnership, which are already linked to ASAP in Kenya, Uganda and Laos. Other joint resilience projects (not including an ASAP element) are operational in Niger, Somalia and Democratic Republic of Congo. ¹³⁴ The revised targeting guidelines released in November 2019 offer a good framework for considering ASAP's interventions across three scenarios of poverty context and project objectives. ¹³⁵	Developing knowledge and strategies over 1–3 years	HQ
7	Increase efforts to provide relevant climate information services to smallholder farmers – this would likely lead to a substantial increase in the ability of farmers to deal with climate change. Services should build off existing services and should consider current levels of awareness. This may also be an operational recommendation where a programme is still in its early stages.	1–5 years	HQ and Country
8	Convene two learning strands for climate knowledge transfer: (1) Between all ASAP projects, and (2) Between ASAP and the wider IFAD organization. IFAD now has significant experience in climate programming that should be shared internally via this mechanism. External knowledge sharing should also increase, and should involve greater engagement with international forums on adaptation and a wider range of relevant stakeholders in each country.	Building up knowledge over next year, continually sharing beyond	HQ
9	Consider strategies to enhance farmers' ability to deal with the intersection of shocks and stressors. This would require expanding the climate-vulnerability mapping and the SECAP to consider risk profiles within interconnected systems (e.g. ecological, social, financial and others). As IFAD broadens its concept of risk it should still focus on improving its ability to focus on climate change as a specific threat.	1–5 years	HQ

¹³⁴ See: <http://www.fao.org/3/i8673en/i8673EN.pdf>

¹³⁵ https://www.ifad.org/documents/38711624/41411186/revised_targeting_guidelines_main.pdf/d97624c2-e212-be71-b86d-2617e6c31499

	Recommendation	Time frame	Responsible
10	<p>Adopt a form of resilience measurement to provide confidence in ASAP's overarching goal statement.^{136,137} The Goal indicator is currently used only as a count of the number of people that are involved in the programme. Noting the difficulties of retrofitting indicators to projects, ASAP should progressively improve its resilience measurement through three steps:</p> <p>Near-term, temporary measure: Group ASAP's interventions into Resilience Areas and stratify the overall count to demonstrate how many people are engaged in several Areas.</p> <p>Mid-term: Conduct a series of resilience impact evaluations on projects in their final year or recently closed. The series should inform the development of a Resilience Scorecard.</p> <p>Long-term: All new ASAP programmes should adopt a Resilience Score card as a mandatory reporting requirement. Using the score card projects should create statement(s) about how they intend to build resilience and suggest context relevant indicators that fit within the Resilience Areas (see above).</p>	Immediate start, and subsequent time frames linked to described milestones	<p>HQ: Lead near and mid-term activities</p> <p>PMU: Responsible for long-term activity</p>

¹³⁶ '# of poor smallholder household members whose climate resilience has been increased because of ASAP'.

¹³⁷ Further technical guidance on this recommendation has been provided to IFAD HQ.

8 Appendices

8.1 Terms of reference

ADAPTATION FOR SMALLHOLDER AGRICULTURE PROGRAMME (ASAP)

MID-TERM REVIEW 2019

Terms of reference

1. BACKGROUND

IFAD is a specialised UN agency supporting rural poor people in developing countries in Africa, Asia, Latin America, Middle East and Eastern Europe. Climate change is already impacting smallholder farmers all around the world and IFAD has committed to mainstream climate change in its operation, under the guidance of its environmental, climate and social inclusion division.

For that purpose, the Adaptation for Smallholder Agriculture Programme (ASAP) was launched by IFAD in 2012. It is a climate change adaptation programme with a specific focus on smallholder farmers, aiming to increase the capacity of 8 million smallholder's farmers to build their resilience to climate-related shocks and stresses in over 40 countries in Africa, Middle East and Eastern Europe, South Asia, and Latin America.

IFAD's ASAP is a dedicated financing window that has received more than USD 316 million from IFAD and 12 bilateral donors. With the objective of mainstreaming climate change adaptation across IFAD's operations, IFAD is blending this financing as grant co-financing with regular loan funded IFAD investment projects. Through the programme, IFAD aims at driving a major scaling up of successful 'multiple benefit approaches' to climate change adaptation in its programmes which aim is to sustainably increase the productivity of agricultural systems, increase resilience to shocks in a rapidly changing climate, create opportunities of carbon storage and reach results on gender inclusion.

As a result of ASAP support, 42 IFAD project designs integrated climate change adaptation measures. These climate mainstreaming efforts were worked through the following pathways:

- a. **Better analysis of climate risks and vulnerabilities.** More project designs are taking into account climate-related threats such as droughts, floods, tropical storms, sea-level rise, heat waves and the future climate trends.
- b. **More innovation.** Adapting to new and emerging risks requires access to innovative knowledge and technology, with climate change mainstreaming in extension systems and at farm level.
- c. **Scaling up** of sustainable agriculture techniques. Scaling up adaptation-relevant technologies is key and must be embedded in local and national policies.

The programme has five main pillars and targets (These initial targets were based on a commitment of funds totalling USD 366.5 million in May 2016. However, following the strong depreciation of the pound sterling the ASAP trust fund amount went from USD 366.5 million in May 2016 to USD 316.2 million in April 2018; a reduction of 14 per cent):

- a. Improved land management and gender-sensitive climate-resilient agricultural practices and technologies: 1 million hectares and 50% of women supported out of the 8 million smallholder farmers target.
- b. Increased availability of water and efficiency of water use for smallholder agriculture production and processing: at least 1,200 households have an increased and sustainable access to water for production and processing.

- c. Increased human capacity to manage short and long-term climate risks and reduce losses from weather-related disasters: 100,000 persons are more resilient to climate risks and 1,200 groups at community level have increased capacities to cope with climate change.
- d. Rural infrastructure made climate-resilient: up to USD 80 million of rural infrastructure is more resilient to extreme weather events.
- e. Knowledge on Climate-Smart Smallholder Agriculture documented and disseminated: the projects foster at least 40 policy dialogues at the national and global level.

In addition to these targets, the programme aims at storing 80 million of tonnes of CO₂.

On the financial side, the programme aimed at leveraging four times the amount invested. This goal has already been achieved by blending ASAP grants with the regular pipeline of IFAD loans.

In the meanwhile, climate change is transforming the context for IFAD's work. It is adding to the overall cost of lifting rural people sustainably out of poverty and has stimulated climate mainstreaming in IFAD so that climate-related risks to IFAD's investment portfolio can be minimised. The implementation of ASAP has fostered the following actions:

- a. Improvement of internal programming processes to integrate climate resilience aspects, with the adoption of MDB methodologies to track climate finance;
- b. New strategic partnerships to source relevant knowledge for climate change adaptation and raise the profile of smallholder farmers in the international debates about climate change and climate finance;
- c. Broadened engagement with multilateral funds, making climate finance work for smallholder farmers and helping partner countries to 'prime the pump' for working with financing sources such as the Green Climate Fund (GCF), the Global Environment Facility (GEF) and the Adaptation Fund (AF).

2. OBJECTIVE

IFAD is looking for a company who can provide services for a mid-term review of the first phase of ASAP which will assess the classical criteria of evaluation such as relevance, effectiveness, efficiency, impact and sustainability of the projects.

It will also assess to what extent the mentioned 42 projects have been designed and implemented following the principles of including current and future climate risks, fostering innovation and seeking scaling up.

This review aims to enable learning and analysis of the first phase of ASAP's initial 7 years of operation, including the lessons learnt from the first ASAP-supported projects that have reached completion. The review will also include recommendations for future improvements for climate mainstreaming in IFAD investments, in line with IFAD's new strategy on climate change.

The review will identify current and emerging lessons from the implementation of ASAP and help IFAD and ASAP donors to assess whether the programme is implemented in a manner most likely to meet its objectives.

Objectives of the mid-term review

1. To assess progress of ASAP in achieving its results as set out in its log frame.
2. To make recommendations on how ASAP can strengthen its performance and delivery of results, including impacts and sustainability.
3. Assess to what extent ASAP has led to new projects/programmes at country level, scaling up best practices to mainstream climate change.
4. Assess to what extent the programme has been able to deliver on specific transversal issues: focus on gender, improvement of policies, indirect impacts on nutrition, co-benefits in terms of mitigation.

5. Assess to what extent ASAP has improved the value added of IFAD in the landscape of the agencies involved in the adaptation of agriculture to climate change.

The review will be conducted **at programme level** – it does not duplicate or replace mid-term evaluations and terminal evaluations which are foreseen by each ASAP-supported project.

It will also focus on **results**. The review aims at summarising results of the programme in terms of: i) progress against the programme main pillars; ii) establishing an enabling environment at country level which is suitable to ensure sustainability and scaling up; iii) institutional changes at IFAD's level in order to design new projects and to attract climate finance.

3. PROPOSED REVIEW QUESTIONS

The questions below are indicative of the key information needs identified during the formulation of these Terms of Reference (TOR). This list will be refined during the inception meeting between IFAD and the selected contractor.

A) Relevance

- Assess the relevance of the theory of change of the programme seven years after its starting point.
- Provide elements to update this theory of change, in view of the design of new IFAD's programmes/projects focusing smallholders adaptation to climate change.

B) Effectiveness

- Analyse the level of achievement of the targets at portfolio level and between regions.
- Identify the kind of activities that have had the main outcomes among the projects/regions.
- Identify the main drivers of successes and failures of the activities on the ground.
- Make proposals to adjust the narrative regarding the typology of activities undertaken by the projects.
- Assess the effectiveness and relevance of policy dialogues, at national and global level.
- Make proposals in order to reach the programme targets in 2023 and/or to revise these targets.
- Assess to what extent the three principles of the programme – innovation, scaling up and mainstreaming of climate trends – have been taken into account for project design and implementation.

C) Efficiency

- For a selected set of projects, analyse to what extent the ASAP component (grant) has led to an improved efficiency of the associated loan, to undertake activities related to climate change.
- Analyse and comment the table of costs by activities in the ASAP workbook.
- Identify the most cost-effective activities in terms of number of people/households reached, income generation, effective protection against climate change and extreme weather events.

D) Impacts

- Identify the main impacts in terms of:
 - o Resilience of households in the short and long term (against future climate trends), taking into account the main drivers of resilience (technical, financial and social capital)
 - o Climate awareness of different categories of actors
 - o Policy improvements at national level
 - o Gender balance

- Mitigation co-benefits
- Nutrition indirect impacts
- Describe the main mechanisms having led to the scaling up of activities/innovations leading to more resilience of smallholders against climate change.
- Identify the main outcomes of ASAP at the global level in terms of:
 - IFAD's participation in global processes and IFAD's position/added value among development agencies involved in smallholders resilience to climate change
 - The capacity of IFAD to establish new partnerships in the landscape of the actors involved in adaptation of smallholder farmers to climate change

E) Sustainability – Which options exist to develop ASAP or ASAP-related activities in the future (including exit strategy)?

- Assess the level of ownership of the innovations promoted by the projects, on the technical and institutional sides.
- Assess the level of sustainability of the institutional mechanisms fostered by the projects.
- Assess to what extent ASAP projects have led to new phases ensuring scaling up and sustainability.
- Identify main failures and propose actions at portfolio/project level to address these problems.

4. METHODOLOGY AND APPROACH

The review is expected to be conducted over a period of 12 weeks, from October to December 2019. The review will be based on a desk review of ASAP-related programme documents. These include:

- Project Design Reports
- Projects supervision, mid-term and completion reports
- DFID annual reviews
- Knowledge products and training materials (available on IFAD website, How To Do Notes and Advantage Series)
- ODI first overall assessment

The website www.asapinvestments.org provides access to the majority of these documents. Access to the website will be granted to the selected vendor via the creation of an account.

The consultants will also have access to the ASAP workbook, a set of tables gathering aggregated data at the portfolio and project levels.

The Contractor will have to join at least two IFAD's missions during the time frame of the study at the cost included into the contract, IFAD will not be liable to arrange the travels for the Contractor. The indicative list of countries is: Rwanda, Djibouti, Moldova, Montenegro, Nigeria, Niger, Comoros, Chad, Mozambique, Bhutan.

The review will be implemented in close consultation with the ASAP team. Both qualitative and quantitative approaches to collect, verify and analyse data will be used. For this tender, vendors will propose a methodology including a timing of activities, responsibilities and use of resources.

The mid-term review will follow the stages below:

- a. **Inception:** Involves discussion with IFAD staff to refine the scope of the review, refine the methodology and produce an inception report. This report will include a detailed work plan, methodology for gathering and analysing data, and the criteria for the selection of specific case studies.

- b. **Desk study:** Involves a review of all relevant documentation and conducting interviews with key stakeholders, by Skype and during a mission to IFAD HQ in Rome, Italy. The desk review will encompass project design documents, last supervision reports and mid-term reviews (these last ones being available for 50 % of the projects) for all the 42 projects of the ASAP portfolio. The list of ASAP projects is available in annex of these TORs.
- c. **Project visits:** Visits to interact with selected stakeholders in at least two selected countries, (from the list above in two different IFAD's regions: Western and Central Africa, Eastern and Southern Africa, Asia and Pacific, Near East-North Africa-Europe-Central Asia). The selected vendor will join these missions for a week in each of the two countries. The cost of the missions will be at the charge of the vendor and must be reflected in the financial proposal.
- d. **Drafting and review of preliminary findings:** Preparation of a preliminary review report, submission to IFAD for comments and a two-days validation meeting/workshop to present the findings and validate results at IFAD's Headquarters in Rome.
- e. **Production of final report:** Preparation of final review report and submission to IFAD.

5. MANAGEMENT OF THE REVIEW

The ASAP team will oversee the execution of this review, ensure coordination between the consultants and IFAD's relevant staff, provide relevant programme documentation requested by the reviewers. IFAD will be responsible for funding the review, disseminating the review report and conducting follow-up activities that will arise as a result of recommendations of the review.

TOR MTR criteria	Itad questions	Relevance (REL) Scale-up (SCA) Systemic change (SYS) Sustainability (SUST)	RQ
<p>Assess the relevance of the theory of change of the programme seven years after its starting point.</p>	<p>Overarching EQ:</p> <p>Assess the relevance of the theory of change of the programme seven years after its starting point.</p> <p>What are the main activities (grouped by activity area)?</p> <p>What are the main programme theories/ change pathways?</p> <p>What are the main outcomes (intended and unintended)? And for whom?</p> <ul style="list-style-type: none"> • Do the assumptions hold – how, why, for whom, in what contexts? • Are the projects still in line with IFAD/ National priorities e.g. National Adaptation Programme of Action etc.? • Appropriate stakeholders still engaged? • Appropriate populations – including men and women- targeted? Do national projects respond to the needs of men, women and other key groups, as identified at the design stage? • Are national projects tailored in accord to the different roles, interests and priorities of women and men? • Do the activities lead to intended outcomes? How/ why/ why not, for whom, in what contexts? • Indicators appropriate to time frames and scope of work? Use of IFAD Gender policy core indicators? <p>Logframe:</p> <ul style="list-style-type: none"> • IFAD’s ability to track results • Are there missing indicators? • Are certain countries going to drag down or inflate the results, e.g. hectares in Lesotho and Nigeria • Are the indicators definitions correct for resilience? (See resilience scorecard) • Are the Targets realistic or overly achievable? 	<p>REL</p>	<p>RQ4</p>

8.2 Evaluation matrix

<p>Analyse the level of achievement of the targets at portfolio level and between regions.</p>	<p>To what extent are ASAP projects achieving the expected targets?</p> <p>To what extent are project outcomes 'resilience'?</p> <p>To what extent project outcomes contribute to IFAD's Gender policy strategic objectives?</p>	<p>REL</p>	<p>RQ1</p>
<p>Identify the kind of activities that have had the main outcomes among the projects/regions.</p>	<p>What are the main change pathways? For whom?</p> <p>What are the main outcomes (intended and unintended)? For whom?</p> <p>How do activities work together to achieve outcomes? For whom?</p> <p>Were gender-based differences adequately recognised in national projects activities?</p>	<p>REL</p>	<p>RQ1 RQ2a RQ2b</p>
<p>Identify the main drivers of successes and failures of the activities on the ground.</p>	<p>How and why has change happened in the ASAP projects? For whom? Who, if anyone, has been excluded?</p> <p>What are important contextual factors in the change pathways?</p>	<p>REL</p>	<p>RQ3b</p>
<p>Assess the effectiveness and relevance of policy dialogues, at national and global level.</p>	<p>What have been the main ASAP policy dialogue activities, at national and global levels?</p> <p>What have been the main outcomes of policy dialogue activities, at national and global levels? For whom? Was a gender perspective reflected?</p> <p>How and why has change happened (or otherwise) in the policy dialogue activities (mechanisms)?</p> <p>What are important contextual factors in the policy dialogue change pathways?</p> <p>What have been the main enablers?</p> <p>What have been the main constraints?</p>	<p>REL SYS</p>	<p>RQ1 RQ2b</p>
<p>Assess to what extent the three principles of the programme – innovation, scaling up and mainstreaming of climate trends – have been taken into account for project design and implementation.</p>	<p>Assess to what extent the three principles of the programme – i) innovation; ii) scaling up and iii) mainstreaming of climate trends – have been taken into account for a) project design and b) implementation.</p>	<p>REL SCA</p>	<p>Background to the evaluation: ref CIAT analysis</p>
<p>For a selected set of projects, analyse to what extent the ASAP component (grant) has led to an improved efficiency of the associated loan, to undertake activities related to climate change.</p>	<p>Light CEA</p>	<p>REL</p>	

Analyse and comment the table of costs by activities in the ASAP workbook.		REL	
Identify the most cost-effective activities in terms of number of people/households reached, income generation, effective protection against climate change and extreme weather events.		REL	
<i>Identify the main impacts in terms of:</i>			
<ul style="list-style-type: none"> Resilience of men, women and households in the short and long term (against future climate trends), taking into account the main drivers of resilience (technical, financial and social capital) 	<p>To what extent are project outcomes 'resilience'?</p> <p>How and why has resilient change happened in the ASAP projects? For whom? Who, if anyone, has been excluded?</p> <p>What are important contextual factors in the change pathways?</p>	REL SYS	RQ1 RQ3d
<ul style="list-style-type: none"> Climate awareness of different categories of actors 	<p>To what extent has climate awareness of different categories of actors been raised? (individuals, households, communities, male, female, younger people, older people, local and national level institutional actors)</p> <p>How and why? For whom? Who, if anyone, has been excluded?</p> <p>What are important contextual factors in the change pathways?</p>	REL SYS	RQ1
<ul style="list-style-type: none"> Policy improvements at national level 	<p>What have been the main policy improvements at the national level?</p> <p>How and why has this outcome/ impact come about? For whom? Who, if anyone, has been excluded?</p> <p>What are important contextual factors in the change pathways?</p>	REL SYS?	RQ1
<ul style="list-style-type: none"> Gender balance 	<p>What have been the differential impacts, if any, on men and women?</p> <p>How and why? For whom? Who, if anyone, has been excluded? Why?</p> <p>What were the gender equality objectives achieved (or likely to be contributed to) and mainstreaming principles adhered to by the projects?</p> <p>Were gender equality principles used (e.g. equality, participation, social transformation,</p>	REL SYS	RQ1

	<p>inclusiveness, empowerment, etc.) in the results achieved?</p> <p>What are important contextual factors in the change pathways?</p> <p>To what extent could a gender-sensitive approach lead to an improved impact of the projects?</p>		
<ul style="list-style-type: none"> Mitigation co-benefits 	<p>What have been the mitigation co-benefits of ASAP activities and outcomes, if any? How and why?</p> <p>How are GHG emission avoidance and carbon storage monitored?</p> <p>What are important contextual factors in the change pathways?</p>	REL	RQ1
<ul style="list-style-type: none"> Nutrition indirect impacts 	<p>What have been the indirect nutrition impacts of ASAP activities and outcomes, if any? (stunting, wasting, malnutrition) (food security? Diets?)</p> <p>How and why? For whom? Who, if anyone, has been excluded? Why?</p> <p>What are important contextual factors in the change pathways?</p>	REL	RQ1
<p>Describe the main mechanisms having led to the scaling up of activities/innovations leading to more resilience of smallholders against climate change.</p>	<p>What activities have been scaled up – successfully?</p> <p>With less success? What have been the main outcomes and impacts? For whom?</p> <p>How and why? For whom? Who, if anyone, has been excluded? Why?</p> <p>What are important contextual factors?</p>	SCA	RQ2
<p><i>Identify the main outcomes of ASAP at the global level in terms of:</i></p>			
<ul style="list-style-type: none"> IFAD's participation in global processes and IFAD's position/added value among development agencies involved in smallholder's resilience to climate change 	<p>When and in what ways has IFAD participated in global processes?</p> <p>When and in what ways does IFAD add value among development agencies involved in smallholder's resilience to climate change?</p> <p>How and why? For whom? What are important contextual factors?</p> <p>When and how IFAD applied continuous learning and analysis – including gender analysis- based on field experiences to develop more effective approaches and to generate information for evidence-based advocacy and policy dialogue.</p>	REL SYS	RQ1

<ul style="list-style-type: none"> The capacity of IFAD to establish new partnerships in the landscape of the actors involved in adaptation of smallholder farmers to climate change 	<p>To what extent is IFAD able to establish new partnerships in the landscape of the actors involved in adaptation of smallholder farmers to climate change?</p> <p>How and why? For whom? What are important contextual factors?</p>	REL SYS	RQ2 RQ3
Which options exist to develop ASAP or ASAP-related activities in the future (including exit strategy)?	What are the assumptions about gender roles, norms and relations that supported or hindered the project? How will these factors affect the sustainability of the results?	SUST	RQ2b
Assess the level of ownership of the innovations promoted by the projects, on the technical and institutional sides.	Who owns innovations promoted by the projects i) technical side ii) institutional side? [ADD EXAMPLES]	SUST	RQ2b
Assess the level of sustainability of the institutional mechanisms fostered by the projects.	How sustainable are the institutional mechanisms fostered by the project? [ADD EXAMPLES]	SUST	RQ2b
Assess to what extent ASAP projects have led to new phases ensuring scaling up and sustainability.	To what extent have ASAP projects led to new phases ensuring scaling up and sustainability?	SCA SUST	RQ2b RQ3
<i>Relevance: Provide elements to update the theory of change, in view of the design of new IFAD's programmes/projects focusing on smallholders' adaptation to climate change.</i>		REL	RQ4
Effectiveness: Make proposals to adjust the narrative regarding the typology of activities undertaken by the projects.		REL	RQ4
Effectiveness: Make proposals in order to reach the programme targets in 2023 and/or to revise these targets.		REL	RQ4
Sustainability: Identify main failures and propose actions at portfolio/project level to address these problems.			RQ4

8.3 Portfolio snapshot

	Country	Project name	Year	Loan size	ASAP budget	ASAP funds dispersed
APR						
	Bhutan	Commercial Agriculture and Resilient Livelihoods Enhancement Programme (CARLEP)	September 2015 to December 2021	\$10,281,031	\$5,022,615	\$1,748,000
	Bangladesh	Haor Infrastructure and Livelihood Improvement Project/Climate Adaptation and Livelihood Protection (HILIP CALIP)	September 2013 to September 2020	\$55,049,205	\$15,047,193	\$9,021,000
	Nepal	Adaptation for Smallholders in Hilly Areas Project	February 2015 to March 2021	\$10,000,000	\$14,999,000	\$3,504,260
	Lao PDR	Southern Laos Food and Nutrition Security and Market Linkages Programme	May 2015 to September 2020	\$9,721,555	\$5,000,000	\$2,593,310
	Cambodia	Agriculture Services Programme for Innovation, Resilience and Extension (ASPIRE)	March 2015 to March 2022	\$17,700,000	\$14,995,000	\$10,153,375
	Vietnam	Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	March 2014 to March 2020	\$22,000,077	\$3,930,000	\$2,387,027

ESA	Mid-term review of IFAD Adaptation for Smallholder Agriculture Programme					
	Burundi	Value Chain Development Programme Phase II	September 2015 to December 2021	\$36,640,539	\$4,926,000	\$2,122,163
	Comoros	Family Farming Productivity and Resilience Support Project	May 2017 to December 2022	\$6,000,000	\$1,000,000	\$118,798
	Ethiopia	Participatory Small-scale Irrigation Development Programme II	February 2017 to March 2024	\$103,500,000	\$11,000,000	\$1,899,521
	Kenya	Kenya Cereal Enhancement Programme Climate-Resilient Agricultural Livelihoods Window	April 2015 to September 2022	\$61,776,000	\$10,000,000	\$1,841,499
	Lesotho	Wool and Mohair Promotion Project	June 2015 to June 2022	\$7,660,000	\$7,000,000	\$2,227,934
	Madagascar	Project to Support Development in the Menabe and Melaky Regions – Phase II	September 2015 to December 2022	\$34,400,000	\$6,000,000	\$1,597,481
	Mozambique	Pro-Poor Value Chain Development Project in the Maputo and Limpopo Corridors (PROSUL)	October 2012 to June 2020	\$16,300,000	\$4,907,560	\$4,416,053
	Malawi	Programme for Rural Irrigation Development	December 2016 to March 2022	\$26,483,000	\$7,000,000	\$568,431
	Rwanda	Climate-Resilient Post-Harvest and Agribusiness Support Programme (PASP)	March 2014 to March 2020	\$13,469,000	\$6,923,865	\$5,855,866
	Uganda	Project for the Restoration of Livelihoods in the Northern Region	August 2015 to September 2022	\$50,200,000	\$10,000,000	\$3,110,159

LAC						
	Bolivia	Programa ACCESOS – ASAP; Economic Inclusion Programme for Families and Rural Communities in the Territory of Plurinational State of Bolivia	November 2013 to September 2019	\$18,000,082	\$9,999,815	\$7,495,421
	Ecuador	Project to Strengthen Rural Actors in the Popular and Solidary Economy	September 2017 to June 2021	\$15,900,000	\$4,000,000	\$0
	El Salvador	National Programme of Rural Economic Transformation for Living Well – Rural Adelante	April 2019 to June 2024	n/a	\$5,000,000	n/a
	Nicaragua	Adapting to Markets and Climate Change Project	July 2014 to September 2020	\$8,098,429	\$8,000,293	\$5,680,472
	Paraguay	Proyecto Mejoramiento de Ingresos de la Agricultura Familiar Campesina e Indígena en Departamentos de la Región Oriental del Paraguay (PROMAFI)	November 2018 to December 2024	\$17,375,000	\$5,093,000	\$0
NENA						
	Djibouti	Programme to Reduce Vulnerability in Coastal Fishing Areas	August 2014 to September 2020	\$4,112,916	\$5,996,000	\$3,386,480
	Egypt	Sustainable Agriculture Investments and Livelihoods Project	June 2015 to June 2023	\$50,250,000	\$5,000,000	\$855,578
	Iraq	Smallholder Agriculture	June 2018 to June 2025	n/a	\$2,000,000	n/a

		Revitalization Project				
	Kyrgyzstan	Livestock and Market Development Programme II	August 2014 to September 2020	\$11,000,000	\$9,999,520	\$6,494,780
	Moldova	Rural Resilience Project	August 2017 to September 2023	\$18,200,000	\$5,000,000	\$1,309,067
	Montenegro	Rural Clustering and Transformation Project	April 2017 to June 2023	\$3,877,000	\$1,880,000	\$556,951
	Morocco	Rural Development Programme in the Mountain Zones – Phase I	February 2015 to March 2020	\$23,370,000	\$2,004,000	\$289,819
	Sudan Butana	Butana Integrated Rural Development Project (BIRDP)	September 2016 to September 2019	\$10,313,000	\$3,009,000	\$3,006,000
	Sudan 2 Pastoral	Livestock Marketing and Resilience Programme	March 2015 to March 2022	n/a	\$7,000,000	\$1,557,970
	Tajikistan	Livestock and Pasture Development Project II	February 2016 to March 2021	\$8,700,000	\$5,000,000	\$2,972,779
WCA						
	Benin	Market Gardening Development Support Project	October 2016 to December 2023	\$23,500,000	\$4,500,000	\$576,389
	Cabo Verde	Rural Socio-economic Opportunities Programme	December 2016 to March 2022	\$11,000,530	\$4,000,000	\$1,067,066
	Chad	Project to Improve the Resilience of Agricultural Systems in Chad	February 2015 to March 2022	\$17,200,000	\$5,000,000	\$2,928,876
	Côte d'Ivoire	Support to Agricultural Production and Marketing Project-Western Expansion	September 2014 to December 2020	\$34,881,000	\$6,994,750	\$1,663,971

	Gambia	National Agricultural Land and Water Management Development Project	November 2015 to December 2019	\$7,050,000	\$5,000,000	\$3,547,135
	Ghana	Ghana Agricultural Sector Investment Programme	May 2015 to June 2021	\$36,600,000	\$10,000,000	\$3,179,000
	Liberia	Tree Crops Extension Project (TCEP)	June 2017 to September 2023	n/a	\$4,500,000	\$696,504
	Mali	Fostering Agricultural Productivity Project in Mali – Financing from the Adaptation for Smallholder Agriculture Programme (PAPAM/ASAP)	December 2013 to July 2018	\$21,000,000	\$9,942,704	\$8,945,231
	Mauritania	Inclusive Value Chain Development Project	January 2017 to March 2025	\$15,000,000	\$6,000,000	\$593,605
	Niger	Family Farming Development Programme in Maradi, Tahoua and Zinder Regions	April 2015 to September 2023	\$96,989,710	\$13,000,000	\$7,310,570
	Nigeria	Climate Change Adaptation and Agribusiness Support Programme in the Savannah Belt	March 2015 to March 2021	\$70,058,200	14,949,000	\$3,239,592

8.4 Methodology

8.4.1 Conceptual approach and evaluation questions

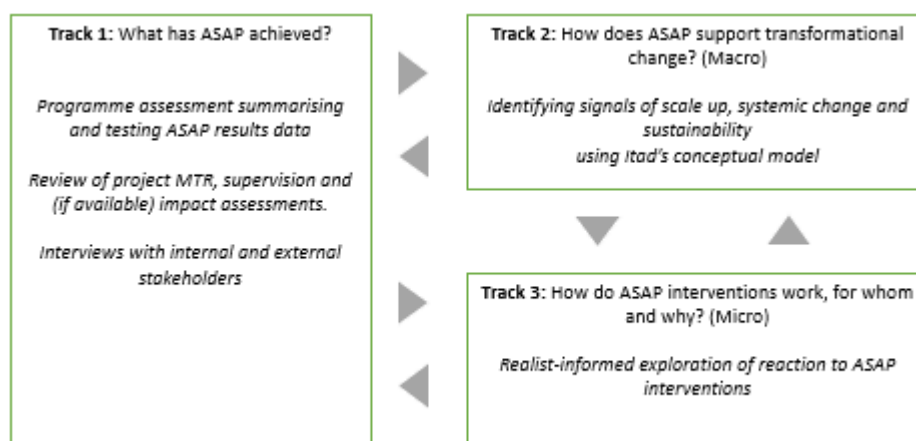
The team used a theory-based evaluation approach to assess ‘What’ ASAP has achieved and ‘How’ it managed to do so. Theory-based evaluation focusses on how change does/does not happen and demonstrates the role of the intervention, amongst other factors, in causing the change. This enabled us to present ASAP’s current status and the most valuable lessons to replicate in the remaining time of the programme, synthesising across projects to draw learning at the programme level.

Theory was developed at two levels:

1. **Micro:** how do people respond to ASAP interventions, and how do these responses influence the programme’s outcomes, with a particular focus on what works, for whom and why?
2. **Macro:** how do the ASAP interventions work together, and in relation to their system contexts, to support scale up and encourage sustainability?

The focus on ASAP’s results and its change processes at the micro and macro level represent the three evaluation tracks, as depicted in Figure 1. Cross-cutting throughout the tracks will be a focus on innovation, nutrition and inclusion.

Figure 5: Three interconnected evaluation tracks

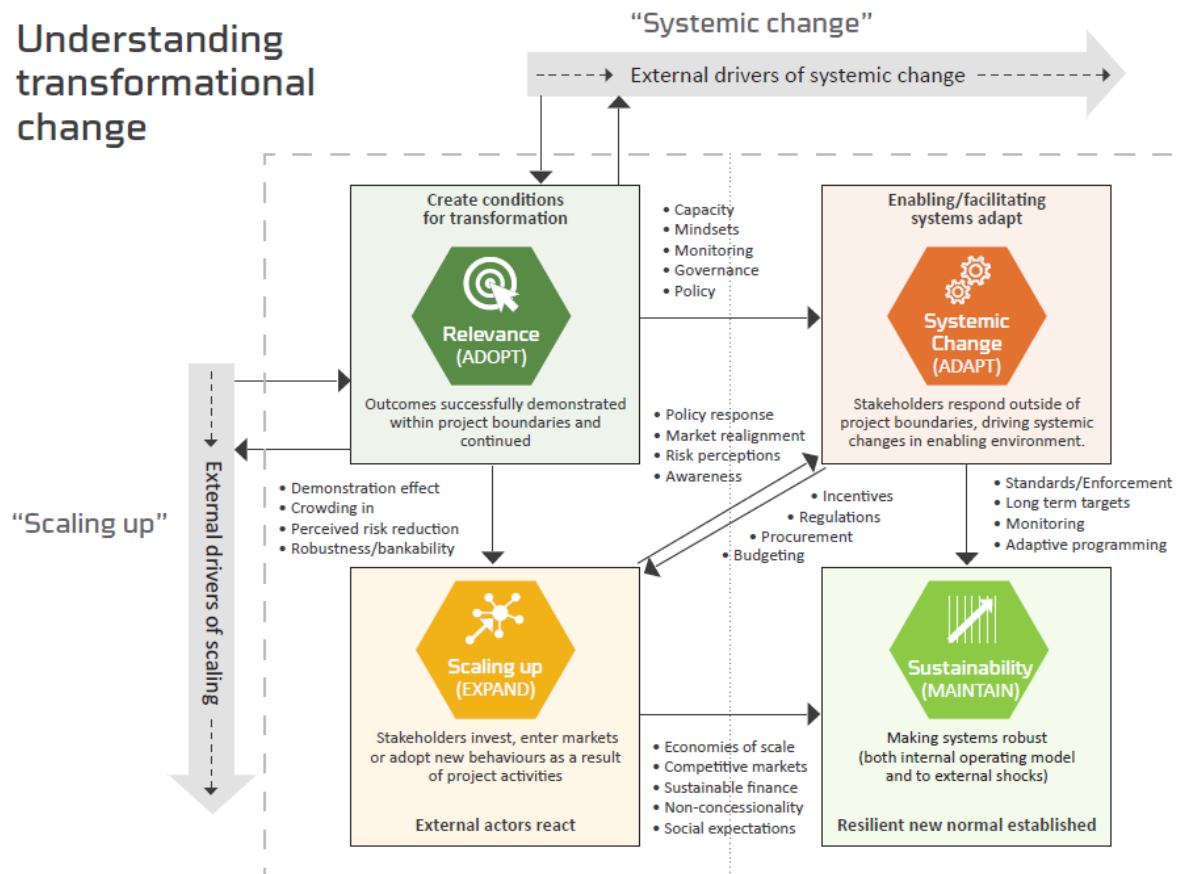


Track 1: What has ASAP achieved? (‘Relevance’)

Under the first track of the MTR approach we focused on the progress of the ASAP portfolio towards achieving its logframe results. The team used the most recent ORMS data to describe ‘What’ has happened in ASAP. This was a useful starting point setting out results in order to interrogate further the change pathways, identifying barriers and enablers for change. Focusing on programme-level assessment, the aim was to maximise lesson learning in order to contribute to design of the next phase of ASAP, examining what works and what might work better.

This formed the basis of Track 2 and 3 of the MTR (see Figure 2), for which we used a **realist evaluation** approach and **thematic analysis** to explore i) Scale-up, ii) Sustainability and iii) Systemic, as well as specific focus areas of: institutions and policy change, innovation, and gender and nutrition.

Figure 6: Itad’s conceptual model for understanding ASAP projects in pathways to scale and sustainability



Track 2: How does ASAP support transformational change (‘Systemic Change’; ‘Scale-Up’ and ‘Sustainability’)?

Itad used the first stage in the model (Track 1 – Relevance) to assess current levels of effectiveness, efficiency, and impact within the programme’s purview. The three later steps are used to demonstrate **potential pathways** from the programme impacts to longer-term and greater ambitions of Scale-up, Systemic change, and ultimately, Sustainability. We expect to find interconnections and overlaps between the pathways – for example, by Scaling Up a particular innovation an ASAP project may create a demonstration effect that encourage other actors to commit funding and, therefore, support its Sustainability.

Appendix 8.9 provides the MTR team’s indicative list of signals for assessing whether and how the ASAP projects and portfolios are progressing to, or achieving, scale-up and sustainability. The signals are categorised by those we ‘Expect to see’, ‘Hope to see’ and would ‘Love to see’, in recognition of the fact that scale-up and sustainability are long-term processes and that the majority of the ASAP portfolio is still in mid/early stages of implementation.

Reviewing the ASAP portfolio in this way will allow the MTR team to demonstrate not just a binary depiction of whether the programme has succeeded or failed to reaching scale-up and sustainability, but indications of achievements and plausible options for changing tracking and/or consolidating its goals.

Track 3: Realist informed exploration of ASAP change pathways

A Realist Evaluation lens was used to explore the effect that ASAP’s interventions have. Realist evaluation is based on the premise that interventions rarely have a single and set causality between their intended and actual effects; rather, people act upon, reject, or alter interventions based on their circumstances,

and this process leads to multiple and varied outcomes. Realist evaluators capture this nuance by explaining ‘What works, for whom, and why’ to generate lessons that help improve programme design. They capture lessons in Context-Mechanism-Outcome (CMO) configurations, which are used to explain why an intervention works (or not), and with what results (see Box 4).

This method is suitable to ASAP MTR because the ability to adapt to climate change is closely linked to economic, environmental, governance and social factors, as well as levels of awareness, risk perception, and self-efficacy. Furthermore, between ‘adoption’ of new technologies/approaches and enhanced adaptive capacity there are a series of intermediate outcomes, some of which may be in line with the intervention’s intended effect, but also others which may block, reverse, or alter it.

Box 4: Explanation of CMO configurations

Mechanisms are the choices, reasoning, and decisions that people make as a result of the resources provided by the programme. A training course is not a mechanism. The mechanism is the ‘thing’ that explains *why* training changes behaviour (or does not) in a particular setting.

Mechanisms are only triggered in certain **Contexts**. Contextual factors may include *individual* characteristics that affect how people respond to opportunities (e.g. gender, ethnicity, education); *interpersonal* factors that affect trust and buy-in (relationships between stakeholders); *institutional* factors (the rules, norms and culture of the organisation in which the intervention is implemented); and *infrastructural* factors (the wider social, economic, political and cultural setting of the programme).

Outcomes refer to intended and unintended short-, medium- and long-term changes resulting from an intervention. A CMO configuration is a theory or hypothesis about how a particular mechanism works in a specific context to lead to an outcome.

CMO configurations can usually be read as sentences, for example:

‘When agricultural innovations are delivered on lands which the national government has identified as being over-exploited or earmarked for rejuvenation (C), District Officers saw the potential to generate extra public investment (M) and were therefore encouraged (M) to promote the technology all villages within their purview, regardless of whether the land in these districts was depleted or not (O).

‘When the new drought resistant seed varieties were intercropped with a fast-growing cash crop male farmers (C) saw the opportunity for a new short-term income (M) which encouraged them to plant the drought resistant crop more widely (O). However, women farmers said that the short-term income would be captured by male members of the household (C) and so were sceptical of planting either crop (M) and so discarded the seeds (O)’

8.5 Sampling

The sampling framework was designed so that the evaluation team could cover a breadth of ASAP project which at the same time deepen the understanding in particular projects which the MTR team believe hold useful insights for the remaining ASAP time frame. We used a purposive sampling approach to provide:

- Coverage across the five ASAP geographic regions
- Coverage across the five pillars of ASAP interventions

- Multi-stakeholder perspectives in at least one ASAP project considered to be performing well and one facing challenges per region¹³⁸
- First-hand observations in countries the MTR team feel would provide particularly interesting insights from which the wider programme can learn (while excluding those that had recently fielded a visit)
- Overall sample size was determined by 1) the availability of existing material, and 2) feasibility within the time frame and the team's resource allocation. In order to compensate for the limited secondary data from which the ASAP programme could be isolated, the team increased its overall sample size for primary data to the following:
 - Three country visits (Niger, Rwanda and Bangladesh)
 - All 20 projects with MTRs were covered via at least one telephone interview
 - 10 countries were covered with multiple stakeholder interviews
 - All 42 projects were covered with literature review

8.6 Coverage and treatment

Based on the sampling framework, the following ASAP projects were selected for evaluative treatment in the following ways:

No.	Country	Visit	Multiple telephone interview*	Single telephone interview**	Doc review only
APR					
1	Bhutan			X	
2	Bangladesh	X			
3	Nepal		X		
4	Lao PDR				X
5	Cambodia		X		
6	Vietnam				X
ESA					
7	Burundi			X	
8	Comoros				X
9	Ethiopia				X
10	Kenya		X		
11	Lesotho				X
12	Madagascar		x		
13	Mozambique			x	
14	Malawi				X
15	Rwanda	X			
16	Uganda			X	
LAC					
17	Bolivia			X	
18	Ecuador		X		
19	El Salvador				Y

¹³⁸ Based on the typology agreed by CIAT and IFAD ASAP team in July 2019.

No.	Country	Visit	Multiple telephone interview*	Single telephone interview**	Doc review only
20	Nicaragua		X		
21	Paraguay				Y
NENA					
22	Djibouti		X		
23	Egypt			X	
24	Iraq				Y
25	Kyrgyzstan				Y
26	Moldova			X	
27	Montenegro				Y
28	Morocco			X	
29	Sudan Butana		X		
30	Sudan 2 Pastoral				Y
31	Tajikistan				Y
WCA					
32	Benin				Y
33	Cabo Verde			Y	
34	Chad				Y
35	Côte d'Ivoire			Y	
36	Gambia			Y	
37	Ghana		X		
38	Liberia				Y
39	Mali		X		
40	Mauritania				Y
41	Niger	X		Y	
42	Nigeria				Y

8.7 Synthesising across the ASAP projects

The evaluation team used synthesis techniques to produce a programme-level depiction of ASAP's progress. These were also used to produce new insights above and beyond the findings of any individual source, especially for generalisable lessons on delivery approaches and intervention effectiveness across different situations or settings. The process for synthesis and meta-analysis was as follows:

- Defined the scope of the synthesis, including specifying the topic and questions, and identifying the relevant populations, cases or interventions of interest.
- Specified a search strategy – what studies would be searched, how and with what resources.
- Applied inclusion (and exclusion) criteria for the synthesis, including criteria relating to evidence quality.
- Conducted the search and applied the inclusion criteria to identify studies for inclusion.
- Classified the studies systematically, according to variables such as the characteristics of the intervention and the nature of the study methods.
- Analysed sources systematically, following thematic analysis strategy.

8.7.1 Coding and analysis

The MTR synthesis is based on a thematic analysis. We identified, examined and recorded patterns (or 'themes') within the data, to inform our understanding of ASAP pathways toward achieving adaptation and transformation. Guided by the realist approach, the themes focused both outcomes and specific mechanisms that helped achieve them. Applying a comparative case study analysis approach (Goodrick, 2014), the team analysed and synthesised similarities in those patterns, as well as any dissonances.

Documents and interview transcripts were analysed and coded using MAXQDA, a qualitative data analysis software. This enabled identification, examination and recording of patterns (or 'themes') within the data, to guide the overall analysis. The foundation of the coding system was informed by the TORs, MTR Questions, portfolio and document review.

8.8 Quality and strength of evidence base

The following observations are relevant to the quality and strength of the underlying evidence in this MTR. The observations informed the selection of findings presented and the language used to describe them.

Use of supervision and MTR reports: These reports (referred to as 'supervision reports' in the text) are the main source of secondary data available on the implementation of ASAP, covering all programmes reviewed. The reports provide relevant information on targeting, adaptation, sustainability, scale-up potential, and many other aspects. In most reports it was possible to identify findings, their justification, and the implications. All are written and structured well. However, they present certain, and sometimes significant limitations that should be borne in mind as reading:

1. The reports focus on the range of IFAD activities in a country, including but not exclusively focusing on the ASAP grant. It is not always possible to isolate to which activity the findings relate.
2. There is variation in the type and extent of information presented across the reports. Although quantitative information is highly standardised, the qualitative descriptions vary, even within a single assessment area. In some areas it is not possible to tell whether one project is being assessed using the same standard as another, or whether information is omitted because it is not relevant to the project or because it not considered by the supervision team.
3. They do not systematically record the effects of shocks and stressors on smallholders or the project, although these are mentioned in some cases.
4. The reports are not a fully independent reviews, but produced by teams that have some level of affiliation to IFAD. Their content shows that this has not prevented a critical review of IFAD programming, but it is not possible for the MTR to judge whether important aspect have been omitted beyond the three countries visited.

The MTR team have supplemented the secondary data with primary data collected through key informant interviews across a range of respondents.

Where an ASAP project is covered by multiple reports the most recent is used as the principal form of evidence.

8.8.1 Limitations

The main limitations relate to time frames and stages of implementation. They are presented below, accompanied by the impact on the review.

Limitation	Implication
Stage of implementation of projects: Delays in disbursement in ASAP projects has limited evidence available at the outcome and impact levels.	The evaluation team addressed this by considering lower level and intermediate outcomes as well as process markers.
Short time frame of evaluation: The evaluation team prioritised single interviews with as many projects as possible over the planned multiple interviews per project in a smaller cohort.	Reduced ability to answer ‘for whom’ questions. Reduced the number of external perspectives on ASAP’s progress.
Response rates: Delays in responses from potential interviewees.	Postponed a significant number of interviews towards the later stages of the data collection. Follow-up interviews and snow-balling sampling were not always possible.
Bangladesh case study visit: The MTR’s third case study was subjected to international and, later, national travel restrictions relating to COVID-19. After a series of mission rescheduling, the possibility of any travel within the MTR time frame closed in mid-March 2020.	The case study was conducted by a national value chain expert, using telephone interviews with project staff and farmers. The telephone format limited the data collection options to key informant interviews where the evaluation team would ordinarily have used focus group discussions and observations. The breadth of perspective is therefore limited compared to other the country visits, although the case study benefited from a strong contextual understanding.

8.9 Indicative signals for scale-up and sustainability

The following tables contain indicative signals of scale-up and sustainability to support the assessment under the relevant MTR questions. The signals are based on a review of ASAP’s portfolio-level documentation, Itad’s past evaluation of transformation in resilience programmes, and wider literature on evaluating sustainability. However, we expect further signals will become apparent as the MTR begins its primary data collection.

		Expect to see	Hope to see	Love to see
Scale-up				
Adaptation approaches / technology	Population	The number of people with access to (or covered by) at least one climate-relevant intervention increases beyond the number in the initial <u>loan design</u>	The number of people with access to (or covered by) at least one intervention increases beyond the initial <u>ASAP design</u>	
	Inclusion	Equitable inclusion of men, women, and typically marginalised groups maintained as access increases	Greater quantitative or qualitative inclusion into <u>interventions</u> for typically marginalised groups	Greater quantitative or qualitative inclusion into <u>programme design process</u> for typically marginalised groups
	Intervention	The number of people with access to (or covered by) at least one climate-relevant intervention increases beyond the initial loan design	The number of people with access to (or covered by) 2-3 climate-relevant interventions increases beyond the initial project design	The number of people with access to (or covered by) at 4-6 climate-relevant interventions increases beyond the initial project design
	Intervention disaggregation: 1) 'No regrets' option; 2) Targets current shocks; 3) Targets future shocks			
	Geographic	The amount of land/number of areas with access to (or covered by) at least one climate-relevant intervention increases in line with targets	The amount of land/number of areas with access to (or covered by) at 2-3 climate-relevant interventions increases beyond the initial targets	
	Geographic disaggregation: Scale-up 1) Within planned areas; 2) Outside of planned areas			
Finance for adaptation	Social cohesion	Scale-up of ENRM is achieved without creating conflict between communities	Scale-up of ENRM has helped to foster benefits for original and new communities in ways that benefit resource management and/or livelihoods for both groups	
	Amount	ASAP funding has increased the % of <u>original</u> IFAD loan applied to/with climate adaptation approaches	ASAP funding has increased the % of <u>new</u> [see Bolivia, Niger, Mali, Cambodia, Mozambique] IFAD loans applied to/with climate adaptation approaches ASAP funding has encouraged <u>other</u> climate funders to invest in smallholder adaptation	ASAP funding has encouraged national, regional, community, farmer, private sector actors to invest in adaptation technology or approaches

		Expect to see	Hope to see	Love to see
		Scale-up		
	Access			Number of farmer/community groups accessing climate finance increases beyond baseline of ASAP project

		Expect to see	Hope to see	Love to see
		Sustainability		
	Ownership	Intended owner <u>espouses</u> their responsibility for the activity/innovation	Intended owner <u>documents</u> their responsibility for the activity/innovation	Intended owner <u>codifies</u> their responsibility for the activity/innovation
	Financial	Innovation/activity has funding commitment beyond the initial ASAP phase	Innovation/activity has mechanism for multi-year replenishment of funding	Innovation/activity generates income that more than covers ongoing operational costs
	Capacity	Intended owner has applied the technical capacity for implementation during the course of ASAP Intended owner's technical capacity resides in more than one person Applying capacity does not overburden intended owner	Internal mechanisms are in place for renewal/expansion of the capacities over time	External mechanisms are in place for renewal/expansion of the capacities over time
	Incentive	Innovation/activity generates income that <u>meets</u> ongoing operational and maintenance costs Accurate recognition of climate threats motivates sustaining actions Other motivating factors support continued operation and maintenance	Innovation/activity generates income that <u>exceeds</u> ongoing operational and maintenance Accurate recognition of climate threats motivates improving actions Other motivating factors support improvement	Innovation/activity generates income that <u>exceeds</u> operational and maintenance costs <u>and</u> attracts others to contribute or replicate (scale-up) Accurate recognition of climate threats motivates contributing actions from non-participants Other motivating factors encourage other people to support
	Risk	Intervention design includes assessment and mechanism(s) for dealing with future climate/environmental risks	Intervention design includes assessment and mechanism(s) for dealing with future climate/environmental <u>and</u> financial risks	Intervention design includes assessment and mechanism(s) for dealing with future climate/environmental, financial risks <u>and</u> political/social risks

		Expect to see	Hope to see	Love to see
		Sustainability		
Environmental		The above is achieved without over-exploiting or otherwise damaging the natural resources associated with or linked to the activity/innovation	The innovation/activity is expected to improve the natural resources associated with or linked to the activity/innovation	The innovation/activity is expected to improve the natural resources associated with or linked to the activity/innovation in ways that support livelihoods

9 Further analysis of ASAP results

9.1 Land under climate-resilient practices

A number of sub-indicators (Table 14) have contributed in aggregate to the overall totals reported in Table 3 (Pg. 8), ASAP Core Indicators and progress against targets, above. Countries and indicators in which reporting issues have raised questions about the measurement process are marked with an asterisk.

Table 14: ASAP2 indicators and selected sub-indicators¹³⁹

Indicators	Sub-indicators
ASAP2 Land under climate-resilient practices	Irrigated land using efficient technology (Ghana) 1.1.2: Farmland under water-related infrastructure constructed/rehabilitated (Chad, Niger, Sudan 2*; Moldova; Morocco) 3.1.4: Land brought under climate-resilient practices (Niger, Sudan 2*) Land under improved management practices (Sudan 2; Chad) Land under rainfed agroforestry practices (Sudan 2) Ha of accessible pasture managed in a more climate-resilient manner (Tajikistan) 1.1.3: Rural producers accessing production inputs and/or technological packages (Morocco*) 1.1.4: Persons trained in production practices and/or technologies (Morocco*) 3.2.2: Households reporting adoption of environmentally sustainable and climate-resilient technologies and practices (Morocco*) 1.1 Persons receiving services promoted or supported by the project (Comoros)

* Potential double-counting

Most projects report achievements at the output level, with change measured according to the adoption of these practices. Outcomes in terms of yield increases are not measured consistently across the projects. This makes it difficult to assess whether and where resilience capacities have been built, even though adoption suggests farmers would subsequently build their adaptive capacity. Project outputs can be considered to be important 'stepping stones' on the pathways towards adaptation and resilience.

Table 15: Selected ASAP project outputs and outcomes: land under climate-resilient practices

Country (project)	Evidence of outputs and outcomes from supervision reports and project data
Gambia	1,530ha of land are under climate-resilient practices, equivalent to 99% of the project target. Includes: mangrove restoration (1 402.5 ha), community Woodlots (55.0 ha), Agroforestry (25.0 ha), and drip irrigated vegetable production schemes under CISF financing (35.0 ha). Local management committees have been formed at woodlot sites funded under the CHOSSO project.
Ghana	30 demonstrations of modern conservation agriculture techniques under rainfed conditions in 10 districts (1 acre per district and three communities in each district) in the northern regions. Modest yield increases were recorded on the demonstration fields, in certain cases, 100% increase in yields on farmer-owned fields.
Sudan (2 projects)	Land under improved management practices: 100,000 ha (63.5% of the planned target of 524,618 ha).

¹³⁹ Source: Communication between IFAD ASAP team and Regional and Country Offices.

Country (project)	Evidence of outputs and outcomes from supervision reports and project data
	<p>Land under climate-resilient practices has significantly expanded to exceed the planned target (37,176 ha) of the project to reach 65,880 ha.</p> <p>83% of the land planned for Guar cultivation (4,817 ha) has been realised.</p> <p>77 community range reserves covering around 65,000 ha have established by the project during its lifetime including 853 ha during the first half of 2019.</p> <p>Investment in individual range 1,206 ha, exceeding the planned target (1,115 ha).</p> <p>Establishment of community forests reached 30,500 ha accounting for 85% of the planned target during the project lifetime (35,880 ha).</p> <p>85 community forests are currently managed and protected by communities.</p> <p>Terrace improvement/rehabilitation under water harvesting cover 42,553 ha, accounting for 106% of the planned target.</p> <p>34 women groups farms where vegetables and fodder are grown have been established benefiting around 850 women.</p> <p>During 2009–19, 112 women group farms have been constituted and functional including 59 farms under additional finance.</p>
Bolivia	<p>128% of target reached. Activities include: soil, water and vegetation management; recovery of crop areas with agroforestry systems, micro-irrigation systems (conduction systems suitable for the good use of water), construction of water reservoirs, protection walls with gabions, afforestation and reforestation of degraded areas, protection of water recharge areas.</p>

In Bangladesh, several crop farming technologies have been introduced and reported to be making a difference in the Haor context where planting, sowing and harvesting are highly affected by flash flooding. These include Boro Paddy and Aus Paddy; tillage (by using power tiller); sowing by drum seeder; mulching (done mechanically to apply fertiliser and softening but cleaning of weeds instead of using herbicides); harvesting (by using wetland combined harvester) and threshing by power threshers. Timely implementation of these activities is critical for crop farming. This holistic approach to technology for adaptation climate change save farmers’ investment and ensure productivity and higher income than depending heavily on traditional technologies.

Ghana’s GASIP project does report beyond the adoption of practices, with modest yield increases on demonstration fields, and a doubling of yields for some farmers on their own fields. Intervention success was attributed to the combination of activities, the most significant being: use of improved seeds; row and optimum planting distances; spot application of fertiliser; timely weeding; cover cropping (*mucuna*) and mulching to conserve moisture. There was also an information sharing component, with the GASIP team collaborating with other projects to share information and knowledge. The project also worked with existing institutions, involving staff from district departments of agriculture in demonstrations in 10 districts, which usually serves to enhance credibility and increase buy-in from potential beneficiaries.

Data from Sudan (BIRDP project) suggests women farmers have increased their production on climate-resilient land, reporting ‘34 women groups farms where vegetables and fodder are grown have been established, benefiting around 850 women’, though the link to higher-level outcomes, such as income, is not clear from the reporting. Nevertheless, the examples point to potential increases in absorptive and adaptive capacity for these women. Over a 10-year period (2009 to 2019 – prior to and including ASAP) 112 women group farms have been ‘constituted and [made] functional’.

Across a number of projects, it is clear that outcomes have been achieved as a result of packages of activities working together (Bolivia; Madagascar; Chad). For example, in Chad rainfed farming sites (market gardening) were developed through a combination of soil improvement (manure), well construction and water provision and technical training through farmer field schools. Good rainfall recorded during the year also helped. The Madagascar project broadly tackles agro-ecology,

encompassing conservation agriculture, agroforestry, arboriculture. Combining environmental education with a range of conservation agriculture techniques, tree-planting and protection of water sources complements and reinforces NRM. Achievements in Bolivia as a result of activities working together to improve productivity (see Table 14 above) suggest the project responds well to community demands and is designed well to take account of current agroecological characteristics.

9.2 Access to water facilities for production and processing

A number of sub-indicators (Table 16 below) have contributed in aggregate to the overall totals reported in Table 3 (Pg. 8).

Table 16: ASAP 3 and ASAP 4 indicators and selected sub-indicators¹⁴⁰

Indicators	Sub-indicators
ASAP 3 Production and processing facilities supported with increased water availability and efficiency	Drinking water system constructed/rehabilitated (Sudan 2) Rainwater harvesting systems constructed/rehabilitated (Rwanda) Number of social infrastructure constructed/rehabilitated (Egypt)
ASAP 4 Households supported with increased water availability or efficiency	Number of pastoralists households reporting improved access to water points and/or rangelands (Sudan 1) People (pastoralists) reporting secure access and user rights to water (Sudan 2) 5.1. Families invest in measures to reduce risks and adapt to climate change (Bolivia) 3.2.2: Households reporting adoption of environmentally sustainable and climate-resilient technologies and practices (Nicaragua)

Table 17 summarises a selection of outputs and outcomes Under ASAP 3 and ASAP 4. Reported outputs and outcomes focus on access and user rights, and the provision of water facilities (Cape Verde; Gambia; Morocco; Nigeria, among others). ASAP outcomes for access to water reflect the progress made in supporting production and processing facilities. However, water access for households is critical for meeting basic needs and underpins further progress toward adaptation and resilience. It lays the foundations for other outcomes, including agricultural outcomes, income and food security (where water is used for irrigation and livestock activities).

Table 17: Selected ASAP project outputs and outcomes: access to water

Country (project)	Evidence of outputs and outcomes from SRs and project data
Cape Verde	Introduction of drip irrigation; new and rehabilitation of water reservoirs
Gambia	Harvest runoff water schemes for multipurpose use, mainly for livestock watering is under implementation. Runoff harvested and controlled in upland: the project has reclaimed 4,630 ha of upland area for cultivation against 3,000 ha initially planned, which is 154% of the MTR target and over 200% against the original project target. Tidal irrigation scheme: against the (810ha) initially planned, the project has finalised its investments in tidal irrigation schemes development to 422.2 ha covering 10 communities in CRRS and CRRN. This equals to 52% of the revised MTR target of 810 ha.

¹⁴⁰ Source: Communication between IFAD ASAP team and Regional and Country Offices.

Country (project)	Evidence of outputs and outcomes from SRs and project data
	Development of irrigated schemes: Lowland Water Control, the project's overall achievement in lowland development is 12,724 ha, which is 182% of MTR revised target and comprises 62,366 metres of dike, 176 m of spillways, 20,953 m in causeways and 589 m of bridges. This area (12,724 ha) is enough to benefit at least 25,000 households/persons, about 87% being women persons and 20% women-headed households.
Laos	Total 64 clean water schemes were constructed. Surveys and designs are conducted for 66 new infrastructure schemes. The invested water infrastructure schemes contribute to improving water uses for agriculture cultivation, gardening and household consumption, and respond to water shortage conditions at the project districts.
Morocco	Irrigation infrastructure built: 7.42 km of concrete canals, three water points. water control by diversion thresholds on wadis, soil protection by fruit tree plantations (1,674 ha of new plantations and 1,275 ha of rehabilitation of existing plantations). the use of irrigation water saving systems. the creation of water points (water abstraction and storage tanks and storage of water).
Mozambique	A total of 1,244 ha of irrigated area rehabilitated under PROSUL. This has opened business opportunities for the supply of various inputs, e.g. seedlings and services for the farmers to access. Smart drip irrigation technologies have resulted in marked improvements in crop productivity, quality and production per unit area under the project.
Nigeria	Small-scale irrigation facilities including 497 tube-wells and 1,989 irrigation pumps (target: 3,534) have been provided to communities for dry season farming, along with 216 communal water supply infrastructure (target: 997) and 12 animal watering points (target: 126) constructed/rehabilitated.
Rwanda	The project impact assessment conducted last year (2018) found that out of a total 48 MCCs supported by the project, 38 (79%) have proper water drainage system installed while 40 (83%) have appropriate rainwater harvesting system. Reported time-saving for water collection.
Sudan Butana	During its lifetime the project managed to construct/rehabilitate 318 sources exceeding the planned target (102) by 211.7%. During the reporting period of 2019 a total of 66 water sources have been constructed/rehabilitated. The provision of water is reported by the project to have positively impacted all aspects of life in the Butana including population stability, improvement and diversification of agricultural production; improved nutrition and health particularly among women and children, improved enrolment of children in education, improved housing environment, income generation and investment in other service institutions, improved relationship between pastoralists and farmers and reduction of conflict over water sources.
Bangladesh	ASAP projects, mainly CALIP project piloted beel bank protection and undertook beel development (sanctuary) and canal re-excavation activities which Enhanced access of the poor men and women to sustainable water bodies with increased production capacity and biodiversity. Up to December 2019, the project developed 76 sanctuaries and re-excavated 57 km of canal. Overall achievement is low (around 37%) compared to the target set. But a large number of poor people especially women are already getting substantial benefit from these works.

9.2.1 Improvements in resilience capacities

While changes in secondary outcomes are not systematically quantified (e.g. changes in yields, income, morbidity), **there is evidence of a range of secondary outcomes representing improvements in resilience capacities including adaptation**, mainly through increased availability of water for agricultural production

with knock-on effects for household water use and food consumption (e.g. Laos). In Mozambique, smart drip irrigation technologies under the ASAP-funded project are reported have resulted in marked improvements in crop productivity, quality and production, as well as generating business opportunities for the supply of various inputs, for example, seedlings and services for farmers to access. In Sudan, given the critical dimension of water shortages, rehabilitation and construction of water sources not only provide the ‘way in’ to involve potential beneficiaries in a range of activities, it also has resulted in positive impacts on number of aspects of life, from livelihoods and agricultural production to education to nutrition. The supervision reports state that these encompass: population stability; improvement and diversification of agricultural production; improved nutrition and health particularly among women and children; improved enrolment of children in education; improved housing environment; income generation and investment in other service institutions. The project also reported ‘improved relationship between pastoralists and farmers and reduction of conflict over water sources’.

It is not clear from the projects how much water has been provided, nor its seasonal availability. This makes it difficult to ascertain the extent to which projects support populations to better manage drought.

9.2.2 Time saved

There is also evidence of time saved due to project activities creating a nearby water supply in Sudan Butana and also Rwanda, although evidence for the latter is for one beneficiary: ‘At the household level, one of the rainwater harvesting tank beneficiaries said she used to have to walk almost 5 km to get water but since the installation of the tank, she has been able to manage only with the collected water even during the dry season’. While this outcome is certainly important for the individual, and we may assume many women in the community and others like it to be similarly benefiting, one case does not constitute resilience building at any significant scale. Nevertheless, time-saving can be critical to women participating in other project and income-generation activities. More systematic collection of this data would enable IFAD to develop a more accurate understanding of the impact the projects are having on this key outcome, which contributes to adaptation and strengthened resilience.

A number of enablers for these outcomes are identified in in the dataset, mostly related to the provision of tools and equipment (for example Gambia community woodlot management). There are also constraints to the smooth running of water infrastructure. One project highlights the need for technical support and appropriate documentation for maintenance, such as manuals (Cape Verde), while another suggests a lack of contractor capacity was a barrier to meeting targets (The Gambia, tidal irrigation scheme). Cost has also been identified as a barrier to uptake, with costs of irrigation systems seen to be prohibitive to smallholder farmers in Mozambique, despite the potential for financial rewards.

9.3 Groups trained to cope with climate change

A number of sub-indicators (Table 18 below) have contributed in aggregate to the overall totals reported in Table 3 (Pg. 8).

Table 18: ASAP 5 and ASAP 6 Indicators and selected sub-indicators¹⁴¹

Indicators	Sub-indicators
ASAP5 Individuals engaged in NRM and climate risk management activities	People trained in NRM – Rangelands (Sudan 2)
ASAP6 Community groups engaged in NRM and climate risk management activities	2.1.3: Rural producers’ organisations supported (Djibouti)

¹⁴¹ Source: Communication between IFAD ASAP team and Regional and Country Offices.

Indicators	Sub-indicators
	<p>Number of approved CLPMP in the project areas (including LPDPI's PUUs) effectively integrating climate risk mitigation and adaptation measures (ASAP) (Tajikistan)</p> <p>1.1: Persons receiving services promoted or supported by the project (Bolivia)</p>

In this outcome area the results reported focus on numbers of people trained, awareness raising activities completed, materials produced (Table 19)

Table 19: Selected ASAP project outputs and outcomes: groups trained

Country (project)	Evidence of outputs and outcomes from SRs and project data
Kenya	<p>Agro-dealer training: 78 agro-dealers (25M, 13F, 25MY, 17FY) out of a target of 387 (20%), and set up nine demo fields led by agro-dealers out of a planned target of 28 (32%)</p> <p>Agro-dealer encouraged an e-voucher farmer to apply such techniques on her own field which led to an impressive cropping performance</p> <p>27 (16M, 11F) ToTs trained on climate games to enable them understand climate change, its effects, associated risks and explore tools to support experiential learning to adapt to climate change</p> <p>Farmer groups were also trained on utilisation of climate-resilient foods (182 farmers groups, against 600 annual target), and on WASH (182 farmers groups, against 600 annual target).</p>
Kyrgyzstan	<p>Capacity-building programme for government staff to deal with climate change adaptation related to pasture management.</p> <p>21 workshops in seven oblasts to raise awareness on the risks of climate change and to use the third tranche of grant financing for micro-projects that have a stronger orientation towards climate change adaptation.</p>
Lesotho	<p>Component A has focused on community awareness raising and training of Department of Range Resources Management staff over the last 12 months. The project supports rangeland rehabilitation activities and a curriculum is being developed by the National University of Lesotho on Rangeland Management and Climate Change. Moreover, a Rangeland Management Act has been prepared by a consultant, and was submitted to the legal office of the Ministry of Forestry Range and Soil Conservation in October 2018. The project aims to support 200 new and existing grazing associations by providing trainings on rangeland management and encouraging rotational grazing, de-shrubbing, and reducing overstocking. Existing grazing associations are already conducting sustainable ENRM practices and will be supported in their efforts to protect the rangelands, while also improving livelihoods, and livestock health.</p>
Cambodia	<p>Establishment of the Agriculture Extension Committee and the Extension Hub in GDA</p> <p>Quality review of extension materials which are made available through the Extension Portal</p> <p>Development of curriculum materials in the agriculture sector academic institutions and direct training of Ministry of Agriculture, Forestry and Fisheries MAFF staff.</p>
Laos	<p>(i) 60 PAR/Sustainable land management practices identified with 30 models replicated to Food & Nutrition Security and Market Linkages programme (FNML) target areas; (ii) 5 farmer field schools ToT courses organised for 45 District Agriculture and Forestry Office and Kumban staff in five project districts, who in turn trained 117 lead farmers to effectively implement the models; and (iii) cross visits between provinces and districts to learn about model implementation were organised</p>
Bangladesh	<p>A wide range of training activities was implemented to support livelihood protection of hoar people:</p>

Crop and horticulture: 915 demonstrations; 918 demo-based training; 190 exchange visits and 132 field days were organised for climate adaptive agriculture and horticulture.

Poultry and livestock: 1,236 demonstrations; 1,349 demo-based training; 21 batches of paravet training; 68 artificial insemination and 126 vaccination/deworming training.

Fisheries: 1071 batches of demonstration, including demo-based and income generating activities training and exchange visits for open water fisheries.

The introduction of brood pond *Mola*¹⁴² fish is quite innovative as pond fishers do not tend to develop these fingerlings, despite the rich nutritive value of the fish and its potential as a source of income. It was supported by 539 batches demonstration. Farm and hatchery visits were also implemented for adaptation in pond fishery.

For other livelihoods, 378 batches of training were arranged on wood products, bamboo products, cane products and Jute/other products.

Reporting against this outcome area mostly covers the activity level (for example: Chad; Djibouti; Uganda) and some, limited outputs (Kenya; Kyrgyzstan; Lesotho; Cambodia). This is understandable as outcomes from this set of activities take time to manifest, and they may be seen as important stepping stones towards achieving higher-level outcomes related to adaptation and resilience building. Higher-level outcomes, in terms of increased yield from climate-appropriate agricultural training was observed in Rwanda and reported in Bangladesh, and there is anecdotal evidence from other project reporting.

A lack of appropriate equipment has sometimes constrained achievement in this outcome. In Kenya, for example, training of trainers was conducted with only one set of equipment, which reduced the number of learning games and significantly prolonged the workshop time. Insufficient capacity building has held back climate awareness among implementing partners and villagers at *Kumban* and village level on model implementation in Laos.

9.4 Infrastructure protected from climate change

A number of sub-indicators (Table 20 below) have contributed in aggregate to the overall totals reported in Table 3 (Pg. 8).

Table 20: ASAP and ASAP indicators and sub-indicators¹⁴³

Indicator	Sub-indicators
ASAP7a New or existing rural infrastructure protected from climate events (km)	2.1.5: Roads constructed, rehabilitated or updated (Sudan 1; Sudan 2; Moldova; Morocco)
ASAP7b New or existing rural infrastructure protected from climate events (USD '000)	2.1.6: Market, processing, or storage facilities constructed or rehabilitated (only for BPs financed after 2018 – Rwanda) (Lesotho)

Table 21 sets out a selection of outputs and outcomes for infrastructure protected (ASAP7a and 7b). Activities here encompass new infrastructure built as well as rehabilitation of existing infrastructure.

Table 21: Selected ASAP project outputs and outcomes: infrastructure protected

Country (project)	Evidence of outputs and outcomes from supervision reports and project data
Cambodia	Service delivery through the provincial sub-programmes: 70,000 reached to date, with 10,000 farmers already benefiting from climate-resilient infrastructure (target: 70,000).

¹⁴²<https://www.worldfishcenter.org/content/nutrient-rich-mola-fish-become-popular-among-farmers-bangladesh>

¹⁴³ Source: Communication between IFAD ASAP team and regional and country offices.

Country (project)	Evidence of outputs and outcomes from supervision reports and project data
	<p>The programme has also supported local communities in planning and implementing climate-resilient infrastructures in convergence with commune resources.</p> <p>Infrastructure operation and maintenance functions generally provide opportunities to build social capital.</p>
Bangladesh	<p>148 out of the 175 Village protection infrastructure (85%) and village internal services (143 out of the 200 targeted) (72%) constructed by December 2019.</p> <p>Out of the 175 planned, 148 (85%) village have been protected through the combined CC block-vetiver model.</p> <p>21 of 28 <i>killa</i> constructed (75% progress) by December 2019. Each of the <i>killa</i> can save 120 MT of paddy during the haor flash floods.</p> <p>Substantial improvement in communication was visible due to new road infrastructure in the haor areas, one of the poorest and most difficult geographic areas of the country. A total of 504 km of road (91% of the 555 km planned) had been constructed at the community, union¹⁴⁴ and <i>upazila</i>¹⁴⁵ level by December 2019.</p>
Kyrgyzstan	<p>Strengthened pastoral system: Livestock shelters, water troughs, housing for herders and rehabilitated roads give herders better access to old and new pastures.</p> <p>Communities more aware of the risks of climate change and options how to adapt.</p>
Mozambique	<p>Project has supported and finalised construction/ rehabilitation or improvement of several public infrastructures including 41 boreholes; 15 cattle fairs; 100 crush pens, 26 protected cultivation structures.</p> <p>Rehabilitation/improvement of 1,405 ha of irrigation.</p> <p>Construction of one cassava wholesale market.</p> <p>Other civil works for rehabilitation/ improvement of 228 ha, construction of three cassava processing units and construction of one slaughterhouse are ongoing.</p>
Montenegro	<p>Water infrastructures: mid-term objective is surpassed (26 representing 236% of the target)</p> <p>Roads, mid-term objective is surpassed (38.1 km of roads representing 147% of the target)</p>

9.4.1 Outcome evidence of resilience capacity benefits

Project achievements tend to be reported in terms of outputs but there is some evidence of a range of follow-on benefits from the climate-resilient infrastructure's contribution towards adaptation and other resilience capacities. The number of people benefiting is quantified in some cases (for example, in Cambodia, but not the nature of the benefit). In Uganda, RETS have resulted in a reduction of fuelwood use by 50–60%. This has reduced pressure on woodlots and communal tree cover. Efficiency gains have contributed to halving cooking time and costs for households, as well as better health due to reduced indoor pollution during cooking. Solar PV beneficiaries reported better class attendance by pupils, and better health care.

Improved village protection infrastructure in Bangladesh meant that 125 MT paddy was saved during the Haor flash floods in 2017, demonstrating how the programme has improved absorptive capacity and resilience in the face of climate shocks and stresses.

Higher-level outcomes were identified (but not quantified) in Bangladesh, due to new road infrastructure in one of the poorest and most difficult geographic areas of the country provided through the ASAP-funded project. Interviews with farmers suggest substantial improvements in communication brought

¹⁴⁴ Lowest administrative unit.

¹⁴⁵ Sub-district.

about by new roads contributed to enhanced business and trade, access to health, education and other services, and reduced post-harvest losses.

9.5 Country-level indicators for policy engagement

Country	Outcome	Output/activity indicator
Sudan	<ul style="list-style-type: none"> - Policies, strategy, laws, by-laws established and enforced - Number of interstate partnership established for NRM management - Effectiveness of NRM conservation plans 	<ul style="list-style-type: none"> - Gaps in existing laws and by-laws identified and addressed - Number of environmental plans formulated - Number of local NRM regulations and by-laws established at community level - Number of studies/research undertaken on NRM
Mali	The sectoral coordination is improved and includes consistent field interventions	<ul style="list-style-type: none"> - Number of policies (land governance, seeds) adopted by the government - Number of communal adaptation plans integrated in the PDESC and implemented
Gambia	Existing/new laws, regulations, policies or strategies proposed to policy-makers for approval, ratification or amendment	<ul style="list-style-type: none"> - Policy-relevant knowledge products completed - Functioning multi-stakeholder platforms supported
Côte d'Ivoire	Producer organisations are increasingly professional and able to provide services to their members	<ul style="list-style-type: none"> - Producer organisations maturity level 1 strengthened to level 2 - Producer organisations maturity level 2 strengthened to level 3
Mozambique	CEPAGRI (Centro de Promoção da Agricultura) and, specifically, its delegation for the southern provinces, has and uses systems and tools for supporting inclusive value chain development and for promoting new business models	<ul style="list-style-type: none"> - Climate change adaptation knowledge sharing mechanism established within CEPAGRI - CEPAGRI/project staff trained on issues related to national and regional climate agenda
Vietnam	A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions of the province	<ul style="list-style-type: none"> - Number of workshops to deploy policies of agriculture - Number of trainings on CC adaptation policy
Bangladesh	CALIP: Weather and Flash Flood Forecasting Operational Research findings of various technologies and systems are disseminated Policy briefs advocate research findings climate-sensitive policy dialogue leading to enhanced frameworks	<ul style="list-style-type: none"> - International and country dialogues on climate supported - Policy-relevant knowledge products completed
Cambodia	<ol style="list-style-type: none"> 1.The policy framework and public institution for agriculture services provision in Cambodia are strengthened 2. The policy on agriculture extension in Cambodia is operational, with required service delivery capacity and a human resources development strategy in place 	<ol style="list-style-type: none"> 1.1 At least two other policies/regulations /laws and two strategy papers which integrate smallholders' service needs approved ratified or amended 1.1 Public actors at national and provincial level have increased capacity to plan and monitor policy implementation

Country	Outcome	Output/activity indicator
	3. Agriculture services demonstrate effectiveness in supporting smallholder farm businesses to increase profits and resilience to climate change	2.1 Quality assurance of existing material/content are operational 2.2 Agriculture educational institutions providing graduate, diploma and in-service training in line with PAEC and the human resource development strategy 2.3 Extension staff receive training to improve their skills and perform according to their approved job descriptions 3. Climate Change Resilience Strategy integrated in the local planning
Nicaragua	Producer organisations and institutions strengthen the coffee and cocoa value chains via services contributing to the design and implementation of policies and incentives	Greater impact on the design of policies promoting coffee and cocoa value chains
Bolivia	Natural resources management, investment in assets and entrepreneurship	Risk management and adaptation to climate change incorporated into municipalities territorial plans
Nepal	A scalable CC adaptation framework for the agriculture sector supported by participating institutions, districts and communities	International and country dialogues on climate supported
Bhutan	Strengthened Agricultural Institutions and Policies for Improved and Resilient Agricultural and Marketing Practices	International and country dialogues on climate supported
Lao	Smallholder Adaptation to Climate Change	International and country dialogues on climate supported
Burundi	Sustainable growth of productive capital and strengthening of the institutional capacities of value chains' actors	International and country dialogues on climate supported
Lesotho	Livestock producers manage rangelands in sustainable and climate-smart way	International and country dialogues on climate supported
Uganda	Poor farm families have increased resilience through sustainable use of natural resources and improved agricultural productivity	International and country dialogues on climate supported
Rwanda	2.0 HUB business investments generate reductions in product losses and increase smallholder and rural labourers' incomes	International and country dialogues on climate supported

9.6 Nutrition in ASAP

Climate change is a key underlying cause of food and nutrition insecurity, affecting availability and accessibility to nutritious foods.¹⁴⁶ The effects of malnutrition, including lower incomes and financial assets, affect physical capabilities and limit potential intellectual capacities, making people and livelihoods more susceptible to shock. Blending nutrition (along with other cross-cutting themes such as climate, gender and youth into the design of country programmes) and applying a ‘horizontal’ approach is a key objective of IFAD’s theory of change.¹⁴⁷

The ASAP programme was not designed with a nutrition lens. However, the MTR identified examples of projects delivering nutritional benefits, and these may improve and be replicated in the future. Bolivia, Djibouti, Malawi, Mauritania and Nepal show good practices and potential entry points for nutrition in different contexts and across IFAD’s core thematic areas.¹⁴⁸ Other ASAP projects, such as Sudan, Uganda, clearly contribute to nutrition outcomes although give less prominence to it in their design.

Design: Mauritania, Laos, Burundi, Kenya, Malawi, Comoros, Benin, Chad explicitly incorporate nutrition in their logframe, activities and indicators. In Benin, the impact pathways towards nutrition are analysed and indicate specific activities to address risks/assumption and strengthen the project’s contribution to nutrition.

ASAP in Bolivia includes nutrition throughout the project cycle, starting with design. The main approach corresponds to IFAD’s nutrition strategic outcome to increase the availability of nutritious and diverse foods in local and broader food systems despite the negative impacts of climate change on soil quality and water availability. Future projects with a similar focus could also make the ‘impact pathway’ stronger by including activities to improve child malnutrition, such as nutrition education and non-food approaches including water and sanitation.¹⁴⁹

Activities: Some ASAP projects have supported new forms of farming and contributed to more diversified diets and sustainable food systems. In Mauritania, the project has identified a range of opportunities to contribute to nutrition at different stages of the vegetable value chain. These include, at the production stage, diversification and incorporation of nutrient-rich varieties. In Bangladesh, the pond aquaculture has generating significant income for households while providing households protein needs for 3–4 days in a week. In countries where ASAP has supported (but not necessarily recorded gains in) food security, such as Rwanda and Bangladesh it may be expected that nutrition of working males has been supported, although further research would be required to determine to what extent women and girls were able to access the food at crucial moments in the nutritional life-cycle.

ASAP’s participatory approaches have shown benefits for discussing the connections of nutrition, climate impacts and gender roles. In Ethiopia, for instance, community members raised the issue of limited access to clean drinking water. Though this was raised in relation to women’s workloads, it was also noted that the improved access to clean water also has significant nutrition and health benefits. The project was then oriented to promote different techniques such as roof top rainwater harvesting and protection of springs for communities to better access potable water.

Advancing policy coherence and advocacy. Mauritania offers a good example of an inter-sector action plan on nutrition. The plan has been drafted under the REACH partnership with support from UNICEF, WHO, FAO and WFP. A national multi-sector strategy on nutrition (2016–25) was completed. ASAP has been part of the implementation of this strategic plan, involving the Ministry of Family in the implementation of the nutrition activities and coordinating with other development partners. Issues for policy dialogue relevant to nutrition are identified along the target value chains (food safety, trade and

¹⁴⁶ <http://www.fao.org/3/a-i3777e.pdf>

¹⁴⁷ IFAD, 2017, Mainstreaming of climate, gender, nutrition and youth.

¹⁴⁸ Nutrition_Advantage_IFAD.

¹⁴⁹ Nutrition_Advantage_IFAD.

tariff policy, etc.). However, other projects labelled as nutrition sensitive, envision policy dialogue or programmatic convergence on climate change with other sectors, but without clearly linking this process to strengthening the project's impact on nutrition (Burundi, Niger, Benin).



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Itad
Preece House
Davigdor Road
Hove BN3 1RE
United Kingdom

+44 (0) 1273 765 250

itad.com