Adaptation for Smallholder Agriculture Programme (ASAP)

Progress Review

FINAL VERSION

31st August 2015

IFAD
Investing in rural people

Acknowledgements

This Progress Review was conducted by the Overseas Development Institute (ODI), a leading independent think tank on international development and humanitarian issues. The evaluation team comprised:

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Executive Summary

This Progress Review (PR) evaluates the status of IFAD's Adaptation to Smallholder Agriculture Programme (ASAP) at programme mid-term, 2.5 years after the first ASAP-investment has been approved by the IFAD Executive Board. The objectives of this review are: (i) **To assess the programme** from concept and design to current results and potential impact; (ii) **To assess ASAP's relevance and effectiveness** in incentivizing and achieving climate integration in agricultural investment programmes; (iii) **To assess ASAP's efficiency** overall, with a particular focus on comparative analysis of disbursement rates of similar climate funds; (iv) **To assess ASAP's implementation** to date; (v) **To outline the options for improving the second programme period of ASAP**, ensuring **sustainability** of IFAD's climate mainstreaming mechanisms beyond 2018; and (vi) **To identify lessons learned and recommend follow-up actions for improving ASAP.**

The Progress Review was undertaken over a period of four months from April-July 2015. The PR team carried out semi-structured interviews with IFAD staff, donors and partners, extensive documentary analysis of internal and external documents, a country visit to the ASAP-supported projects in Mozambique and Rwanda (April 2015), and remote interviews relating to the ASAP-supported project in Viet Nam.

Programme concept and design

IFAD's Adaptation to Smallholder Agriculture Programme was launched in September 2012 and has mobilised US$ 366 million as of May 2015. The five-year phase of the ASAP programme runs from 2012-2017, which is the time window during which ASAP funds can be programmed and committed. ASAP is currently the largest adaptation programme for smallholder farmers globally and works within the broader IFAD mandate to enable poor rural people to improve their food security and nutrition, raise their incomes and strengthen their resilience. As per May 2015, 24 ASAP investments in low and lower-middle income countries have been approved by the IFAD Executive Board, ranging from US$ 2-15 million per project. Out of these, 19 ASAP-supported projects have signed government agreements, of which the majority (85%) date less than a year before the start of this review. As per June 2015, 9 ASAP-supported projects have started to disburse ASAP grant financing.

ASAP's goal 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. Five manageable, clear sub-goal outcomes focus on improved climate resilience in: land management, water use, human capacity to manage climate risk, infrastructure and learning and sharing knowledge. IFAD aims to mainstream climate change into 100% new investment designs by 2018, with ASAP funded activities a major way to achieve this.

The ASAP model is currently a grant-funded mechanism, supported by bilateral donors. ASAP grants were initially retrofitted, and are now co-designed into IFAD's concessional loan or grant investments. ASAP was developed at an opportune moment where donors were seeking a robust, climate-specific vehicle to fund adaptation efforts that promote food security. The model has attracted consistent interest from bilateral donors. The four initial donor partners have increased to ten during the past 2.5 years.

Through adopting the concept of ASAP, IFAD has successfully implemented a number of recommendations made by an external review undertaken in 2008 on IFAD's response to climate change. Compared to the pre-ASAP situation, IFAD is now able to implement a financial scaling mechanism for climate-resilient agriculture and address existing demand in partner countries to engage on climate adaptation measures.

Potential results and impact are significant, and on track or beyond current expectations, according to the results and outcome projections aggregated from individual ASAP-supported results

frameworks to date. However, current reporting of actual deliverables is still limited as the first generation of ASAP-supported projects are only in their first year of operation.

ASAP's relevance and effectiveness in incentivizing and achieving climate integration in agricultural investment programmes

ASAP has provided a significant financial and technical boost to mainstreaming climate change into IFAD and enabled the organisation to engage systematically with the concept of 'resilience' in its programmes. ASAP has been very successful in changing policy and decision processes for investments to be sensitive to issues of climate change through project design. Innovative staff training on climate change has increased awareness and understanding at decision making level within IFAD HQ and ASAP-supported project teams. These approaches have the potential to be expanded to a wider range of stakeholders in IFAD partner countries and should be considered in the context of capacity building components of new investments.

Most ASAP funding is allocated to countries with 'high' to 'very high' climate vulnerability according to comparisons with the prominent climate vulnerability index ND-GAIN. Results, outcomes and output indicators are relatively well designed and at project level there is enough flexibility to accommodate different climate resilience approaches to the variety of IFAD investments. ASAP funding has enabled some solid project baseline analyses beyond regular IFAD baseline analytics, with potential future benefits.

ASAP support is being applied with increasing technical judgement to appropriate IFAD investments. The attachment of funding to investments is a strength as it provides leverage and provision of institutional policy and framework conditions. However the model does not allow stand-alone climate grants; it must be linked to IFAD regular grants and loans which limits the flexibility of the instrument in smaller countries which do not have an IFAD loan or grant allocation, such as a number of Small Island Developing States.

ASAP addresses critical adaptation needs in agricultural investment strategies as pursued by governments that borrow from IFAD; as such its mandate is not to address the most critical adaptation needs in a country as expressed independently – though the two may overlap. IFAD's engagement remit is sector specific on crops, fisheries, forests and livestock, and ASAP supported investments are being developed in these areas.

Initial findings indicate that country programme design processes (COSOPs) which integrate climate change using ASAP additional funding lead to increased climate resilience activities and uptake beyond individual project-specific ASAP investment as IFAD's internal capacity and awareness increases.

ASAP has already become a strong external brand at international meetings on climate change and agriculture even before significant results are reported due to robust communications strategies, partnerships, and effective reporting on concepts.

Gender is an important component in ASAP in programme documents, building on conceptual integration in the original ASAP Programme Description. ASAP-supported investments align with IFAD's overall approach to gender, with a strategy and measurable targets. At the highest reporting levels sex disaggregation is needed for overall results and one high level ASAP outcome indicator to demonstrate impact by gender. Case studies of several ASAP-supported project designs describe gender in relation to IFAD's comprehensive Strategic Objectives for Gender. However, the Progress Review (PR) team found that the depth of gender integration in ASAP-supported projects was variable across the programme, particularly with regard to notions of 'empowerment'.

ASAP's efficiency

Management: the programme's concept and strategy is well aligned with IFAD's ten point climate mainstreaming plan. Its role in contributing modifications and improvements to the IFAD project cycle is clear. The mainstreaming efforts have been conducted with consistently strong leadership and technical support from IFAD's Environment and Climate Division (ECD).

Management of ASAP within IFAD is a little complex as it has been set up as a grant-based Trust Fund within an institution mostly geared towards working with loans. Additional administration tensions sometimes arise from parallel budget systems which allocate ASAP management fees to regional divisions to support climate integration in COSOPs and investment designs, yet do not cover travel costs due to restrictions imposed by some ASAP donors. ASAP management fees are allocated to technical design and implementation support, baseline assessments, knowledge management and coordination, supporting IFAD country teams and ECD in creating significant structural change to date. However, as ASAP funds are being programmed only in a subset of all IFAD partner countries, these processes are not yet fully embedded across the institution and need further core support if the ASAP model is to be adopted across the organisation.

Implementation: Commitments of ASAP financing to concrete investment programmes are comparable with other climate funds at a similar stage of operation, but country level implementation to date has been slow to start. Disbursal rates as per July 2015 are at 6% of total approved funding (US$ 13.25m out of US$ 219.0m approved). Similar funds analysed have disbursed between 1% and 16% of approved funding after three years. Reasons for low disbursement rates at start up include: i) 'normal' low disbursement during the inception phase in development projects in low income countries, and IFAD-supported projects in general; ii) lead time necessary to develop an initial ASAP investment pipeline and integrate ASAP into IFAD operational processes; iii) direct disbursement to government agencies and fulfilment of fiduciary requirements and safeguards; iv) comparatively lower absorption rates in recipient countries with high climate vulnerability and low adaptive capacity; and v) emergency situations in five ASAP investment countries, which have led to design and disbursement delays.

Case study in depth evaluations of implementation to date in Mozambique, Rwanda and Viet Nam demonstrate that thorough design leads to a smoother implementation process. However, implementation delays may occur due to the innovative nature of the projects themselves. Thorough baseline surveys have been completed in some of the early ASAP-supported projects, but the first RIMS results reporting against these baselines will only be available in mid-2016, after ten ASAP-supported projects have completed their first full calendar year of operation after entry into force. Supervision reports capture the first generation of early results from ASAP implementation and provide interim reporting against targets before the formal RIMS reporting.

ASAP's impact

To date, ASAP's impact has been strong in two areas. Firstly, the internal policy and project design process has become much more robust within IFAD on climate change as clear M&E targets have been included in new project designs. Together with training and internal staff events, this has raised awareness and provided the basis for thorough mainstreaming of climate change and a more structured approach to integrate the concept of 'resilience' in IFAD investment designs. Secondly, the communication work done on behalf of the ASAP programme is carried out by ECD in close collaboration with IFAD's communication division. IFAD has created a strong, internationally-recognised brand on climate adaptation for rural smallholder farmers, combining IFAD's existing credibility on agriculture with strategic partnerships with international institutions leading on climate change in this field. The ASAP brand provides a visible knowledge platform from which learning and results from ASAP-supported investments can be disseminated to internal and external audiences and other knowledge platforms in the field of climate smart agriculture.

ASAP's sustainability post 2017

Increasing climate resilience amongst poor rural people enables IFAD to better support their overall purpose "to enable poor rural people to improve their food and nutrition security, increase their incomes and strengthen their resilience", protecting IFAD's investments by reducing risk. The ASAP approach and Trust Fund structure has been successful in attracting funding since inception. During the next year, IFAD will shape the future model for a second phase of ASAP post-2017. ASAP has three principal future options. These have different implications in terms of: i) reach and breadth of future ASAP investments; ii) effectiveness of climate mainstreaming within IFAD; iii) internal administrative burdens and iv) attractiveness to the external donor environment.

Option 1: Maintaining current ASAP model (grant only) restricts the reach of IFAD's ASAP-funded investments into climate adaptation to a subset of IFAD partner countries mainly in the Low Income and Lower Middle Income bracket. This model enables successful mainstreaming of consideration of climate change within IFAD through new screening processes developed, but it may not develop deeper capacity and impacts in all middle income countries in which a critical number of smallholder farmers are affected by climate impacts. This option does not guarantee financial reflows to the institution, and continues a separate administrative and technical requirement for IFAD. It may be more attractive to some donors as a financial instrument (especially those who provide only grant instruments for climate action). It also chimes with current political opinion in recipient countries around the need for grants to support adaptation efforts. Outcome expected: high level 'mainstreaming' screening in IFAD. Some projects are likely to have strong climate resilience integrated; but most middle income country projects will not have a strong climate resilience angle.

Option 2: Expanding the current ASAP model with loan-based instruments sourced by thematically earmarked but otherwise unrestricted complementary funding. This maintains the Trust Fund structure but enables broader reach to Middle Income Countries, for which there is significant demand (especially in Latin America, Near East, North Africa, Europe and Asia). The option allows ASAP to mainstream climate change more deeply across the whole IFAD portfolio, deploying different financial instruments in different country contexts with relevant climate resilience activities. Internal administrative and technical capacity burdens are maintained/increased in this scenario. Risks: i) ASAP may diminish its 'brand' niche on poor smallholders in low income countries; ii) Donors are of mixed opinion about favourability a loan-and-grant systems although major existing ASAP donors are supportive of using both loans and grants as long as ASAP maintains its unique brand; iii) There is a potential wider political risk in making climate adaptation funding available as loans as some poorer nations and supporting NGOs are vocal in opposition. This option enables a continued strengthening and deepening of the ASAP, whilst also allowing ASAP to respond to wider country demands and is viable for 2017 onwards.

Option 3: Phasing out the ASAP Trust Fund model entirely, integrating climate adaptation funding in the existing IFAD loan and grants system. Under this option, the reach of future climate finance investments would be across IFAD's portfolio, accessible to both low and middle income countries. However the depth of climate integration is likely to slow, or become weaker: internal administration will be streamlined but grant-based incentives and fee income for specialized technical support under ASAP are reduced in this model, which are likely to have knock-on impacts. By 2017, climate screening processes will be well embedded within IFAD, but not at country level, and many ASAP-supported projects will still be in Years 0-2 of RIMS reporting, requiring continued technical inputs to ensure results delivery. Knowledge management and communication efforts at portfolio level would not be able to be sustained at the same degree. Some donors require ex-ante results projections and clear climate-related reporting. There is a political risk in making climate adaptation funding available as loans as this is an incendiary issue in some nations. This could be a viable longer term strategy, but moving to this option in 2017, given ASAP's relative youth, potentially brings high risks to the effectiveness and brand value of the ongoing programme.

Lessons Learned

1. Climate mainstreaming into IFAD through the ASAP has provided a significant boost to IFAD's activities and incorporation of climate change issues through a powerful combination of multi-year funding, strong leadership and technical capacity of the Environment and Climate Division team.

2. Goals and outcomes set for the programme are relatively robust, clear and simple. The small set of top level outcome indicators are supplemented with lower level context-specific indicators. This will enable reporting against targets from initial set of project designs for the programme as a whole, and are a simple tool for non-climate experts to connect with climate adaptation issues across IFAD.

3. The possibility of linking ASAP grants to IFAD loans has increased interest from IFAD country offices and governments on climate change issues. ASAP grants enable the provision of additional technical expertise and improvements to the quality of wider IFAD design process. Links to specific climate –resilience indicators and a strong technical climate change backup at country level, including consistent support from the Environment and Climate division staff, is needed to ensure these grants are used for purpose.

4. Designing and implementing climate-resilient projects is complex technically, and takes time for a number of reasons. Work plans and targets can reflect this more realistically.

5. Climate finance has proved a significant source of grant-based funding for IFAD that complemented IFAD's 9th Replenishment funding. It is important for the sustainability of IFAD to consider the importance of the separate brand of ASAP and its appeal as an 'earmarked' climate finance stream. If subsumed within IFAD's regular Replenishment funding, this stream may be threatened and a number of resources from IFAD non-members, such as Foundations or the EU and may not be available to support IFAD's climate mainstreaming objective.

Recommendations

Integration of Lessons

R1: Review and update the 2012 ASAP Programme Description and ASAP Trust Fund agreement to reflect recommendations from this review.

Concept sharing

R2: Share lessons on the climate change concept and mainstreaming process with other relevant institutions through briefing papers and meetings with groups such as the OECD Joint Task Team on Climate Change and Development Cooperation, the UNFCCC Least Developed Countries Expert Group (LEG), the Global Alliance for Climate Smart Agriculture, and the Global Donor Platform on Rural Development.

Gender

R3: Ensure continued robust integration of gender throughout the programme, supported by adequate staffing capacity on gender in the ASAP/ECD team and working closely with PTA Gender desk and CCAFS Learning Alliance.

Partnerships and Communications

R4: Systematically connect with existing climate change networks at country level at design stage to improve knowledge sharing, access to technical expertise, and implementation efficiency in institutions implementing ASAP funds.

R5: Build South-South knowledge exchange into ASAP-supported projects and their budgets to establish relevant thematic networks and support quality implementation.

Mainstreaming

R6: Environment and Climate Division team expand application of ASAP-related processes and tools to non-ASAP-supported investment designs, based on adequate staffing capacity supported by the institution.

Country Design and Implementation

R7: Undertake close analysis of emerging project results in Years 1-2 of implementation through close monitoring and action planning in response to i) Supervision Report data and ii) RIMS reports, potentially including an annex specific to ASAP.

R8: Close monitoring and response to technical capacity needs and disbursement trends in ASAP-supported project teams over the next two years, in order to ensure smooth implementation.

Post 2017 ASAP Model

R9: Based on experiences with ASAP and other multilateral funds, ECD team to provide costing and staffing projections for 100% climate mainstreaming in IFAD.

R10: Environment and Climate Division team to facilitate a process that develops and institutionalises a follow up model for ASAP by the end of 2016.

Several minor recommendations for further analysis on mainstreaming effectiveness, gender, and disbursement rates are also suggested.

Table of Contents

List of Tables, Figures and Boxes

List of Tables

List of Figures

List of Boxes

Acronyms

ACCESSOS	Adaptation Project for Families and Rural Communities in Highlands, Lowlands and Inter-Andean valleys Bolivia)
AF	Adaptation Fund
AMD	Adaptation in the Mekong Delta (ASAP-supported IFAD project in Viet Nam)
APR	Asia Pacific Region
ASAP	Adaptation for Smallholder Agriculture Programme
CBA	Community Based Adaptation
CCAFS	Climate Change, Agriculture and Food Security Programme (part of CGIAR)
CFU	Climate Funds Update
CGIAR	Consultative Group of International Agricultural Research
COP	Conference of the Parties (part of UN Framework Convention on Climate Change)
COSOP	Country Strategic Opportunities Programme
CPM	Country Programme Manager
CSO	Civil Society Organisation
DAC	Development Assistance Committee
DCG	Donor Contact Group
DFID	Department for International Development (UK)
EB	Executive Board
ECD	Environment and Climate Division
ENRM	Environment and Natural Resource Management
ESA	East and Southern Africa Region
ESAP	Environmental and Social Assessment Procedures
EX-ACT	Ex-Ante Carbon Assessment Tool
FAO	United Nations Food and Agriculture Organisation
GCCA	Global Climate Change Alliance
GEF	Global Environment Facility
GIS	Geographical Information Systems
HQ	Headquarters
ICRAF	World Agroforestry Centre
IFAD	International Fund for Agricultural Development
IRD	Institute for Rural Development
LAC	Latin America and the Caribbean
LDCF	Least Developed Countries Fund
LIC	Low Income Country
LMIC	Lower Middle Income Country
M&E	Monitoring and Evaluation
MPAT	Multidimensional Poverty Assessment Tool
ND-GAIN	Notre Dame Global Adaptation Index
NEN	Near East, North Africa, Europe and Central Asia
NGO	Non Governmental Organisation
ODI	Overseas Development Institute
OECD	Organisation for Economic Cooperation and Development
OSC	Operational Strategy and Policy Guidance Committee
PASP	Post Harvest Agribusiness Support Project
PBAS	Performance Based Allocation System
PD	Programme Description
PDR	Project Design Report
PIR	Project Implementation Review
PPCR	Pilot Programme on Climate Resilience
PR	Progress Review
PROSUL	Pro-poor Value Chain Project in the Maputo and Limpopo Corridors
PTA	Policy and Technical Advisory Division
QA	Quality Assurance

QE	Quality Enhancement
RB-COSOP	Results Based Country Strategic Opportunities Programme
RCRC	Red Cross Red Crescent
RIDE	Report on IFAD's Development Effectiveness (annual)
RIMS	Results and Impact Management Systems (RIMS)
SCCF	Special Climate Change Fund
SECAP	Social, Environmental and Climate Assessment Procedures
SME	Small or Medium Sized Enterprise
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
WCA	West and Central Africa

1. Introduction

1.1 Background and purpose

1. As climate changes, new challenges arise for smallholder farmers across the world. In response to this, the International Fund for Agricultural Development (IFAD) developed the Adaptation for Smallholder Agriculture Programme (ASAP) to help farmers' build resilience to climate change. The Adaptation for Smallholder Agriculture Programme is designed to channel climate and environmental finance to smallholder farmers so they can access the information, tools and technologies they need to adapt to changing and more uncertain environmental conditions.

2. Launched by IFAD in September 2012, the ASAP is now the largest source of dedicated finance for smallholder farmers adapting to climate change. IFAD's ASAP is a multi-year and multi-donor programme. By mid-2015 the ASAP has received US$366 million from IFAD and ten bilateral donors.

3. ASAP's approach is based on mainstreaming climate resilience across IFAD's approx. US$1bn per year investments in agricultural development programmes. ASAP blends dedicated grant co-financing for climate change adaptation with regular loan- and grant-funded IFAD investments. ASAP provides a new source of co-financing to scale up and integrate climate change adaptation in IFAD's investment programmes, leveraging against existing investments. In this way ASAP aims to achieve impacts beyond what could be expected from stand-alone climate projects.

4. **The core aims of ASAP are to increase the capacity of eight million smallholder farmers (including four million women) to build resilience to climate-related shocks and stresses in more than 40 countries.**

5. The pipeline of the programme currently extends to 44 developing countries. ASAP aims to drive a major scaling up of successful approaches to smallholder agriculture, improving production while reducing and diversifying climate-related risks. To do this, ASAP blends tried-and-tested approaches to rural development with new approaches and technologies for adaptation.

6. Between 2016 and 2018, IFAD aims to mainstream climate change fully into its work programme. ASAP has been IFAD's flagship programme to start this process.

7. Two and half years after the programme has begun, this Progress Review investigates progress made towards achieving outcomes and aims of the Adaptation of Smallholder Agriculture Programme, identifies early lessons learned from this first programme period and outlines a series of options and recommendations for improvement.

8. The objectives of this Progress Review are:
   - **To assess the programme** from concept and design to current and potential results and impact;
   - **To assess ASAP's relevance and effectiveness** in incentivizing and achieving climate integration in agricultural investment programmes;
   - **To assess ASAP's efficiency** overall, with a particular focus on comparative analysis of disbursement rates of similar climate funds;
   - **To outline the options for improving the second programme period of ASAP**, ensuring **sustainability** of IFAD's climate mainstreaming mechanisms beyond 2018.

1.2 Methodology

9. This Progress Review was undertaken by a team from the Overseas Development Institute. The Progress Review reports on initial actions by IFAD in mainstreaming climate change throughout the organisation, project design and inception activities for a small number of case studies which have been under implementation for more than one year. This Progress Review is focussed at Programme level and is not expected to provide detailed analysis of individual ASAP-supported investments or results.

10. The assessment for the programme broadly follows internationally-accepted criteria of development evaluation of relevance, efficiency, effectiveness, impact and sustainability of the OECD Development Assistance Committee. The Progress Review team reviewed initial criteria and questions with IFAD's Environment and Climate Division (ECD) using the initial Terms of Reference for this assignment (see Annex 1), and agreed an approach and workplan.

11. The majority of ASAP's activity has been focussed to date on internal policy change and mainstreaming, and about one year of project activity in-country on the first set of ASAP-supported investments (most of which were approved by the Executive Board in December 2013). Of the projects currently in implementation, the Progress Review team and ECD team identified three countries for case study focus to demonstrate a range of approaches and issues in the implementation of ASAP-supported investments (Mozambique, Rwanda, Viet Nam).

12. The review took place over a 3 month period from April-June 2015, with discussions of findings with the ECD, the ASAP Donor Contact Group and representatives of the IFAD Management team during June and July 2015, and finalisation of the review in August 2015 (see Annex 2 for activities).

13. The evaluation is based on analysis from a variety of sources. These include: internal documents and external communications, wider background research and analysis and interviews and meetings with professionals both directly involved and external. Meetings and interviews included:
    - a two day introductory meeting at IFAD HQ
    - a country mission to Rwanda and Mozambique accompanied by members of the ECD and East and Southern Africa regional teams (26 April – 1 May 2015)
    - remote interviews for the Viet Nam case study
    - interviews with IFAD staff, donors, partners and other development professionals working in this area

14. Internal and external communications analysed included:
    - IFAD's Natural Resource Management policy and Climate Change strategy
    - ASAP programme description and strategy
    - ASAP communications and knowledge management plans and products,
    - ASAP's M&E framework and annual reports
    - ASAP's approval and disbursement data
    - GIS-related products and strategy
    - operational guidelines and documents governing IFAD's internal project cycle and review process and Project Design Reports
    - ASAP training materials
    - Country case material including supervision reports, annual work plans and internal reports

15. The process for the report was iterative: the ECD team organised an initial two day meeting in Rome, followed by the bulk of the team's work. The review process for the report included a results discussion workshop with the ECD team, discussions with IFAD Senior Management and the Donor Consultation Group.

    The Progress Review (PR) team conducted a total of 22 semi-structured interviews or tailored questionnaire email engagements with non-ECD staff within IFAD HQ (10), donors (6), research and implementation partners (4) and others (2) linked with the ASAP, in addition to a number of group and individual country mission interviews with IFAD and government staff (see Annex 3 for list). The PR team also researched and analysed data from Climate Funds Update[1] to compare goals and disbursement progress with other multilateral climate adaptation funds.

Limitations and challenges

16. Firstly, as with most project evaluations, time and staff availability affected the scope of the Progress Review, in particular the numbers of interviews the team could undertake. The team interviewed relevant staff from ECD and wider IFAD divisions and a number of ASAP's donors and partners. Due to time limitations the team did not gather reflections from professionals from this area of adaptation to agriculture in developing countries in the not-for-profit and private sector.

17. Secondly, only the Progress Review Team Leader was available for the Mozambique and Rwanda country visits on the mission dates set by country project teams. The PR team were initially concerned about potential impacts of this; however the active involvement of the ECD's Regional Climate and Environment Specialist and the Lead Adaptation Specialist during the mission helped to mitigate impacts, ensuring that the PR team's questions during the brief mission visits could be covered. Related, the PR team conducted the Viet Nam case study remotely, meaning that the understanding of the project is not as deep as of the first two countries.

18. Thirdly, most of the IFAD HQ interviews and all the donor and partner interviews were conducted independently and in confidence where requested. However, the ECD team joined some interviews (all in-country interviews and two IFAD HQ interviews with senior managers, based on their request). The PR team were concerned that this involvement might discourage more frank views on the progress of ASAP. But, in practice, the ECD team members actively encouraged open discussion during the interviews, and the PR team considered that the ECD's expertise, project knowledge and internal knowledge of IFAD were important in facilitating the high level internal IFAD interviews.

2. Context of programme

2.1 Concept and Design

19. Prior to the start of the Adaptation to Smallholder Agriculture Programme in 2012, IFAD was already working on environmental issues and some climate change issues, primarily through projects funded by the Global Environmental Facility (GEF). However, these were stand-alone country specific projects that did not fund institutional change.

20. The ASAP Programme Description contains clear goals, outcomes and explanations for the importance of climate variability and climate change for smallholder farmers in developing

[1] Climate Funds Update: http://www.climatefundsupdate.org/

countries (IFAD 2012). This Programme Description built on previous IFAD strategic analysis, and demonstrated a clear need for approaches where climate change is integrated into IFAD's 'business as usual' to meet IFAD's wider mandate of 'enabling poor rural people to improve their food security and nutrition, raise their incomes and strengthen their resilience' (IFAD 2011-2015 mandate).

21. The ASAP Programme Description, which was framed in 2012, now requires a number of updates to capture the realities encountered and business processes developed by IFAD since the inception of the programme. These changes include:
    i. Updating of financing partners and status (reflecting new financing partners and trust fund resources from 2012-2015);
    ii. Updating of the results framework (reflecting discussions with the ASAP donor contact group (2013) and indicator alignment with IFAD's RIMS (2014)[2];
    iii. Updating milestone dates (capturing target impacts of ASAP-supported investments which will be operational beyond 2020);
    iv. Updating knowledge management approaches (reflecting the ASAP Knowledge Management strategy (2013));
    v. Updating ASAP financing requirements (contextualizing ASAP within IFAD's 100% climate mainstreaming strategy (2014));
    vi. Updating Q&A (including new questions and answers about future options and financial models for ASAP).

22. The Adaptation to Smallholder Agriculture Programme is designed to provide grants for climate resilience, aiming to leverage the significant wider financial agricultural investment of IFAD to increase the impact of relatively much smaller climate investments across smallholders in IFAD's existing programme. Externally, according to one of ASAP's partners, this approach "puts ASAP in a unique position for achieving Climate Smart Agriculture goals" to increase the resilience of poor farmers.

2.2 Current status of ASAP

23. The ASAP Trust Fund functions as a stand-alone trust fund within IFAD that can be applied to selected IFAD portfolio investments, either by blending ASAP grant finance with a regular IFAD investment design or by retroactive addition of new grant-financed activities to IFAD investment projects that are already operational.

24. The goal of ASAP is to improve resilience to climate change of smallholder farmers in vulnerable developing countries through climate mainstreaming into IFAD's investment portfolio. Broader activities of ASAP beyond country-level investments include international policy dialogue on climate change and smallholder farmers, knowledge sharing, and communications. Within IFAD a ten point Climate Mainstreaming Plan was devised in 2014 and proposed for implementation during IFAD's 10th replenishment cycle (see Annex 4). This includes capacity building for IFAD staff at all levels on climate change and variability, impacts on farmers, building resilience to climate shocks and stresses, plus targets and indicators for climate change adaptation.

25. As per July 2015, ASAP has approved US$219 million in financing to 24 ASAP-supported projects covering 5 IFAD regions: Asia and Pacific Region (5), East and Southern Africa (5),

[2] Compliant with the Executive Board document establishing the ASAP Trust Fund (EB 2012/105/R.45) which makes a provision for "the ASAP Results Framework to be refined as knowledge on monitoring and evaluation of adaptation is developed through the ASAP and other programmes")

Latin America and the Caribbean (2), Near East and North Africa (6) and West and Central Africa (6). Some early ASAP investments (e.g. Bangladesh, Mali, Bolivia) were deployed as additional grants on top of IFAD baseline projects in vulnerable conditions that were already under implementation. The first ASAP-supported project in Mozambique was retrofitted to an investment design at very advanced stage of development. As ASAP became more synchronized with the IFAD programming pipeline, more ASAP investments were co-designed with IFAD baseline investments in one common project design cycle. In many countries, project design follows the investment priorities identified in the Results-based Country Strategic Opportunities Programme (RB-COSOP).

26. In countries without a COSOP (low total investment countries), project designs are stand-alone. ASAP prioritisation and investment design are conducted in collaboration between the IFAD Country Programme Manager (CPM) and the ECD Regional Climate and Environment Specialist who is an IFAD core-funded ECD staff member embedded in the regional division. ASAP-supported projects then add adaptation, resilience and mitigation benefits to a wide range of smallholder interventions across IFAD investments, including in areas such as:
    - climate risk information and early warning services
    - sustainable water management
    - climate resilient value chain inputs
    - adaptive crop diversification and land use practices
    - livestock, fisheries and disease and pest resilience improvements
    - climate resilient market access

27. Three countries were selected for closer analysis during the Progress Review, based on demonstrating a variety of designs and approaches, levels of investment, interventions and regions: Mozambique, Rwanda and Viet Nam. See Table 1 for a summary. The team selected ASAP supported investments which had already concluded the inception phase, allowing insights related to implementation and the creation of an enabling environment for climate change adaptation. These case studies also represent points along the ASAP 'learning curve', which stretches from a first retrofitted ASAP investment in Mozambique to designs developed from an initial COSOP in a more integrated process.

28. Being a programme that is unique in terms of its size and focus on agriculture, smallholders and climate change in developing countries, there are many important lessons to share with others involved in this area, both in concept, design and implementation of the projects and the programme as a whole. We recommend further sharing of these lessons.

29. Figure 1 shows examples of some ASAP-supported projects approved to date. Annex 5 gives a full list of country projects, allocated ASAP funding and thematic focus.

Figure 1 Examples of ASAP-supported activities within IFAD investments

Source: IFAD ECD (2015) IFAD mainstreaming environmental sustainability and climate change adaptation through ASAP and GEF grants, internal report.

Table 1 Summary of Progress Review's three detailed Country Case Studies

	Mozambique	Rwanda	Viet Nam
Project	Pro-poor value chain Development Project in the Maputo and Limpopo Corridors (PROSUL)	Climate Resilient Post Harvest and Agribusiness Support (PASP)	Project for Adaptation to Climate Change in the Mekong Delta
Project duration	2012-2019	2014-2018	2014-2020
Approval by IFAD Executive Board	September 2012	December 2013	December 2013
Type of ASAP integration	Retrofitted on an advanced IFAD investment design	Integrated design	Integrated design building on COSOP
Agreement signed	October 2012	March 2014	March 2014
Value of ASAP	US$4.91m	US$ 7m	US$ 12m
Value of total project	US$ 44.9m	US$ 83m	US$ 49.3m
Disbursement as per May 2015 (US$, in% of total ASAP finance)	US$494,256 (10%)	US$ 1,000,000 (14%)	US$ 322,363 (2.7%)
No. of households benefitting	20,350	32,400	15,000
Key components	1. Horticulture 2. Cassava 3. Red meat 4. Financial Services 5. Institutional Support and project management	1.'Hub' (cooperative/SME) capacity development programme and business coaching 2. Post Harvest Climate Resilience Agribusiness Support	1. Market Led Rural Development 2. Value addition of commodity chains alongside capacity building and knowledge management
ASAP-related components	Diversifying cropping systems Experimenting with drought resistant crop varieties Climate resilient horticultural techniques Efficient water management Access to weather forecasting	Climate impact assessment, early warning systems development, low carbon driers, capacity building, vulnerability mapping	Building adaptation management framework comprising: i) climate change knowledge enhancement and ii) climate informed planning including community based adaptation (CBA), socio economic development plans and policy

Recommendations from Section 2:

Recommendation 1: Integration of Lessons from this Progress Review into ASAP management. Review and update the 2012 ASAP Programme Description and ASAP Trust Fund agreement to reflect recommendations from this review.

Recommendation 2: Share concept and lessons. Share lessons on the climate change concept and mainstreaming process with other relevant institutions through briefing papers and meetings with groups such as the OECD Joint Task Team on Climate Change and Development Cooperation, the UNFCCC Least Developed Countries Expert Group, the Global Alliance for Climate Smart Agriculture, and the Global Donor Platform on Rural Development.

3. Analysis of implementation process

3.1 Programme management

30. The ASAP team is under the overall supervision of the Director of the Environment and Climate Division in IFAD. The ECD team is responsible for developing policy and activities within Headquarters and regions related to environmental sustainability and climate resilience, and for the coordination and financial management of the ASAP Trust Fund. The ASAP team consists of four IFAD staff including IFAD's Lead Technical Advisor for Climate Change Adaptation, two Adaptation Specialists and one M&E Officer. The team draws on expertise across ECD, including the GIS/Earth Observation Team and the Knowledge Management/Communications team. ASAP fees are allocated to these teams, often through specialized consultancy support, to provide demand-based design and implementation support services to the ASAP portfolio.

31. Leadership and technical capacity of the team working on ASAP within IFAD has been strong, and very important to the success of the mainstreaming process to date. Wider IFAD staff and partners have reported ASAP staff[3] as being "very collaborative, have interesting ideas and give great interactions at climate change and UNFCCC meetings" (Partner Interview). The ASAP is set up and led from the Environment and Climate Division, managed from IFAD's Headquarters. Regional Technical Advisors on Climate Change engage with Country Offices and project in order to assist with design and implementation.

32. In each of IFAD's partner countries, projects and programmes are implemented through government ministries, usually through a Project Implementation Unit established in the relevant government ministry. Typically, IFAD's discussions with national governments during the design process identify opportunities for adaptations that can be applied to the baseline loan investment and increase the climate resilience of farmers involved. With government interest and support, IFAD integrates ASAP-supported activities with the IFAD-financed baseline project that focus on specific investments in technology, information and capacity building to better manage climate-related risks.

33. ASAP operates slightly differently to some other funds as ASAP grants are joined with IFAD baseline investments which are implemented by government entities. The programming of ASAP funds follows the IFAD project design cycle and is fully aligned with regular IFAD procedures and safeguards. Therefore ASAP does not employ specific application procedures like other funds (such as issuing calls for proposals) that can be accessed by NGOs or CSOs directly. Results-Based Country Strategic Opportunities Papers (RB-COSOPs) are a typical point of departure for an ASAP investment, highlighting climate change adaptation as a strategic decision for IFAD operations in a specific country. ASAP applies the same procedures as regular IFAD investments, following the typical IFAD design cycle:

    1. ***Project concept**: Project concepts are created as part of the COSOP or through consultation between IFAD, governments and national stakeholders. They are reviewed by an Operational Strategy and Policy Guidance Committee (OSC);*
    2. ***Detailed project design and quality enhancement**: A Project Design Report (PDR) is created and improved through a Quality Enhancement (QE) process, which involves field missions and interactions with local partners and stakeholders. The QE process involves a final review by a QE panel involving IFAD's Environment and Climate Division and Policy & Technical Advisory Division;*

[3] Throughout the report, where we refer to ASAP staff, we mean staff within IFAD who are funded primarily by ASAP funds and who work primarily on the ASAP programme. There are no staff actually employed directly by the ASAP programme.

3. ***External Quality Assurance review:*** *After the final field mission has been concluded, the PDR is reviewed by an independent Quality Assurance (QA) panel consisting of external experts;*
4. ***Executive Board review:*** *Every ASAP investment design is subject to review and clearance by the IFAD Executive Board, which meets 3 times per year;*
5. ***Negotiation and approval****: After the IFAD Executive Board has approved the financing, negotiations conclude between IFAD and the other parties involved in the project financing and a financing agreement is signed;*
6. ***Implementation:*** *Once the specific conditions above set by IFAD are met, the grant is declared effective and implementation begins with an inception phase that establishes the institutional and staffing structures necessary to execute project-funded activities.*
7. ***ASAP provides a Monitoring and Evaluation Framework*** *which summarises relevant adaptation results, indicators and corresponding investment options. Project design teams which are working with ASAP financing apply this M&E framework during the project design phase and select a subset of relevant indicators and targets (in alignment with the programming context) for integration with the results framework of the underlying IFAD investment.*

34. During 2013, a number of adaptation indicators have been included in IFAD's Results and Impact Management System (RIMS), ensuring that ASAP-related M&E features as a subset of IFAD's M&E systems and no parallel systems need to be maintained.

35. ASAP's efficiency in committing resources has implications for ECD staff in terms of implementation support over the course of the next 2 years. ECD is supporting 22 approved ASAP investments (July 2015). By December 2015, this portfolio is expected to increase to 35 projects. ECD also supports a growing GEF portfolio, which represents a parallel stream of climate mainstreaming. IFAD's current GEF portfolio includes 31 projects under implementation and 18 new projects under design (June 2015). ECD staff support a total of 84 GEF- and ASAP-supported projects in different stages of the project cycle in 2016, a high workload for the department. One ECD team member said that this "*leaves no time at the current level of staffing capacity to engage substantively with investment designs that do not have climate finance allocated*".

3.2 Financial resources management

36. ASAP has made significant progress since inception. The programme has integrated climate change adaptation into 27% of IFAD investment projects approved by the Executive Board during the period 2013-2015 (see Table 2). The 22 ASAP supported projects approved during this time account for only 5% of the total budget allocation, which indicates a high degree of financial efficiency in mainstreaming climate change issues across the portfolio.

Table 2 ASAP Financing within IFAD investments, by region

Region[4]	Total Financing (US$) Investment Projects approved by EB (2013-14-15)	Total Number of Investment Projects approved by EB (2013-14-15)	Total Number of Investment Projects complemented with ASAP Finance (2013-14-15)[5]	Proportion of projects with ASAP-supported investments	ASAP financing deployed for climate mainstreaming (US$)	ASAP %
APR	1 527 770 680	29	5	17%	62 041 329	4%
ESA	741 464 709	15	5	27%	33 923 865	5%
NEN	493 319 866	12	5	42%	29 999 520	6%
LAC	356 434 498	9	2	22%	18 000 108	5%
WCA	860 486 278	21	7	29%	59 886 454	7%
Total	3 979 476 031	86	22		203 851 276	
Average %				27%		5%

4. Analysis of Progress towards outcomes, gender and partnerships

4.1 Progress towards Outcomes

37. ASAP has developed a set of five core outcomes to meet an overall goal that poor smallholder farmers become more resilient to climate change. These outcomes as well as the multiple benefit purpose and goal are measured against quantitative targets highlighting the desired impact to be achieved by 2020 (see Table 3).

Table 3 ASAP Goal, Purpose and Outcomes with targets

ASAP Goal and ASAP 5 Outcomes	ASAP Targets by 2020	Expected results from the first 16 ASAP-supported projects
ASAP Goal: Poor smallholder farmers are more resilient to climate change	8 million people (4 million women and girls)	3.6 million people
ASAP Purpose: Multiple-benefit adaptation approaches for poor smallholder farmers are scaled up	• 20% of new investments in ENRM in IFAD 9th Replenishment compared to IFAD 8th Replenishment • 1:4 leverage ratio of ASAP grants versus non-ASAP financing • Land and ecosystem degradation in productive landscapes reduced by 30% • 80 million tonnes of GHG emissions avoided /sequestered	

[4] Key: Asia Pacific Region (APR), East and Southern Africa (ESA), Near East, North Africa, Europe and Central Asia (NEN), Latin America and the Caribbean (LAC) and West and Central Africa (WCA)
[5] Mozambique was approved in 2012 and Yemen suspended.

ASAP Goal and ASAP 5 Outcomes	ASAP Targets by 2020	Expected results from the first 16 ASAP-supported projects
Outcome 1: Improved land management and gender-sensitive climate resilient agricultural practices and technologies	1 million hectares	715,285 hectares
Outcome 2: Increased availability of water and efficiency of water use for smallholders agriculture production and processing	100,000 households	73,481 households
Outcome 3: Increased human capacity to manage short and long-term climate risks and reduce losses from weather related events	1,200 groups formed	1,644 groups
Outcome 4: Rural infrastructure made climate resilient	US$80 million spent	US$104 million spent
Outcome 5: Knowledge on climate smart smallholder agriculture documented and disseminated	40 dialogues	44 dialogues

Source: 2014 Report on IFAD's Development Effectiveness (RIDE, October 2014)

Mainstreaming and adding value

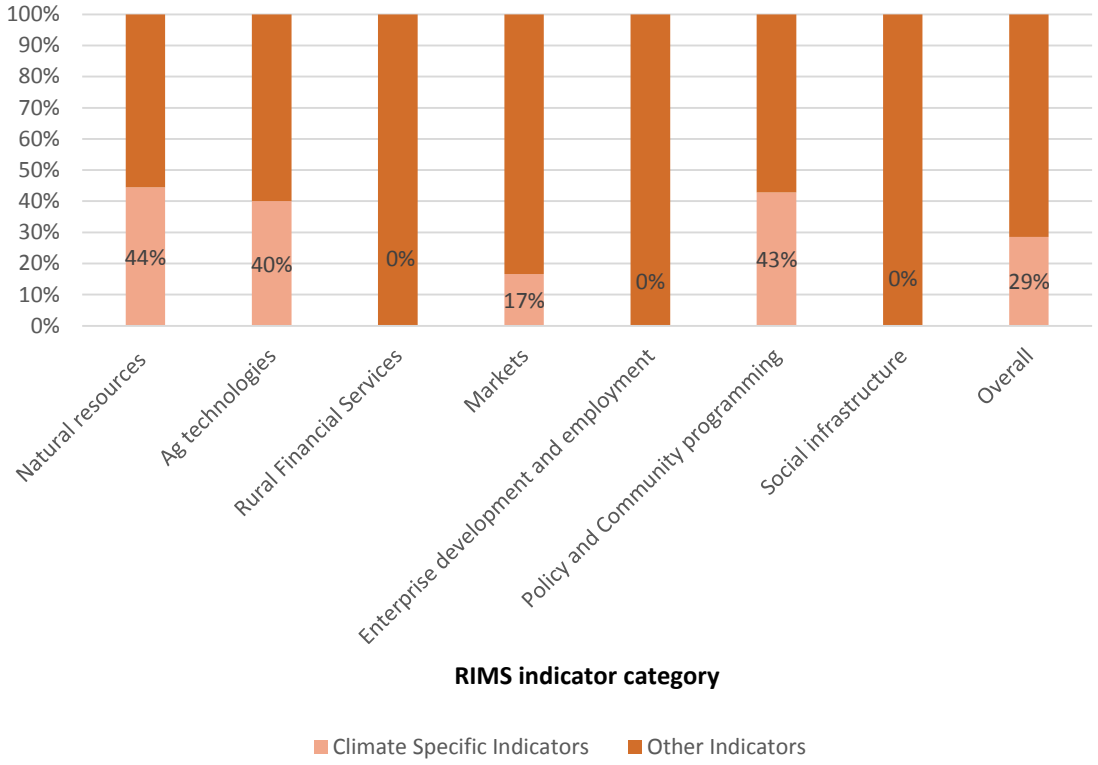
38. ASAP-supported projects are required to report against both first level output and second level outcome indicators through the Results and Impact Management System (RIMS). First level results tend to be planned and implemented on an annual basis and measured quantitatively. In contrast the second level results are focused on the changes in the behaviour or changes in overall performance. Second level results are context specific and measured through ratings-based assessments which should be made on the basis of project-specific data and information. Projects choose the methods for measuring second-level results that are most suitable to the local context and project circumstances. The methodology for assessing second-level results is therefore flexible and may consist of a mix of qualitative and quantitative methodologies.

39. ASAP has made significant progress in developing the measuring and reporting framework used under the IFAD programme to include broader climate related indicators and guidance on how to assess progress against both output and outcome indicators.

40. Prior to the ASAP, the RIMS outcome results included natural resource management indicators, but no climate related indicators. Since ASAP's inception, climate-related indicators have been included across four of the six main RIMS Second Level Outcome Results categories (see Figure 2)[6]. Overall, climate related indicators account for 29% of the RIMS indicators with three of the six RIMS including more than 40% climate related indicators, a change which is directly attributable to the ASAP programme.

[6] The six main results categories for the RIMs are Natural Resources (land and water), Agricultural Technologies and Production, Rural Financial Services, Markets, Enterprise Development and Employment, Policy and Community Programming, Social Infrastructure and Total Outreach. See the Annex for additional supporting analysis.

Figure 2 Percentage of climate related indicators listed in RIMS Second Level Outcome Results Indicators



Source: authors' analysis

Demonstrating progress towards programme outcome targets

41. To date, no ASAP-supported projects have completed RIMS reporting on results due to the relatively early phase of ASAP implementation. With the exception of Mozambique, no ASAP-supported project was due for RIMS reporting at the time of this review. Supervision reports capture the first generation of early results from ASAP implementation and provide interim reporting against targets before the formal RIMS reporting. The wider efficiency and progress on results reporting is discussed in more detail in Section 5.3.

42. Based on the anticipated results for the 24 ASAP-supported investments approved as of July 2015, the current portfolio can be expected to deliver a significant proportion of the target outcomes for the programme as a whole. Figure 3 highlights the percentage of the 2020 targets that are expected to be achieved, based on prior data from the first 16 ASAP investments that were aggregated in the 2014 Report on IFAD's Development Effectiveness.

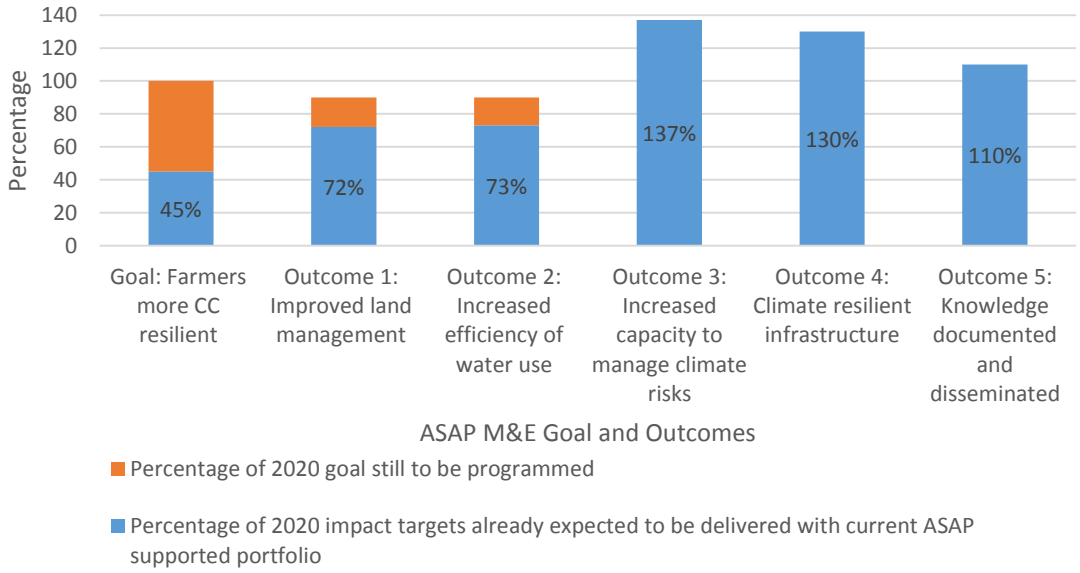
43. According to projected targets from these projects, which represent around 37% of the current ASAP portfolio, **ASAP-supported investments are well placed to meet the overall goal as well as the five priority outcomes (see Figure 3)**. **The existing portfolio is already expected to meet 45% of the target for 8 million poor farmers to become more resilient to climate change, 70% of the improved land management and improved water availability targets and is expected to surpass and outperform other targets** for increased human capacity to manage short and long-term climate risks and reduce losses from weather related events, rural infrastructure made climate resilient and knowledge on climate smart smallholder agriculture documented and disseminated.

44. Reporting against RIMS is expected for the first project (Mozambique) in 2015, with a further 10 projects expected to report in August 2016, in alignment with normal IFAD project management procedure. The ECD team therefore need to maintain a strong focus on monitoring interim supervision reporting available during the first stage of the project. ASAP-supported projects need to focus on demonstrating credible and consistent reporting against indicators to determine progress towards the ASAP broad outcome goals in the next two years and be flexible in amending the expected results of the current portfolio. Supervision reports and ECD staff knowledge can also provide learning from initial ASAP-supported projects to reflect learning from the first project level reporting as implementation progresses over the next 12 months. A complementary reporting tool, such as an ASAP-specific Annex to the IFAD supervision report template developed by the ECD team, may be a useful addition to enable assessments of project impact relating to ASAP-supported activities.

45. Despite the good progress in designing projects which are already expected to meet a substantial proportion of the ASAP goal and outcome targets, is the Progress Review team consider that it is important that ASAP does not increase the overall impact targets to be achieved by 2020, as discussed with the Donor Contact Group in July 2015. The timeframe for reporting on outcomes can average 3 to 4 years from initial project approval. Given this, 2020 impact targets will most likely be based on the existing portfolio of projects and any additional projects approved in 2015 and 2016. ASAP-supported projects that are approved post-2017 are unlikely to report in time to contribute to the 2020 impact targets. Therefore the ECD's focus should be on moving projects already under way and under approval currently through successful implementation to meet these existing targets, and not in increasing targets at this stage.

46. ASAP's impact should be measured in 2020 and again in 2023 This will capture the full ASAP-supported portfolio results, and also demonstrate any sustained impact of those projects in the current ASAP portfolio.

Figure 3 According to the current ASAP portfolio data, percentage of programme goals and outcomes expected to be achieved with 16 ASAP-supported projects, compared with the 2020 targets [7]



Source: Authors' analysis

[7] This refers to the anticipated or expected results for the 16 ASAP-supported projects as of December 2014 set out in the 2014 Report on IFAD's Development Effectiveness

4.2 Gender equality/ capacity development

Gender in the ASAP Programme

47. Gender equality and women's empowerment are recognised as critical issues in building IFAD's interventions. Gender mainstreaming is integrated into each IFAD investment design with the assistance of a specialised Gender Desk in the Policy and Technical Advisory (PTA) Division and gender/targeting consultants being part of project design missions. The impacts of climate change and climate variability are differentiated by gender. Programmatic interventions designed to improve resilience to climate change also have different impacts within the community, which are often significantly gendered in terms of specific activities undertaken, implications for income sources and opportunities for man and women, livelihood diversification, access to and power over resources and implications for quality of life.

48. The ASAP Programme Description (PD) of 2012 demonstrates that conceptually, gender issues have been considered from the initial stages. The ASAP Programme Description outlines that climate change affects gender by being a 'threat multiplier' to livelihoods, increasing women's daily workload, affecting women more than men as they have less access to officially-channelled inputs, services and support than men.

49. The ASAP RIMS mentions women and gender twice. At Goal Level this disaggregates women and girls as a specific target for number of beneficiaries reached. At the Overall Outcome level, Outcome 1 describes the target for improved agricultural practices as a result of the project not only being climate resilient, but also being 'gender sensitive', demonstrating the requirement for meeting these dual objectives within the programme for reporting against improvements. The Programme Description further describes alignment areas between the Gender Policy and ASAP components, demonstrating opportunity for impact across 4 out of 5 outcomes (ASAP PD 2012 p.40).

50. An internal ECD report on "*ASAP-Supported Actions Relating to Women's Empowerment and Gender Equality*" describes early examples of how ASAP-supported projects will respond to the three headline strategic objectives of IFAD's Policy on Gender Equality and Women's Empowerment[8] (see Box 1). The 2014 IFAD ASAP publication "*The Gender Advantage: Women on the Frontline of Climate Change*" details ASAP-supported investment designs in the context of a larger number of case studies including early warning systems in Bangladesh, women accessing water in Swaziland, women's self-help groups and voices in India, access to clean energy in China and workload reduction for women in Peru.

Box 1 How ASAP works on Gender: examples from ASAP investment design

Strategic objective 1: Promote economic empowerment to enable rural women and men to have equal opportunity to participate in, and benefit from, profitable economic activities.

In Bolivia, the ASAP-supported ACCESOS programme is working with indigenous women and men in natural resource management. Gender understandings are applied in the design, development and reporting on economic activities, as well as through participatory processes and knowledge sharing on income diversification and resilience.

[8] IFAD (2012b) Policy on Gender Equality and Women's Empowerment http://www.ifad.org/gender/policy/gender_e.pdf

Strategic objective 2: Enable women and men to have equal voice and influence in rural institutions and organizations.

In Viet Nam, the ASAP-supported project undertook a gender analysis during design of the Adaptation in the Mekong Delta programme, and includes a target of 30% women's participation in activities on policy development and planning.

Strategic objective 3: Achieve a more equitable balance in workloads and in the sharing of economic and social benefits between women and men.

The ASAP-supported investment in Mali supports women's workload reduction through improvements in biofuel energy sources, reducing time taken to source fuel wood for the household amongst wider benefits, with a dedicated results indicator introduced to benchmark this.

More broadly, some projects respond across the strategic objectives. Kyrgyzstan's Livestock and Market Development Programme includes a series of gendered activities relating to women's participation in decision making and women-focused livelihood diversification activities for economic improvements. The Nigerian ASAP-supported investment designed a component for women and youth for enterprise development and savings groups, with gender sensitive results frameworks integrated through the project.

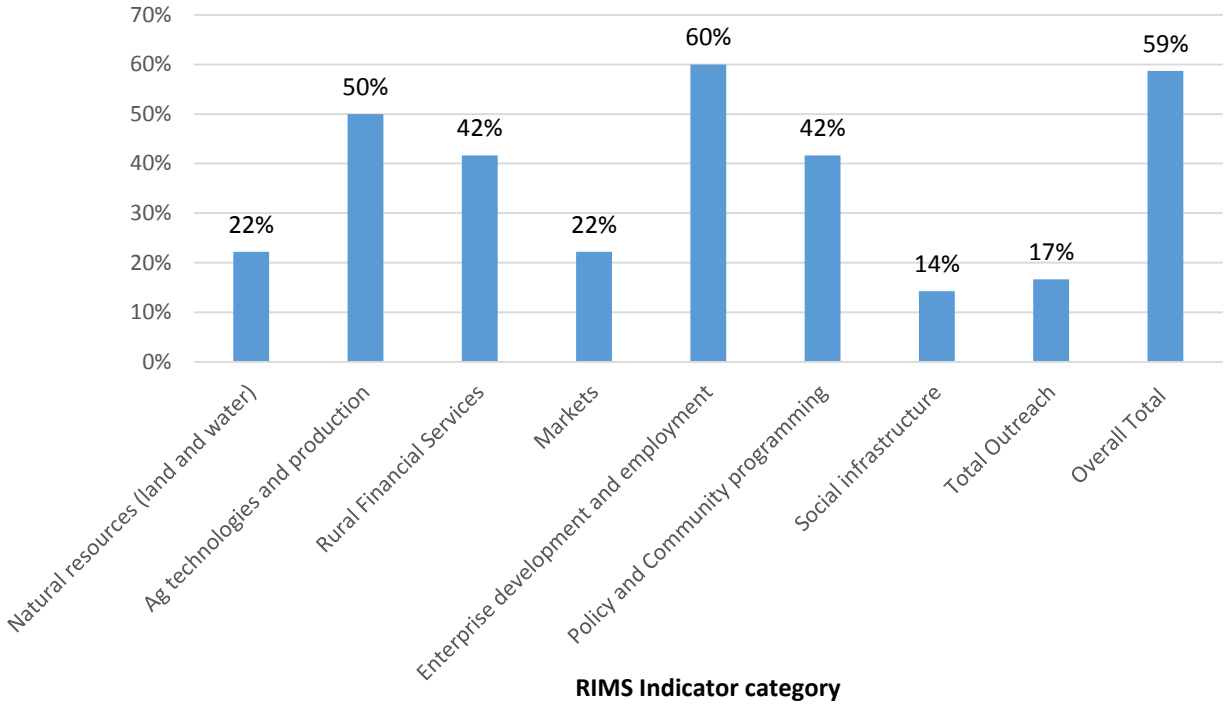
Source: Chakrabati, S. (n.d.) ASAP-supported actions to strengthen women's empowerment and gender equality http://www.ifad.org/climate/asap/asap-gender.pdf

51. These initial case study reports on designs and gender-disaggregation are important demonstrations of how ASAP-supported investments are responding to gendered climate change risks. In terms of the design process, IFAD staff report that sometimes it has been difficult to integrate climate change AND gender considerations fully during the design phase, especially when there has been pressure to get project design approval through the system quickly. If these considerations are not seen as central to the project, there may be less support by design teams and stakeholders. The Gender Desk within IFAD's Policy and Technical Advisory Division (PTA) also does not have the dedicated funding support to advance gender mainstreaming specifically in ASAP-supported projects, which means that the degree of gender integration in ASAP-supported projects has a close correlation with the effectiveness of gender integration in IFAD investment designs more broadly. Despite this, at the basic level, the majority of ASAP results indicators are disaggregated at gender level and therefore require some specific support to ensure corresponding baseline analysis and results tracking – see below.

52. Figure 4 gives an indication of how gender has been embedded into reporting requirements under ASAP. There are no specific gender outcome or indicator categories under ASAP. However, over half the result indicators (about 60 percent) require results to be disaggregated by gender, which will [9] aid reporting to the overall ASAP goal which explicitly includes number of women as participants. Across reporting categories for the RIMS Outcome Level 2, the requirements to disaggregate by gender vary but this ultimately reflects the nature of the information being reported. Over 60% of the results indicators within the Enterprise Development and Employment category and 50% of the Agriculture Technologies and Production results categories will be disaggregated by gender.

[9] The six main results categories for the RIMs are Natural resources (land and water), Agricultural technologies and production, rural financial services, markets, enterprise development and employment, policy and community programming, social infrastructure and total outreach.

Figure 4 Percentage of results indicators requiring gender disaggregated reporting across reporting categories under Outcome Level 2 RIMS



Source: author analysis

53. The Progress Review team recommend a systematic analysis of women's empowerment and gender equality in ASAP-supported projects to be undertaken together with gender experts in IFAD's Policy and Technical Advisory Division, possibly involving staff from the CCAFS Gender Theme. This could provide a solid climate-change-based conceptualise gender issues amongst ASAP investments across the portfolio and report on expected gender impacts and results, and effectiveness of reporting mechanisms designed (quantitative and qualitative indicators). Given that this is a very important current issue with significant global interest from donors and practitioners, solid, quantifiable results reported annually and clear stories of change would be very helpful for the climate change and agricultural community.

4.3 Partnerships and Alliances

54. To date, ASAP has established strategic partnerships[10] and alliances with:
    - *Governments* – national governments and their local partners (including private sector, NGOs, farmers' organisations) in developing and implementing ASAP supported projects
    - *Knowledge institutions* – research organisations, brokers of knowledge, other UN agencies and NGOs to develop the knowledge base on climate smart agriculture and to share this knowledge to inform programme design and policy
    - *Investors* – private sector, foundations and bilateral donors to secure increased investment in ASAP

[10] From IFAD ASAP (2014) Annual Review 2014. Internal Document.

- *Donors* – ASAP donors have established an ASAP Donor Contact Group that meet regularly with IFAD's ASAP team to discuss progress and future direction

55. IFAD's ECD has developed a small number of partnerships at portfolio level to support IFAD's climate mainstreaming, including:

- World Food Programme (WFP)
- UN Food and Agriculture Organisation (FAO)
- Climate Change, Agriculture and Food Security Programme of the CGIAR (CCAFS)
- Red Cross Red Crescent Climate Centre (RCRCCC)
- World Agroforestry Centre (ICRAF)

56. The Progress Review team found that the ASAP team identified and engaged high level, relevant climate change expertise to assist with setting internal and external agendas and building capacity and awareness internally through innovative and challenging events and activities for IFAD staff.

57. Examples include:

A) IFAD, WFP and FAO have worked together, since ASAP's inception, on the UNFCCC Conference of the Parties (COP) negotiations, and other international meetings. ASAP's partnership with FAO has been mainly focussed on the coordination of global events at these meetings. The organisations also worked together to develop indicators for ASAP on adaptation to climate change, climate smart agriculture, and later, FAO/CCAFS and IRD developed the EX-ACT tool which estimates and targets mitigation in agriculture[11].

WFP's partnership with ASAP started informally by sharing information and contacts for investment design processes (e.g. sharing food security data). In 2014 they worked together on a Joint Climate Risk Analysis vulnerability assessment tool that provides climate and remote sensing data on vegetation and precipitation trends.

B) The ASAP team developed close links with CCAFS, including a year-long senior staff posting within the IFAD offices of the CCAFS Head of Research, Dr Sonja Vermeulen. This partnership has enabled IFAD's access to significant scientific research capacity and learning on climate change and agriculture available through the CCAFS network.
This led to many interactions and opportunities, cementing contacts and ongoing relationships across the programmes and regions. Key areas of collaboration with CCAFS to date include:

- Contributing to internal awareness and capacity building within IFAD
- Collaborating at external events including:
  - 2014 IPCC Working Group 2 event CCAFS/IFAD/DFID/WillisRe in London
  - 2015 July UNESCO Our Common Future conference
- Production of knowledge products (e.g. CCAFS staff authoring reports on climate change impacts on value chains; applying the EX-ACT tool across a sample of ASAP investment designs)
- Applying climate science to IFAD investment designs (e.g vulnerability analysis for certain crops in different climate scenarios)
- Working together on longer term knowledge efforts (eg. through the Learning Alliance on Smallholder Adaptation)

[11] IFAD/CCAFS/FAO (2014) Quantifying Mitigation Benefits of the IFAD Adaptation in Smallholder Agriculture Programme

C) The Red Cross Red Crescent Climate Centre has been funded through ASAP to provide training and capacity building within IFAD, and to develop and deliver innovative, tailored climate games and related training and materials. This training focussed initially on headquarters-based IFAD staff, and has progressed to facilitated training in country project launch workshops during inception phases of ASAP-supported projects. Both organisations feel they have benefitted from the interactive learning process, and a number of IFAD HQ staff mentioned this training as being a 'clear game changer' for their perspectives.

58. From our analysis of country reports, and discussions with IFAD staff, the Progress Review team suggests that establishing strong in country climate change networks early on will assist the implementation process of the projects. IFAD's networks are strong on agriculture in-country, but in many countries are not so well established in climate change. This already happens within design processes as part of identifying relevant partners for undertaking vulnerability analyses and other aspects required for the project design, but this could be more explicitly highlighted as part of the design phase. This will also assist learning and sharing in country experiences. Related to this, IFAD's existing platforms of South-South knowledge exchange[12] could be used fruitfully by the ASAP programme to share valuable planning and implementation lessons across country programmes.

Recommendations from Section 4

Recommendation 3: Gender - Ensure continued robust integration of gender throughout the programme, supported by adequate staffing capacity on gender in the ASAP/ECD team and working closely with PTA Gender desk and CCAFS Learning Alliance.

Recommendation 4: Partners and Communications - Systematically connect with existing climate change networks at country level at design stage to improve knowledge sharing, access to technical expertise, and implementation efficiency in institutions implementing ASAP funds.

Recommendation 5: Knowledge exchange - Build South-South knowledge exchange into ASAP-supported projects and their budgets to establish relevant thematic networks and support quality investment design and implementation.

5. Analysis by evaluation criteria

5.1 Effectiveness - ASAP as a climate mainstreaming tool in IFAD

59. In order to achieve resilience of smallholders to climate change in IFAD's investments, a central tenet of ASAP's approach is that climate change needs to be mainstreamed throughout IFAD's investment portfolio. This section considers how effective ASAP has been in: influencing IFAD's institutional process and non-ASAP supported investments, raising awareness of climate change adaptation internally and externally, and in developing relevant, constructive, new partnerships for IFAD.

60. Prior to the establishment of IFAD's Environment and Climate Division (ECD) in 2010, IFAD had not explicitly undertaken climate mainstreaming efforts in a coherent manner. The development of a Climate Change Strategy (2010) and Environment & Natural Resource Management Policy (2012) set out a pathway to make IFAD investments more resilient to climate impacts. These also established the institutional policy context and staffing structure

[12] See IFAD webpage on South South and triangular cooperation: http://www.ifad.org/south-south/index_full.htm

for ASAP. Following the approval of the Climate Change Strategy, some initial training was developed for IFAD HQ and Country Programme managers. Country programmes were screened for the levels of integration of climate change in existing project documentation. More projects financed by the Global Environment Facility included climate change elements. Yet the organisation as a whole was not fully 'climate aware' and investment projects had no concrete incentives to appraise and address climate-related risks and opportunities. ASAP was the first flagship programme to provide the technical skills, financial incentives and institutional innovations necessary to professionalize climate mainstreaming in IFAD and advance the issue, reaching around 27% of all new IFAD investment programmes approved during the last three years.

ASAP's influence on IFAD's institutional processes

61. In order to integrate climate change throughout the investment portfolio, IFAD staff need to understand impacts of climate change and areas of climate risk, and to have a process through which to develop climate resilient strategies and alternatives for potential and existing investments. ECD staff reviewed the full investment process within IFAD from concept to design and implementation, including critical decision stages in the investment process, considering where and how climate considerations could best be brought into the decision making process. Through ASAP-supported interaction, the ECD led a series of changes to IFAD internal review processes over the last 2.5 years. Climate change is now brought into consideration systematically in four stages of the IFAD project cycle:

62. A: **Concept phase** – in this phase, staff propose investment programmes which are being designed in the context of a results-based **Country Strategic Opportunities Programme (COSOP)**, or as a stand-alone investment. To ensure that COSOP design and decision making processes take into account the key social, environmental and climate change issues, ECD has recently established the **Social, Environmental and Climate Assessment Procedures (SECAP)[13].** These replace IFAD's previous Environmental and Social Assessment Procedures (ESAP). Effective since the 1st January 2015, the SECAP requires every new IFAD investment design to classify their social, environmental and climate-related risks and to identify suitable entry points in the project cycle to address them. The ASAP team within ECD has developed the climate screening aspects of the SECAP, which are currently being piloted across the IFAD portfolio and expected to be fully implemented in 2016[14], in sync with the start of IFAD's next replenishment cycle.

63. The SECAP includes better mainstreaming of climate risk in projects/programmes, applying lessons learned from ESAP implementation, better alignment with other multilateral financial institutions, GEF & partner standards and they also cover new areas of potential risks (see Annex 6 for summary).

64. B: **Draft Design phase: Quality Enhancement (QE):** Interventions under the ASAP mainstreaming programme mean that the Quality Enhancement review, which is conducted after the first design mission has been completed and a draft Project Design Report has been produced, now takes into account a number of climate considerations. Regional Climate and Environment Specialists are part of the QE review panel and ensure that a number of climate-related aspects are being covered by the review:
    1. Identification of deficiencies in ENRM and climate change related issues in the draft PDR, and suggesting ways to address them in subsequent missions;

[13] IFAD (2014c) Managing Risks to Create Opportunities: IFAD's Social, Environmental and Climate Assessment Procedures (SECAP). Internal Document (EB 2014/113/R.14/Rev.1)

[14] From EB 2014/113/R.14/Rev.1 document (ASAP IFAD internal review processes folder).

2. Ensuring that design criteria integrate aspects highlighted in the annotated PDR template produced for projects with climate and environment finance;
3. Ensuring that design criteria and proposals conform to the overall ASAP Programme Description if the project seeks ASAP funding - including the use of RIMS indicators required for ASAP reporting (see D below)[15].

65. C: **Final design phase: Quality Assurance (QA):** The QA review process is an independent 'arm's length' review process in IFAD aimed to increase quality of project design and its likelihood of meeting the foreseen development objectives. It entails an external assessment of each project proposal to be submitted for approval to the Executive Board on the basis of several principles and criteria, including sustainability, gender, and upscaling. In 2013, ECD has trained IFAD's pool of QA reviewers on the context of ASAP and the importance of climate-related aspects in IFAD investment designs, and provided additional financing to the QA Secretariat to add additional QA reviewers with an Environmental/Climate background to the pool of reviewers.

66. QA reviewers employ a review checklist to ensure that every IFAD investment design receives a rating on climate aspects, irrespective of whether the design receives ASAP financing or not. As of 2013, QA reviewers were asked to evaluate and rate a project's climate focus according to a six-point scale on the basis of the following questions:

Q1. The project demonstrates awareness about environmental and climate-related risks and the projected impacts of climate change on the proposed investments? (Yes or No response)
Q2.The project integrates measures to reduce, accommodate or transfer environmental and climate-related risks? (Yes or No response)
Q3. Extent to which the project reduces people's vulnerability to climate shocks and stresses
Q4. Extent to which the project is building capacity of institutions to take robust decisions in a changing environment
Q5. Extent to which environmental and climate-related considerations are integrated seamlessly with the project design

67. In 2014, IFAD undertook a first analysis of the new QA climate markers and compared the scores of ASAP-supported projects with those of a baseline sample to which the new climate markers were applied retroactively. The sample included 128 project designs, 18% of which benefitted from climate investments in the form of ASAP, GEF, LDCF, SCCF and AF grants (23 projects)[16]. While a high proportion of projects without environment and climate financing already demonstrated substantive awareness about environmental and climate-related risks, projects with ASAP and GEF co-financing scored higher than the baseline sample for addressing environmental and climate change challenges at design stage. Projects with ASAP and GEF grants contributed to a greater share of projects scored as highly satisfactory (5% increase) and satisfactory (5% increase), while triggering a reduction of those designs scored as moderately unsatisfactory (6% decrease).

68. D: **ASAP Operations Documents:** The ASAP team has produced and disseminated an annotated template for IFAD Project Design Reports, which includes guidance on the data sources that can be drawn on and referenced in the different sections of a PDR to ensure a close integration of climate considerations. Other documents produced were guidelines for

[15] [15] IFAD/ECD (2015b) Terms of Reference (ToR) ECD Consultant: External Reviewer of QE Loan Project Design Documents. Internal Document (NewTOR_QE Reviewer 2015).

[16] ECD Internal document "IFAD mainstreaming environmental sustainability and climate change adaptation through ASAP and GEF grants: crucial for turning policies objectives into environmentally sound and climate-smart project design"

M&E (e.g. on How to Measure Resilience) and baseline surveys of ASAP-supported projects, guidelines for inception workshops, and guidelines for framing Presidents' reports.

69. E: **Implementation phase: Results and Impact Management Results (RIMS).** This annual results reporting is mandatory for all IFAD projects. It now incorporates a series of new indicators for climate developed on the basis of ASAP indicators. IFAD also allows the basic RIMS indicators to be further complemented by the Multidimensional Poverty Assessment Tool (MPAT). This MPAT tool has been modified with the help of ASAP funding to include a further 'dimension', focusing specifically on climate-change adaptation and articulated on the basis of 4 ASAP outcomes. This modification has been piloted in Mali and enables MPAT to be used in ASAP co-financed projects as a complement to the RIMS, and potentially more widely.

70. In a short period of time, these strategic efforts towards integrating climate considerations through the critical design and decision phases of IFAD have proved extremely effective, according to both ECD and wider IFAD staff perceptions across the institution. However, these procedures are still quite new, and require time for staff to get used to. Several staff expressed concern that if ECD /ASAP reduced a focus on this now, these procedures may not get fully absorbed by all relevant staff in the institution. They recommend a two to three year continuation of focussed staff capacity building on each stage, led by ECD.

ASAP's effectiveness in raising awareness

71. ASAP communications and awareness raising strategies build on the communications strategy of IFAD's Environment and Climate Division. The ECD Communications Strategy was published in 2013. This highlighted the need to:
    - Target internal IFAD staff to increase awareness of climate change issues
    - Target external media to raise profile of smallholders facing issues of climate change
    - Target governments, international research bodies and donors, with a particular aim of securing funds and research support for IFAD and ASAP.[17]

72. Most of the communications products have been produced by the communication division in strong collaboration with ECD for the ASAP. Since 2013, the Communications Division have undertaken internal awareness raising through training; external awareness raising through producing reports targeted at external outlets, participation at events on climate change and food security, social media engagement through video , twitter and facebook.

Internal Awareness raising

73. All staff interviewed within IFAD HQ agreed that the ASAP-supported ECD team has been very effective in raising internal awareness on climate change adaptation. The ASAP team have built on the IFAD Climate Change Strategy and produced a 10 point Climate Mainstreaming Plan with clear information on how climate mainstreaming and ASAP can contribute to policy dialogue, gender and spatial analysis within the institution. A series of awareness raising documents that are aimed at internal and external audiences have been produced in close collaboration with the COM division of IFAD.

74. In addition, ASAP funding supports an internal training campaign on rural development and climate change, and an advanced course in mobilising and programming climate finance for IFAD staff. Internally, a series of innovative participatory trainings have been run by the Red Cross Red Crescent Climate Centre for IFAD Headquarters and some country based staff.

[17] IFAD Communications Strategy; Final ECD Communications Strategy (2013)

Staff report that these have been excellent in quality, well-tailored and useful in stimulating thought and making clear why climate change is important to IFAD's central mission.

75. A second innovative communications tool is the IFAD Climate Cinema, which was organized in cooperation with the Think Forward Film Festival[18]. The Climate Cinema helps to engage IFAD staff and external organisations on climate change, energy efficiency, agriculture and food security in a creative, visual way.

76. To date, most awareness raising initiatives have focussed on the staff stationed at headquarters. Internal awareness-raising has not extended very widely to the regions. The Progress Review team recommends that a thorough targeted programme of capacity building within the regions to country teams and related government staff is continued, and designed into current and new ASAP-supported investments.

External communications and events

77. IFAD's COMS division support ECD's work on ASAP, ensuring that ASAP messaging is incorporated throughout IFAD's broader communication efforts. This includes videos for broadcasters, news agencies and airline partners, speeches and talking points for media interactions and in press releases, according to the COMs division. The President's speeches often refer to the importance of climate change, and specifically to ASAP as IFAD's signature approach to tackle these issues. Across all of this year's press releases to date from IFAD, 15/60 (25%) are focussed on climate change, and specifically relating to ASAP investments (authors' analysis June 2015).

78. The ASAP team have produced and disseminated a range of publications (see Annex 7) aimed at development practitioners and development partners in close collaboration with IFAD's COMs division. These include the "Advantage" series summarizing evidence on tangible impacts of ASAP on smallholder farmers and the environment, ASAP factsheets, briefings and advocacy reports on climate change meetings, ASAP newsletters and 'Spotlight on' documents, and a series of 'Recipes for Change'. The report 'The Smallholder Advantage', including Recipes of Change material and artwork, reached an equivalent of 10,800 via social media platforms. The overall value of media and outreach success is estimated to be equivalent to US$1.5m. However, while the total reach of social media is a key indicator of communications success, it is important to note that, out of the 10.8k total reach, there were only 173 post clicks.

79. The climate finance community has noted ASAP as an important vehicle for their investments and potential impact. One senior ECD staff member reported that pre-ASAP, IFAD was "just not on the scene" in climate finance circles, and now IFAD are "invited to everything and people are really excited to hear what [they] have to say because [they] are pioneers in this [adaptation to climate change for smallholders]".

80. ECD have used ASAP funds to developed several flagship projects on communications for external awareness raising. One is **Recipes for Change.** This uses a series of six short web videos of celebrity chefs travelling to an IFAD project area to deliver a cooking demonstration using local recipes. This encourages a high level of engagement with smallholder farmers on the ground, raising the profile of their role in CCA.[19] ASAP hosts an online community forum around this #Recipes for Change, aiming to educate people about

[18] IFAD Think Forward Climate Cinema, IFAD (2014)

[19] EXPO 2015 – Recipes for Change

the farming that goes into food production, and the impacts of climate change on this. The latest social media updates recorded 2000+ likes on Facebook.

81. IFAD and ECD staff have presented on the ASAP programme at external events 24 times in the period between June 2013 to June 2015. ASAP products have been widely disseminated. At the UNFCCC COP 20 in Lima 2014, 600 copies of the Smallholder Advantage Report were distributed along with 500 copies of IFAD's ASAP brochure and 450 Recipes for Change cards. Memory sticks including IFAD's ECD publications were also distributed, and workshops giving information on ASAP in relation to DRM, sustainable consumption, education and CCA awareness reached 600 attendees[20].

82. Similar communications approaches are planned for the UNESCO "Our Common Future Under Climate Change" conference to be held from 7 – 10th July 2015. Building on the IPCC Fifth Assessment Report, IFAD will host a workshop involving smallholder farmers as speakers alongside IFAD's partner organisations to discuss challenges facing smallholder farmers in mitigation and adaptation to climate change[21].

Effectiveness of partnerships to assist mainstreaming

83. The success of ASAP success in mainstreaming climate change across IFAD is demonstrated by its efforts in establishing and consolidating the partnerships mentioned in section 4. One example is a FAO/IFAD joint seminar in 2012 at the Investment Centre at FAO's Rome Headquarters with strong IFAD attendance which presented ASAP's role in delivering climate smart agriculture.

84. Internal staff and external partners reported that ASAP has been very successful in mainstreaming climate change across IFAD. Both financial and technical aspects have been effective. Raising financial resources is crucial but equally important is to build technical partnerships bringing in new practices in order to foster innovation.

85. CCAFS staff commented on the ASAP's financial model of providing grants as a 10% top-up to existing investments, which create strong incentives for people to integrate climate change into the existing programmes. They note that ECD has positioned ASAP as directly relevant for programming rather than as a 'research' programme, which appeals to IFAD staff.

86. Red Cross Red Crescent staff highlighted that ASAP's value added has been the analysis and consideration of the impact of climate and weather patterns on smallholders' agricultural production.

Recommendations from Section 5.1

Recommendation 6: Environment and Climate Division team expand application of ASAP-related processes and tools to non-ASAP-supported investment designs, based on adequate staffing capacity supported by the institution.

[20] UNFCCC COP20 Lime, Peru 1 to 12 December 2014 Communications and Advocacy Report (2014) IFAD

[21] Paris Conference Draft: Brief "Food and Farming Under Climate Change: Moving towards a global agreement" (2015) IFAD

5.2 Relevance -Quality of climate integration through ASAP

ASAP's role in fostering climate resilience in IFAD investment designs

87. Through an assessment of the three case study countries (Mozambique, Rwanda and Viet Nam), the PR team compared the results frameworks of projects funded prior to ASAP's inception with those of IFAD and ASAP supported projects. In countries where additional IFAD supported projects were funded and designed following an ASAP-supported project, the PR team also considered the extent to which a climate adaptation and resilience focus has been mainstreamed into results frameworks. Given the timing and scope of this Progress Review, the PR team was not able to review all countries to compare IFAD project designs pre- and post- ASAP investments.

88. From this review, the PR team finds that the extent to which climate resilience and associated indicators are included or embedded in the logical frameworks varies across countries. In Mozambique, ASAP has been successful in focussing on developing climate resilience with particular reference to encouraging smallholder farmers to adopt *climate resilient practices* and to increasing land managed with *climate resilient technologies* in Mozambique. In Rwanda, ASAP's role has directly focused on *increasing climate resilience and food security for poor smallholder farmers*, *developing post-harvest technology options and infrastructure which reduce climate risks and build resilience*. In Viet Nam, ASAP

89. Table 4 highlights how the ASAP supported *Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces* project has focused on climate resilience through its goal, development objective and outcomes. In addition, the subsequent IFAD focused *Commodity-oriented Poverty Reduction Programme in Ha Giang* project approved in 2014 without additional ASAP support, also shows a focus on building climate resilience through reducing the vulnerability of rural poor households suggesting that ASAP is starting to mainstream a climate resilience approach for Viet Nam (seeTable 4).

90. However, there is less evidence of wider climate resilience mainstreaming into IFAD operations outside of ASAP-supported countries since inception. ECD might expect a direct benefit in terms of increased climate mainstreaming in wider projects in countries which have received ASAP funding. However, it may take more significant efforts, or a response to government demands, for climate change to be mainstreamed into activities in countries which have never received ASAP funding. Peru's new loan is a case where these activities are under way.

Table 4 Comparison of logical frameworks for IFAD and ASAP-supported projects Viet Nam.

Viet Nam Projects	Agriculture, Farmers and Rural Areas Support Project in Gia Lai, Ninh Thuan and Tuyen Quang Provinces IFAD loan: US$48.0 million IFAD grant: US$0.3 million Approval date: 2010-12-15	Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces IFAD loan: US$22.0 million IFAD ASAP: US$12.0 million Approval date: 2013-12-11	IFAD: Commodity-oriented Poverty Reduction Programme in Ha Giang IFAD loan US$10.0 million Approval date 2014-09-01
Goal	Increase the quality of life for rural people, especially those who live in the most disadvantaged areas (from Tam Nong)	Sustainable livelihoods for the rural poor in a changing environment.	Sustainably improved income and reduced vulnerability of rural poor households in targeted Ha Giang communes.
Development/ Programme objective	Sustained and profitable economic participation of 73,800 ethnic minority and rural poor households living in 117 poor communes in 16	Adaptive capacity of target communities and institutions to better contend with CC strengthened	Targeted private agricultural enterprises, cooperative groups and farm households collaborating profitable and

	districts of the three provinces of Tuyen Quang (five districts), Gia Lai (five districts) and Ninh Thuan (six districts).		sustainably in a climate adapted, market-oriented new provincial rural economy
Component or Outcome 1:	Policy and institutional environment strengthened to carry out effective and sustainable pro-poor market-oriented innovations with a focus on ethnic minorities, and to engage the private sector in the implementation of Tam Nong.	A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions and provinces.	Provincial socio-economic and commodity development planning is holistic, participatory, climate adapted and market-oriented.
Component or Outcome 2:	Demand driven, value chain focused services (public and private) available for connecting poor, ethnic minority households to market opportunities	Increased and more inclusive financing for market oriented, climate smart agriculture and agri-business investments	Increased public and private investment in sustainable commodity production and value addition.
Component or Outcome 3:	Poor and ethnic minority households in project communes and villages benefiting from profitable and sustainable market opportunities.	N/A	Efficient Programme management ensuring smooth implementation of Programme activities.

Country level implementation effectiveness

91. Implementation of the ASAP programme at country level is at initial stages. Country visits and interviews of the three case studies provided detailed data on progress. Project supervision reports (1-2 times per year) are the most direct reporting lines to appraise progress towards targets in ASAP-supported projects. RIMS-related reporting can be aggregated across all IFAD programmes but first reporting against RIMS is not expected until 13-24 months after project inception. In the absence on RIMS data, the ECD team need to ensure that ASAP donors and partners, and the wider climate change community, can monitor results in the first few years of the ASAP programme through thorough analysis of supervision reports and good communications with regional climate and environment advisers.

Mozambique

92. The Country Strategy for Mozambique (COSOP) of 2011 did not focus on climate change. The Mozambique project PROSUL had ASAP funding attached to it as a 'retrofit' design in 2012 into an almost-complete IFAD design process. This led to a rather complex design and some issues in early implementation. Even without the additional focus on climate change, PROSUL also incorporates multiple innovations to the IFAD business model. These are novel and potentially very useful, but have contributed to further delays. For example, the project was developed within a new part of the agriculture ministry (CEPAGRI) requiring new staff to be sensitised to IFAD and project development; the project decentralised management from central national government to the provincial level, creating ensuing difficulties in engaging the right calibre project staff; PROSUL is developing direct links between government and new lead service providers, with issues relating to compliance with loan covenants; and the government has a new accounting system (eSISTAFE) causing further delays to payments. In addition, the discrete agricultural value chains of PROSUL have very different requirements for climate adaptation.

93. Implementation challenges related to the ASAP relate to capacity and technical background and to "extensive delays suffered by the project in contracting the Lead Service Providers (LSPs) due to the overly lengthy procurement processes" (PROSUL Supervision Mission Aide Memoire May 2015). It has been so difficult to find technical climate adaptation capacity within government that two staff members have been sent to undertake Masters training

for one year in South Africa in order to bring relevant expertise back to the country. This also relates to the gender component: it is difficult to find the right expertise in situ. Monitoring and Evaluation, design of relevant targets for the ASAP have proved challenging, but 9 ASAP-RIMS indicators have now been identified. This process triggered the development of the annotated PDR and M&E indicators specific to ASAP for the whole of the ASAP programme (Country Mission notes, authors).

94. As of July 2015, PROSUL has disbursed 10% of ASAP funds (just under US$500,000), renovating Met stations, starting cassava multiplication and training on livestock feeding (see Annex 8, data supplied by ECD). Re-tendering has been needed for climate studies for this year.

Rwanda

95. The Post Harvest and Agribusiness Support Project (PASP) is in its first year of implementation (Entry into Force 2014). This example demonstrates a much longer design process, with a COSOP produced during the PASP design process, alongside background reports relating to climate change and post-harvest processes. This meant that significant reflection and understanding during design leads to easier implementation. Under this project, the additionality of ASAP is clear: it now includes green energy and climate-resilient (off grid) options for drying, assessment and developing climate resilient storage facilities through checking and developing better building codes.

96. In implementation, limited technical capacity on climate change has been supplemented with secondment of a Junior Consultant providing support on Natural Resources Management from IFAD HQ to the IFAD country office; and with a Climate and Environment Specialist in the PMU appointed during the Inception Phase. Other staff have been trained in climate change and community based adaptation. New partnerships between the Ministry of Agriculture and the Rwanda Met Service have been initiated by the project (Country Mission notes, authors).

97. The project is highly innovative: climate resilient post-harvest analysis is at the cutting edge of Climate Smart Agriculture value chain work. Some of the techniques are not well known in this part of Africa. In addition, the project is bringing together loans and grant structures, and new partners in cooperatives and banks. It is challenging to find the right both staff and related lead service providers with relevant capabilities and capacities within the country. The logframe specifies ASAP-related outcomes clearly, with targets still to be developed for activities.

98. An ambitious Year 1 plan is currently under review in the 1st year Mission (May 2015) (see Annex 9).There may be some delays in ASAP funding expenditures as a result as the project needed to retender for initial project activity providers.

Viet Nam

99. The main components of the adaptation project in Viet Nam include climate resilient agriculture systems and climate sensitive planning in the Mekong Delta. This project has also just completed its first year of implementation after a detailed thorough design phase building on a relatively long history of consideration of climate change issues. The existing COSOP (2013-2018) explicitly highlights climate change, and reflects a strong governmental focus on climate change within Viet Nam. The objectives of the COSOP are to:
    - Enable poor rural provinces to carry out market-led pro-poor rural development
    - Improve access of the rural poor, particularly women, to commodity and labour markets
    - Enhance the capacity of the poor rural households' to adapt to climate change

100. The Mekong project is ambitious, focussing on sustainable market development (engaging the private sector) and poverty oriented development (see Annex 10). Training on climate change has started. The project emphasizes 'soft' adaptation approaches that develop adaptive capacity, with a strong focus on collaboration and partnerships, and the Provincial level.

101. Specifically to gender, community based adaptation and vulnerability assessments in the SEDP planning process have been built on by ASAP. Gender and vulnerability will be addressed not only in terms of economic opportunities and value-addition (the focus of SEDP), but also in terms of power dynamics and social factors. For example, the Adaptation in the Mekong Delta (AMD) project has established 1140 new Savings and Credit Groups, using US$1.6 million grant finance. The Women's Union in Viet Nam will be the main implementing agency for these. Furthermore, women and female-headed households are targeted especially through participatory mechanisms, such as a 40% benchmark of womens' participation in Village Development Boards, and through access to credit savings groups.

102. With a rating of 'moderately satisfactory' for the project following the last mission, more focus is needed on coordination, technical assistance and activity implementation in decentralised units.

- Signing of a Memorandum of Understanding between PCU and DARD identifying CCA models (mainly on-farm)
- Establishing project management (PM) positions at all levels
- Workshop and training courses for PM staff (e.g. 18 start-up workshops, distribution of manuals on CCA), however there has been more successful implementation in TV in relation to CCA knowledge training.
- The development of savings and credit groups (SCGs) in the AMD communities (MoUs for these signed in January 2015, investing US$1.63 million in each province, expected benefits of 3500 and 9990 people in BT and TV respectively)
- Participatory formulation of the SEDPs in all thirty project communes (e.g. training of 623 participants in implementation of SEDP)
- The creation of a CCA working group
- Cooperation between the two provinces on salinity monitoring systems.

103. As the AMD only started the implementation phase in late 2014, M&E reporting is still very much at the initial stages in terms of outputs. The capacity is there, however, with reports that the staffing and reporting at the ground level are high quality[22]. It is important to note that, with a project that focuses on adaptation and soft measures such as capacity and training, there is a lag between implementation and outcome. Therefore, most of the M&E outputs are very much at the initial stages and will need a few years before they materialise in quantitative and qualitative outputs[23]. The AMD also uses impact evaluation surveys across thematic areas, including a cross-selection of households within the impact zones (according to salinity gradients – high salinity zones, transition zones and freshwater zones).

Policy dialogue relevance

104. Many of the ASAP project designs focus on influence of relevant policy areas relating to agriculture and climate change. Annex 11 provides details on this for seven ASAP-supported projects. Capacity building is an integral long term component to this process. ASAP will develop policy options and strategic tools relating to adaptation in many areas; with most of these project designs highlighting very specific areas for regulations check and influence.

[22] Interview with Roshan Cooke, IFAD, 28.05.15
[23] Interview with Roshan Cooke, IFAD, 28.05.15

However, in some countries relevant networks are not there already on climate change, and need to be prioritised in order to learn and share lessons effectively.

105. IFAD plans to promote interventions, but these will usually occur during later stages of project implementation once well established- the inception phase can be used to develop and deepen partnerships.

106. Whilst there is evidence in some countries (e.g. Rwanda) that experienced staff bring policy engagement skills and networks to the project, a later review of the ASAP will determine how effective ASAP supported projects have been in establishing new mechanisms for policy dialogue as initial projects are too new.

Recommendation from Section 5.2

Recommendation 7: Undertake close analysis of emerging project results in Year 1 of implementation through close monitoring and action planning in response to i) Supervision Report data and ii) RIMS reports, potentially including an annex specific to ASAP.

Please see Section 5.3 for Recommendation 8, relating to Technical Capacity from this section and disbursement from Section 5.3.

5.3 Efficiency- ASAP programme management

ASAP approval and disbursement efficiency

104. Robust disbursement rates for international development finance are an important benchmark for efficiency. Given that disbursal of climate finance for adaptation projects is still in relative infancy, we sought to assess ASAP efficiency through comparing programme commitment and disbursement rates with other broadly similar dedicated multilateral adaptation funds (climate funds with similar levels of mobilised finance and programme goals). These include the Adaptation Fund (AF), the Least Developed Country Fund (LDCF), the Special Climate Change Fund (SCCF), the Pilot Programme for Climate and Resilience (PPCR) and the Global Climate Change Alliance (GCCA).

106. **A significant caveat needs to be drawn to this analysis**. The adaptation funds do not fund the same sectors: ASAP focusses on agriculture; but the other funds disburse more broadly – at this time there is no comparative analysis available across sectors relating to ability to disburse in climate-vulnerable countries. Funds report differently on approved and disbursed funding, with some classifying funds as 'disbursed' when they have not yet been received by the national implementing entity. In addition, a number of dedicated funds that disburse based on performance or delivery of results tend to have very low disbursement rates until the end of a project. Our analysis is based on the Climate Funds Update (CFU) website data where approved figures "*refer to funds that have been officially approved and earmarked to a specific project or programme*"; while disbursed figures refer to "*funds that have been spent, either through administrative means or directly to an implementation programme or project, with proof of spend*" (CFU notes page).

107. **Our analysis demonstrate that ASAP is making good progress in its project approvals:** 67% of the total amount deposited into the fund by the donors has been approved for project implementation within 3 years of the programme launch. The approval rate of the other funds range from 56% to 83% (benchmarked from the CFU March update 2015, authors' analysis) (see Table 5).

108. Further analysis sought to benchmark progress at similar stages. Data was not available for all funds, but for those which had data covering the first 3 year period, similar to ASAP, between 1 and 16 per cent of the total approved funding had been disbursed, with ASAP at a 6 per cent. All of these disbursement rates are fairly low, reflecting the initial set up periods required for new financial mechanisms and the 'usual' project cycle of financial flows where initial low disbursement is substantially increased as a programme matures before tail off at project end. However, it is important for reflect on the ASAP-specific disbursement context and reasons for this disbursement.

Table 5 Details of Funds Disbursements

Fund Name and Year of first project approval	Approved Funding (USD m)	Percent of total funding approved 3 years from programme launch	Disbursement after 3 years from first project approved (USD m)	Percent disbursed after 3 years from first project approved
Adaptation for Smallholder Agriculture Programme (ASAP) 2012	219.00	67%	13.25	6%
Pilot Programme for Climate and Resilience (PPCR) 2010	888.16	83%	7.27	1%
Least Developed Country Fund (LDCF) 2002	750.09	83%	No data	No data
Adaptation Fund (AF) 2010	263.71	56%	42.86	16%*
Special Climate Change Fund (SCCF) 2006	263.43	78%	No data	No data
Global Climate Change Alliance (GCCA) 2008	236.02	61%	18.66	8%
Total	**2,695.26**	**N/A**	**78.7**	**2%**

***NB The Adaptation Fund counts funds as 'disbursed' when they leave the AF to it's funding recipient, which may be another multilateral or government implementing agency; this accounts for a higher disbursement rate than ASAP, which only counts funds as disbursed when this goes to the government implementing agency.**

Source: Climatefundsupdate.org (2015) http://www.climatefundsupdate.org/listing/asap

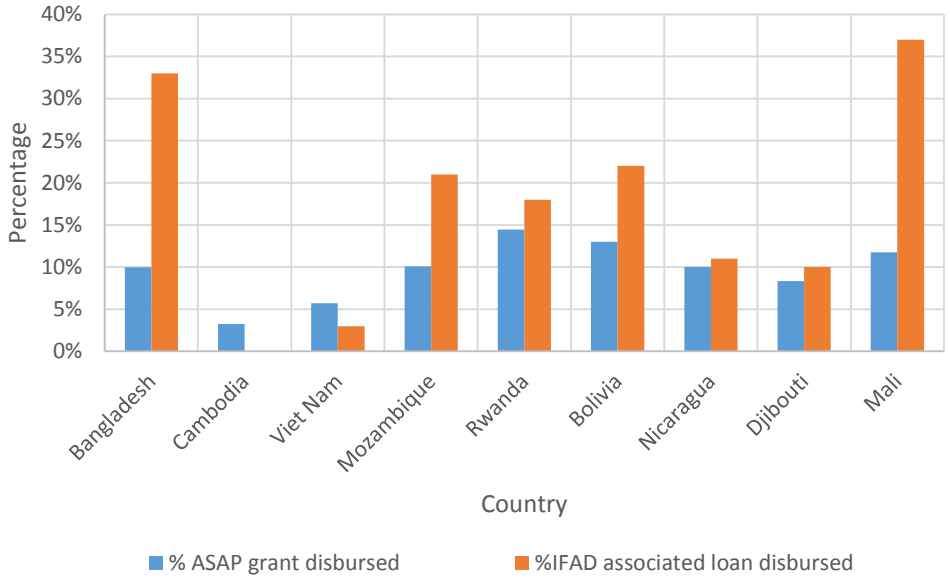
109. **Reasons for ASAP's disbursement rates.** Several aspects should be taken into account when assessing ASAP's efficiency in disbursing funding. Although many of the reasons apply across funds, the examples are particular to ASAP:

- **The first year of ASAP operation was dedicated to the development of an investment pipeline**. Before any disbursements could take place, ASAP needed to develop a pipeline of investment designs that could be reviewed and approved by the IFAD Executive Board. The first substantive batch of 8 ASAP investment designs was approved by the IFAD Executive

Board in December 2013, which was preceded by two 'early mover' projects (Mozambique and Bangladesh), both of which were retrofits to completed investment designs.

- **ASAP disburses funding exclusively to government agencies** and works to exacting fiduciary standards, and to new downstream providers, which can slow disbursement rates. Government agencies are developing new modes of operation, in some cases funding service providers directly for the first time (e.g. Mozambique/Rwanda ASAP). In contrast, the other adaptation funds mostly disburse funding to other multilateral implementing agencies. The Adaptation Fund disburses to both multilateral agencies and accredited national implementing agencies.
- **Comparatively lower absorption capacity in recipient countries.** All of ASAP's funding goes to low and lower-middle income status, whereas some other funds have higher rates of climate finance absorption across a range of income level countries.
- **Early stage learning of the ASAP fund** – the ASAP is only 2.5 years old, and processes and systems had to be established to make it operational in this time period. The fund is not a stand-alone disbursal mechanism but needs to be embedded within an existing system of IFAD loan negotiations, which can be a lengthy process. This means that it will take more time to become efficient in disbursal.
- **There is a clear correlation between disbursement delays of IFAD loans and disbursement delays of ASAP grants.** Disbursement data of IFAD loans and ASAP grants across the 9 ASAP-supported projects that have started disbursing as per June 2015 show the links between both disbursement rates (see Figure 5). The disbursement delays of ASAP can therefore not be addressed in isolation, but need to be addressed by diagnosing and supporting the entire institutional and administrative framework governing the entire investment package.
- **Low national technical capacities may slow disbursement rates**. Once established and approved, an ASAP-supported project may suffer from low disbursements during the inception and implementation phase due to low national technical capacities on climate change. In Rwanda and Mozambique, tendering processes had been repeated, changed and new plans formulated for obtaining suitable climate change adaptation advisers and Lead Service Providers for climate-resilient products.
- **Some ASAP disbursements were set back by emergency situations in target countries**. ASAP investments in Yemen, Chad and Mali have been affected by armed conflict and a deteriorating security situation in project areas. ASAP investment design in Liberia has been delayed by an outbreak of Ebola. ASAP implementation in Nepal has been delayed by the April 2015 Nepal earthquake.

Figure 5 Comparison of disbursement rates for IFAD loans and ASAP grants across 9 ASAP supported projects (June 2015)



Source: Author analysis

Country Prioritisation Model effectiveness

IFAD and ASAP's Targeting Strategy

110. IFAD currently supports investment in 142 countries worldwide. IFAD targets "*rural people living in poverty and experiencing food insecurity in developing countries… who have the potential to take advantage of improved access to assets and opportunities for agricultural production and rural income-generating activities*". In making decisions about country recipients for ASAP funding, ECD has screened these countries for climate change vulnerability. The 24 current ASAP recipient countries include eight low income countries (LICS) and 13 lower middle income countries (LMICS).

111. IFAD is investing in countries based on a Performance Based Allocation System (PBAS) and ASAP takes the criteria underpinning the PBAS into account, as well as considering overall portfolio performance. If a country is not spending the IFAD loan or is in an emergency situation, IFAD will not add an ASAP grant.

112. In seeking to assess whether targeting is well-applied, a useful comparator is the ND-GAIN Index[24]. This is one of the most robust indicators for climate adaptation programming available currently, combining an estimation of vulnerability and 'readiness' to improve resilience, and also providing a food security index. The ASAP programme uses part of this as an indicator to influence country choice for ASAP support.

113. Table 6 shows the climate change ranking of ASAP-supported country investments, along with their current status. ASAP support is planned or underway in 9 of the 20 most climate vulnerable countries according to this index. This ratio is maintained across the top 50 vulnerable countries, 24 of which are benefitting from ASAP investments. ASAP support is an important source of finance to build resilience in many of these highly vulnerable countries as

[24] ND-GAIN index summarises countries' vulnerability to climate change and other global challenges in combinations with its readiness to improve resilience. For more information see http://index.gain.org/

they have limited access to other climate funds (CFU Update 2015). Most of the highly climate-vulnerable countries that are not supported have high security and fiduciary risks for IFAD and are currently excluded from IFAD support.

Table 6 Climate Change Vulnerability Ranking of ASAP support countries

COUNTRY RECEVING ASAP SUPPORT	Income (Low/Lower Middle/Upper Middle)	CC Vulnerability Rank 2013 (183= highest vulnerability)[25]	ASAP allocation (nearest $ USM)	STATUS (Executive Board approved/pipeline)
ASAP investments within the top 20 most climate vulnerable countries (ranked 164-183) n=9				
Burundi	L	181	5	Pipeline
Chad	L	180	5	EB Approved
Liberia	L	179	4.5	Pipeline
Yemen	LM	177	10	EB Approved
Sudan	LM	175	7	EB Approved
Mali	L	172	10	EB Approved
Niger	L	170	13	Pipeline
Rwanda	L	170	7	EB Approved
Benin	L	167	4.5	Pipeline
ASAP investments within the 21-50 most climate vulnerable countries (ranked 134-163) n=15				
Madagascar	L	162	6	Pipeline
Uganda	L	161	10	EB Approved
Gambia	L	159	5	Pipeline
Burkina Faso	L	155	7	Pipeline
Malawi	L	152	7	Pipeline
Kenya	L	147	10	Pipeline
Ethiopia	L	147	11	Pipeline
Mozambique	L	146	5	EB Approved
Djibouti	LM	145	6	EB Approved
Lesotho	LM	144	7	EB Approved
Senegal	LM	140	6	Pipeline
Tanzania	L	140	10	Pipeline
Lao PDR	LM	138	5	Pipeline
Bangladesh	L	138	15	EB Approved
Cambodia	L	137	15	EB Approved
ASAP investments within other countries (n=20)				
Bhutan	L	132	5	Pipeline
Cote d'Ivoire	LM	130	7	EB Approved
Nigeria	LM	130	15	EB Approved
Cabo Verde	LM	128	6	Pipeline
Nepal	L	127	15	EB Approved
Myanmar	L	124	6	Pipeline
Ghana	LM	123	10	EB Approved
Cameroon	LM	121	5	Pipeline
El Salvador	LM	106	5	Pipeline

[25] Numbers run from the 1 (the least vulnerable) to 183 (most vulnerable).

COUNTRY RECEVING ASAP SUPPORT	Income (Low/Lower Middle/Upper Middle)	CC Vulnerability Rank 2013 (183= highest vulnerability)[25]	ASAP allocation (nearest $ USM)	STATUS (Executive Board approved/pipeline)
Viet Nam	LM	104	12	EB Approved
Nicaragua	LM	99	8	EB Approved
Bolivia	LM	93	10	EB Approved
Morocco	LM	90	2	EB Approved
Moldova	LM	86	5	Pipeline
Egypt	LM	84	5	EB Approved
Ecuador	UM	78	4	Pipeline
Tajikistan	L	68	5	Pipeline
Paraguay	LM	54	5	Pipeline
Kyrgyzstan	LM	44	10	EB Approved
Pacific SIDS (regional)	n/a	n/a	7	Pipeline

'ND-GAIN Index'. (2015) Available at: http://index.gain.org/

Effectiveness of project-level Monitoring & Evaluation

Monitoring and reporting at the project level

114. To date, projects are not reporting either first or second level RIMS results due to the relatively early stage of project implementation. Progress towards second level, outcome results and the implications for meeting the 2020 impact targets is discussed in more detail in section 4.1.

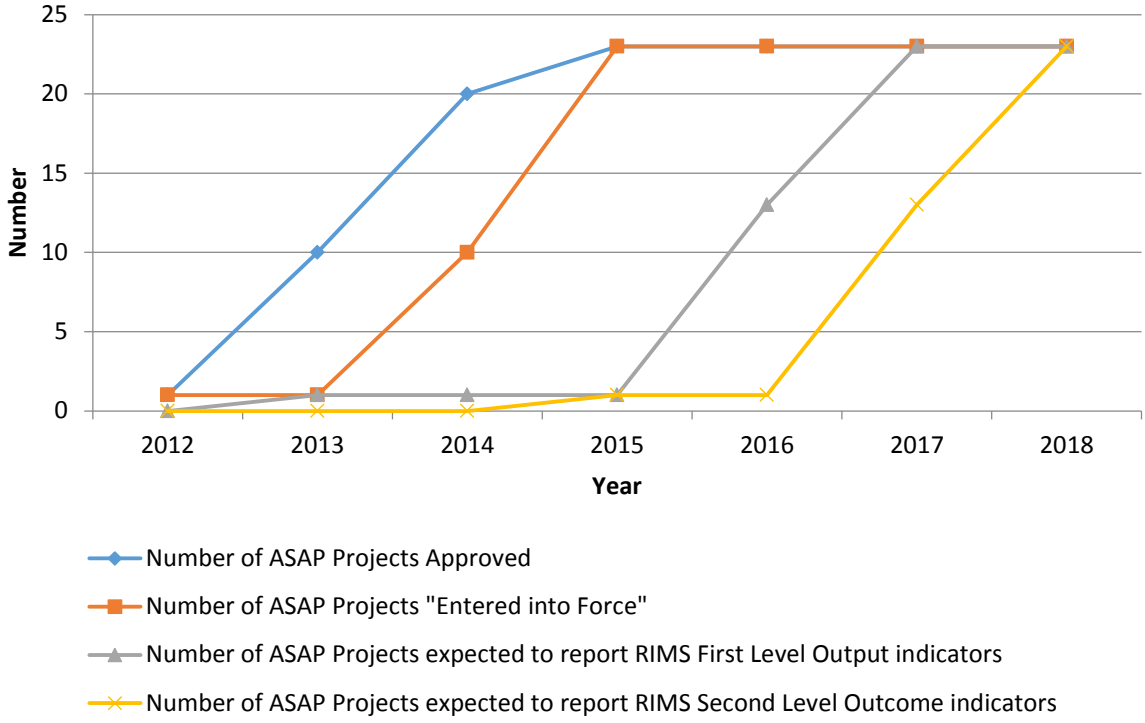
115. ASAP results reporting will take place through two complementary mechanisms. As outlined in Section 3, the first is through project supervision reports. These reports summarize the findings from supervision missions that are taking place 1-2 times per year led by the IFAD Country Programme Manager and supported by technical IFAD staff (including technical specialists from ECD). Supervision reports contain specific sections on financial as well as technical reporting against individual project results. Complementary to this, ASAP-supported projects are feeding into IFAD's annual portfolio review exercise which captures standardized indicators established in the Results and Impact Monitoring System (RIMS). Projects are expected to report annually on the first level output results after the first full calendar year of operation following "Entry into Force" (which is the day that a financial agreement is countersigned or signed by both the Government of the project country and IFAD). Second level results are to be reported at the time of the Mid-term Review or at the third year of implementation.

116. All ASAP-supported projects with active agreements have produced their first supervision reports and most of these include a RIMS baseline analysis. Systematic reporting on the progress of RIMS indicators, however, will only start substantively in mid-2016. A project must have been ongoing for at least one full calendar year by the end of the reporting period (i.e. by December 31st of a calendar year). This means that in order to produce RIMS reporting for the calendar year 2014, a project must have entered into force before 31 December, 2013. Based on this timeline, Figure 6 highlights the number of ASAP supported projects that have been approved, the number that have "entered into force" and when they are expected to report first and second level results. To date only one of the 23 cumulative ASAP approved projects[26] is

[26] Captures ASAP investments approved by April 2015; Yemen excluded due to temporary suspension

expected to report initial first level outputs. No projects would be expected to report second level outcome results at this stage[27].

Figure 6 Current cumulative ASAP supported projects and timeline on expected reporting for first and second level results



117. The current absence of RIMS reporting data carries a risk that ASAP donors and partners are under the impression that the programme is not delivering any results, or that IFAD does not have the systems required to report back on the impact of ASAP investments. At the current early stage of the programme, it is therefore important that some initial results are reported through information mined from supervision reports, which capture early results produced by ASAP investments.

118. As there is some variation in the timing and depth of results reporting through IFAD supervision reports, it is recommended that a simplified ASAP reporting protocol is adopted and implemented analogous to the GEF Project Implementation Review (PIR). Once per year, ideally in tandem with the portfolio review or GEF PIR exercise, project teams would be asked to complete a 1-page template which captures actual vs. intended results for those ASAP-related indicators that feature in the project logframe and contribute to the aggregate ASAP targets in the RIDE. Such a 'light-touch' supplement to the existing supervision and portfolio review system can yield substantive benefits in harmonizing and simplifying ASAP-related reporting and reduce variance and friction losses in the capturing of adaptation results.

119. It will also be important for ASAP supported projects approved in 2012 and 2013 to start reporting first level results over the next twelve months. Given that 10 projects are expected to report first results in mid-2016, ASAP will need to focus capacity on implementation so that projects can start to demonstrate results.

Ensuring efficiency and consistency across projects

120. Considerable efforts have been made to systematize results and impact monitoring as well as encourage cohesiveness between different monitoring and reporting frameworks within IFAD and ASAP. A handbook on the First and Second Level Results for RIMS produced in December 2014 specifically details the new-climate related indicators which have been updated since the previous handbook in 2011. Aggregate regional level reporting is also currently being encouraged.

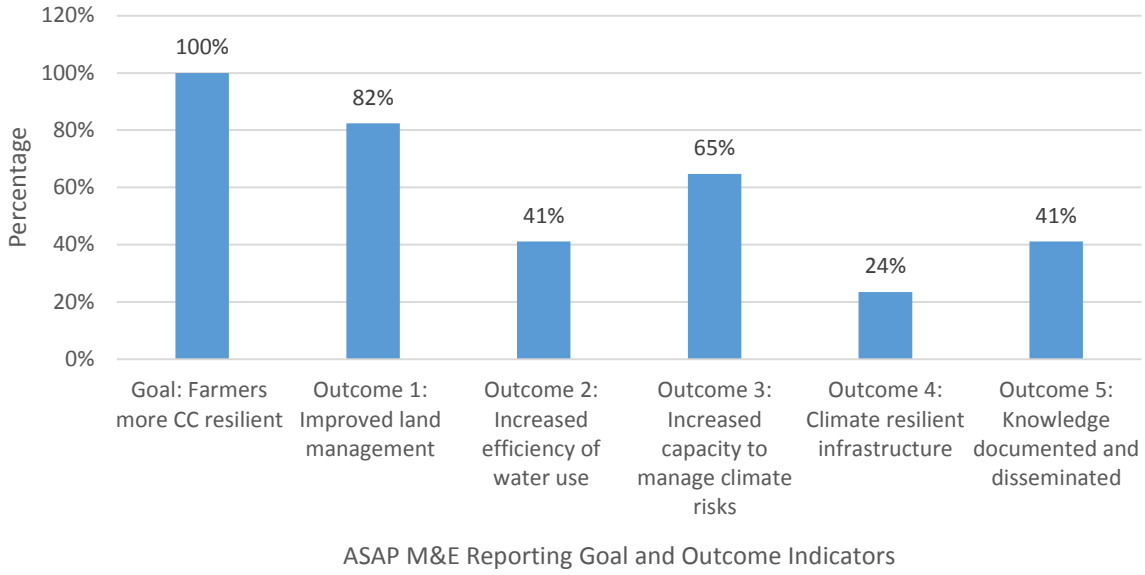
121. There is also significant discussion on how these climate related indicators should be estimated and monitored as well as a high level push from management to ensure that all ASAP-supported projects are estimating expected results across indicators that support the ASAP goal and 5 core outcomes[28]. Clear guidance on which RIMS indicators should be included in project design and reporting has therefore been very important. However, only RIMS 1.8.5/ RIMS 1.8.6 indicators are mandatory for all ASAP-supported projects, which means that while all projects will report on the number of smallholder households or household members supported to cope with the effects of climate change, there is still scope for considerable diversity in reporting across projects and particularly across very different RIMS indicators as highlighted in

[28] Internal memo on the use of RIMs, January 2015.

122.

123. Figure7 which details the percentage of ASAP-supported country projects that are expected to report against the ASAP goal and outcomes.

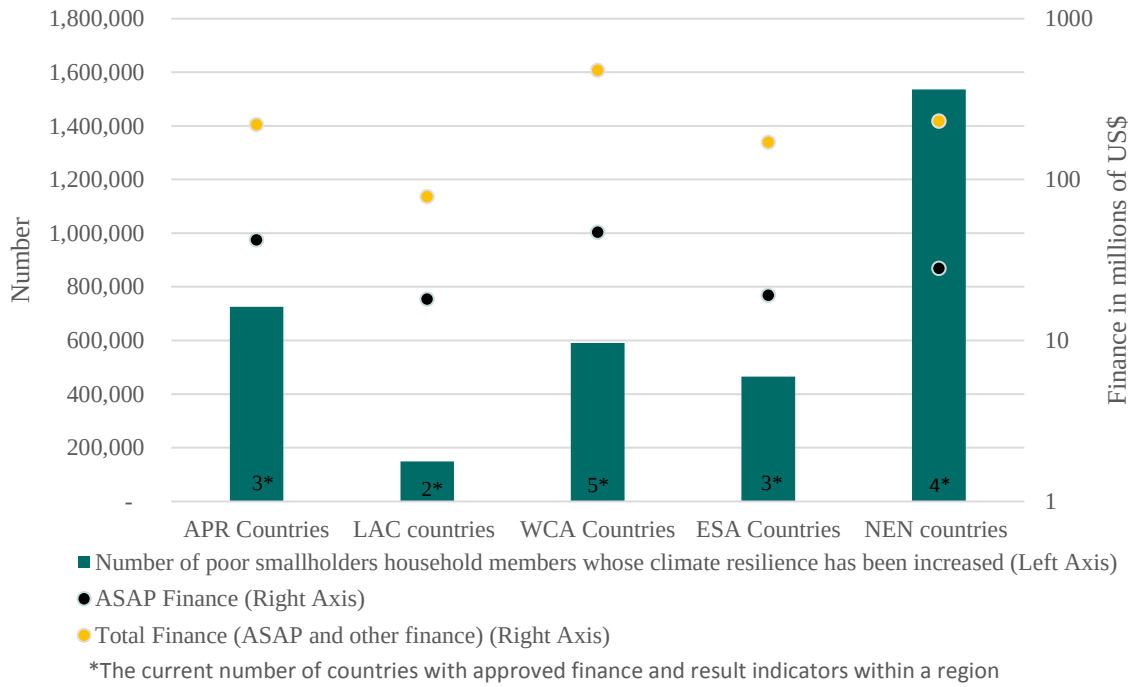
Figure 7 Percentage of current ASAP supported country projects that will report against the ASAP goal and 5 core outcomes



Source: Author analysis

124. The variability in expected targets set by different countries and projects can be explained by a diverse range of individual country contexts, which allocates ASAP investments in very different geographic circumstances, value chains and institutional environments and in connection with a diverse range of climate-related problems and differing adaptation strategies.

Figure 8 Variations in regional expected results for the ASAP goal compared with ASAP and total approved finance



Source: Author analysis

125. In addition, there is also variation in the targets for the core outcomes across regions. Table 7 below highlights the aggregated targets across regions for 19 ASAP-supported countries with approved finance and results indicators. This is expected to change as new ASAP investments are being approved by the Executive Board.

Table 7 ASAP outcomes as expected by region at mid-term

ASAP OUTCOME	APR (3 countries)	LAC (2 countries)	WCA (5 countries)	ESA (5 countries)	NEN (4 countries)
Number of hectares of land under climate-resilient practices	42,500	26,000	250,450	343,880	28,455
Number of households supported with increased water availability or efficiency	22,000	1,000	1,081	-	50,400
Number of production and processing facilities supported with increased water availability or efficiency	800	-	600	160	-
Number of individuals engaged in climate risk management activities	166,744	21,400	29,530	123,840	8,000
Number of community groups engaged in climate risk management activities	150	89	60	560	785
US$ value of new or existing rural infrastructure protected from climate events	45	5	-	-	55
Km of new or existing rural infrastructure protected from climate events	50	200	375	-	-
Number of international and country dialogues on climate supported	26	5	10	1	2
ASAP Finance (in millions of US$)	42	18	47	19	28
Total Finance (ASAP and other finance US$ m)	219	78	477	170	230

126. ASAP supported projects that have not tracked climate indicators and climate related targets through RIMS have been mandated (as per an executive memo from January 2015) to add the corresponding indicators retroactively to project M&E systems and link them to the IFAD RIMS online system.

Consistency and complementarity with other adaptation focused climate funds

127. The PR team considers that ASAP has developed a clear, useful and potentially measurable set of outcome indicators. This is essential for any programme. ASAP core result indicators and programme aims for addressing vulnerability have some similarities to the other adaptation focused climate funds with similar challenges in monitoring and evaluating results and reporting on impact across all funds (see Annex 13). However, there are key differences. Drawing from these, the PR team consider that some reflection on these would be useful for IFAD, in particular noting where these outcomes may leave some gaps in the effective theory of change to the goal. For example, whilst there is a focus on knowledge documented and disseminated, there is no focus on policy influence as a measureable outcome or target. Conceptually, it could be easier to measure knowledge sharing, but if the aim is to scale up adaptation, just sharing the knowledge may not be enough. Policy influence and external trainings may be required.

128. With climate funds still evolving their methodologies and their parameters for measuring impact, the choice of metric as well, as the underlying use of data tends to vary widely. Adaptation and resilience building activities have been more difficult to distinguish from activities that contribute to 'good' development. This can make it more difficult to measure and report on the impact of adaptation finance.

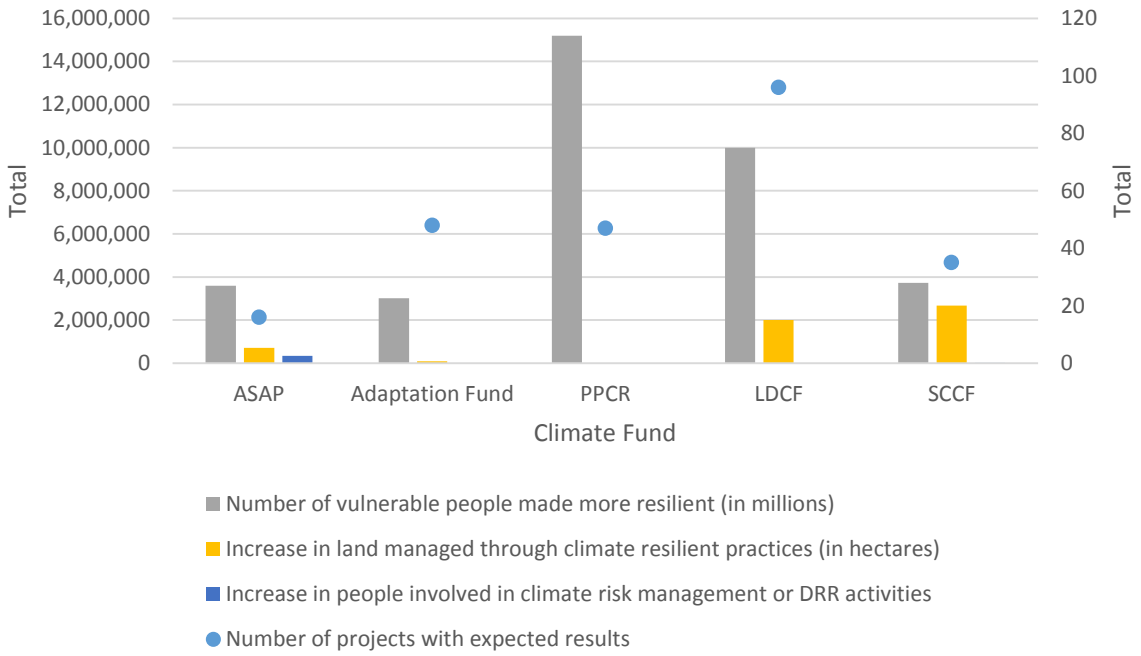
129. International climate funds have reported a mixture of expected and actual results against identified areas. Broadly across the adaptation focused climate funds, there has been an emphasis on increasing the number of people resilient to climate change, increasing land managed under more climate resilient practices and the number of people trained or involved in climate risk management and Disaster Risk Reduction activities.

130. Figure 9 highlights a comparison across the main adaptation focused funds, demonstrating expected results by the number of projects under implementation or reporting *expected* results.

131. Aggregate reporting against the actual achievement of these results is only just emerging, though funds such as the PPCR and others are now reporting on the impact their funding has had in helping countries to develop climate-change response strategies and incorporate climate into sectors such as health. In cases such as the LDCF where there is some aggregate reporting, however, actual achievements seem significantly smaller than the targets set to date and this is important for ASAP to consider.

132. As there is some variation in the timing and depth of results reporting through IFAD supervision reports, it is further recommended that a simplified ASAP reporting protocol is adopted and implemented similar to the GEF Project Implementation Review (PIR). Once per year, ideally in tandem with the portfolio review or GEF PIR exercise, project teams would be asked to complete a 1-page template which captures 'actual versus intended' results for those ASAP-related indicators that feature in the project logframe and contribute to the aggregate ASAP targets in the RIDE. Such a 'light-touch' supplement to the existing supervision and portfolio review system may yield substantive benefits in harmonizing and simplifying ASAP-related reporting and reduce variance and friction losses in the capturing of adaptation results.

Figure 9 Comparison of expected adaptation related results by number of projects under implementation or listing expected results (as of April 2015).



Source: Authors analysis based on monitoring and reporting frameworks for adaptation focused climate funds[29].

Recommendations from Section 5.3

Recommendation 8: Disbursement and technical capacity. Close monitoring and response to technical capacity needs and disbursement trends in ASAP-supported project teams over the next two years, in order to ensure smooth implementation.

5.4 Sustainability –ASAP in the future

133. As part of this Progress Review, the donors and ASAP staff requested a consideration of how the financial structure of ASAP and the financial instruments and targeting might be adapted under the forthcoming donor pledging and replenishment window. The commitment to supporting increased climate resilience throughout IFAD's projects is a sensible business decision that supports IFAD's overall purpose "to enable poor rural people to improve their food and nutrition security, increase their incomes and strengthen their resilience"[30] . This approach protects IFAD's investments by reducing risk from climate change and climate variability.

[29] PPCR data from: https://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/PPCR_15_Inf_4_2014_PPCR_Results_Report..pdf
Adaptation fund data from: Annual Performance Report, FY 2014, Adaptation Fund, 2014. https://www.adaptation-fund.org/sites/default/files/AFB.EFC_.15.3%20Annual%20Performance%20Report%20for%20FY14.pdf
LDCF data from:https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF%20LDCF%20SCCF%2018-03%20Progress%20Report%20on%20the%20LDCF%20and%20the%20SCCF%20POSTED%205-8-15.pdf
SCCF data from: https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF%20LDCF%20SCCF%2018-03%20Progress%20Report%20on%20the%20LDCF%20and%20the%20SCCF%20POSTED%205-8-15.pdf

[30] IFAD 'at a glance' brochure: http://www.ifad.org/pub/brochure/ifadglance.pdf

What financial instruments are other climate funds using?

132. Historically, climate funds only provided finance as grants. The Climate Investment Funds (CIFs), however, were established at a time when low-carbon and climate-resilient investments were increasingly viable and therefore started to offer an expanded range of instruments. The large size of the CIFs projects, particularly their large infrastructure investments and focus on climate change mitigation activities, mean that loans and other concessional instruments represent more than half of the total funding approved for projects by multilateral climate funds to date. There is however substantial variation in the terms on which finance is offered, which is often tailored to intervention needs. The Clean Technology Fund (CTF) has also been funded with loans and capital as well as grants, meaning that it may have to repay some of its funders. It must, therefore, disburse the majority of its resources as loans, and has particular constraints in the degree of financial risk that it can take on with its investments. The CTF has consequently been unable to provide much funding for capacity building, institutional strengthening or technical assistance.

133. Adaptation funds have historically used grant finance with 88% of funding channelled as grants with the remaining 12% as concessional loans. There has been less experience therefore in delivering climate change adaptation with loans. The Pilot Program for Climate Resilience (PPCR) was the first adaptation fund to offer concessional loans, in addition to grants. Concessional loans are offered at near zero interest with a 75% grant element.

134. The use of concessional loans for adaptation has been controversial as adaptation finance is often considered compensation to developing countries given historical carbon emissions from developed states (Farber, 2007; Hulme, O'Neill and Dessai, 2012). However, many of the investments that the PPCR have funded with concessional finance have focused on resilient infrastructure such as roads and irrigation systems, as well as interventions in productive sectors, such as agriculture, which are well placed for non-grant funding. In addition, strategic investments that increase government fiscal space to allow them to incorporate climate risk considerations into decision-making may also be financed through sector or development policy loans (Canales-Trujillo et al, 2014).

135. Financing climate change adaptation therefore requires flexibility to choose different financial instruments for different types of project or activities. **Error! Reference source not found.**8 **Error! Reference source not found.** below sets out three options for ASAP. These have different implications in terms of: i) reach and breadth of future ASAP investments; ii) effectiveness of climate mainstreaming within IFAD; iii) internal administrative burdens and iv) attractiveness to the external donor environment.

136. **Option 1: Maintaining current ASAP model (grant only)** restricts the reach of IFAD's ASAP-funded investments into climate adaptation to a subset of IFAD partner countries mainly in the Low Income and Lower Middle Income bracket. This model enables successful mainstreaming of consideration of climate change within IFAD through new screening processes developed, but it may not develop deeper capacity and impacts in all middle income countries in which a critical number of smallholder farmers are affected by climate impacts. This option does not guarantee financial reflows to the institution, and continues a separate administrative and technical requirement for IFAD. It may be more attractive to some donors as a financial instrument (especially those who provide only grant instruments for climate action). It also chimes with current political opinion in recipient countries around the need for grants to support adaptation efforts. Outcome expected: high level 'mainstreaming' screening in IFAD. Some projects are likely to have strong climate resilience integrated; but most middle income country projects will not have a strong climate resilience angle.

137. **Option 2: Expanding the current ASAP model with loan-based instruments sourced by thematically earmarked but otherwise unrestricted complementary funding**. This maintains the Trust Fund structure but enables broader reach to Middle Income Countries, for which there is significant demand (especially in Latin America, Near East, North Africa, Europe and Asia). The option allows ASAP to mainstream climate change more deeply across the whole IFAD portfolio, deploying different financial instruments in different country contexts with relevant climate resilience activities. Internal administrative and technical capacity burdens are maintained/increased in this scenario. Risks: i) ASAP may diminish its 'brand' niche on poor smallholders in low income countries; ii) Donors are of mixed opinion about favourability a loan-and-grant systems although major existing ASAP donors are supportive of using both loans and grants as long as ASAP maintains its unique brand; iii) There is a potential wider political risk in making climate adaptation funding available as loans as some poorer nations and supporting NGOs are vocal in opposition. This option enables a continued strengthening and deepening of the ASAP, whilst also allowing ASAP to respond to wider country demands and is viable for 2017 onwards.

138. **Option 3: Phasing out the ASAP Trust Fund model entirely, integrating climate adaptation funding in the existing IFAD loan and grants system.** Under this option, the reach of future climate finance investments would be across IFAD's portfolio, accessible to both low and middle income countries. However the depth of climate integration is likely to slow, or become weaker: internal administration will be streamlined but grant-based incentives and fee income for specialized technical support under ASAP are reduced in this model, which are likely to have knock-on impacts. By 2017, climate screening processes will be well embedded within IFAD, but not at country level, and many ASAP-supported projects will still be in Years 0-2 of RIMS reporting, requiring continued technical inputs to ensure results delivery. Knowledge management and communication efforts at portfolio level would not be able to be sustained at the same degree. Some donors require ex-ante results projections and clear climate-related reporting. There is a political risk in making climate adaptation funding available as loans as this is an incendiary issue in some nations. This could be a viable longer term strategy, but moving to this option in 2017, given ASAP's relative youth, potentially brings high risks to the effectiveness and brand value of the ongoing programme.

139. The ASAP Trust Fund agreement establishes ASAP as a five year programme which can commit Trust Fund resources from September 2012 to September 2017. The future orientation of the programme beyond its current phase needs to be developed over the course of 2016. This will allow for the development and solid positioning of any new business model based on one of the three options outlined in this review. New governance procedures (such as a new and broadened Trust Fund agreement) and associated resource mobilisation processes developed during 2016/7 will ensure a seamless transition of the programme beyond 2017.

Table 8 Future Options for ASAP Model

Option	Detail	Pros	Cons
Option 1: Maintain current formulation of ASAP	ASAP continues as a grant based financing window for the most vulnerable countries	Limited public finance remains focused on the most vulnerable LICs. A financing model exclusively focused on grants allows for investments in riskier activities or contexts or the piloting of more innovative approaches in adapting to climate change where a return on the investment is not required. Maintains ASAP brand and visibility	ASAP only partially mainstreams climate within the IFAD project portfolio and does not reach the significant IFAD operations being implemented in MICs. ASAP does not secure reflows of finance and would rely on continuous financial support and replenishment from public sector donors. Grants create less sustainability for governments to enable longer term changes
Option 2: Expand the current grant-based ASAP model with loan-based instruments sourced by unearmarked complementary funding	Donor contributions that are earmarked for grants or to specific types of countries continue to be captured by the ASAP Trust Fund as supplementary financing. In parallel, thematically earmarked financing for climate adaptation that is untied to particular types of countries or to a particular financial mechanism gets captured as unearmarked complementary contribution	Allows ASAP to mainstream climate across 100% of the IFAD portfolio (currently ASAP is not specifically involved in IFAD project design for MICs in the IFAD portfolio). This specific formulation maintains the Trust Fund structure favoured by public sector donors looking to invest in multilateral, adaptation funds targeting food security whilst also allowing flexibility to support additional projects. Allows ASAP to support a broader portfolio of countries with vulnerable, poor smallholder farmers in MICs offering a range of financial instruments targeted to the investment country, programme or project activity context. Piloting adaptation projects using concessional finance can be considered a risk but ASAP could play a unique role in piloting and highlighting how adaptation can bring a return on the initial investment as well as informing how adaptation could be financed through concessional loans in the future. Repayments on loans or reflows of finance can support the longer terms sustainability of ASAP. Maintains ASAP brand and visibility	Delivering adaptation or multiple benefits through loan finance is not well established and countries may not initially find this set up attractive. Donors might be less in favour of funding a mechanism that also uses loans for adaptation purposes ASAP might lose its 'niche' in terms of focus on climate smart agriculture for small holder farmers in poor countries

Option	Detail	Pros	Cons
Option 3: ASAP works exclusively through un-earmarked complementary contributions for climate smart agriculture.	Phasing out of the ASAP Trust Fund model and working only through un-earmarked complementary contributions for climate smart agriculture.	Potentially allows mainstreaming of climate across 100% of the IFAD portfolio (currently ASAP is not specifically involved in IFAD project design for the MICs in the IFAD portfolio). Piloting adaptation projects using concessional finance can be considered a risk but ASAP could play a unique role in piloting and highlighting how adaptation can bring a return on the initial investment as well as informing how adaptation could be financed through concessional loans in the future. Repayments on loans or reflows of finance can support the longer terms sustainability of ASAP.	Important to fund adaptation through a financial model that works for public or non-conventional donors (e.g. foundations) who often favour grants over concessional loans. Delivering adaptation or multiple benefits through loan finance is not well established and countries may not initially find this set up attractive. ASAP might lose its 'niche', branding and visibility in terms of focus on climate smart agriculture for small holder farmers in poor countries Loss of fee income from supplementary contributions brings a risk of reduced financial flexibility for knowledge management, communications and international policy dialogue on climate action The loss of a financial grant incentive may prevent effective climate mainstreaming in a number of IFAD partner countries, especially LDCs

Recommendations from Section 5: Post ASAP model

R9: Based on experiences with ASAP and other multilateral funds, ECD team to provide costing and staffing projections for 100% climate mainstreaming in IFAD.

R10: Environment and Climate Division team to facilitate a process that develops and institutionalises a follow up model for ASAP by the end of 2016.

6. Conclusions and Recommendations

6.1 Conclusions

140. IFAD's ASAP has been designed to mainstream climate change into IFAD's programmed activities, increasing smallholders' resilience to climate vulnerability and change. To date, ASAP-funded activities have been very successful in mainstreaming internal decision and approval processes to ensure that new projects consider climate change implications, choosing relevant projects from the portfolio for ASAP-supported investment. ASAP-funded communications activities have also been successful in raising external awareness in international development

circles on issue relating to smallholders and climate change. ASAP has developed a strong branding platform, and has an excellent opportunity to disseminate learning and results from ASAP-supported investments.

141. ASAP is a comparatively young programme, and some of the initial implementation delays can be attributed to normal establishment of institutional processes and the development of an investment pipeline within the IFAD system. However, the innovative nature and complexity of designing and implementing climate-resilient investments may cause additional delays in project implementation. The ECD team is aware of this, and additional capacity is being allocated to the critical next two years of bottleneck of implementation and further designs across the IFAD regions. The ECD team will focus on capturing early results from supervision reports and RIMS reporting to meet external interest and demand for programme results.

142. The future financing model for ASAP is very important; the project is only half way through its first phase but decisions must already be taken later this year about its model for the 2017 replenishment cycle. Some donors fund ASAP through their climate funds w; for this reason it remains important to retain ASAP as a clearly defined programme. The possibility of using funds to leverage significant extra co-financing impact (reportedly 1:6 according to one donor, but with a target of 1:4 for the programme as a whole) appealed to many. IFAD needs to make a considered decision over the use of grant/grant and loan/loan mechanisms regarding future financial sustainability and country eligibility for ASAP funding.

6.2 Lessons Learned

143. Climate mainstreaming into IFAD through the ASAP has provided a boost to IFAD's activities and incorporation of climate change issues. The significant injection of funding that ASAP provided has been pivotal, combined with a strong leadership championing internal institutional change, backed up with a technically capable team within the Environment and Climate Division. It was essential to start this with the administrative decision processes that run along the length of the project from concept to implementation. Innovative internal trainings and events complemented a clear, persuasive, initial ASAP programme document that combined to raise awareness internally alongside the process of policy change.

144. Whilst the ASAP grants are explicitly allocated to climate change activities, the broader possibility of linking grants to IFAD loans has been a significant factor in uptake and interest from some country offices and governments. The ECD team need to be clear on links to specific climate –resilience indicators with continued strong technical climate change backup at country level to ensure these grants are fully used for their intended purpose.

145. Designing and implementing climate-resilient projects is technically complex. This conflicts with tight timeframes for IFAD loan investment designs and more broadly climate change mainstreaming within IFAD, putting ECD staff under significant pressure. All projects have some degree of gender consideration, now integrated into the M&E processes, with some focussing on these issues specifically. Initial ASAP investments have suffered delays when not properly integrated into initial designs. But even with well-designed projects, project staff and partners need to be able to reflect on climate vulnerability, and this capacity building takes time. An ASAP-supported investment is likely to take longer to design and may suffer some ASAP-specific implementation delays relating to finding relevant new partners, Lead Service Providers and internal government capacity to manage the project. Disbursement rates are low as a result of this and other IFAD systemic and external reasons.

146. Climate finance has proved a significant source of grant-based funding for IFAD that complemented IFAD's Replenishment funding at a time when donors were facing constraints in the provision of regular ODI. It is important for the sustainability of IFAD to consider the importance of the separate brand of ASAP and its appeal as an earmarked climate finance

stream. If subsumed within IFAD's regular Replenishment funding, this stream may be threatened and new opportunities to mobilize financing in support of climate mainstreaming may be lost.

6.3 Recommendations

From the reports sections above, recommendations for the ASAP are as follows:

Integration of Lessons

R1: Review and update the 2012 ASAP Programme Description and ASAP Trust Fund agreement to reflect recommendations from this review.

Concept sharing

R2: Share lessons on the climate change concept and mainstreaming process with other relevant institutions through briefing papers and meetings with groups such as the OECD Joint Task Team on Climate Change and Development Cooperation, the UNFCCC Least Developed Countries Expert Group (LEG), the Global Alliance for Climate Smart Agriculture, and the Global Donor Platform on Rural Development.

Gender

R3: Ensure continued robust integration of gender throughout the programme, supported by adequate staffing capacity on gender in the ASAP/ECD team and working closely with PTA Gender desk and CCAFS Learning Alliance.

Partnerships and Communications

R4: Systematically connect with existing climate change networks at country level at design stage to improve knowledge sharing, access to technical expertise, and implementation efficiency in institutions implementing ASAP funds.

R5: Build South-South knowledge exchange into ASAP-supported projects and their budgets to establish relevant thematic networks and support quality implementation.

Mainstreaming

R6: Environment and Climate Division team expand application of ASAP-related processes and tools to non-ASAP-supported investment designs, based on adequate staffing capacity supported by the institution.

Country Design and Implementation

R7: Undertake close analysis of emerging project results in Years 1-2 of implementation through close monitoring and action planning in response to i) Supervision Report data and ii) RIMS reports, potentially including an annex specific to ASAP.

R8: Close monitoring and response to technical capacity needs and disbursement trends in ASAP-supported project teams over the next two years, in order to ensure smooth implementation.

Post 2017 ASAP Model

R9: Based on experiences with ASAP and other multilateral funds, ECD team to provide costing and staffing projections for 100% climate mainstreaming in IFAD.

Recommendations for further analysis

There are several areas that merit further analysis by the ECD team following this review. These have been discussed in previous meetings within IFAD and with the Donor Contact Group, and include:

1. Analysis of effectiveness of mainstreaming process in both ASAP and non-ASAP recipient countries. In 2017, a retrospective review would be useful in order to investigate the extent of climate mainstreaming within new project designs across all IFAD's country programmes. This would differentiate between recipients and non-recipients of ASAP support. There may be a difference between uptake and depth of integration of climate change issues, providing useful lessons learned for the next phase of ASAP

2. A deeper analysis of gender and climate change issues within the ASAP-supported projects could support projects in design and implementation, in particular on gender issues beyond sex disaggregation, investigating impacts of climate related activities on gender and empowerment and wellbeing. This analysis can be undertaken in collaboration with the PTA on Gender and Social Inclusion in IFAD with guidance from CCAFS gender theme in their Learning Alliance.

3. Related to Recommendation 8, an analysis of IFAD's usual disbursement trends and comparison with expected ASAP disbursement rates and project cycle is very important. This review revealed that there may be significant differences between the two in terms of expected project length, speed of commencement and disbursement rates. This analysis should form part of the programme monitoring and evaluation.

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Annexes

Annex 1: Terms of Reference for Progress Review

ADAPTATION FOR SMALLHOLDER AGRICULTURE PROGRAMME (ASAP)

PROGRESS REVIEW

***Draft* Terms of Reference**

BACKGROUND

The Adaptation for Smallholder Agriculture Programme (ASAP) was launched by IFAD in 2012. It is the worldwide largest 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 forty countries.

IFAD's ASAP is a dedicated financing window that has received more than US$ 357 million from IFAD and ten 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- and grant-funded IFAD investment programmes. Through the programme, IFAD is driving a major scaling up of successful "multiple benefit approaches" to climate change adaptation in its programmes which aim to sustainably increase the productivity of agricultural systems, increase resilience to shocks and stresses in a rapidly changing climate, and reduce agriculture's carbon footprint.

- ASAP Web page - http://www.ifad.org/climate/asap/index.htm
- ASAP Programme description - http://www.ifad.org/climate/asap/note.pdf

As a result of ASAP support, one half of all new IFAD Country Strategic Opportunity Papers (COSOPs) and one third of all new project designs in IFAD now integrate climate change adaptation measures. These climate mainstreaming efforts are working through the following pathways:

a) **Better analysis** of climate risks and vulnerabilities. More project designs are taking climate-related threats such as droughts, floods, tropical storms, sea-level rise and temperature extremes into account.

b) **More innovation**. Adapting to new and emerging risks requires access to innovative knowledge and technology, including when smallholders are already in a changing context of increasing market integration.

c) **Faster scaling up** of sustainable agriculture techniques. IFAD's track record in natural resource management provides many platforms to scale up adaptation-relevant technologies.

ASAP AS A CLIMATE MAINSTREAMING TOOL IN IFAD

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 a rapid and transformational programme of climate mainstreaming in IFAD so that climate-related risks to IFAD's investment portfolio can be minimized. The implementation of ASAP has provided IFAD with the necessary experiences, knowledge and processes to advance climate integration across the institution, including through:

a. Alignment and improvement of internal business and programming processes to integrate climate resilience aspects;
b. New strategic partnerships to source relevant knowledge for climate change adaptation programming and raise the profile of smallholder farmers in the international debates about climate change and climate finance.

c. Broadened engagement with multilateral and bilateral funds, making climate finance work for smallholder farmers and helping agriculture ministries in 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).
d. Evidence- base policy support, through the building of a stronger evidence base which can inform national and international policy processes and policy positions for greener, more resilient economies.

Building on the experiences catalysed by ASAP, IFAD has strengthened its commitment to an ambitious climate mainstreaming pathway which foresees 100% of climate mainstreaming over the course of the IFAD10 replenishment period (2016-2018).[31] At latest by 2018, climate change will be explicitly factored into all COSOPs and project design reports. To achieve this, IFAD has committed to a 10-point climate mainstreaming plan which comprises: (1) further integration of climate risk screening into the review process for all IFAD projects and COSOPs; (2) roll-out of a second phase of IFAD internal training on climate integration; (3) designation of a Senior Management "climate champion" to help guide and promote the mainstreaming agenda; (4) increased technical support for climate mainstreaming; (5) expanded use of the Global Environment Facility (GEF) and other co-financing resources; (6) use of IFAD grants as a tool for climate mainstreaming at the country level; (7) in partnership with other Rome-based Agencies, implementation of a scaled-up programme on the use of satellite/global information system tools; (8) exploration of the scope for a climate vulnerability index for possible inclusion in IFAD's performance-based allocation system (PBAS) formula; (9) expansion of communication and knowledge-sharing on lessons and results from IFAD's climate-related work; and (10) expansion of IFAD's role in managing climate finance.

Any recommendations for future developments, improvements and innovations under ASAP should be aligned with this longer-term climate mainstreaming perspective.

OBJECTIVE OF THE REVIEW

To assess the relevance and effectiveness of the institutional pathways and processes through which ASAP is incentivizing and achieving climate integration in agricultural investment programmes, IFAD is undertaking a formative review of the programme by an external service provider. This review is aimed to enable learning and analysis of the first 2.5 years of ASAP operation, identify lessons learned to improve the second programme period, and obtain options for the future of ASAP beyond the 5 years life time of the ASAP Trust Fund and in context with IFAD's 10 point climate mainstreaming plan.

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.

The principles adopted for this review are as follows:

1) **Formative** review – Focused on feedback from ASAP clients, partners, staff and donors to improve and shape the future of the programme;
2) Conducted **at programme level** – The review does not duplicate or replace mid-term evaluations and terminal evaluations which are foreseen by each ASAP-supported project;
3) Focusing on **early results** – The review is aimed to summarize early results of the programme in terms of institutional change in IFAD and establishing an enabling environment at country level which is suitable to achieve tangible results on the ground.

The review should include assessment of what new opportunities are being created by IFAD through ASAP and it also will look at the major challenges that are associated integrating climate finance with agricultural investment programmes.

[31] See para. 37 in https://webapps.ifad.org/members/repl/10/4/docs/IFAD10-4-R-2-Rev-4.pdf

PROPOSED REVIEW QUESTIONS

The questions below are indicative of the key information needs identified during the formulation of these Terms of Reference (ToR) and can be finalised during the inception meeting between IFAD/ECD and the selected consultant/institution.

A) Effectiveness - ASAP as a climate mainstreaming tool in IFAD

- Which institutional processes in IFAD have been influenced and/or improved by ASAP?
  - Internal review processes (Quality Enhancement – QE; Quality Assurance - QA; Social, Environment and Climate Assessment Procedures - SECAP)
  - Methods and tools applied during investment design (e.g. GIS-based analysis, climate risk assessments, vulnerability assessments)
  - Monitoring and evaluation systems (Results and Impact Measurement System – RIMS; Results Management Framework - RMF)
  - Economic & financial analysis of investments (EFA)
  - Institutional policy positions and statements (including 10 point climate mainstreaming plan)
  - Knowledge management systems and partnerships
  - Resource mobilisation & diversification for resilience investments
  - Project start-up and implementation support

- Has ASAP implementation led to spill-over effects in IFAD investment programmes that do not receive ASAP financing?

- How effective is ASAP in raising internal and external awareness about the importance of climate change adaptation in agricultural development programmes?
  - ASAP briefings, training materials, knowledge products
  - The effects of 'Learning by doing' with Country Programme Managers who have programmed ASAP resources
  - International outreach & communication

- Which new partnerships can be attributed to ASAP that help IFAD to implement climate mainstreaming?
  - ASAP-funded staff & secondments
  - Partnerships with development organisations, research institutions, UN organisations, NGOs, private sector entities

B) Relevance - Quality of climate integration through ASAP

- How effective is ASAP in improving IFAD investment designs towards greater climate resilience?
  - Climate integration in IFAD investment designs with/without ASAP
- In the first year of implementation, how effective are ASAP-supported projects establishing institutional structures & partnerships at country level which are suitable to achieve concrete results on the ground?
- Are ASAP-supported projects establishing new mechanisms for policy dialogue which can help to sustain project results?
- Do ASAP-supported projects help IFAD to advance women's empowerment and gender equality?

C) Efficiency- ASAP programme management

- How efficient is ASAP in committing and disbursing climate finance?
- Are the operational tools used for ASAP programme monitoring and management appropriate?

- Can the existing model for country priorisation be improved?
- How effective are the existing provisions for project-level Monitoring & Evaluation?

D) Sustainability – Which options exist to develop ASAP in the future?

- Which options exist to broaden and expand ASAP financial instruments beyond the current grant co-financing model?
- Options for ASAP to provide loans and blended loan/grant instruments
- Options for ASAP to engage in 'stand-alone' projects in countries without an IFAD loan programme
- Options for ASAP to collaborate with the Green Climate Fund (GCF) in implementing adaptation actions for and through smallholder farmers in the agriculture sector

- What are recommendations to update the ASAP programme description and the ASAP Trust fund Agreement?

- Which perspectives exist for the future of ASAP (beyond 2017) in the context of IFAD's 10 point climate mainstreaming plan?

SCOPE OF THE ASSESSMENT

The Review will be conducted over a period of three months, appraising ASAP operation over the time period September 2012 - March 2015. The review will be based on a desk review of ASAP-related programme documents, Project Design Reports, QE and QA minutes, baseline assessments, knowledge products, training materials, implementation and supervision reports, Aide Memoires, and other relevant documentation. Desk studies will be complemented by interviews with ASAP clients, partners, staff and donors.

With a view of appraising early results in the field, the review is acknowledging the fact that ASAP is a young programme. The first generation of ASAP-supported projects in the field was approved by the IFAD Executive Board in 2013 and has started to implement initial field activities over the course of 2014. While it is too early to conclusively appraise results on the ground after only one year of project implementation, the review will make an effort to assess if the most advanced ASAP-supported projects have succeeded in putting the institutional structures and enabling environment in place during their inception period that are required to achieve concrete and sustainable results. Towards this end, IFAD will provide access to those ASAP-supported projects that have most advanced in terms of their implementation and can provide some first insights into field-level implementation.

METHODOLOGY AND APPROACH

The Consultant/Institution will work closely with the ASAP Lead Technical Specialist and the Portfolio Officer (M&E) in IFAD's Environment and Climate Division (ECD), which hosts the ASAP management team. The Review methodology to be applied in this Review will be developed by the consultation/Institution in consultation with ECD. Both qualitative and quantitative approaches to collect, verify and analyse data will be used. The consultant/institution will propose (but is not limited to) the following:

- A Review design that builds on the programme objectives, scope and review questions
- Approaches for the verification, analysis and interpretation of data (i.e.: types of data analysis used, data collection instruments)
- The selection process and criteria for sampling
- The lists of information sources required and gathered
- A detailed work plan indicating timing of activities, responsibilities and use of resources

The Review will be undertaken in the following stages –

1) Inception: Involves discussion with IFAD staff to define 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.
2) Desk study: Involves a review of all relevant documentation and conducting initial interviews with key stakeholders.
3) Project visits: Visits to interact with selected stakeholders (IFAD Headquarters and selected countries)
4) Drafting and review of preliminary findings: Preparation of a preliminary review report, submission to IFAD for comments and validation meeting/workshop to present the finding and validate results.
5) Production of final report: Preparation of final review report and submission to ECD.

MANAGEMENT OF THE REVIEW

The IFAD/ECD front office will oversee the execution of this Review, ensure coordination with day to day review activities, and provide & signpost relevant programme documentation requested by the reviewers. The Portfolio Officer (M&E) will provide administrative support including compiling and forwarding any requested project documents. IFAD/ECD will be responsible for funding the review, disseminating the review report and conducting any other follow up activities that might arise as a result of recommendations of the Review.

EXPECTED OUTPUTS AND SCHEDULE

a. **Deliverables**

1. Inception report that includes methodology, work plan and budget
2. A draft Review Report
3. A comprehensive final report that incorporates the following:
   - An analysis of the main strengths, weaknesses, opportunities and threats for ASAP
   - Recommendations on how ASAP can build on its strengths and achievements to date to overcome its weaknesses and challenges.
   - An analysis of the impact of ASAP in mainstreaming climate change adaptation in IFAD's investment portfolio, based on quantitative and qualitative evidence
   - Recommendations for improving the scope and financial instruments of the programme in the remaining 2.5 years of operation and beyond the 5 year timeframe of the current programme

b. **Reporting guidelines**

1. The report should be clear and simply written, free of jargon. The main body of the report should not exceed 30 pages excluding table of contents, annexes and the executive summary. Technical details should be confined to appendices, which should include a list of informants and the Review team's works schedule. Background information should only be included when it is directly relevant to the report's analysis and conclusions.
2. The report's authors should support their analysis of the programme's achievements with relevant data and state how this has been sourced and verified. Recommendations should also include details as to how the might to be implemented.

3. PROPOSED TIME FRAME

Task	Feb 2015	March	April	May	June	July	August
Finalize and circulate TORs							
Identify service provider							
Undertake review							
Present preliminary review findings							

Circulate review findings							
Deadline for IFAD10 replenishment							

Annex 2: List of Progress Review informants

Representatives from ASAP partner organisations and donors

Courtney Hood	Permanent Representation of Canada to the Food and Agriculture Agencies of the U.N.
David Howlett	UK Department for International Development
Dimka Stantchev Skeie	Swiss Agency for Development and Cooperation
Elwyn Grainger Jones	Global Environment Facility
Jeroen Rijniers	Dutch Ministry of Foreign Affairs,
Leslie Lipper	Food and Agricultural Organisation
Maarten Degroot	Department for Foreign Affairs, Trade and Development, Government of Canada,
Margot Steenbergen	Red Cross Red Crescent Climate Centre,
Richard Choularton	World Food Programme,
Shaila Rodrigues	Department for Foreign Affairs, Trade and Development, Government of Canada
Kit Vaughan	CARE International
Sonja Vermeulen	Climate Change, Agriculture and Food Security (CCAFS) Programme, CGIAR

IFAD Rome Staff

Brian Baldwin, Mohamed Beavogui, William Bettink, Federica Cerulli Irelli, Sana Jatta, Juan De Dios Mattos, Michel Mordasini, Cassandra Waldon, Brian Thomson, Naoufel Telahigue, Sophie de Vos, Ilaria Firmian, Steve Twomlow, Jacopo Monzini, Sheila Mwanandu, and others from the ECD team who attended initial ASAP results workshop in July 2015

Case studies: IFAD Country Office Staff, IFAD/ASAP Project Team staff and others

Main informants:

Marie Clarisse Chanoine, Roshan Cooke, Daniel Mate, Custodio Mucavel, Henning Pedersen, Francisco Pichon, Steve Twomlow, Lucia Zigiriza

Rwanda ASAP Progress Review group meeting attendees:

Lucia Zirigiza SPIU
Umutoni Mediatrice SPIU PASP
Jean Claude Mudahunga SPIU
Madeleine Usabyimbabazi SPIU
Hodan Ngerero PASP
Jean Paul Ntaganda PASP
Aimable Ntukanyagwe IFAD
Jean Umutoni SPIU-PASP
Eliane Kayitesi SPIU
Vlateur Karangwa SPIU
Christophe Rugira SPIU-PASP
Alexis Ndagijimana SPIU
Alphonse Mutubazi, REMA
J.M.V. Niyikegeka METEO Rwanda

Further related staff from Rwandan government were also interviewed; we thank them for their time.

Mozambique Progress Review Interviewees

Daniel Mate, PROSUL Project Coordinator
Custódio Mucavel, IFAD Country Officer
Xavier Chavana, National Deputy Director of Planning, Ministry of Economy and Finance
Anastásio Manhique, INAM
Carvalho Ecole, IIAM
Hipólito Malia, IIAM
Daniel Quissico, Provincial Delegate of INAM – Gaza Province
Luis Artur, Faculty of Agronomy and Forestry Engineering, University of Mondlane, Maputo
Cintia Portraite, Project Manager, Cassava Lead Service Provider PROSUL Project, SNV
Morgen Gomo, Representative of the SNV/Mahlahle Consortium, the Cassava Lead Service Provider PROSUL Project

Domingos Cunhete, SNV/ILRI Consortium, Red Meat Lead Service Provider PROSUL Project
Filomena Sabonete R Sando, Head of Finance and Administration Department, CEPAGRI/MASA
Lázaro Nhangombe, Department of Information Analysis, CEPAGRI
Manuel Sitoe, IIAM

Annex 3 ASAP Progress Review Project Activity Timing 2015

Activity	March 2015	April	May	June	July	August	Sept 2015
Contract sign off ODI/ECD							
Inception:							
ODI internal Kick off meeting		10 April					
Research question refinement and report outline; document review							
Country case study criteria							
Country visit preparation							
IFAD Rome inception meeting		16/17 th					
Inception Report Draft		24th					
Case Studies:							
Country visits 1 and 2 Moz /Rwanda		27/4-2/5					
Distance case study interviews (telecons)							
Document review							
Report drafting							
First report draft				End of June			
Present preliminary findings to ECD				30th June			
Revisions 1							
Draft to IFAD Senior Management					10th July		
Present to IFAD management					20th July		
Revisions 2							
Draft to Donor Contact Group					16th July		
Presentation at donor consultation meeting					23rd July		
Revisions 3							
Final report draft							
Submission Final Report to EDC						mid August 2015	
Presentation to Senior IFAD Management							13th Sept
Project closure**							30th Sept 2015

Annex 4: ASAP 10 point mainstreaming plan

IFAD will implement a 10-point plan to achieve 100 per cent climate mainstreaming by 2018, comprising:

(1) further integration of climate risk screening into the review process for all IFAD projects and COSOPs;

(2) roll-out of a second phase of IFAD internal training on climate integration;

(3) designation of a Senior Management "climate champion" to help guide and promote the mainstreaming agenda;

(4) increased technical support for climate mainstreaming;

(5) expanded use of the Global Environment Facility (GEF) and other cofinancing resources;

(6) use of IFAD grants as a tool for climate mainstreaming at the country level;

(7) in partnership with the RBAs, implementation of a scaled-up programme on the use of satellite/global information system tools;

(8) exploration of the scope for a climate vulnerability index for possible inclusion in the performance-based allocation system (PBAS) formula;

(9) expansion of communication and knowledge-sharing on lessons Subject to the provisions of the new grants policy (paragraph 65). GC38/L.4/Rev.1 10 and results from IFAD's climate-related work; and

(10) expansion of IFAD's role in managing climate finance.

Source: Report of the Consultation on the Tenth Replenishment of IFAD's Resources, 16th February 2015

https://webapps.ifad.org/members/gc/38/docs/GC-38-L-4-Rev-1.pdf

Annex 5: ASAP supported projects (June 2015)

	Recipient Country	Project	Year of Approval	Approved ASAP Finance (US$ m)	Disbursed ASAP Finance (US$ m)
1	Bangladesh	Climate Adaptation and livelihood improvement project in the Haor basin (CALIP)	2013	15.00	1.50
2	Bolivia	Adaptation Project for Families and Rural Communities in Highlands, Lowlands and Inter-Andean valleys (ACCESOS)	2013	10.00	1.30
3	Cambodia	Agricultural Services Programme for Innovations, Resilience and Extension	2014	15.00	0.49
4	Chad	Projet d'amélioration de la résilience des systèmes agricoles au Tchad (PARSAT)	2014	5.00	0.00
5	Cote d'Ivoire	West & North West Regions Agricultural Production & Marketing Support Project (PROPACOM)	2014	7.00	0.00
6	Djibouti	Programme to reduce vulnerability in coastal fishing areas	2013	6.00	0.50
7	Egypt	Sustainable Agriculture Investments and Livelihoods (SAIL)	2014	5.00	0.00
8	Ghana	Ghana Rural Growth Programme	2014	10.00	0.00
9	Kenya	Climate Resilient Agricultural Livelihoods Programme (KCEP-CRAL)	2015	10.00	0.00
10	Kyrgyzstan	Livestock and Market Resilience Project	2013	10.00	0.00
11	Laos	Adaptation to Climate Change in Southern Laos (ACCSL)	2015	5.00	0.00
12	Lesotho	Wool and Mohair Production Project	2014	7.00	0.00
13	Mali	Fostering agricultural productivity project	2013	10.00	1.17
14	Morocco	Programme de Developpement Rural des Zones de Montagne (PDRZM)	2014	2.00	0.00
15	Mozambique	Pro-poor Value Chain Project in the Maputo and Limpopo Corridors (PROSUL)	2012	5.00	0.49
16	Nepal	Adaptation for Smallholders in the Hilly Areas (ASHA)	2014	15.00	0.00
17	Nicaragua	Adaptation to changes in markets and effects of Climate Change	2013	8.00	0.80
18	Niger	Programme de Promotion de l'Agriculture Familiale dans les régions de Maradi, Tahoua et Zinder (PRODAF)	2015	13.00	0.00
19	Nigeria	Inclusive Growth for Smallholder farmers in staple crop process zones in Nigeria	2013	15.00	0.00
20	Rwanda	Post-harvest Agribusiness Support Project	2013	7.00	1.0
21	Sudan	Livestock Marketing and Resilience Programme	2014	7.00	0.00
22	Uganda	Programme for the Restoration of Livelihoods in the Northern Region (PRELNOR)	2014	10.00	0.00
23	Viet Nam	Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	2013	12.00	0.32
24	Yemen*	Rural Growth Programme	2013	10.00*	0.00*

*The project in Yemen is currently suspended.

Annex 6: Key Measures and Changes in IFAD's Social, Environmental and Climate Assessment Procedures

Key measures	*Key changes in SECAP*
Enhanced systematic integration of social, environmental and climate change considerations.	• Detailed and clear description of the steps, entry points and responsibilities in the project cycle to improve quality and impact of IFAD-funded projects and programmes. • Focus on adaptation opportunities for climate-resilient investments. • Use of preparatory studies for country strategic opportunities programmes, when necessary. • Screening for climate risks in projects at early stage of design.[a/] • Reference to key adaptation knowledge products.
Re-emphasis on commitment to principles of transparency and accountability, and support for resolution of complaints for alleged non-compliance with IFAD social and environmental policies and standards.	• Disclosure of draft environmental and social impact assessments and other relevant documents (draft resettlement plans, draft mitigation plans and frameworks, documentation of the indigenous peoples' consultation process) at quality assurance stage. • IFAD Complaints Procedure to respond to alleged non-compliance with its social and environmental policies and mandatory aspects of SECAP. • Clear guidance for consultation with communities and stakeholders who are likely to be affected by IFAD-funded operations and compliance with the principle of free prior and informed consent whenever relevant.
Emphasis on a precautionary approach to resettlement, physical and cultural resources, chance finds,[b/] safety of small dams and subprojects	• Clarified definition of physical and economic resettlement and new screening guidance • New screening guidance for physical and cultural resources • New screening guidance to ensure the safety of small dams • New screening guidance for risks associated with subprojects by financial service providers
Strengthening of social, environmental and climate risk classification of projects and the steps needed.	• Indicative list under each category revised – criteria for classifying projects with potential for physical and economic resettlement and physical and cultural resources issues added. • Eight steps in the SECAP assessment clarified. • A new climate risk classification of "high", "moderate" and "low" in projects' environmental and social screening exercise.

Source: IFAD (2014c) Managing Risks to Create Opportunities: IFAD's Social, Environmental and Climate Assessment Procedures (SECAP). Internal Document (EB 2014/113/R.14/Rev.1)

Annex 7: List of communication materials and publications supported by ASAP

Key documents and publications from 2014 are listed in the table below:

Title	*Type*
IFAD brochure on climate mainstreaming	Brochure
Fact sheets for 11 ASAP-supported projects	Factsheets
ASAP newsletter: issues 3 and 4	Electronic newsletter
Vermeulen S.J. (2014). Climate change, food security and small-scale producers. CCAFS Info Brief. CGIAR Research Program on Climate Change, Agriculture and Food Security, Copenhagen, Denmark	Peer-reviewed Info Brief
Wright H., Vermeulen S., Laganda G., Olupot M., Ampaire E., Jat M.L. (2014). Farmers, Food and Finance: Ensuring that Community-based Adaptation is Mainstreamed into Agricultural Programmes. In: Climate and Development [in print]	Peer-reviewed journal article
Laganda G. (2014). What Counts as Evidence for Policy Makers who Need to Address the Challenges of Climate Change? In: Government, Public Policy and Management: A Reader. Department of Social Policy and social Work, University of York, United Kingdom [in print]	Peer-reviewed journal article
Rota A., Sehgal K. (2014). FlexiBiogas – a climate change adaptation and mitigation technology. In: Rural 21 – 02/2014	Peer-reviewed journal article
Rosendahl Appelquist L., Balstrøm T. (2014). Application of the Coastal Hazard Wheel methodology for coastal multi-hazard assessment and management in the state of Djibouti. In: Climate Risk Management [in print]	Peer-reviewed journal article
One UN Climate Change Learning Partnership: Guidance Note on Developing a National Climate Change Learning Strategy	Guidance Note
Guidelines for Integrating Climate Change Adaptation into Fisheries and Aquaculture Projects	IFAD guidelines
Field Practitioner's Toolkit on Institutional and Organizational Analysis and Capacity Strengthening	IFAD guidelines
The Multidimensional Poverty Assessment Tool Users Guide – French translation	IFAD guidelines
Companion modelling for (i) participatory water infrastructure management, and (ii) adaptation to climate change at basin scale to secure livelihood and water availability	Training materials
Comprehensive environment and climate change assessment in Viet Nam	Baseline study
Rapid Rural Appraisal Report of Northern Uganda	Baseline study
Scaling Up Climate-resilient agricultural development	IFAD "Scaling up toolkit"
How to measure 'climate resilience'	IFAD-internal 'How-to' note
How to assess climate change risks in value chain projects (under development)	IFAD-internal 'How-to' note
How to design climate resilient livestock development projects (under development)	IFAD-internal 'How-to' note
How to mainstream portable biogas systems into IFAD-supported projects	IFAD-internal 'How-to' note
The Gender Advantage: Women on the front line of climate change	Compilation of case studies
Household methodologies for strengthening climate resilience in Malawi (under development)	Case Study plus training material
Where ASAP is influencing National Policies	Overview of case studies
Ferrarese C. & Mazzoli E. (2014). Analysis of local economic impacts using a Village Social Accounting Matrix: the case of Oaxaca. (draft)	Case study

Source: Table 4 in Annex V in RIDE: Report on IFAD's Development Effectiveness (2014) IFAD

ASAP advocacy and communications via media, web, video, social media and events coverage are listed below (2014 data):

Source: Table 5 in Annex V, in RIDE: Report on IFAD's Development Effectiveness (2014) IFAD

Achievement	*Type*	*Date*
Media and event coverage (press coverage in a variety of international/ national publications)	• International press release: gender advantage	Feb.
	• International press release: agriculture reaction to new Intergovernmental Panel on Climate Change (IPCC) report	Apr.
	• International press release: IFAD-Global Environment Facility (GEF) Advantage Report	May
	• Media advisory for Community-based Adaptation Conference (CBA8)	Apr.
Video products for web, TV and event broadcasting	• Video news release/YouTube/Web video on ASAP Viet Nam	Apr.
	• YouTube/web video on ASAP Nicaragua	Apr.
	• ASAP Animation Award winner	Apr.
	• TV show Shamba Shape-Up aired, broadcast to 13 million viewers, 70% of them farmers in Kenya, Uganda and the United Republic of Tanzania. Shows ASAP-promoted technology in a makeover show format (English/Swahili)	Apr.-onwards
	• Recipes of Hope video/social media (focus on ASAP Viet Nam)	May
	• Recut Smallholder Voices on Climate Change	May
	• Momentum for Change – second video	June
Web presence	• Launch of Focus on Environment and Climate campaign – tripling of web traffic to IFAD Environment and Climate Division (ECD)/ASAP pages	Ongoing
	• Revamp of IFAD ECD, ASAP and GEF portals	Ongoing
Social media	• Regular social media updates for Twitter and Facebook accompanying every ASAP-related event or story	Ongoing
	• Production of at least five social media updates per week	Ongoing
	• Around 35 blogs prepared	Jan.-June
	• Webstreaming of London conference on agriculture's reaction to IPCC adaptation report	Apr.
Events organized	• London Conference on Agriculture's Reaction to the new IPCC adaptation report	Apr.
	• World Environment Day – Information day for IFAD staff and visitors	June
Events with speaking roles (presenting ASAP)	• Community-based Adaptation Conference (CBA8)	Apr.
	• GEF Assembly – gender side event	May
	• GEF Assembly – climate finance side event	May
	• GEF Assembly – adaptation side event	May
	• GEF Assembly – food nutrition side event	May
	• United Nations Framework Convention on Climate Change (UNFCCC) Bonn Climate Change Conference - climate-smart agriculture side event	June
	• UNFCCC Bonn Climate Change Conference – climate and food security side event	June

Annex 8: Mozambique Case Study Implementation Summary May 2015

Relevance and pertinence of climate financing (ASAP)[32]

Country	*Mozambique*
Name of the project:	Pro-poor Value Chain Development Project in the Maputo and Limpopo Corridors (PROSUL)
Reporting period	Nov. 2014- March 2015 (last supervision mission)
ASAP allocation	$: 4.9 million
Date of entry into force	October 2012
Short description of the climate risk management approach adopted by the project	The goal of PROSUL is to improve livelihoods and climate resilience of smallholder farmers in selected districts of Maputo and Limpopo Corridors. ASAP investment focus on: diversifying cropping systems, experimenting with drought –resilient crop varieties, promoting low-cost yet climate-resilient horticultural techniques, providing efficient water management structures in drought prone areas and giving smallholder access to weather forecast and finance.

Financial disbursement of ASAP funds[33]	***USD $m***	***% of total ASAP funds***
	494 256	*10%*

ASAP –RIMS *Adaptation indicators (when applicable)*	Planned	Achieved (till date[34])
RIMS 1.8.5 - Number of smallholder households supported in coping with the effects of climate change	60 000	-
RIMS1.8.6 -Number of smallholder household members supported in coping with the effects of climate change	-	-
RIMS 1.1.17- Extent of land with rehabilitated or restored ecosystems services	23 880	-
RIMS 1.2.11 -Household in vulnerable areas with increased water availability for agricultural production and processing	-	-
RIMS 1.2.12 - Agricultural production/processing facilities in vulnerable areas with increased water availability		-
RIMS 1.6.10- Individuals involved in climate risk management, natural resources management (NRM) or disaster risk reduction (DRR) activities	3 840	-
RIMS 1.6.11 - Groups involved in climate risk management, natural resources management (NRM) or disaster risk reduction (DRR) activities.		-
RIMS 1.4.9 - Value of infrastructure protected from extreme weather events		-
RIMS 1.6.12 - National and international policy processes on climate issues to which the project is contributing	14	-

Mozambique PROSUL Implementation progress

Climate Change Adaptation. During the last months, good progress of some of key ASAP-funded activities implemented has been appreciated, nevertheless it 'is also recognized the need for consistent advise and support on the appraisal of adaptation actions in each value chain.

Key highlights are: i) completion of equipment installation for the renovation of two Meteorological Stations in Gaza and Inhambane Provinces, ii) increase of area under cassava stem multiplication for a total of 24.7 hectares (14.55 hectares planted at Instituto de Investigação Agrária de Moçambique (IIAM) Maniquinique and Chokwe, and 10.2 hectares planted at IIAM Nhacoongo and Mozorganico, a private sector company) and iii). training on livestock dry feeding techniques to 16 Livestock Producer's Organization (LPOs).

The installation of equipment for the renovation of two meteorological stations in Gaza and Inhambane Provinces is completed, each station is provided with dedicated staff for the daily data collections of climate parameters. The mission met with National Institute of Meteorology (INAM) staff and discussed about the establishment of a climate information service to delivery climate and weather

[32] Information extracted from the Supervision Report Mission: 4-15 May2015.
[33] Financial disbursement as end of June 2015.
[34] Not reported.

information to remote rural communities. The Limpopo Basin Committee is in the process of defining a strategy to package the information for dissemination purpose. To begin with, mobile phones could be used to convey weather information to a large audience, at a later stage agricultural extension services could be equipped to incorporate climate advisory services into the support they provide to smallholder farmers. INAM staff has expressed the interest in liaising with international institutions and ongoing initiatives on the subject (e.g. CGIAR Research Program on Climate Change, Agriculture and Food Security - CCAFS), to learn from pioneering experiences. Formalize new partnerships with recognized institutions can help PROSUL appraise and implement adaptive capacity measures. There is the need to investigate the most effective media and approaches (e.g. rural radio, posting advisories in public places, announcements over loudspeakers and extension services to help communicate, translating advisories into local languages) to disseminate meteorological advisories to farmers. Climate information should be delivered as part of a PROSUL agricultural support to reduce climate-related risks, losses and improve yields and therefore be accompanied by training of users to understand, interpret and act on the information. Enabling farmers to act on the weather and climate information they receive could potentially be the focus of the adaptation module to be delivered through the Farmer's Field Schools for the three respective value chains.

As **part of the Cassava Component,** ASAP activities are progressing with the multiplication of drought tolerant, pest resistant, high yielding varieties. The multiplication at the IIAM sites is progressing according plan. However, 90% of the 10 hectares at the Mozorganico multiplication site was found to be infested with the Mosaic virus. These 10 ha are replanted and placed under strict supervision from the Lead Service Providers (LSP) to avoid such a wide spread outbreak again. This set back in multiplication resulted in a shortfall of approximately 0.6 million stems. To achieve the target of 5 million mini stems, the LSP has stepped up the multiplication by engaging lead farmers. So far 28 farmers have been identified and 7 farmers contracted. The coming months are crucial, in having all lead farmer sites in operation, supervise the ones that are and start stem distribution. Because of the multiplication set back the distribution of the first batch of 20 centimetre stems is now foreseen in July instead of in May. Progress was made with the LSP to continue to explore with IIAM other varieties and how the Innovation Platform (IP) for Cassava can be used as a dissemination pathway for new varieties. The mission reiterates that ensuring farm diversity and the use of multiple varieties will make the value chain more resilient to environmental fluctuations. The IP approach used by SNV/ILRI is of good guidance for getting the Cassava IP started in a structured manner.

As **part of the Red Meat Component**, progress was made with the promotion of dry season feeding techniques among the livestock keepers in four districts of Maputo and Gaza Provinces. A total of 16 out of 34 LPOs were trained on hay making practices and livestock supplementary feeding techniques. All the members have started with the preparation of hay bales and licks. The adoption rate in Mabalane is high. However, in Magude District, some of the beneficiaries might not reach the minimum amount of hay bales necessary to feed the average household cattle number for the duration of three months (e.g. 2 Kg of feed is needed to supplement hay for five livestock unit from August to October). The selling point for this labour-intensive practice can only be appreciated at the end of the dry season when comparing the animal mortality rate and weight loss before project interventions. Therefore, it was agreed that LPOs need support with mechanical production of hay bales during the first year. SNV/ILRI will agree with the LPOs, that this arrangement is for demonstration purpose during the first year. This investment will be complemented by the fodder banks, planned to be established next year. The plants identified for this should be planted at IIAM research station already this year.

The main water sources for cattle watering are wells, boreholes, ponds, dams and in some cases permanent rivers. These sources are often insufficient and not accessible during the dry season, for this reason ASAP activities under this component have started with the livestock water point construction and rehabilitation. Some will be operated with solar pumps. In Manhiça and Mabalane one borehole each is constructed, and two in Chicualacuala. The tender for borehole construction was launched during the Mission and construction works are expected to finalize in August 2015.

It is noted some delays in the development of the climate resilient packages. It is expected that the thematic study on climate change adaptation and responses will contribute to shape the above. The tender for the study was launched in February 2015. The mission reviewed the single expression of interest received, and suggested to retender considering applications from international consultants. Technical expertise outside the country is necessary to perform a sound analysis of climate-related risks and vulnerabilities of the target area, appraisal of exposure and sensitivity of value chain products and ecosystems to climate hazards and change. The M&E Officer resigned as of 22 of April 2015.

Annex 9: Rwanda Case study (from ECD)

Relevance and pertinence of climate financing (ASAP)[35]

Country	*Rwanda*
Name of the project:	Post-Harvest and Agribusiness Support Project (PASP)
Reporting period	March 2014-June 2015 (first year of implementation)
ASAP allocation	$: 7 000 000
Date of entry into force	March 2014
Short description of the climate risk management approach adopted by the project:	To tackle climate issues that will have an impact on the sustainability of PASP investments, ASAP financing supports the integration of climate risk management in the planning and implementation of the investment undertaken by HUBs owners through the promotion and demonstration of climate resilient practices, structures and innovations. These innovations range from promoting crop and forage varieties with maturities periods better suited to the changing growing season length to demonstrating the use of solar power suppliers and biogas systems as cost-effectiveness approaches for all the focused commodities value chains.

Financial disbursement of ASAP funds	***USD $m***	***% of total ASAP funds***
	1 000 000	*14.3 %*

ASAP –RIMS *Adaptation indicators (when applicable)*	Planned	Achieved (till date[36])
RIMS 1.8.5 - Number of smallholder households supported in coping with the effects of climate change	155 000	7184
RIMS1.8.6 -Number of smallholder household members supported in coping with the effects of climate change	-	-
RIMS 1.1.17- Extent of land with rehabilitated or restored ecosystems services	-	-
RIMS 1.2.11 -Household in vulnerable areas with increased water availability for agricultural production and processing	-	-
RIMS 1.2.12 - Agricultural production/processing facilities in vulnerable areas with increased water availability	160	-
RIMS 1.6.10- Individuals involved in climate risk management, natural resources management (NRM) or disaster risk reduction (DRR) activities	120 000	-
RIMS 1.6.11 - Groups involved in climate risk management, natural resources management (NRM) or disaster risk reduction (DRR) activities.	200	-
RIMS 1.4.9 - Value of infrastructure protected from extreme weather events	-	-
RIMS 1.6.12 - National and international policy processes on climate issues to which the project is contributing	-	-

Implementation progress

Staff recruitment: PASP has recruited an environment and climate specialist and an agro-meteorologist.

Temporary drying grounds. The harvesting and drying period of the 2015 season was characterized by intense and more frequent rain fall. This created difficult condition for farmers to dry their crops, without adequate drying facilities. As a response PASP organized emergency support through the construction of 49 temporary drying shelters at a cost of 126,702,240 Frw equivalent to 181,000 USD co-shared with the recipient cooperative, KABOKU, in Nyagatare district. In the next AWPB 2015-2016, SPIU must ensure this initial investment in temporary structures is capitalized upon and encourage the cooperative to leverage required funds to make these temporary structures permanent, as a key part of their business plans. Yet this intervention addresses partially PASP objective of mainstreaming climate resilience as it is more a disaster risk reduction measure than sustainable and adaptive development.

Preparation and dissemination of early warning messages. The agro-meteorologist has initiated a satisfactory and evolving collaboration with Rwanda Meteorological Agency (RMA). This includes the distribution of the current climate information bulletins to PASP post-harvest coordinators at district level as well as district and sector agronomists. However, the information provided does not yet address specific issues for each PASP area. The bulletins are relevant scientific information that needs to be popularized so as to reach and engage all end-users (i.e. smallholder farmers) through different media channels. In an effort to address the shortcomings of the current climate information bulletins the agro- meteorologist has drafted an initial Memorandum of Understanding (MoU) with RMA that

[35] Information extracted from the Draft Aide Memoire- Joint Implementation Mission: 25 May -5 June 2015.

[36] Actual at 6th June 2015

explores areas of collaboration including improved meteorological monitoring, appropriate information services for different targeted groups, analysis of historical meteorological data and vulnerability maps.

Partnership with Rwanda Meteorological Agency (RMA). Through a MoU with RMA, PASP will provide financial support to enable the integration and maintenance of the weather stations developed by the REMA – Early Warning project rather than buying new equipment that is not under RMA budget for maintenance and monitoring and (ii) building partnership with the FONERWA project to undertake climate information needs assessment of PASP stakeholders so that specific climate information products are developed that meet the needs of the different end-users.

Identification of climate resilient post-harvest technologies. The environment and climate officer has made good progress on the identification of appropriate post-harvest crop drying and storage techniques for focused commodities as evidenced by summary tables that have been shared with mission members. The IFAD Regional Climate and Environmental Specialist (RCES) has the opportunity to interact with the PASP team as this activity has developed and helped focus the review of technologies that are appropriate to the needs of HUBs. This work is an ongoing process as the various technologies will need to be matched with the business plans and matching grant requests as they are developed by the project's beneficiaries. To achieve this the environment and climate officer needs to work closely with African Development Consultant (ADC), as they support the development of the business plans to ensure technologies identified actually meet the needs of the target groups. ADC has initiated the development of 9 business plans, but their inception report failed to capture the climate resilience focus of PASP. Additional addendum of the business plans needs to make specific reference to the grant opportunities available to the HUBs under PASP. There is also the need to undertake a climate risk analysis of each value chain. The key stages where climate constraints occur within each value chain have been identified and adequate and appropriate measures to overcome those specific climate challenges will be mainstreamed during the next Annual Work Plan and Budget (AWPB) following the recruitment of a specialized consultant.

Climate resilient infrastructures. The Rwandan Bureau of Standards' Warehouse for bagged storage of cereals and pulses requirements was reviewed during the supervision mission. This document partially meets the recommendations on risk reduction provided within the working paper on climate resilient infrastructure, but fail to integrate rainwater harvesting as potential water source for the HUB facilities. There is a need to elaborate on the bills of quantity required to build warehouse ranging from 50 to 500 tonnes capacity and provide simple checklist so that HUBs staff can assess the quality of work undertaken by contractors.

Exchange study tours. During this fiscal year, five PASP staff participated in two study tours, the first one took place in Uganda within WFP special operation on Improving Grain Post-harvest handling and storage and the second was organized in Kenya within CCAFS project on enhancing climate smart agriculture through climate information services. Technical staff acknowledged the experiences acquired by other donor-funded projects and have already integrated some of the lessons learned from WFP project in the revised AWPB 2014-2015 (e.g. tarpaulins and hermetic bags distributions). A key lesson learned by PASP staff is the need to prepare, at the local level, the harvest and post-harvest planning in close collaboration with farmers on the basis of seasonal forecast.

Annex 10: Viet Nam Country Case Study (from ECD)

Relevance and pertinence of climate financing (ASAP)[37]

Country	*Viet Nam*
Name of the project:	Adaptation to Climate Change in the Mekong Delta (AMD) Project in Ben Tre and Tra Vinh
Reporting period	March 2014- March 2015 (first year of implementation)
ASAP allocation	$: 12 000 000
Date of entry into force	March 2014
Short description of the climate risk management approach adopted by the project:	AMD will target poor communities, specifically women-headed and ethnic minority households. Thirty communes located along a salinity gradient have been selected in each province to test alternative livelihood models, based on their poverty ranking and vulnerability to climate change. Specifically, AMD will support the development of climate resilient agricultural systems, salinity-tolerant fish varieties and off-farm livelihood opportunities. It will also support climate-sensitive planning to promote relevant provincial budget allocations and provide financing for resilient small-scale community infrastructure.

Financial disbursement of ASAP funds[38]	***USD $m***	***% of total ASAP funds***
	687 216	*6 %*

ASAP –RIMS *Adaptation indicators (when applicable)*	Planned	Achieved (till date[39])
RIMS 1.8.5 - Number of smallholder households supported in coping with the effects of climate change	124 800	
RIMS1.8.6 -Number of smallholder household members supported in coping with the effects of climate change	-	-
RIMS 1.1.17- Extent of land with rehabilitated or restored ecosystems services	-	-
RIMS 1.2.11 -Household in vulnerable areas with increased water availability for agricultural production and processing	-	-
RIMS 1.2.12 - Agricultural production/processing facilities in vulnerable areas with increased water availability		-
RIMS 1.6.10- Individuals involved in climate risk management, natural resources management (NRM) or disaster risk reduction (DRR) activities	20 900	-
RIMS 1.6.11 - Groups involved in climate risk management, natural resources management (NRM) or disaster risk reduction (DRR) activities.		-
RIMS 1.4.9 - Value of infrastructure protected from extreme weather events	30	-
RIMS 1.6.12 - National and international policy processes on climate issues to which the project is contributing	14	-

Implementation progress

The AMD is a relevant and ambitious project. It requires high level capacities for its implementation, which are yet to be fully developed among project staff and partners. Climate change adaption in the context of sustainable market and poverty oriented development is a critical challenge, requiring close cooperation among line agencies and effective integration of government, private sector and development partner initiatives. While the AMD strategy, components and activities are relevant for both provinces, the emphasis of interventions and phasing varies because of different socioeconomic and climate conditions. In fact the salinity intrusion issue seems more pronounced in Ben Tre (BT), while the poverty rate in Tra Vinh (TV) is substantially higher.

It's worthy to mention the efforts made by the province agencies and the project management of the AMD in moving this project during its first year or rather nine months of implementation - as the Start-up Workshop was held in September 2014.

Issues that require attention by both provinces:

a) Institutional capacity: Staff of Project Coordination Unit, provincial agencies and in particular the commune and district level units still have insufficient understanding about the overall strategy for AMD including issues related to climate change adaptation, market-oriented climate-smart local planning and private sector engagement;

[37] Information extracted from the Supervision Report Mission: 9 - 27 March 2015.
[38] Financial disbursement as end of June 2015.
[39] Not reported yet.

b) Project Coordination Unit (PCU) capacity improvement: (i) Appoint a qualified Deputy Project Director in both PCUs, based on technical capacities; (ii) Recruit a Senior Technical Advisor on Agriculture and Climate Change Adaptation, based in Ben Tre but working for both provinces; (iii) Recruit a Senior Technical Advisor on Value Chains based in Tra Vinh but working for both provinces

c) Collaboration between provinces: Collaboration between the two provinces has started for the procurement of salinity monitoring system and project accounting software. Such efforts, however, need to be further strengthened and widened to areas including but not limited to manual development, Climate Change Adaptation (CCA) model development, exchange of senior expertise in climate change and market orientation, regional value chain development and commercial financing.

Implementation progress by component

Component 1: Building Adaptive Capacity through CC knowledge enhancement

To improve understanding about climate change impact and potential adaptation strategies for Ben Tre and Tra Vinh, this sub-component introduces the following main activities: (a) Evidence – base, knowledge management and dissemination for adaptation (b) Water quality monitoring and reporting;(c) Commune level Climate-informed planning implemented annually; (d) Climate-informed provincial plans developed for 5-year periods and (e) Climate change policy dialogues between all stakeholders facilitated.

Regarding identification and assessment of CC adaptation models, achievement to date for both provinces includes: technical and consultation meetings, regional study tour, organization of trainings on commodity analysis, CC issues identification and community-based disaster risk management and pre-selection of 25 farming models. Till date the implemented knowledge management and dissemination activities are appropriate however the progress in key areas of dissemination is still slow and it should be strengthened.

Water quality monitoring and reporting. The implementation of this subcomponent comprises of two major activities: (i) technical assistance to design the automated water quality and salinity monitoring (ASWQM) system, assist in procurement of ASWQM stations (equipment) and guide initial operation and (ii) procurement of the ASWQM stations. Procurement of the TA is currently underway.

Commune level Climate-informed planning implemented annually. ADM will support 60 communes in preparation of annual development plans which takes into account the increasing need of adapting to climate change. The progress includes for both provinces: training courses, study tours and planning process carried out in Ben Tre. More specifically: (i) MoU signed between project and Department of Planning and Investment (DPI) assigning DPI to lead the climate-informed Socio Economic Development Planning (SEDP) process; (ii) Training of trainers held for total 623 participants (staff of district planning and financial departments, commune planning staff, village heads) for implementation of the SEDP; (iii) Project staff participated in an Oxfam workshop to learn about the existing experiences in development and piloting of a climate informed SEDP.

Climate informed provincial plans. AMD will provide technical assistance for integration of climate change issues into sectorial action plans in the period 2016- 2020. In Ben Tre, concrete activities related to this target are yet to be initiated. In Tra Vinh, the sectorial and provincial five year plans (2016-2020) have been developed, which however are suggested to be further fine-tuned in terms of Climate Change Adaptation.

Initial CC policy dialogue, in both provinces, concrete activities are yet to be established. The AMD is preparing to provide technical support to Climate Change Coordination Office to develop strategic plan for management and coordination of climate change response in two provinces.

Component 2: Investing in Sustainable Livelihoods

The objective of the subcomponent is to enable communities, rural households and agri-businesses to create/protect local livelihoods through three financing instruments: (a) Commune Investment Fund; (b) Co-Financing for Adaptation/Climate Change Adaptation Fund; and (c) Public Private Partnership fund.

Regarding the Commune Investment Fund (CIF). During the project duration, the CIF in each province will invest 4 million USD for commune infrastructure projects. The PCUs will competitively select projects to be financed, based on proposals in the SEDP plans of each commune. The CIF manual is drafted and approved in Tra Vinh. In Ben Tre the manual is drafted and currently under review. The manuals include new selection criteria for value chain targeting and climate change adaptation.

Regarding the Co-Financing for Adaptation/Climate Change Adaptation (CFAF/CCA) Fund. The CFAF/CCA fund is to co-finance investment into upgraded production systems, enabling increased income and climate change resilience of the rural households. The co-financing amount of 2.2 million USD is to be distributed to minimum 1500 beneficiary households in each province, through a competitive grant mechanism. In Ben Tre, the PCU has drafted regulations for the granting process, and the manual is currently being reviewed by the districts and relevant line agencies. In Tra Vinh, the manual is currently being finalized

Bangladesh - Climate Adaptation and Livelihood Protection (CALIP)	Climate sensitive pro-poor policy dialogue that strengthens local access, control and management of natural resources and development of pro-poor adaptation pathways;	▪ No. of policy options identified in support of climate adaptation in the Haor area; ▪ 2 policy processes initiated on building community resilience;	▪ KM system to enable the project to document and disseminate project best practice and influence policy formulation based on evidence from the ground; ▪ Set of workshops, seminars and presentations to government policy making organs and institutions (and at district level); ▪ Field visits by decision makers to project sites and international symposium on climate change impacts on the Haor engaging relevant institutions;
Mozambique – Pro-poor value chain development project in the Maputo and Limpopo Corridors (PROSUL)	Mainstream gender and climate change adaptation in policy support for three value chains (horticulture, cassava, ruminants);	▪ Identification of key areas required to develop a conducive policy and legislative environment (i.e quality standards and norms to promote the use of high quality cassava flour in bread production with the National Institute for Standardisation and Quality (INNOQ) and related training of value chain players) ▪ Mainstreaming the Mozambique climate change agenda within CEPAGRI (Centro for the promotion of Agriculture) during project inception; ▪ Development of policy and strategic tools to promote climate proof agriculture and to increase the resilience of project-supported value chains ▪ Promoting key interventions to develop a more favourable business environment in the value chain, including the development of value chain platforms and the promotion of policy dialogue around key issues identified during implementation;	▪ Building the capacities of CEPAGRI staff with regard to the broader national and regional climate change agenda and to develop strong linkages with the national climate change platform; ▪ Capacity-building for the Ministry of Agriculture (commercial section) in climate policy formulation and development programming; ▪ Including climate resilience in the policy and strategic fora/documents such as the Regional Value Chain Platforms and Value Chain Development Action Plans; ▪ Development of a set of innovative climate resilient business models to be used by CEPAGRI to take the lead in further promoting a dynamic and climate resilient smallholder sector in the three target chains;
Rwanda – Climate Resilient Post-Harvest and Agribusiness Support Project (PASP)	Mainstreaming climate change adaptation in policy instruments to promote climate-proof Post-harvest Handling and Storage (PHHS) business enterprises; Improved policy framework for smallholders, the rural poor and women;	▪ Support the development of more sustainable value chain rural finance strategies and instruments, post-harvesting business models and facilitation support services; ▪ Introducing additional measures to ensure women's ability to actively participate in decision-making processes; ▪ Credit policies improvement within the objective of strengthening downstream services; ▪ Encourage a climate resilient and low carbon development pathway towards value adding activities (i.e product differentiation, processing, packaging, distribution and development of new products); ▪ Facilitate the introduction of climate-smart post-harvest technologies and infrastructure (i.e solar drying tunnels; biogas fuelled grain driers; etc); ▪ Harmonized and consistent support to the rural finance sector;	▪ Building strong institutional linkages with and provide support to relevant institutions (Ministry of Agriculture and Animal Resources – MINAGRI) ▪ Fully engage district governments (HUB) in planning and monitoring activities to enhance their technical and business capacities for future development and implementation of larger PHHS investments; ▪ Lobby district governments and other institutions in favour of a supportive policy framework in favour smallholders, the rural poor and women; ▪ M&E system focused on analysis and learning in support of decision making and policy dialogue, and not merely on data production; and connected to MINAGRI's and (Rwanda's Agriculture Board) RAB's information systems; ▪ Ensure that lessons and good practice emerging from the project support decision making and policy dialogue;
Viet Nam – Adaptation to Climate Change in the Mekong Delta (AMD)	Mainstreaming climate change into the Socio-Economic Development Planning (SEDP) process; Development of a framework for integrating climate risk and vulnerability concerns from the	▪ New policy directives on the integration of climate information into SEDP planning and the application of climate risk analysis on land use zoning adopted by Ben Tre (BT) and Tra Vinh (TV) administration; ▪ Revision of land-use zoning regulations in BT and TV Provinces and promotion of adaptive management approach in other Delta provinces; ▪ Focus on policy dialogue for addressing challenges associated with restrictive land use zoning; ▪ Integration of CC concerns into sector/subsector/ local action plans and planning processes; ▪ Development of programs and projects for mitigation, adaptation and sector	▪ Support of CC planning and policy development for equipping the Provincial Peoples Committee (PPC) to engage in evidence based policy discussions at both Mekong Delta and National levels; ▪ Province aggregation of district level SEDP planning and prioritization into formats useful at provincial-level for policy, setting of priorities, and development of response strategies; ▪ Training courses on Community based disaster risk mitigation (CBDRM) policy; ▪ Policy dialogue with national-level decision-makers; ▪ Building evidence and knowledge for improving policy formulation; ▪ Build on the project's practical experience to provide policy recommendations

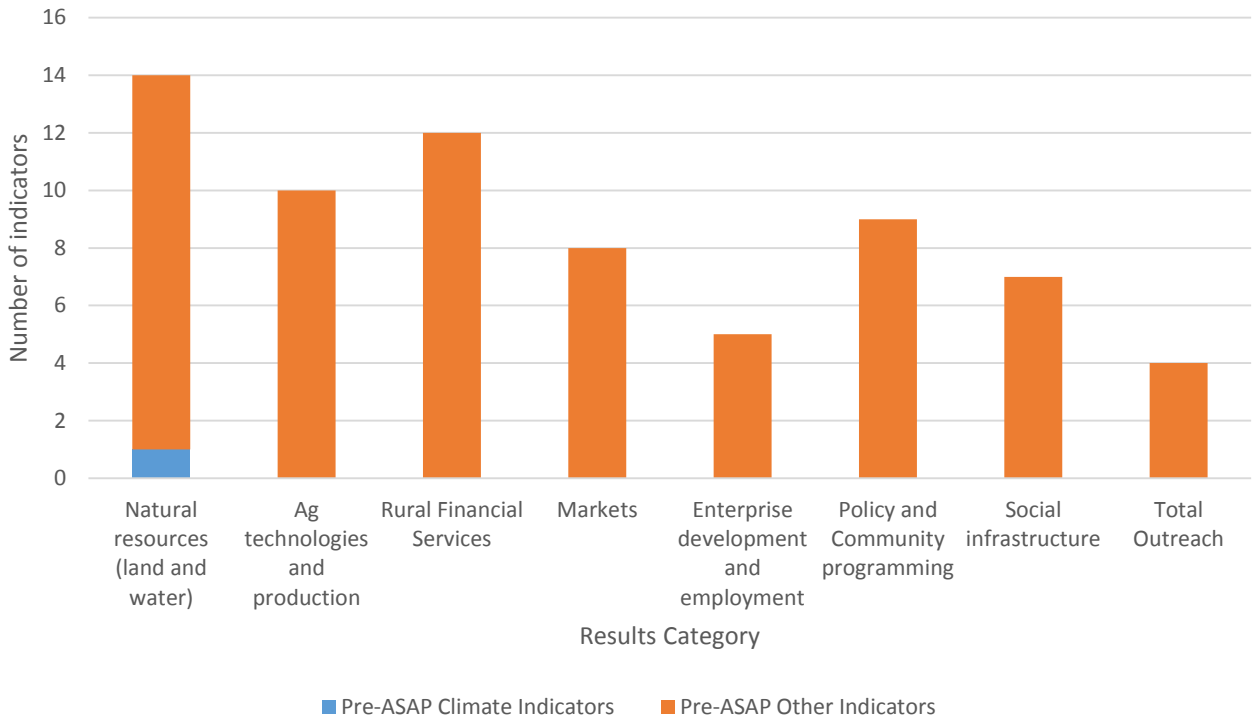
	commune to the provincial level; Enhancement of the current policy framework in coastal zones to enable shifting from rice cultivation to shrimp farming and vegetable, coconut and salt production (due to increased salinity);	development; ▪ support the formation of a "Climate Change Policy" TAG at provincial level;	on adaptation funding mechanisms at provincial and national levels; ▪ Assessments of potential CC impacts on Agriculture and Rural Development (ARD) subsectors; ▪ Finance high level forums for CC policy dialogue and coordination, including an Annual Inter-Provincial Forum and an Annual Provincial Climate Change Steering Committee Stakeholder Forum;
Yemen – Rural Growth Programme	Enabling environment for promoting productive sectors through inclusive and equitable policies and programs (i.e.agriculture, tourism) with focus on gender equality	▪ Promote women's labour force participation as a cross cutting issue in the different sectors; ▪ Promotion of pro-poor policies and institutions; ▪ Enhance policies related to water use; ▪ Empower household and community to manage their own development and engage in income generating activities;	▪ A National Steering Committee (NSC) would be established at Sana'a to provide strategic and policy guidance; ▪ Gradually include PMUs in the governorate-level Agriculture and Irrigation Office ; ▪ Ensure coordination activities implemented by the Programme with local policy; ▪ Identification of institutional and national policy changes arising from programme activities (mid-term review);
Nigeria - Additional Financing to Community Based Agricultural and Rural Development Programme	Smallholder engagement in agricultural growth (focus on women and youth benefits); Productivity enhancement with climate resilient farming practices;	▪ Contribute to Agricultural Transformation Agenda (ATA) at ground level and inform larger ATA operational strategy; ▪ Scaling-up policy work that leads to coherent governance system for climate change adaptation; ▪ Build on the government political will to promote green growth agenda and meet its domestic and international sustainable development obligations; ▪ Promotion of Agriculture Value chain financing; ▪ Facilitate and leverage market linkages for the selected value chain products; ▪ Enabling environment for private sector actors; ▪ Facilitate integration of the FSA philosophy in the activities of microfinance banks (i.e by linking FSA to the activities of the non-bank microfinance institutions)	▪ Advocacy at the government level to support the activities of Financial Services Associations (FSA) as well as to influence microfinance investment climate; ▪ Routes based on KM for policy dialogue and advocacy established and functioning; ▪ Identify and evaluate agriculture value chain finance opportunities; ▪ Organize field monitoring missions by policy makers and parliamentarians at least once a year; ▪ Programme Steering Committee to provide policy directions and monitor activities; ▪ Strategic partnership/linkage of FSA with MFBs, NGOs, development programmes involved in providing support to rural financial institutions;
Kyrgyzstan - Livestock and Market Development Programme	Influence policy dialogue on climate change adaptation/mitigation, disaster risk reduction and environmental sustainability; Integrate animal health, adaptation and disaster risk-reduction activities and policies to	▪ Support on the policy and regulatory framework for pasture management; ▪ Support the development of a sectoral adaptation plan on pastures and livestock; ▪ Support Pasture Users' Unions (PUUs) and the Pasture Committees (the PCs), in the design, development and implementation of community-based pasture management plans; ▪ Policy dialogue on climate change adaptation focused on Community Risk-mitigation Pasture Management and Investments;	▪ Produce evidence-based contributions to policy dialogue on the implementation of the pasture law; ▪ Experience gained from the development of private veterinarians and the community veterinarian service is expected to inform the forthcoming revision of the veterinary law; ▪ Institutions involved in pasture management are strengthened and have capacity to integrate climate risk management into management plans and policy making; ▪ Preparation of thematic papers and policy briefs;

	increase the resilience of pastoral communities to climate change;		
Djibouti - Programme to reduce vulnerability in coastal fishing areas	Mainstreaming climate change adaptation into national strategies over the long term;	▪ Promote policy dialogue at the highest level to ensure that climate change adaptation considerations are included in national strategies over the long term; ▪ Support the Government to update the poverty reduction strategy paper (PRSP) and national adaptation plan (NAP); ▪ Support the National Gender Policy 2011-2021; the Fisheries Sector Strategy; the Rural Finance Strategy and the country's strategy on decentralization;	▪ Create a system to co-manage fish resources and combat illegal fishing in coordination with other donors to feed policy dialogue process;
Mali - Fostering Agricultural Productivity Project	Mainstreaming climate change adaptation in national and decentralized governmental development plans; Developing a policy framework for integrating climate risks from the commune to the provincial level;	▪ Enable decentralized territorial collectives to build climate change into their planning exercises (i.e. communal environmental plans included in local development plans) ▪ Target and support de-concentrated government services, the national meteorology service, the Environment and Sustainable Development Agency (AEDD) and the private sector to ensure that the supply of goods and services includes measures to adapt to climate change;	▪ Provide support for the preparation and updating of policies and strategies in the area of climate change improving knowledge management and dissemination; ▪ Contribute to the data collection to facilitate M&E on the impact of climate change on agricultural productivity and food security; ▪ Facilitate government coordination and monitoring and evaluation (M&E) in the agriculture sector and policy dialogue among the various sector actors; improve knowledge management and dissemination;

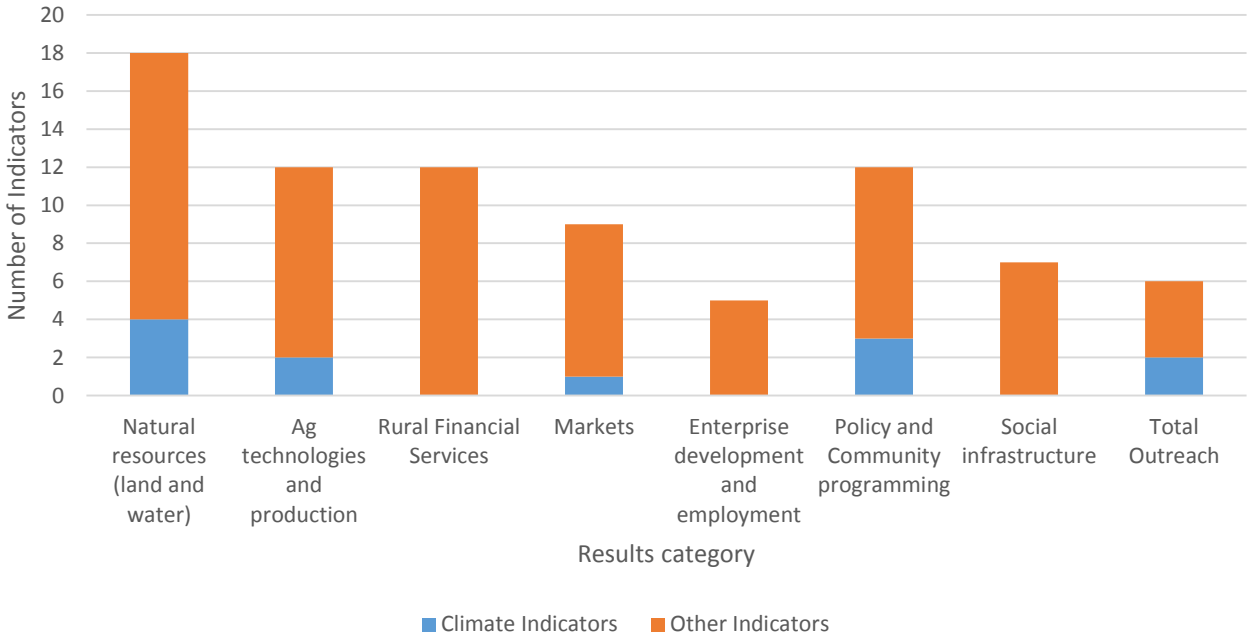
Annex 12: RIMS indicators BEFORE and AFTER STARTING THE ASAP PROGRAMME:

This annex demonstrates the mainstreaming effect of ASAP on IFAD RIMS first and second level output and outcome indicators.

Annex 12.1 PRE ASAP: Number of climate and non-climate related indicators in RIMS First Level Output Indicators



Annex 12.2 POST-ASAP INTRODUCTION Number of climate and non-climate related Indicators in RIMS First Level Output Indicators



Annex 13: Monitoring and Evaluation Frameworks of International Adaptation Funds[40]

PPCR	LDCF/ SCCF	Adaptation Fund	ASAP
	(Short) Goal: Increase resilience to the adverse impacts of climate change in vulnerable developing countries	Goal: Assist developing-country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures.	Goal: Poor smallholder farmers are more resilient to climate change Purpose: Multiple-benefit adaptation approaches for poor smallholder farmers are scaled up
Core Indicator 1: Degree of integration of climate change in national, including sector Planning. Core Indicator 2: Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience Core Indicator 3: Quality and extent to which climate responsive instruments/investment models are developed and tested	Objective 1: Reduce vulnerability to address the adverse impacts of climate change, including variability Objective 2: Increase adaptive capacity to climate change, including Variability Objective 3: Technology Transfer: Promote transfer and adoption of adaptation technology	Outcome 1: Reduced exposure at national level to climate-related hazards and threats Outcome 2: Strengthened institutional capacity to reduce climate risks and losses Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level Outcome 4: Increased adaptive capacity within relevant development and natural resource sectors Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress	Outcome 1: Improved land management and gender-sensitive climate resilient agricultural practices and technologies Outcome 2: Increased availability of water and efficiency of water use for smallholders agriculture production and processing Outcome 3: Increased human capacity to manage short and long-term climate risks and reduce losses from weather related events Outcome 4: Rural infrastructure made climate resilient

[40] Adapted from Table 2 (p.45) of Nakhooda, S. and Norman, M. (2014) Climate Finance: Is it making a difference? A review of the effectiveness of multilateral climate funds. Overseas Development Institute. Available at: http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9359.pdf

Core Indicator 4: Extent to which vulnerable households, communities, businesses, and public sector services use improved PPCR supported tools, instruments, strategies, and activities to respond to climate variability or climate change Core Indicator 5: Number of people supported by the PPCR to cope with the effects of climate change		Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas Outcome 7: Improved policies and regulations that promote and enforce resilience measures	Outcome 5: Knowledge on climate smart smallholder agriculture documented and disseminated

ANNEX 14: Disbursal from ASAP-supported projects and their respective IFAD associated loans

COUNTRY	ASAP Supported Project Name	ASAP allocation $USM	ASAP EB_APPROVAL_ Date	ASAP Entry_into_Force	Date of ASAP 1st Disburs.	% ASAP Disbursed	Date of LOAN 1st Disburs.	%IFAD associated loan disbursement
Bangladesh	Climate Adaptation and Livelihood Protection Project (CALIP)	**15**	19-Sep-13	4-Sep-14	26-Sep-14	10%	**29-Nov-12**	**33%**
Cambodia	Agricultural Services Programme for Innovations, Resilience and Extension (ASPIRE)	**15**	16-Dec-14	5-Mar-15	22-May-15	3%	NA	NA
Viet Nam	Adaptation to Climate Change in the Mekong River Delta Region (AMD)	**12**	11-Dec-13	28-Mar-14	8-Oct-14	3%	8-Oct-14	3%
Mozambique	Pro-Poor Value Chain Development Project in the Maputo and Limpopo Corridors (PROSUL)	**4.9**	21-Sep-12	3-Oct-12	24-Apr-14	10%	11-Jun-13	21%
Rwanda	Post-harvest and Agribusiness Support Project (PASP)	**7**	11-Dec-13	28-Mar-14	14-May-14	14%	14-May-14	18%
Bolivia	Programa de Adaptación para la Agricultura en Pequeña Escala (ACCESOS)	**10**	25-Nov-13	17-Mar-14	12-Nov-14	13%	4-Dec-13	**22%**
Nicaragua	Adapting to changing markets and the effects of climate change	**8**	25-Nov-13	1-Jul-14	27-Oct-14	10%	27-Oct-14	**11%**
Djibouti	Programme to Reduce Vulnerability in Coastal Fishing Aras	**6**	12-Dec-13	1-Aug-14	28-Apr-15	8%	1-Apr-15	**10%**
Mali	Projet visant à Améliorer la Productivité Agricole au Mali-Financement provenant du Programme d'Adaptation de l'agriculture paysanne (PAPAM)	**9.9**	11-Dec-13	21-Jan-14	24-Jun-14	12%	15-Mar-11	37%