

**Republic of India**  
**Country Programme Evaluation**  
**Approach paper**

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## **Currency equivalent, weights and measures**

### **Currency equivalent**

Monetary Unit = Indian Rupee (INR)  
1 US\$= 63.10 (end April 2015)

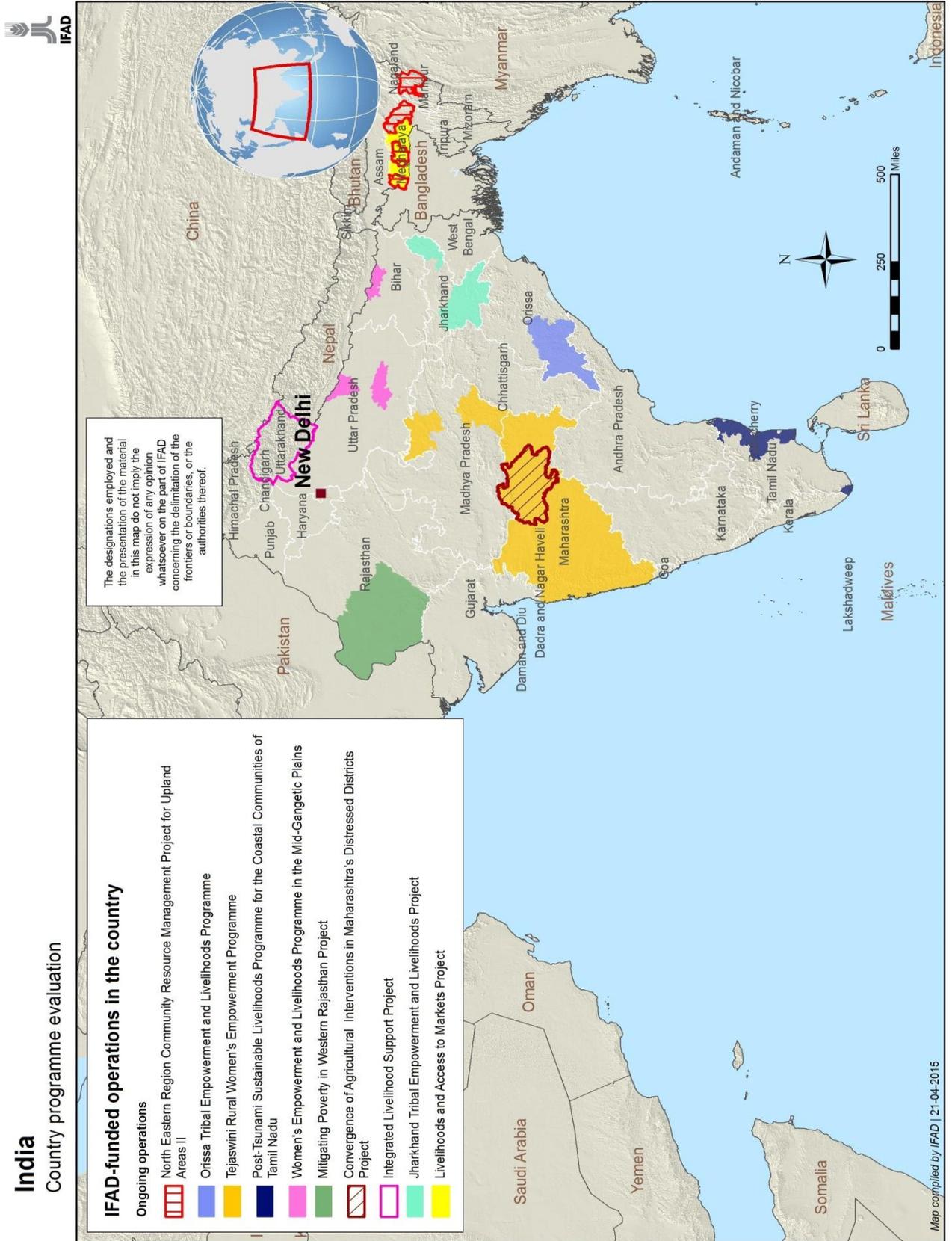
### **Weights and measures**

1 kilometre (km) = 0.62 miles  
1 metre (m) = 1.09 yards  
1 hectare (Ha) = 10.000 m<sup>2</sup> (0.01km<sup>2</sup>)  
1 hectare (Ha) = 2.47 acres  
1 acre (ac) = 0.405 hectares (ha)  
1 kilogram (kg) = 2.204 pounds

## **Abbreviations and acronyms**

|          |   |
|----------|---|
| ACP      | Agreement at Completion Point                         |
| APR      | IFAD Regional Division for Asia and the Pacific       |
| CLP      | Core Learning Partnership                             |
| COSOP    | Country Strategic Opportunity Programme               |
| CPA      | Country Programmable Aid                              |
| CPE      | Country Programme Evaluation                          |
| CPM      | Country Programme Manager                             |
| EU       | European Union  |
| HDI      | Human Development Index                               |
| IDA      | International Development Agency                      |
| IMF      | International Monetary Fund                           |
| IOE      | Independent Office of Evaluation                      |
| MDG      | Millennium Development Goals                          |
| NGO      | Non-Governmental Organization                         |
| OECD     | Organization for Economic Cooperation and Development |
| OECD-DAC | OECD Development Assistance Committee                 |
| PPA      | Project Performance Assessment                        |
| PPP      | Purchasing Power Parity                               |

# Map of IFAD-supported operations



# Republic of India

## Country Programme Evaluation

### Approach paper

#### I. Introduction

1. As decided by the Executive Board in its 113th session (December 2014), the Independent Office of Evaluation (IOE) of IFAD will undertake in 2015 a Country Programme Evaluation (CPE) in India. This will be the second CPE conducted by IOE in this country: the previous one was completed in 2009. The present CPE will cover the period 2010-2015. Recommendations from this CPE will guide the preparation of the next results-based Country Strategy and Opportunities Programme (COSOP) for India, to be prepared by the Government and IFAD following the completion of the CPE. The proposed CPE will be conducted within the overall provisions contained in the IFAD Evaluation Policy and will follow IOE's methodology and processes for CPEs, as stipulated in the IOE Evaluation Manual.<sup>1</sup>

#### II. Country context

1. **Introduction.** India is the seventh-largest country in the world and the second-most populous country with over 1.296 billion people (2014 mid-point). The fertility rate is estimated to be 2.4 live births per woman (2013 figures, down from 5.5 in 1970) and the population is estimated to have grown by 1.3 per cent in the period of 2008-13 (Population Reference Bureau, 2014).
2. The constitution of 1950 established India as a parliamentary democracy and described the country as 'union of states'. After independence, India followed a mixed economy model and actively followed the policy of import substitution. The GDP growth rate through three decades of 1950-80 averaged 3.7 per cent and the same accelerated to 5.9 per cent in the subsequent decade in 1980-90 period.<sup>2</sup> After a balance of payments crisis, India started economic liberalization with a series of reforms in 1991.
3. On average, GDP grew annually by 7.5 per cent in the decade 2004-2013.<sup>3</sup> As of 2013 India's GDP (Purchase Power Parity) stood at US\$6.7 trillion<sup>4</sup> making it the third largest economy in the world. The per capita Gross National Income Atlas Method as of 2013 stands at US\$1570, thus falling in the category of lower-middle income country as defined by the World Bank. India remains a largely rural country with 72 per cent of its population residing in rural areas.<sup>5</sup> In the past twenty years, the share of agriculture of GDP has slightly declined from 19.4 per cent in 1991 to 18.2 per cent in 2013.
4. The poverty headcount in 2011-12 was estimated at 25.7 per cent in rural areas, 13.7 per cent in urban areas and 21.9 per cent for the country as a whole. However, there was an important reduction since 2004-2005 when these percentages were 41.8, 25.7 and 37.2 respectively. While poverty remains prevalent in almost all states of India, the four states of Bihar, Orissa, Madhya Pradesh and Uttar Pradesh account for nearly half of total of India's poor.<sup>6</sup>

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<sup>1</sup> <http://www.ifad.org/gbdocs/eb/102/e/EB-2011-102-R-7-Rev-1.pdf> and [http://www.ifad.org/evaluation/process\\_methodology/doc/manual.pdf](http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf)

<sup>2</sup> India Since Independence: An Analytic Growth Narrative: <http://web.iitd.ac.in/~sbpaul/HUL736/Growth%20and%20Labour/rodrik-DeLong-India.pdf>

<sup>3</sup> India's economy was not strongly impacted by the 2008 world crisis according to the Economic Outlook 2013/14 of the Economic Advisory Council to the Prime Minister of India.

<sup>4</sup> World Bank Databank: [http://databank.worldbank.org/data/download/GDP\\_PPP.pdf](http://databank.worldbank.org/data/download/GDP_PPP.pdf)

<sup>5</sup> Census of India, 2011: [http://www.censusindia.gov.in/Census\\_Data\\_2001/India\\_at\\_glance/rural.aspx](http://www.censusindia.gov.in/Census_Data_2001/India_at_glance/rural.aspx)

<sup>6</sup> India: Defining and Explaining Inclusive Growth and Poverty Reduction, IMF: <http://www.imf.org/external/pubs/ft/wp/2014/wp1463.pdf>

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5. Marginalized social groups such as scheduled castes and scheduled tribes have faced social and economic exclusion in the past. Since independence, successive governments have undertaken sustained and progressive legislative and development interventions to enhance the social well-being of these groups and enhance their participation in economic and political processes. However, poverty still remains high among these marginalized social groups, particularly in rural areas: for scheduled tribes poverty prevalence in rural areas was 45.3 per cent in 2011/12 and for scheduled castes 31.5 per cent.
6. **Agriculture.** Agriculture accounts for about 60 per cent of the total income of agricultural households<sup>7</sup> in rural areas of India.<sup>8</sup> Indian agriculture is characterized by a high level of landholdings fragmentation, with the average size of landholding at 1.16 ha estimated in 2010-11, compared to 1.84 ha in 1980-81. Marginal and small landholdings<sup>9</sup> account for 44 per cent of the total operational holdings. In 2012-13, rice, wheat and coarse cereals were the main food crops by area under cultivation and total production, while sugarcane and cotton were the main cash crops. In the past 40 years, yields of cereals, roots and tubers and fibre crops have been growing at an annual compound rate of about 2 per cent, while vegetable yields at 1.5 per cent and pulses' yields at less than 0.5 per cent per annum. As of 2013, for these crops, Indian yields were at par with average yields for South Asia with the exception of fiber crops where they are lower. Instead, they were about 25 per cent lower compared to world averages, with the exception of roots and tubers where they were 50 per cent higher (FAOStat 2015).
7. India is self-sufficient in its agricultural production especially in cereal production.<sup>10</sup> However, the stunting rate prevalence among children below 5 was estimated at the high level of 47.9 per cent nationally in 2005-2006 (latest available data) and 50.6 per cent in rural areas, suggesting that access to nutritious food remains a serious problem.
8. **Rain-fed agriculture.** India has the largest area under the rain-fed farming in the world. Rain-fed areas tend to be poorer and marginalised and with a higher percentage of tribal people with very specific socio-cultural needs. Moreover, 42 per cent of cropped area under rice comes from rain-fed farming, for pulses 77 per cent, oilseeds 66 per cent and coarse cereals 85 per cent. It is estimated that, even after achieving the full irrigation potential, nearly 50 per cent of the net cultivated area would remain dependent on rainfall and 40 per cent of the additional food grain supply would have to come from rain-fed areas.<sup>11</sup> In recognition of the importance of rain-fed agriculture in ensuring food security and providing livelihoods, the government created the National Rainfed Area Authority to enhance coordination of public and programmes in these areas.
9. **Depletion and degradation of natural resources** have seriously affected the agriculture sector. Groundwater irrigation accounts for 70 per cent of the irrigation needs of the country. This has led to severe depletion of groundwater reserves and related issues such as increased soil salinity.<sup>12</sup> Land degradation affects wide swathes of land. As per estimates of Indian Council of Agricultural Research

<sup>7</sup> An agricultural household for this survey was defined as a household receiving some value of produce more than Rs.3000/- from agricultural activities (e.g., cultivation of field crops, horticultural crops, fodder crops, plantation, animal husbandry, poultry, fishery, piggery, bee-keeping, vermiculture, sericulture etc.) and having at least one member self-employed in agriculture either in the principal status or in subsidiary status during last 365 days. However households which were entirely agricultural labour households and households receiving income entirely from coastal fishing, activity of rural artisans and agricultural services were not considered as agricultural household and they were kept outside the scope of the survey.

<sup>8</sup> Key Indicators of Situation of Agricultural Households in India, National Sample Survey Office, 2013:

[http://mospi.nic.in/mospi\\_new/upload/KI\\_70\\_33\\_19dec14.pdf](http://mospi.nic.in/mospi_new/upload/KI_70_33_19dec14.pdf)

<sup>9</sup> Agriculture census of 2010-11 categorizes landholding into five categories of Marginal (below 1 ha), Small (1-2 ha), Semi-Medium (2-4 ha), Medium (4-10 ha) and Large (Above 10 ha).

<sup>10</sup> Ibidem

<sup>11</sup> Report of the XII Plan Working Group on Natural Resource Management and Rainfed Farming, Planning commission of India: [http://planningcommission.gov.in/aboutus/committee/wrkgrp12/agri/wg\\_NRM\\_Farming.pdf](http://planningcommission.gov.in/aboutus/committee/wrkgrp12/agri/wg_NRM_Farming.pdf)

<sup>12</sup> Ibidem

(2010), out of total geographical area of 328.73 million ha, about 120.40 million ha of land is affected by various types of land degradation resulting in annual soil loss of about 5.3 billion tonnes through erosion.

10. The **marketing and post-harvest supply chain** of agriculture products is characterized by high levels of wastage. It is estimated that 40 per cent of the fruits and vegetables produced are lost in the post-harvest stages.<sup>13</sup> Lack of appropriate storage and transportation facilities, poor processing facilities, multiple intermediaries, low farm-gate prices are some major constraints faced in the marketing chain. The Government remains a significant buyer of agricultural commodities (mainly rice and wheat) through its role in setting Minimum Support Price annually and procuring of such commodities through a multitude of agencies.<sup>14</sup>
11. **Livestock** provides supplementary income to 70 per cent of all rural households.<sup>15</sup> The livestock sector has grown 4 per cent annually, over the last two decades and currently contributes about 22.4 per cent of the GDP in the agriculture sector<sup>16</sup> within which dairy farming accounts for two thirds of the output.<sup>17</sup> At 132.5 million tonnes of liquid milk in 2012-13, India is the largest world producer, mainly from smallholder production.<sup>18</sup>
12. **Development aid to India.** According to the available sources, India has received approximately US\$31.5 billion (current prices, 2012) as Country Programmable Aid (CPA)<sup>19</sup> in the period of 2006-13.<sup>20</sup> Statistics on individual donors are not any more available from OECD, however, in India, traditionally the three largest donors have been the World Bank (IDA), Japan and the Asian Development Bank. Other large donors in the country include France, the United Kingdom and the United States. India has also progressively participated in South-South cooperation. Again, because of gaps in OECD-DAC reporting, the exact size of the same is not known exactly. In the 2015-2016 Government Budget, an amount of US\$1.6 billion was set aside for cooperation. Approximately 84 per cent of this envelope is to be directed towards neighbouring countries in South Asia, of which Bhutan alone is expected to receive 64 per cent of the funding<sup>21</sup> with Nepal and Afghanistan also being major recipients.<sup>22</sup>
13. Indian foreign aid is rendered through a combination of grants, lines of credit and technical cooperation through multiple institutions such as EXIM Bank, Ministry of External Affairs and other line ministries and national institutions. In addition to South Asia, India has also started channelling increasing resources to Africa. In this context it is estimated that, in the decade leading up to 2013, India extended

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<sup>13</sup> Case Study on Potential for Scaling Up: "Waste to Wealth by Incubating Mini Cold Storage Technology Ventures" in India: <http://siteresources.worldbank.org/INTARD/Resources/335807-1338987609349/IndiaCaseStudy.pdf>

<sup>14</sup> Price Support Scheme (PSS): The Operational Guidelines:

<http://agricoop.nic.in/imagedefault/cooperation/pssguidelines.pdf>

<sup>15</sup> Agro-industries characterization and appraisal: Dairy in India: <http://www.fao.org/docrep/016/ap299e/ap299e.pdf>

<sup>16</sup> National Dairy Development Board, Facts at a Glance, accessed on 07/04/2015:

<http://www.nddb.org/English/Pages/Facts-at-Glance.aspx>

<sup>17</sup> Demand-Led Transformation of the Livestock Sector in India, World Bank: [http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/05/25/000333037\\_20120525000858/Rendered/PDF/689010ESW0P0990the0Livestock0setcor.pdf](http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/05/25/000333037_20120525000858/Rendered/PDF/689010ESW0P0990the0Livestock0setcor.pdf)

<sup>18</sup> National Dairy Development Board, Facts at a Glance, accessed on 07/04/2015:

<http://www.nddb.org/English/Pages/Facts-at-Glance.aspx>

<sup>19</sup> Country Programmable Assistance reflects the amount that is subjected to multi-year planning.

<sup>20</sup> OECD DAC: [http://stats.oecd.org/BrandedView.aspx?oeed\\_by\\_id=dev-data-en&doi=data-00072-en](http://stats.oecd.org/BrandedView.aspx?oeed_by_id=dev-data-en&doi=data-00072-en)

<sup>21</sup> As substantial part of the foreign aid to Bhutan goes towards building of hydropower dams from which electricity is sold back to India.

<sup>22</sup> India's 2015-16 foreign aid budget: Where the money is going: <https://www.devex.com/news/india-s-2015-16-foreign-aid-budget-where-the-money-is-going-85666>

about US\$9.5 billion of concessional lines of credit,<sup>23</sup> 60 per cent of which to Africa.<sup>24</sup>

### III. Overview of IFAD-funded operations and evolution of the country strategy

14. India is the largest portfolio of IFAD-supported operations in the Asia and the Pacific Region (APR). IFAD's Executive Board approved its first loan to India in 1979. Since then, IFAD has financed 27 projects through 31 loans (US\$928.6 million) for a portfolio that has a total cumulative cost of US\$2.6 billion when counterpart funding from the Government, co-funding from donors and contributions of beneficiaries are accounted for. The national counterpart funding (either at Federal or State level) has been US\$711.4 million to IFAD-funded projects (27.4 per cent of total portfolio costs). External donor cofinancing mainly took place until the beginning of the last decade.<sup>25</sup> Co-financing has been US\$364 million or 14 per cent of portfolio costs according to IFAD's records) and this has come principally from the World Bank (250 Million) and DFID (74 Million), although the latest co-financed project with the World Bank was approved in 1996 and with DFID in 2002. IFAD opened a country office in Delhi in 2001 (hosted in the WFP office), which is now staffed with three professional staff members. In 2011 IFAD initiated with the Government of India the procedures to outpost the country programme manager. The final authorisation from India is still pending.
15. In addition to the loans, since 2009 (that is just before the previous CPE), IFAD has also approved 23 grants for an amount of US\$9.5 million, of which three country-specific and twenty under the global/regional window, with selected activities in India(Annex 3).<sup>26</sup>
16. **Evolving strategy in COSOPs.** IFAD produced its first Country Strategic Opportunities Programme (COSOP)<sup>27</sup> for India in 2001, its second in 2005 and its third and latest in 2011. IOE conducted a country programme evaluation in 2009-2010 which covered the 2001 and 2006 COSOPs and about twenty years of project financing.
17. That CPE evaluation found that IFAD's partnership with the Government of India had made a satisfactory contribution to the objective of reducing rural poverty. A prominent element of that partnership was the focus on two broad target groups among those living below the poverty line in India: women and tribal communities. IFAD built an intervention "paradigm" in the country, centred on the building of community groups, including women's self-help groups, as well as groups of both men and women for natural resources management in tribal areas. The groups are facilitated by NGOs, and provided with training to promote social empowerment and enhance the livelihoods of group members. Projects fostered linkages between these groups and commercial banks providing loans to the groups that can be used to improve livelihoods.
18. While the assessment of portfolio performance was overall satisfactory, the 2010 CPE assessed the non-lending activities as moderately satisfactory. Given that IFAD-supported projects had come up with broadly effective project intervention modalities, the CPE found that operational experience and expertise had not translated into knowledge management, partnerships and policy dialogue in a

<sup>23</sup> Conference of Southern Providers, 2013 - South-South Cooperation : Issues and Emerging Challenges: <http://www.safpi.org/news/article/2013/indias-perspective-south-south-cooperation-development-assistance>

<sup>24</sup> India's Development Cooperation, Charting New Approaches in a Changing World by the Observer Research Foundation

<sup>25</sup> According to APR, this is to a large extent due to guidance received from the Ministry of Finance of India on cofinancing.

<sup>26</sup> According to the data provided by APR which will be further checked during the CPE.

<sup>27</sup> Until 2006, COSOP stood for Country Strategic Opportunities Paper. Since 2006 it has stood for Country Strategic Opportunities Programme

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commensurate manner. The CPE argued that one of the weakest areas had been the promotion of partnerships (the main gaps were with line ministries, international cooperation agencies and private sector organizations). Also, according to the 2010 CPE, knowledge management was an area requiring more attention as experience from operations had not been sufficiently systematised. It was noted, however, that there had been a notable improvement in this area with the expansion of the role of the Country Office.

19. The 2011 CPE made fourteen recommendations. Annex 4 shows how these were reflected in the 2011 COSOP. For simplicity of presentation, they can be summarised in the following clusters:
  - a) Recommendations to improve programmatic efficiency: reducing the geographic coverage of the portfolio, reducing the number of loans but increasing their average size would yield a more focused and better manageable programme.
  - b) Strengthen partnerships with the Government: (i) at the central level (more interaction with sectoral line Ministries); (ii) at the state level by better articulating IFAD-funded projects with public programmes implemented there and involving more the state actors in the programme design.
  - c) Strengthen the non-lending activities (policy dialogue, partnerships and knowledge management) and allocate financial resources both for activities centred around operations in the country as well as for exchanges with other countries where IFAD is active (south-south cooperation).
  - d) A related recommendation was to strengthen IFAD's representation in the country, including the out-posting of the country programme manager, as well as establishing a "regional hub".
  - e) In terms of thematic priorities, more attention to sustainable smallholder agriculture and to the promotion of innovation and their up-scaling in rural finance (e.g., crop insurance, transfer of remittances to the poorest), agriculture (pro-poor drought and pest resistant agriculture technology), and use of information and telecommunications to link the poor to markets.
  - f) Finally the CPE included recommendations to the government (reducing turn-over of project directors) and to IOE itself (supporting evaluation capacity development).
20. The key elements of the 2011 COSOP for India are presented in Table 1. The COSOP had two over-arching goals: (i) contributing to enhanced access to agricultural technology and natural resource and (ii) contributing to enhanced access to financial services and value chains for the target group, which comprises tribal communities, smallholder farmers, landless people, women, and unemployed youth, in poor agricultural areas of selected states.
21. Compared with the 2005 COSOP, the 2011 COSOP restated and reinforced the previous strategic directions towards serving the poorest areas and people in the country, using its "traditional" approaches but with an update in terms of focusing on innovations (the COSOP has a section on priority areas for innovation). In response to the 2011 CPE findings and recommendations, the COSOP 2011 highlights the importance of: (i) not extending coverage to new states but financing new projects in the same states where projects are already funded; (ii) within the intervention states, adopting a "saturation approach", that is trying to cover all suitable target areas in a given district before moving to another district. These two measures are expected to avoid a too diffused portfolio at the national level and too scattered investments at the sub-state district level.

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22. The gender dimension received specific treatment in an annex of the 2011 COSOP (although not in the main report) and follows the same thematic/sub-sectoral priorities as in the rest of the programme.
23. In terms of country programme management, the 2011 COSOP stipulated that the country programme manager (CPM) would be based at the IFAD headquarters in Rome. Since then, however, IFAD sought to outpost the CPM to New Delhi, although the formal procedure in order to have it approved by the Government proved to be lengthy and has not been finalized at present.
24. The COSOP 2011 also provided for periodical review of the country programme to be done by the Government and IFAD at least annually. Consultations on the country programme implementation have taken place more frequently, quarterly since 2011 (twice a year on the whole portfolio and, in addition twice per year on “problem projects” only).

Table 1

**Main Elements of the 2011 COSOPs (and 2005 COSOP for comparison)**

|   | <i>2005 COSOP</i>  | <i>2011 COSOP</i>  |
|---|--|--|
| <i>Strategic Objectives</i> <sup>28</sup>   | <ul style="list-style-type: none"> <li>• Grassroots institution building and the institutional strengthening of support agencies</li> <li>• Promoting and securing the access of marginalized groups to resources</li> <li>• Promoting the diversification of livelihood opportunities within the on-farm and off-farm sector</li> </ul> | <p>Overall goal: improve income and food security of poor households in project area.</p> <p>Objectives:</p> <ol style="list-style-type: none"> <li>1. Increased access to agricultural technologies and natural resources.</li> <li>2. Increased access to financial services and value chains.</li> </ol> <p>In addition: cross-cutting objective: share knowledge and learning on poverty reduction and nutritional security, with a particular focus on tribal communities, smallholder farming households, landless people, women and unemployed youth.</p> |
| <i>Geographic Priority</i>                  | Mid-Gangetic Plains (Bihar, Uttar Pradesh), North-East, Coastal Areas, Rajasthan, Madhya Pradesh, Maharashtra and Tamil Nadu   | <p>Rain-fed areas of the following states (where IFAD already has operations): Jharkhand, Chhattisgarh, Orissa, Bihar, Madhya Pradesh, Uttar Pradesh and Rajasthan</p> <p>Enhance convergence with state-funded programmes</p>   |
| <i>Sub sector/thematic focus</i>            | Empowerment, social capital; micro finance and income generation; livelihoods and natural resources management; rural infrastructure; coastal areas resource management; sustainable agriculture and market linkages.  | (i) farming systems based on the sustainable use of natural resources; (ii) a careful review of risk-coping mechanisms, giving priority to risk-minimizing strategies and low-cost production systems; (iii) provision of microinsurance services; and (iv) access to payments for environmental services.   |
| <i>Opportunities for innovation</i>         | Not treated specifically in the COSOP  | (i) Renewable energy; (ii) Resilience to climate change; (iii) Remittances and microinsurance; (iv) Fair and effective value chains; (iv) ICT for blending local and modern knowledge.   |
| <i>Target groups and targeting approach</i> | Scheduled tribes, scheduled castes, women, coastal fishery communities   | Focus on inclusion. Target group comprises the poorest, most marginalized and remotest poor rural people in rainfed areas: (i) tribal communities; (ii) smallholder farmers; (iii) landless people; (iv) women; and (v) unemployed youth.  |

<sup>28</sup> Note that the 2005 COSOP did not have strategic objectives (these were introduced in 2006 with the new standardised COSOP format). It had “major strategic thrusts”.

| 2005 COSOP                            |                          | 2011 COSOP   |
|---------------------------------------|--------------------------|--|
|                                       |                          | Targeting mechanisms: self-targeting (promoting technologies and activities of interest for the poor), covering all household in poor communities, demand-led approaches and competitive mechanisms.   |
| <i>Gender Dimension</i> <sup>29</sup> | Not treated specifically | <ul style="list-style-type: none"> <li>-Skill building, entrepreneurship promotion and employability enhancement</li> <li>-Promotion of micro and small enterprises supported by business development services, financial services and favorable access to markets.</li> <li>-Mobilizing women into organized structures, building their awareness, skills and capacities for empowerment,</li> <li>-Supporting capacity building and leadership development programs for women representatives in governance and other bodies as mandated by law.</li> <li>-Promotion of the Right To Information Act and encouraging its use.</li> </ul> |
| <i>Country programme management</i>   |                          | <p>CPM to be based at IFAD headquarters. Country office to continue its support to direct supervision and work on knowledge management.</p> <p>COSOP monitoring based on its result framework, with Joint Review Missions taking place at least annually between IFAD and the Government.</p> <p>Country programme management team to include CPM, country office, project directors, Government.</p>  |

#### IV. Evaluation Objectives, Methodology and Process

25. **Objectives.** The main objectives of the proposed CPE are: (i) to assess the performance and impact of IFAD-supported operations in India; (ii) to generate a series of findings and recommendations to enhance the country programme's overall development effectiveness; and (iii) to provide relevant information and insights to inform the preparation of the future COSOP which will be agreed by IFAD and the Government.
26. **Methodology.** The objectives of the CPE will be achieved by assessing the performance of three mutually-reinforcing pillars in the IFAD-Government partnership:
- (i) Project portfolio performance;
  - (ii) Non-lending activities (knowledge management, policy dialogue and partnership building); and
  - (iii) The performance of the 2011 COSOP in terms of its relevance and effectiveness.
27. The performance in each of these areas will be rated on a scale of 1 (lowest) to 6 (highest).<sup>30</sup> While these will be viewed individually, the synergies between the components will also be looked at, for example, to what extent IFAD's knowledge management activities supported its project activities and whether – taken

<sup>29</sup> Note that the main COSOP document does not deal specifically with gender-specific topics but the same are explained in the "key file" in an annex.

<sup>30</sup> The standard rating scale adopted by IOE is: 1 = highly unsatisfactory; 2 = unsatisfactory; 3 = moderately unsatisfactory; 4 = moderately satisfactory; 5 = satisfactory; 6 = highly satisfactory.

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together – they reflected the approach outlined in the COSOP. Based on this assessment and the aforementioned three ratings, the CPE will generate an overall achievement rating for the IFAD-Government partnership.

28. Key questions to be considered by this CPE include the following:

- What has been the progress of the country programme in the main recommendation areas of the 2010 CPEs and what have been the main enabling factors/constraints? Have agricultural investments been central in the on-going portfolio?
- As some projects had a long gestation time, and given the rapidly changing context in India, have they maintained their relevance throughout the implementation period?
- What are the opportunities and challenges of working within a federal structure in India, with projects being implemented at the State-level and a programme articulation at the central (federal) level?
- Have lessons learned from IFAD's concrete operational experience been brought to the attention of policy makers, at the state, national level, as well as in the context of south-south cooperation, so that they can contribute to inform public policy and programmes?
- Is the country programme adequately benefiting from partnership opportunities with non-governmental organizations and private sector actors in rural development efforts?
- In the future, what could be the role and priorities of IFAD in a large lower-middle income country like India, including scaling-up plans, important for sustainable and inclusive rural transformation, especially in view of IFAD's limited resources for lending (US\$44 million per year in the period 2013-2015) in relation to the ampler domestic resources and on-going public programmes for agriculture and rural development?

### A. Project portfolio performance

29. With regard to assessing the performance of the project portfolio, IOE will apply its standard evaluation methodology for each project included as part of the CPE cohort (see coverage and scope below) using the internationally-recognized evaluation criteria of:

- **Relevance:** assessing to what extent the projects objectives were consistent with the relevant COSOPs and the Government's main policies for agriculture and rural development, as well as the needs of the poor. In addition, the evaluation will assess whether: (i) lessons from previous projects and evaluations have been integrated in new project design; (ii) the design is focused, realistic and ready for implementation; (iii) there is solid buy-in from the beneficiaries (iii) adequate approaches were devised to achieve the project's objectives (including good practices and lessons learned from the past); and (iv) whether projects have been able to adapt (and thus remain relevant) to a rapidly changing context.
- **Effectiveness:** the evaluation will assess whether the project achieved its development objectives (or is likely to achieve them), as well as whether it achieved other objectives not originally specified, and will attempt to explain which factors account for the results. The CPE will take into account the challenging context in which they are implemented (e.g., remote areas, poorly connected to markets)
- **Efficiency:** assessing how economically inputs were converted into outputs/results. If economic rates of return cannot be computed

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(because of insufficient quality of data or an early project implementation stage), the evaluation will resort to proxies (e.g., unit cost of realisations compared to national averages, management performance, implementation delays and cost overruns). In the specific case of India, the CPE will consider the issue of the effective project duration and its implication for the efficiency of interventions.

30. In addition, IFAD evaluations incorporate a number of criteria that relate more directly to the types of operation that IFAD supports.
- **Rural poverty impact:** the changes, positive and negative, direct and indirect in the socio-economic conditions of the rural poor. The CPE will address five domains on which IFAD-funded projects are likely to have an impact: household income and assets, human and social capital and empowerment, food security and agricultural productivity, natural resources and the environment (including climate change), and institutions and policies. It will be important to take into account attribution issues (as discussed further below).
  - **Sustainability:** assessing the likelihood that benefits of the project will continue after the closing date and completion of IFAD assistance. Among other issues, this requires a discussion of: (i) support from national and local institutions and availability of budget for maintenance; (ii) capacity and strength of the public institutions built or supported by the project (ii) the complexity of technical solutions adopted by the project and the need for prolonged training and support; (iii) the profitability of economic schemes promoted by the project; and (iv) the level of support from the communities.
  - **Innovations and scaling-up:** assessing whether the project contained innovative features that have the potential to cater for the needs of the rural poor, whether and under what conditions they can be scaled-up, and what concrete efforts have been undertaken by IFAD and its partners to this effect?  
  
In the case of India, scaling-up through convergence with national and state programmes and with public funding will be of particular importance
  - **Gender equality and empowerment of women:** assessing whether gender considerations were included in the project design (if pertinent); the relevance of the approach taken in view of women's needs and country context; and the specific results in terms of women's workload, skills, income, better access to resources, and income.
  - **Performance of partners** will entail evaluating the performance of IFAD and the Government across a number of domains (project design, supervision, implementation support, management and fiduciary aspects). Inter alia, this will include the self-assessment system (notably monitoring and evaluation, supervision) and tools at the project and country programme levels.
31. **Approach.** The evaluation will combine a desk review of existing documentation (IFAD project documents, data and information generated by the projects, Government documentation) with interviews with relevant stakeholders in IFAD and in the country, and direct observation of activities in the field. Interestingly, in India IFAD has been supporting a system of annual "outcome surveys" in the ongoing projects. These outcome surveys involve a sample of about 600 households (of which about 200 new project clients, 200 older project clients and 200 comparison – without project - households). Reports are available for the majority of the on-going projects and will be reviewed by the CPE. These annual

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outcome surveys are regularly discussed during the periodic COSOP reviews in India and deserve consideration by this CPE.<sup>31</sup>

32. For the field work, a combination of methods will be used: (i) focus group discussions (especially farmers, women's associations, etc.) with a set of questions for project user groups and linkages with other projects in the area; (ii) Government stakeholders' meetings – national, provincial, district - including project staff; (iii) the IFAD client surveys; (iv) household visits (including non-project households for comparison purposes) using a pre-agreed set of questions to members of the household to obtain indications of levels of project participation and impact; and (v) key non-government stakeholders' meetings (e.g., civil society representatives, private sector/merchants/shop keepers, schools). The findings of the evaluation will be the result of "triangulation" of evidence collected from different sources.
33. **Addressing attribution issues.** As for all evaluations, it is challenging to attribute a set of observed changes to the interventions supported by a project. For example, data may point to significant increases in household assets but this may be due to exogenous factors and not to the project (e.g., falling prices of certain household assets; a general economic upturn; households receiving remittances). In the past ten years, there has been a revival of interest for evaluations using an experimental and quasi-experimental design (i.e., comparing households or individuals with and without project). These types of design require large sample surveys that are generally not available for the IFAD projects in India,<sup>32</sup> and the budget and timeline of the proposed CPE will not allow for the use of these methods. The CPE may, instead, address the attribution using a theory-based approach,<sup>33</sup> combined with a review of the available statistical data (e.g. at the state level) and some spot-checking to gauge the veracity of claims made in the available project documents:
  - Reviewing the project chain of action and cause-effect and assessing to what extent this is corroborated by the available evidence;
  - Considering rival explanations by probing for alternative factors, and reassessing the plausibility of the imputed causality chain;
  - Reviewing available demographic, health and welfare statistical data (if existing at the appropriate level of disaggregation); and
  - Conducting selected interviews with non-beneficiaries that share salient characteristics (e.g., socio-economic status, livelihood, and farming system) that will help understand the "mechanisms" through which the project may have generated changes and what could have happened in its absence (the counterfactual).
34. **Coverage and scope.** The current CPE will cover IFAD's country strategy (COSOP) approved in 2011, after the previous CPE. In terms of projects, the current CPE will review those that: (i) were closed after the 2010 CPE; (ii) are

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<sup>31</sup> Since 2004 all new projects are expected to carry out impact survey (child malnutrition and household assets) according to the RIMS guidelines. However the RIMS impact surveys are not annual. When they are conducted (compliance is an issue), there are normally two rounds: at the beginning and towards the end of a project.

<sup>32</sup> An exception was the impact evaluation that IOE conducted in 2014 of the Jharkhand-Chhattisgarh Tribal Development Programme. This was a project-specific evaluation.

<sup>33</sup> See as references: Mayne, J. (2001), "Addressing attribution through contribution analysis: using performance measures sensibly," *Canadian Journal of Program Evaluation* 16: 1-24; Pawson, Ray & Nick Tilley (1997). *Realist Evaluation*, London; Scriven, M. (1976), "Maximizing the Power of Causal Investigations: The Modus Operandi Method", in: G. V. Glass (ed.) *Evaluation Studies Review Annual, Vol. 1*, Sage Publications, Beverly Hills, CA; Weiss, C. H. (1995), "Nothing as practical as good theory: Exploring theory-based evaluation for comprehensive community initiatives for children and families", in J. Connell, A. Kubisch, L. B. Schorr, & C. H. Weiss (Eds.), *New approaches to evaluating community initiatives: Volume 1, concepts, methods, and contexts* (pp. 65-92). New York, NY: Aspen Institute.

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still ongoing; and/ or (iii) have been approved after the 2011 COSOP.<sup>34</sup> The above selection criteria yield thirteen projects, nine of which originally approved before the 2011 COSOP and four after.

35. Of the thirteen projects, two are closed and have already been evaluated by IOE and the new CPE will review the relevant evaluation reports without additional field activities:
  - a. The Jharkhand-Chhattisgarh Tribal Development Programme (total cost US\$41.7 million, IFAD loan US\$22.9 million). IOE produced an impact evaluation in 2015.
  - b. The Livelihoods Improvement Project in the Himalayas (total cost US\$84.3 million, IFAD loan US\$39.9 million). IOE conducted a project performance assessment in 2014.
36. Seven projects are approaching completion (2016 or 2017) and have not yet been independently assessed. These projects will be reviewed *ex novo* by the CPE:
  - a. Odisha Tribal Empowerment and Livelihoods Programme (total cost US\$106.1 million, IFAD loan US\$35 million)
  - b. Tejaswini Rural Women's Empowerment Programme (total cost US\$223.7 million, IFAD loan US\$54.4 million)
  - c. Post-Tsunami Sustainable Livelihoods Programme for the Coastal Communities of Tamil Nadu (total cost US\$68.6 million, IFAD loan US\$30 million)
  - d. Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains (total cost US\$52.5 million, IFAD loan US\$30.1 million<sup>35</sup>)
  - e. Mitigating Poverty in Western Rajasthan Project (total cost US\$62.5 million, IFAD loan US\$30.9 million)
  - f. North Eastern Region Community Resource Management Project for Upland Areas (total cost US\$38.2 million, IFAD loan US\$22.9 million)
  - g. Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme (total cost US\$118.6 million, IFAD loan US\$41.1 million)
37. It is not yet clear whether all the above seven projects can be assessed according to the entire set of IFAD evaluation criteria. The question is open for at least three of them. In the case of "Mitigating Poverty in Western Rajasthan Project", IFAD loan disbursement rate was only 41 per cent as of mid-April 2015 and, for the Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme, disbursement rate was 27 per cent. In addition, for the Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains, the IFAD loan was closed in January 2015 with a disbursement rate of 23 per cent only.
38. Past CPE experience suggests that a low level of IFAD loan disbursement is associated with project implementation delays. In such cases, it might not be possible to fully assess criteria such as effectiveness, impact or sustainability which require some "gestation time". The situation will have to be reviewed with the main partners.
39. Finally, four projects are at an early implementation stage (less than thirty months) or have been approved only recently. It is expected that the CPE will assess the relevance of their design and review any outstanding implementation

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<sup>34</sup> In addition, the CPE will selectively review a project-level evaluation (project performance assessment or PPA) of the National Microfinance Support Programme which IOE conducted in 2013. This was a project closed in 2009 (and already covered by the 2010) whose completion report became available a few years later. Since the PPA is fairly recent, it is meaningful to consider some of its findings in the current CPE.

<sup>35</sup> IFAD closed the loan supporting this project in early 2015, in advance of its schedule. It is not clear at this stage whether

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issue (if applicable):

- a. Integrated Livelihood Support Project (total cost US\$258.8 million, IFAD loan US\$89.9 million)
  - b. Jharkhand Tribal Empowerment and Livelihoods Project (total cost US\$115.5 million, IFAD loan US\$51 million)
  - c. Livelihoods and Access to Markets Project (total cost US\$169.9 million, IFAD loan US\$50 million)
  - d. Odisha Particularly Vulnerable Tribal Groups Empowerment and Livelihoods Improvement Programme (total cost US\$130.4 million, IFAD loan US\$51.2 million). The loan agreement is still to be signed.
40. Table 2 shows a preliminary evaluability assessment which will have to be refined after further discussion with APR, the Government of India (federal and state levels) and the relevant project teams.

Table 2

### Expected evaluability of projects

| Cohort                               | Already evaluated  | On-going and closing within 2017 with loan disbursement rate => 75%  | On-going and closing within 2017 with loan disbursement rate <= 41%  | Closing from 2019 onwards   |
|--------------------------------------|--|--|--|---|
| <b>Projects</b>                      | (a) Jharkhand-Chhattisgarh; (b) Livelihoods Improvement in the Himalayas | (a) Odisha Tribal Empowerment; (b) Tejaswini Rural Women's Empowerment; (c) Post-Tsunami Sustainable Livelihoods -Tamil Nadu; (d) North Eastern Region Community Resource Management | (a) Women's Empowerment and Livelihoods in the mid-Gangetic Plains; (b) Convergence of Agricultural Interventions in Maharashtra (c) Mitigating Poverty in Western Rajasthan | (a) Integrated Livelihood Support ; (b) Jharkhand Tribal Empowerment and Livelihoods; (c) Livelihoods and Access to Markets; (d) Odisha Particularly Vulnerable Tribal Groups Empowerment |
| <b>Date of effectiveness</b>         | Closed   | Declared effective between 2002 and 2009   | Declared effective between 2002 and 2009   | From Dec 2012 onwards   |
| <b>Criteria</b>                      |  |  |  |   |
| Relevance                            | Yes  | Yes  | Yes  | Yes   |
| Effectiveness                        | Yes  | Yes  | Selected aspects   | No  |
| Efficiency                           | Yes  | Yes  | Selected aspects   | No  |
| Rural poverty impact                 | Yes  | Mostly   | No   | No  |
| Sustainability                       | Yes  | Mostly   | No   | No  |
| Innovation, replication & scaling up | Yes  | Yes  | Selected aspects,  | No  |
| Gender equality                      | Yes  | Yes  | Selected aspects,  | No  |
| Performance partners                 | Yes  | Yes  | Selected aspects,  | No  |

## B. Non-lending activities

41. Following the IFAD Evaluation Manual, the CPEs will assess "non-lending" activities, defined as: knowledge management, partnership building and policy dialogue. In spite of the terminology, some of these activities may take place as a part of a loan-backed project package. Yet "non-lending" activities are different from typical investment operations and can bring additional value by helping systematize and disseminate knowledge, forging collaborations with organizations that have specific mandates, expertise and financial resources in a given area, and helping distill the concrete experience from the field into the preparation and implementation of public strategies and programmes.
42. The 2011 COSOP for India included objectives for the above activities (see Table 3). Under partnership development, the COSOP identified key Ministries at the central level, the State authorities, multilateral organizations, research centres (national and international), NGOs and foundations with which some form of

collaboration was taking place or was planned. In terms of partnership, of particular importance for the CPE are the following aspects: (i) Government follow-up on key issues highlighted by the 2010 CPE, such as high turn-over of staff which made partnerships (operational and strategic level) very challenging; (ii) articulation of relationships between central and state Government and level of engagement of central sectoral ministries; (iii) partnership with private sector entities, an emerging potential partner for rural development; (iv) quality of IFAD's cooperation with prominent NGOs and think tanks, not only as an aspect of project implementation but also as an instrument for knowledge management.

43. The 2011 COSOP conflates knowledge management and policy dialogue activities.<sup>36</sup> It defines policy dialogue activities as bringing knowledge of IFAD-supported projects as well as on public programmes to central and state Government authorities, which would also be instrumental in scaling up the operations. Important elements to be considered in policy dialogue would also be the following: (i) the resources available to IFAD (and more specifically to the country office); (ii) the articulation of policy dialogue with actors at the State level (where operations are located) and at the central Government level (where opportunities may also exist); (iii) what is the space for policy dialogue that the Government of India would allow to IFAD.
44. Specifically on knowledge management, an important question will pertain to the activities initiated by IFAD and its partners to analyse and document results of its operations to extract lessons that are applicable to other similar programmes. CPEs in other countries have found that IFAD-supported operations are very rich in practical implementation experiences. However, the amount of resources dedicated to documenting and systematizing them and the effectiveness in bringing them to policy makers differs from country to country. Therefore the CPE will analyse the type of work done in these two areas. Similar to policy dialogue, the CPE will seek to differentiate between knowledge management at the State and central level and with different partners.
45. There is also another dimension of knowledge management to be considered in India and it relates to the engagement in south-south cooperation, an area that is considered important by the Government. According to APR, this has happened through IFAD's regional and global grant which allowed exchanges inter alia between the Government of India and the one of Indonesia. However, this needs to be further reviewed.

Table 3

**Non-lending activities in the 2011 COSOP for India**

|                             |   |
|-----------------------------|---|
| <b>Partnership building</b> | <p><u>Central Government:</u> Enhanced partnership, through DEA, with the Ministry of Agriculture and Ministry of Rural Development. Continue working relationship with the Ministries of Tribal Affairs, of Women and Child Development, of Development of the North Eastern Region. Governmental agencies such as the National Bank for Agriculture and Rural Development and the Small Industries Development Bank of India partners in implementing national projects.</p> <p><u>State Governments: state agencies.</u></p> <p>Multilateral development agencies: the World Bank (North Eastern Region, Rajasthan, Madhya Pradesh and Bihar). Opportunities to work more closely with the Asian Development Bank through a regional partnership framework. Joint programming with WFP in Orissa, Jharkhand and Rajasthan. Among other United Nations agencies, the current collaborations with FAO, UNIDO and UNDP will continue.</p> <p><u>Research:</u> ICRISAT, ILRI, IIRI, ICIMOD, ICRAF, Asian Institute of Technology, Indian Council for Agricultural Research, NRAA, M S Swaminathan Research Foundation, The Energy &amp; Resources Institute</p> <p><u>NGOs (International and National):</u> Slow Food, Myrada, SEWA, Professional Assistance for Development Action, DHAN Foundation, BAIF Development Research Foundation, Watershed Organization Trust, ACCESS Development Services, Bill and Melinda Gates Foundation</p> <p><u>Private sector foundations:</u> Sir Ratan Tata Trust</p> |
|-----------------------------|---|

<sup>36</sup> According to APR this definition of policy dialogue was due to the stance taken by the Government of India at that time on IFAD's engagement in policy dialogue in the country. This will be reviewed by the CPE.

|                             |  |
|-----------------------------|--|
| <b>Policy Dialogue</b>      | <p>IFAD's role is identifies in: (i) sharing results and lessons learned in project implementation; (ii) exploring the potential for scaling up of successful operations; and (iii) providing feedback on the effectiveness of ongoing central and state government policies and programmes in reaching poor rural people.</p> <p>Periodic joint review missions will represent the main instrument, with wrap-up meetings at state and central levels for the dissemination of best practices and as platforms for discussions on policy themes relating to rural poverty reduction.</p>  |
| <b>Knowledge Management</b> | <p>A particular focus is to identify, capture, document, analyse, share and encourage the use of the traditional knowledge of poor rural people and tribal communities. The focus will be on creating appropriate learning systems at all levels, while helping protect intellectual property rights, preserve traditional heritage and culture, and integrate these into contemporary knowledge.</p> <p>Dissemination and knowledge sharing mechanisms will include building and nurturing networks and communities of practice, and creating opportunities and platforms IFAD will focus not only on bringing knowledge and innovations from its global operations to India, but also on making India's experience available to the rest of the world.</p> |

46. Regarding **grants** financed through IFAD core resources, out of the 24 traced, a sample of six grants will be selected, taking into account the typology of grants (country-specific versus global and regional), size of financing and thematic area (e.g. agricultural research, rural finance, indigenous people, M&E and knowledge management). On a tentative basis, the following grants will be reviewed (selection to be finalised before the main mission). Two country-specific grants to: (i) a civil society organization, Ama Sangathan (Federation of women), on eco-village development and gender equality; and to (ii) the NGO MARAG on policy implementation on pastoral and common lands. Four regional grants to: (i) Bioversity on applied research on climate change and on-farm conservation; (ii) ICRAF on biofuels; (iii) CIP on root and Tuber Crop Research; and (iv) IFPRI on M&E and knowledge management.
47. In general the following questions will be asked on grants: (i) whether there was a demand for that specific grant activity either by the CPM or by one of the main partners in the country; (ii) whether the expected results of the grants have been achieved or are likely to be achieved; (iii) whether there is an ongoing plan for IFAD or any of its concerned partners to internalize or use knowledge, technology or other products generated by the grant and whether such plan is being followed up; (iv) whether grants have supported knowledge management and policy dialogue. As in the past, no separate rating is assigned to grants but the discussion on the use and internalization of knowledge, technology or other grant products will be part of the final country programme strategy assessment.<sup>37</sup>

### C. COSOP performance: strategic level analysis

48. In its last section, the CPE report will consider the overall programme from a strategic view point. The two criteria to be adopted for this level of analysis are relevance and effectiveness of the COSOP.<sup>38</sup> Relevance refers to three main areas:
- (i) The setting of strategic objectives (e.g., alignment with national policies, IFAD's corporate priorities, clarity of definition and grounding on sufficient analytical work/evidence);
  - (ii) The coherence of the main elements (e.g., consideration of IFAD's comparative advantages, prioritization of geographical areas and themes, combination of lending and "non-lending" instruments); and
  - (iii) The management of the country programme (e.g., country presence, supervision and implementation support, periodic review and assessment of the country programme).
49. An important aspect of the IFAD-supported programme in India is its emphasis on the "inclusion" of socially and economically disadvantaged group within lower

<sup>37</sup> These questions are inspired by the recent Corporate-level Evaluation on the IFAD Grant Policy.

<sup>38</sup> Here COSOP is understood as the IFAD programme in the country and not simply as a document.

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- productivity areas (e.g. rain-fed agriculture areas). The CPE will review the targeting mechanisms adopted, the intervention approaches used and assess to what extent they continue to be valid. Given the importance of publicly funded programmes, the question of complementarity and subsidiarity, as well as originality of IFAD-funded project components will be of high importance.
50. The CPE will assess to what extent IFAD-supported interventions paradigms and tools to reach very poor groups incorporate recognised good practices in publicly or NGO-funded programmes in India and South-Asia.
  51. Moreover, the CPE will assess to what extent agricultural investments have been central to IFAD portfolio and whether marketing and value chain support have received adequate emphasis.
  52. Effectiveness at the strategic level refers to the achievement (or the likelihood of achieving) the main objectives identified in the COSOP. Again, it will be important to consider achievements initially not contemplated, as well as changes in the country or programme context that may have influenced the fulfilment of the objectives.
  53. Under the over-arching goal of improving income and food security of poor households in its main areas of intervention, the two 2011 COSOP objectives related to: (i) access to technology; and (ii) financial services and value chains for the target group (Table 2). The assessment of the degree of the achievement of the above objectives should not be conflated with the assessment of the project portfolio but also include the contribution from non-lending activities.<sup>39</sup>
  54. In terms of both COSOP relevance and effectiveness, two overarching aspects need to be taken into consideration in the case of India. First, the articulation of IFAD's partnerships between the state level and the central government level. Second, the level of resources available for lending in India has been around US\$44 million per year in the current (2013-15) Performance-Based Allocation cycle (a slight decrease from the 2010-12 cycle when it was at US\$47million/year). This is a very small resource envelope given the size of the country (even at the state level). Thus, the assessment of IFAD's "value added" in India needs to take into account the paucity of available resources and the quality of the operations and the capacity to leverage resources from state governments for scaling-up.<sup>40</sup>
  55. **Evaluability of the attainment of COSOP objectives.** Graph 1 below provides a simple schematic representation of the logical sequence to achieve the COSOP's objectives and over-arching goal and key underlying assumptions. Annex 4 presents the results framework of the 2011 COSOP as originally approved. COSOP strategic objectives are pitched at the level of project objectives, although the COSOP envisages a role of non-lending activities to contribute to up-scaling and create a multiplier effect. Most of the indicators contemplated in the COSOP are essentially an aggregation of project-level indicators, with the only exception of the indicator on increase in employment in the agricultural sector which has more tenuous linkage with projects (demand from agricultural labour may be linked to other factors, such as a change in crop mix or in the technology frontier).
  56. For the above reason, it should be possible to map lending and non-lending activities that have contributed to the COSOP objectives. The COSOP also had the overarching goal of contributing to an increase in household income, food security and assets. There are no targets in terms of "effect size", as it is expected that 75 per cent of the target group would report *some form* of increase. It is not clear whether data would be available from state-level statistics at the desired level of

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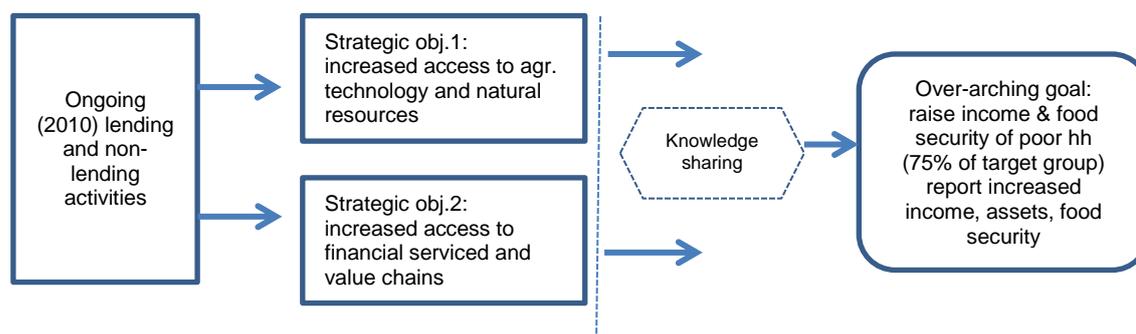
<sup>39</sup> In fact the 2010 COSOP also mentions an over-arching objective of sharing knowledge with key national partners.

<sup>40</sup> In principle, donor resources could be leveraged as well. However, according to APR, in India the Government often prefer having only one international donor per project.

geographical disaggregation. As an alternative, project-level data (existing studies, surveys) may have to be used as a reference.

Graph 1.

**Reconstructed pathway to results of the 2011 COSOP**



**Key assumptions and observations (IOE)**

| <i>From lending and non-lending to COSOP objectives</i>  | <i>From COSOP objectives to over-arching goals</i>   |
|--|--|
| <p><i>Observations</i></p> <p>Most of the targets are established as summation of individual project-level targets. However, there is one target that has unclear causal path relation to IFAD's programme (3% growth in employment in ag sector in target area, which is beyond influence of projects)</p> <p><i>Key assumptions:</i></p> <ul style="list-style-type: none"> <li>- Lending operations: a substantial amount of project funding is devoted to promote agricultural technology, financial services and marketing or processing.</li> <li>- Non-lending. There assumption is that are a set of activities planned and resources will be available, when necessary, to implement them.</li> </ul> | <p><i>Observations</i></p> <p>No target is set about the size of expected increase for income, asset and food security.</p> <p><i>Key assumptions:</i></p> <ul style="list-style-type: none"> <li>- (i) surplus production can be marketed at a price that allows farmers to at least cover production costs; (ii) there are no legal barriers to poor households' access to technology, financial resources or natural resources (if there are they can be controlled); (iii) there is no massive elite capture.</li> </ul> |

57. **Conclusions and recommendations.** The report will provide conclusions and recommendations. Conclusions present a storyline of the report, logically correlated to findings but adding value by highlighting consequences and implication of findings, further exploring proximate explanation (the "why" question) and highlighting a selected number of higher-level issues that readers should take away from the report.
58. Conclusions will lead the way to recommendations, which are forward-looking propositions aiming at building on existing programme strengths, filling strategic or operational gaps and improving the performance and development results of IFAD. The CPE will keep the recommendations to a manageable number, avoiding redundancy, prioritising them and presenting them in an action-oriented form, so as to facilitate their adoption by IFAD and its partners. Recommendations will take into account the volume of resources available to IFAD, although they may not all be budget-neutral.

**D. The evaluation process**

59. IOE will start the evaluation with a *desk review* of project and non-project activities and strategic issues, following the Evaluation Manual. Individual project desk reviews will be summarised in a working paper which will provide guidance to the main mission in terms of evidence available and knowledge gaps to be filled in.
60. A *preparatory mission* will be conducted by IOE to India in order to meet the main IFAD partners and explain the objectives, methods and process of the CPE exercise and to elicit their views on specific questions, issues and concerns that should be

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reflected in the CPE. Short field visits may be conducted to selected project areas, particularly to assess project evaluability status. Given the high number of projects to be reviewed by the CPE and the need to control the workload of the main mission, one project may be reviewed in the course of the preparatory mission, including through field visits. The preparatory mission may also be taken as an opportunity to select and recruit national consultants.

61. During the preparatory mission, IOE will organise two half-day seminars: (i) an introduction of the CPE for a broad set of actors (Government, project directors and state-level authorities, IFAD, international organizations, NGOs, research institutions and resource persons) in order to elicit their views on key questions and topics to be addressed by the CPE; (ii) presentation of the results of a recent IOE impact evaluation of the Jharkhand-Chhattisgarh Tribal Development Programme.
62. IFAD-APR, the project teams and national government have conducted a *self-assessment* of the portfolio of current projects, of the non-lending activities and of the 2011 COSOP performance. The self-assessment follows the criteria and definitions in the Evaluation Manual. The objective is not to produce a lengthy report but rather to provide IOE with an illustration of the available sources of information and evidence on the three CPE pillars and a representation of the understanding on the programme's strengths and weaknesses from the perspective of the management teams, state and national Government and IFAD.
63. The *main evaluation mission* will be fielded for about four weeks. It will combine interviews in the federal capital as well as visits to the concerned states, including public authorities, representatives of international organizations, NGOs, research institutions and think tanks, private sector companies and community-based organizations.
64. The mission will include field visits to selected project sites and it is expected that three sub-teams may need to be formed in order to cover the large number of evaluable operations. The sub-teams will produce project-specific internal working papers which will be an input to the project-portfolio analysis of the main report. Given the available time and resources, it will not be possible to conduct extensive primary data analysis but interviews with key informants and beneficiaries and their organizations, as well as direct observations in the sites, will help triangulate and spot-check information available in project documentation and through interviews with IFAD, Government staff and other key informants.
65. Regarding interviews with national authorities, the evaluation team will interview former officials whenever staff turnover has recently taken place and it is necessary to draw from the knowledge and experience of the previous incumbent. The selection of persons to be interviewed will be made by IOE, benefiting from the exchanges with IFAD and national authorities and further interactions in India, and based on a stakeholder identification and analysis exercise.
66. At the end of the main mission, a PowerPoint presentation will be made to representatives of the central government in New Delhi, with the attendance of the Country Programme Manager and staff from the country office. In the states visited by the CPE, the team will conduct an oral debriefing session with project staff and state-level authorities at the end of the visits.
67. Before the conclusion of the mission, the evaluation team will hold a half-day internal workshop on report writing, in order to establish common understanding on: (i) the techniques to be used in processing, aggregating and displaying data obtained from different sources to arrive at findings and conclusions; and (ii) how to structure technical working papers, so that information can be more easily extracted for preparing the main report.

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68. The *report writing* phase will follow and include the drafting of thematic technical working papers and of the main report. The draft report will be submitted to an internal peer review in IOE that will include both a review of the evidence base and the robustness of the analysis and an assessment of the conclusions and recommendations (linkage with findings, capturing key country context issues and emerging issues, and avoiding redundancies).
69. As per recent practices, a revised report will be shared with IFAD-APR and the Government simultaneously for their review. The full report will be prepared in English, the official IFAD working language with India. The draft report will also be shared with co-financiers and other organizations, as required.
70. After comments have been received, the report will be revised independently by IOE and audit trails will be prepared to explain how comments were taken into consideration.<sup>41</sup> The report will then be finalized by IOE and a national round-table workshop will be organized in New Delhi to discuss the main findings and recommendations of the CPE, provide inputs for the preparation of the evaluation's Agreement at Completion Point (ACP), and reflect on key issues for the forthcoming India COSOP.
71. The final CPE report will be presented to the Evaluation Committee in 2016 and to the IFAD Executive Board at the same time as the new India COSOP is considered by the Board.
72. **Core Learning Partnership (CLP).** A standard feature in IFAD evaluations, the CLP will include the main users of the evaluation who will provide inputs, insights and comments at determined stage in the evaluation process. The CLP is important in ensuring ownership of the evaluation results by the main stakeholders and utilization of its recommendations. The CLP will be expected: (i) to provide comments in the approach paper; (ii) to review and comment on the draft CPE report; and (iii) to participate in the final workshop.
73. On a tentative basis, the following persons will be members of the CLP (Table 4). The list will be finalised at the conclusion of the preparatory mission.

Table 4

### Proposed Composition of the Core Learning Partnership

|   |
|---|
| <u>Federal Government</u><br>Mr J.K. Mohapatra, Secretary, Department of Rural Development, Ministry of Rural Development, New Delhi<br>Mr Vinay Sheel Oberoi, Secretary, Ministry of Women and Child Development, New Delhi<br>Mr Siraj Hussain, Secretary, Department of Agriculture & Co-operation, Ministry of Agriculture, New Delhi<br>Mr Hrusikesh Panda, Secretary, Ministry of Tribal Affairs, New Delhi<br>Mr Raj Kumar, Joint Secretary, Department of Economic Affairs Ministry of Finance, New Delhi<br>Ms Sindhushree Khullar, CEO, National Institution for Transforming India Aayog (NITI Aayog), New Delhi<br>Mr Rishikesh Singh, Director, Department of Economic Affairs, Ministry of Finance, New Delhi |
| <u>India Contact in Rome</u><br>Mr Vimlendra Sharan, Minister (Agriculture), Alternate Permanent Representative of the Republic of India to the United Nations Food and Agriculture Agencies in Rome  |
| <u>Non-governmental</u><br>- Representatives from NGOs (e.g., MYRADA)<br>- Tata Institute of Social Sciences<br>- Development Evaluation Society of India   |

<sup>41</sup> Written comments from the Government, from IFAD and other partners will be carefully reviewed by IOE. IFAD's Evaluation policy provides that IOE will immediately rectify all factual errors, inaccuracies and information gaps that may be brought to its attention. Disagreements on judgments will be treated case by case and may be presented in the final report as dissenting notes. To ensure transparency, IOE will prepare an audit trail showing how comments have been taken into consideration.

|   |
|---|
| <p><u>IFAD Staff</u></p> <p>Mr John Mc Intire, Associate Vice President, Programme Management Department</p> <p>Ms Josefina Stubbs, Associate Vice President, Strategy and Knowledge Department</p> <p>Mr Oscar A. Garcia, Director, Independent Office of Evaluation (IOE)</p> <p>Mr Ashwani Muthoo, Deputy Director, Independent Office of Evaluation (IOE)</p> <p>Mr Fabrizio Felloni, Lead Evaluation Officer, IOE</p> <p>Mr Nigel Brett, Country Programme Manager, APR</p> <p>IFAD Country Office in New Delhi (Mr Vincent Darlong, Ms Meera Mishra and Mr Sriram Subramaniam), APR</p> |
|---|

74. According to the IFAD Evaluation Policy, evaluations conclude with an Agreement at Completion Point, a document presenting the main findings and recommendations contained in the evaluation report that the Government and IFAD-PMD agree to adopt and implement within a specific timeline. The ACP will be prepared after the round-table workshop, so that it can benefit from the outcomes of the discussion. IOE does not sign the ACP and is only responsible for facilitating the process leading to the preparation of the ACP. After the Government and IFAD-PMD have agreed on the main follow-up actions, the ACP will be shared with IOE for review and comments and thereafter signed by the Government of India and the IFAD's Associate Vice President for Programmes. The responsibility for the timely completion of the ACP rests ultimately with the IFAD management and the Government. In particular, the ACP should be signed within three months of the date of the evaluation learning workshop, included in the final published report and presented as an annex in the COSOP document when it is discussed with the Executive Board of IFAD.
75. The Director, IOE will have the overall oversight of the CPE. The Lead Evaluator, Mr Fabrizio Felloni, Lead Evaluation Officer, IOE will be in charge of designing the methodology, recruiting specialists, exercising quality control and managing the overall exercise and will be responsible for team leadership and for the preparation of the final report. IOE will be ultimately responsible for the contents of the CPE report and the overall evaluation process. Mr Felloni will be supported by Ms Maria Cristina Spagnolo, Evaluation Assistant.
76. The main field mission will be conducted by a team of independent and external specialists under the responsibility and supervision of IOE. In addition to the above lead evaluator, the team will include Mr Nurul Alam, senior consultant in charge of assessing partners' performance, non-lending activities and strategic aspects; Mr Bram Prakash, senior economist and portfolio assessment specialist and two national consultants to be identified. The team will have to include expertise in agricultural extension, rural non-agricultural activities (e.g., rural enterprises), natural resource management and climate change, community-level institutions, rural finance, value chain development, gender equality. It will have to keep balance in terms of gender composition. The team will be supported by Ms Paola Nacamulli and Mr Prashanth Kotturi, consultants, who will provide desk review support. Mr Kotturi will also participate in the main mission and will work on both project-specific assessments as well as on grant-related interviews. The new conflict of interest rules issued in 2013 for IOE consultants will be applied to the team.
77. **Communication and dissemination events and products.** A CPE round-table learning workshop will be organised in New Delhi at the conclusion of the evaluation process. This learning event will allow a broader number of stakeholders, beyond the CLP, to discuss the results and the recommendations of the evaluation and their implications for the future collaboration of IFAD in India. This will be an important step before the Government of India and IFAD can sign the ACP.

## Draft

78. The final report (about 60 pages main text in English), including the ACP, will be distributed in hard copy to partners in India, posted on IFAD's public website and other websites maintained by the UN Evaluation Group, the Evaluation Cooperation Group, the OECD-DAC Evaluation Networks, and other relevant websites. IOE will also elaborate shorter (two page) documents that are more reader friendly and cater for a broader audience: (i) an evaluation profile (summarising key findings); and (ii) an evaluation insight (dedicated to a single theme).<sup>42</sup>
79. Other communication products have been tested by IOE in the past and could be used for this CPE as well: (i) an infographic showing the highlights and the main messages of the evaluation; (ii) an event announcement for the final workshop on the web (in addition to the announcement on IFAD intranet); (iii) a media advisory kit; (iv) a press release, sent to a broad list of media and press contacts; (v) a press conference hosted at the conference center on the day of the final workshop; (vi) social media coverage (e.g., Facebook and Twitter); (vii) a short video on the evaluation findings with interviews to IOE and PMD staff, Government representative and beneficiaries in the project sites.

Table 5

### Tentative Evaluation roadmap

| <i>Activity</i>   | <i>Date</i>                        |
|---|------------------------------------|
| Draft approach paper shared for peer review within IOE                                      | 11 May 2015                        |
| Deadline IOE Peer review comments   | 15 May 2015                        |
| Approach paper shared with APR  | 20 May 2015                        |
| APR Comments on approach paper  | 27 May 2015                        |
| Revised approach paper shared with Government   | 5 June 2015                        |
| Government comments on the approach paper   | 23 June 2015                       |
| <b>Preparatory mission to India</b>   | <b>9-20 June</b>                   |
| Approach paper finalised  | 5 July                             |
| Self-assessment by APR and Government   | Start in March - complete mid-June |
| <b>Main mission</b>   | <b>5-30 Oct 2015</b>               |
| Submission to IOE peer review   | 22 January 2016                    |
| IOE Peer review   | 29 January 2016                    |
| Draft report shared with APR and Government   | 12 February 2016                   |
| Mission to India to discuss comments with Government (to be confirmed) and prepare workshop | 20 February 2016                   |
| Comments by APR and the Government  | 4 March 2016                       |
| CPE National Roundtable workshop  | 3 <sup>rd</sup> week of April 2016 |

<sup>42</sup> The profile is a 1100 -word brochure capturing the main findings and recommendations. The insight focuses on one key learning issue emerging from an evaluation, with the intention of raising further attention and debate around the topic among development practitioners.

## Evaluation framework

| Criterion            | Guiding questions  | Sources   |
|----------------------|--|---|
|                      | <b>PORTFOLIO PERFORMANCE LEVEL</b>   |   |
| Relevance            | <p><u>(i) Relevance of the objectives</u></p> <ul style="list-style-type: none"> <li>Consistency of project design with Government policy, IFAD strategy (COSOP), national and local poverty context and needs of the poor.</li> <li>Adaptation to changing context (if applicable)</li> </ul> <p><u>(ii) Relevance of the design technical contents</u></p> <ul style="list-style-type: none"> <li>Did IFAD study the project context adequately? Did it prepare the components situation sufficiently? Information gaps?</li> <li>Internal logic of design (look at project log frame): consistent? Gaps? Strong assumptions?</li> <li>Adopting recognised good practices? Using available knowledge (evaluations, studies)?</li> <li>Allocating realistic resources?</li> </ul> | <p><u>Documents</u></p> <p>Gov official strategies (national, sectoral); IFAD COSOP, sectoral policies/strategies; IFAD project documentation (design, MTR, supervision, completion, previous evaluations).</p> <p>IFAD/Gov COSOP Self-assessment</p> <p><u>Interviews</u>: CPM (current and former), project staff, national sector experts</p> <p><u>Field visits</u>: may highlight local technical or agro-ecological constraints</p> |
| Effectiveness        | <p>Consider key project objectives and verify data on their achievement comparing (when possible) actual figures against expected figures (with some caution if the project is not completed). <u>Refer to the detailed project objectives in the design document</u> (e.g. appraisal report).</p> <p>If other unanticipated achievements have been made, these should be considered as well.</p> <p>Important to highlight factors that explain achievement and under-achievement</p>   | <p><u>Documents</u></p> <p>IFAD MTR, supervision, completion reports, previous evaluations. Tripartite programme review</p> <p>IFAD/Gov COSOP Self-assessment</p> <p><u>Interviews</u>: project staff, visit to project sites, interviews with beneficiaries, photographic documentation.</p>   |
| Efficiency           | <p>Economic use of resources to produce outputs or results</p> <p>Typical indicators:</p> <p>(i) % project management cost over total project costs (and compare with other projects and countries)</p> <p>(ii) project cost by beneficiary</p> <p>(iii) unit cost of delivering services/product, compare to country or regional benchmark (taking care of special cost related to reaching secluded areas);</p> <p>(iv) ex post EIRR calculation, if available</p> <p>(v) project managerial efficiency: time between project approval and effectiveness; completion delays, cost over-runs</p>  | <p><u>Documents</u></p> <p>IFAD project design documents, MTR, supervision, completion, previous evaluations. Tripartite programme review</p> <p>IFAD/Gov COSOP Self-assessment</p> <p>PPMS database for time between approval and effectiveness</p> <p><u>Interviews</u>: CPM and project staff (clarify reasons for delays or managerial bottlenecks)</p>   |
| Rural Poverty Impact | <p><u>Items to be considered across the board:</u></p> <ul style="list-style-type: none"> <li>Attribution/contribution issues: to what extent did the project play a role in the observed changes and <u>how</u></li> <li>Coverage: how many benefited</li> <li>Magnitude: how large are benefits</li> <li>Beneficiaries: what categories of people benefited and why</li> </ul> <p><u>Household income and assets</u></p> <p>Collect data, identify patterns for hh income diversification and range of changes</p> <p>Collect data on changes in housing quality, availability of livestock, appliances, durable goods, inventory for microenterprises</p> <p>Collect data on indebtedness if possible</p>   | <p><u>Documents</u></p> <p>IFAD MTR, supervision, completion reports, previous evaluations. Tripartite programme review and periodic "outcome survey" which are implemented every year by the projects. Tripartite programme review</p> <p>Note that for one project an impact evaluation conducted by IOE is available (Jharkhand-Chhattisgarh Tribal Development Programme).</p> <p>IFAD/Gov COSOP Self-assessment</p>                  |

| Criterion                                       | Guiding questions  | Sources   |
|---|--|---|
|   | <p><u>Human and social capital and empowerment</u><br/>           Observe patterns in changes in social cohesion, functioning of rural poor's organisations<br/>           Changes in the way the poor interact with authorities<br/>           Changes in the way certain categories (women, orphans, minorities) interact with others?</p> <p><u>Food security and agricultural productivity</u><br/>           Access to food<br/>           Evidence on children's nutritional status<br/>           Reduction in seasonal fluctuation in food availability</p> <p><u>Natural resources and the environment</u><br/>           Changes in the availability of natural resources (forest, water, topsoil, fish, vegetable cover)<br/>           Changes in capacity to manage natural resources<br/>           Changes in exposure to environmental risks (e.g. flooding, landslides)</p> <p><u>Institution and policies</u><br/>           Consider changes in issues such as land tenure and security, protection/regulation of savings for rural poor, access to market, price information</p> | <p><u>Interviews</u>: CPM, project staff,<br/> <u>Field visits</u>: observation, individual interviews, focus groups, photographic documentation.</p>   |
| Sustainability                                  | <p>Consider the main benefits generated by the project and consider a scenario where external resources are going to reduce and terminate.</p> <p>Address questions such as the following:</p> <ul style="list-style-type: none"> <li>• What has been foreseen in the project design for this situation?</li> <li>• Is there political support at national/local level?</li> <li>• Will there be need for external technical assistance?</li> <li>• Are economic activities profitable?</li> <li>• Will there be resources for recurrent and maintenance costs?</li> <li>• Are there environmental threats?</li> </ul>   | <p><u>Documents</u><br/>           IFAD design, MTR, supervision, completion reports, previous evaluations. Tripartite programme review.<br/>           IFAD/Gov COSOP Self-assessment</p> <p><u>Interviews</u>: CPM, project staff,<br/> <u>Field visits</u>: observation, individual interviews</p>   |
| Pro-poor innovation, replication and scaling up | <p>Are there innovations in the programme (new techniques, practices, approaches)?</p> <p>Are innovations working as expected? Are they useful?</p> <p>Is the project helping expand the adoption of the innovation? How?</p> <p>Is there a plan to up-scale the innovation? With what type of funding?</p> <p>Are there any threats or limits to the up-scale the innovations?</p>  | <p><u>Documents</u><br/>           IFAD design, MTR, supervision, completion reports, previous evaluations. Tripartite programme review.<br/>           IFAD/Gov COSOP Self-assessment</p> <p><u>Interviews</u>: CPM, project staff,<br/> <u>Field visits</u>: observation, individual interviews, focus groups, photographic documentation</p> |
| Gender equality                                 | <ul style="list-style-type: none"> <li>- Quality of the gender analysis at design</li> <li>- Whether the project addresses the three axes of the Gender Action Plan (2003) and Gender Policy (2012): (i) expand women's access to and control over fundamental assets – capital, land, knowledge and technologies; (ii) strengthen women's agencies – their decision-making role in community affairs and representation in local institutions; and (iii) improve women's well-being and ease their workloads by facilitating access to basic rural services and infrastructures.</li> <li>- How this was followed up at implementation</li> </ul>   | <p><u>Documents</u><br/>           IFAD design, MTR, supervision, completion reports, previous evaluations. Tripartite programme review.<br/>           IFAD/Gov COSOP Self-assessment</p> <p><u>Interviews</u>: CPM, project staff, <u>Field visits</u>: observation, individual</p>   |

| Criterion   | Guiding questions  |  | Sources  |
|---|--|--|--|
|   | - Results in terms of the above three axes   |  | interviews, focus groups, photographic documentation   |
| Performance of partners   | IFAD<br>Government   | Look at specific issues that pertain to the design of projects, management, fiduciary aspects, supervision and implementation technical support and (for Gov) enacting policies that can enhance project effectiveness | <u>Documents</u><br>IFAD design, MTR, supervision, completion reports, previous evaluations. Tripartite programme review.<br><br>IFAD/Gov COSOP Self-assessment<br><u>Interviews</u> : CPM, project staff, Senior Government officials |
| <b>NON- LENDING</b>   |  |  |  |
| <b>Partnership building</b>   | Review partnership building vis à vis COSOP 2011 and consider other emerging issues (if applicable)  |  | <u>Documents</u><br><br>IFAD/Gov Tripartite COSOP Self-assessment<br><br><u>Interviews</u> : CPM, Senior Government officials, project staff   |
|   | (i) Government follow-up on key issues highlighted by the 2010 CPE, such as high turn-over of staff which made partnerships (operational and strategic level) more challenging; (ii) articulation of relationships between central and state Government and level of engagement of central sectoral ministries; (iii) partnership with private sector entities, an emerging potential partner for rural development; (iv) quality of IFAD's cooperation with prominent NGOs and think tanks, not only as an aspect of project implementation but also as an instrument for knowledge management. |  |  |
| <b>Policy Dialogue</b><br><br><i>Sub criteria: relevance and effectiveness</i>      | Review policy dialogue vis à vis COSOP 2011 objectives and consider other emerging issues (if applicable)  |  | <u>Documents</u><br><br>IFAD/Gov Tripartite COSOP Self-assessment<br><br><u>Interviews</u> : CPM, Senior Government officials, project staff   |
|   | What are the resources available?<br><br>How is of policy dialogue articulated between actors at the State level and central level?<br><br>Realistically, what are the opportunities and spaces for policy dialogue that the Government of India (central level) and state governments would allow for IFAD?   |  |  |
| <b>Knowledge Management</b><br><br><i>Sub criteria: relevance and effectiveness</i> | Review knowledge management vis à vis COSOP 2011 objectives and consider other emerging issues (if applicable)   |  | <u>Documents</u><br><br>IFAD/Gov Tripartite COSOP Self-assessment<br><br><u>Interviews</u> : CPM, Senior Government officials, project staff   |
|   | What is the type and level of resources dedicated to documenting and systematizing operational experiences and bringing them to policy makers (at the state and central government levels)?<br><br>What have been the engagement and results in south-south knowledge management (sharing of experience and knowledge)?  |  |  |
| <b>COSOP PERFORMANCE</b>  |  |  |  |
| <b>Relevance</b>  | <p>1. <i>Alignment of strategic objectives in the COSOP</i></p> <p>Overall goal: improve income and food security of poor households in project area.</p> <p>Objectives:</p> <ol style="list-style-type: none"> <li>1. Increased access to agricultural technologies and natural resources.</li> <li>2. Increased access to financial services and value chains.</li> </ol> <ul style="list-style-type: none"> <li>• Consistency of COSOP objectives to IFAD policies and strategic framework</li> <li>• Adaptation to context changes</li> </ul>  |  | <u>Documents</u><br>IFAD design, MTR, supervision, completion reports. Tripartite programme review.<br><br>IFAD/Gov COSOP Self-assessment<br><br><u>Interviews</u> : CPM, Senior Government officials, project staff, group            |

| Criterion            | Guiding questions   | Sources                                     |
|----------------------|---|---|
|                      | <ul style="list-style-type: none"> <li>• Is the intervention paradigm drawing from known good practices in India and in the South-Asia region?</li> <li>• Is there a real programme in India: are projects and grants consistent with COSOP and working in synergy?</li> <li>• Are there strategic gaps?</li> <li>• Is COSOP formulation conducive to results-based management?</li> </ul> <p><i>2. Coherence of the main element of the COSOP</i></p> <ul style="list-style-type: none"> <li>• Issues in Targeting</li> <li>• Issues in geographic focus</li> <li>• Lending – non-lending synergies within IFAD programme</li> <li>• Relations with other development partners</li> <li>• Other issues regarding the COSOP ingredients</li> </ul>  | discussion with national sector specialists |
| <b>Effectiveness</b> | <p><i>Achievement of the objectives</i></p> <p><i>1. Look at indicators proposed in COSOP and actual indicators in 2015 (discuss issue of attribution if indicators are too "macro")</i></p> <p><i>2. Map portfolio as well as non-lending activities that relate to COSOP indicators and summarise key findings from chapters IV and VI</i></p> <p><i>3. Management of the programme</i></p> <ul style="list-style-type: none"> <li>• Did the supervision and implementation support arrangements perform well overall?</li> <li>• Is IFAD country presence providing the right type of support to the programme?</li> <li>• Did IFAD learn from past evaluations and from past experience?</li> </ul> <p>What type of <u>technical assistance</u> and <u>capacity development</u> support was provided to the national counterpart and was it adequate?</p> |   |

## List of IFAD Projects approved in India since 1979

| Project ID | Project Name  | Project Type <sup>43</sup>    | Total Cost (in million US\$) | IFAD Fin (in million US\$) <sup>44</sup> | Co-financing (in million US\$)      | Govt. Funding (in million US\$) <sup>45</sup> | Beneficiary Contribution | Co-financier                             | Board Approval | Loan Effectiveness | Project Completion | Planned/Actual Closing Date <sup>46</sup> | Current Status |
|------------|---|-------------------------------|------------------------------|--|-------------------------------------|---|--------------------------|--|----------------|--------------------|--------------------|---|----------------|
| 023        | Bhima Command Area Development Project                    | Irrigation                    | 100                          | 50                                       | -                                   | 50  |                          |  | 18/09/1979     | 14/12/1979         | 16/04/1984         | 16/10/1984                                | Closed         |
| 032        | Rajasthan Command Area Development and Settlement Project | Rural Development             | 110.6                        | 55                                       | -                                   | 55.6  |                          |  | 19/12/1979     | 03/03/1980         | 30/06/1988         | 31/12/1988                                | Closed         |
| 049        | Sundarban Development Project                             | Rural Development             | 37.8                         | 17.5                                     |                                     | 20.3  |                          |  | 03/12/1980     | 04/02/1981         | 31/12/1988         | 30/06/1989                                | Closed         |
| 081        | Madhya Pradesh Medium Irrigation Project                  | Irrigation                    | 232.1                        | 25                                       | 140                                 | 67.1  |                          | IDA                                      | 17/12/1981     | 17/09/1982         | 30/09/1987         | 31/03/1988                                | Closed         |
| 124        | Second Uttar Pradesh Public Tubewells Project             | Irrigation                    | 182.2                        | 30.1                                     | 91                                  | 56  |                          | IDA                                      | 21/04/1983     | 06/10/1983         | 30/09/1990         | 31/03/1991                                | Closed         |
| 214        | Orissa Tribal Development Project                         | Rural Development             | 24.4                         | 12.2                                     | 1.4                                 | 10.8  |                          | WFP                                      | 03/12/1987     | 27/05/1988         | 30/06/1997         | 31/12/1997                                | Closed         |
| 240        | Tamil Nadu Women's Development Project                    | Credit and Financial Services | 30.6                         | 17                                       | 9.1 (local financial institutions)  | 4.5   |                          | NABARD and commercial banks              | 26/04/1989     | 26/01/1990         | 30/06/1998         | 31/12/1998                                | Closed         |
| 282        | Andhra Pradesh Tribal Development Project                 | Agricultural Development      | 46.5                         | 20                                       | 7.5                                 | 15.8 (6.6 mn of institutional finance)        | 3.2                      | Netherlands, UNFPA                       | 04/04/1991     | 27/08/1991         | 30/09/1998         | 31/03/1999                                | Closed         |
| 325        | Maharashtra Rural Credit Project                          | Credit and Financial Services | 48.35                        | 29.1                                     | 4.18 (including 1.6 by local banks) | 14.9  |                          | UNDP, Worldview International Foundation | 06/04/1993     | 06/01/1994         | 31/03/2002         | 30/09/2002                                | Closed         |

<sup>43</sup> As given on IFAD website

<sup>44</sup> IFAD core funding as given in PPMS (now GRIPS) and IFAD website

<sup>45</sup> Both National and Local government funding

<sup>46</sup> In case of ongoing projects planned closing dates while in case of closed projects actual closing dates

| Project ID | Project Name  | Project Type <sup>43</sup>    | Total Cost (in million US\$) | IFAD Fin (in million US\$) <sup>44</sup>  | Co-financing (in million US\$)                                      | Govt. Funding (in million US\$) <sup>45</sup> | Beneficiary Contribution | Co-financier                                  | Board Approval | Loan Effectiveness | Project Completion | Planned/Actual Closing Date <sup>46</sup> | Current Status     |
|------------|---|-------------------------------|------------------------------|---|---|---|--------------------------|---|----------------|--------------------|--------------------|---|--------------------|
| 349        | Andhra Pradesh Participatory Tribal Development Project                     | Agricultural Development      | 50.3                         | 26.7                                      | 10.41 (Including 5.04 of financing by local financial institutions) | 9.4   | 3.76                     | Netherlands, NABARD                           | 19/04/1994     | 18/08/1994         | 30/09/2002         | 31/03/2003                                | Closed             |
| 432        | Mewat Area Development Project  | Rural Development             | 22.3                         | 14.9                                      | 6.6   |   | 0.7                      |   | 12/04/1995     | 07/07/1995         | 31/12/2004         | 30/06/2005                                | Closed             |
| 1012       | Rural Women's Development and Empowerment Project                           | Rural Development             | 53.5                         | 19.2                                      | 19.4 (Incl. 8.52 mn from local financial institutions)              | 3.7   | 2.9                      | World Bank, local commercial banks and NABARD | 05/12/1996     | 19/05/1999         | 30/06/2005         | 31/12/2005                                | Closed             |
| 1040       | North Eastern Region Community Resource Management Project for Upland Areas | Agricultural Development      | 73.42                        | 42.89 (Incl. supplementary loan of 20 mn) | 3.26 (local financial institutions)                                 | 20.5  | 3.7                      |   | 29/04/1997     | 23/02/1999         | 31/03/2008         | 30/09/2008                                | Ongoing (Phase II) |
|            |   |                               |                              |   |   |   |                          |   | 17/12/2009     | 12/07/2010         | 30/09/2016         | 31/03/2017                                |                    |
| 1063       | Jharkhand-Chhattisgarh Tribal Development Programme                         | Rural Development             | 41.7                         | 22.9                                      | 10.5  | 4.7   | 3.3                      | DFID  | 29/04/1999     | 21/06/2001         | 30/06/2012         | 31/12/2012                                | Closed             |
| 1121       | National Microfinance Support Programme                                     | Credit and Financial Services | 134                          | 21.9                                      | 112 (Incl. 88.5 mn from local financial institutions)               |   |                          | DFID  | 04/05/2000     | 01/04/2002         | 30/06/2009         | 31/12/2009                                | Closed             |
| 1155       | Orissa Tribal Empowerment and Livelihoods Programme                         | Agricultural Development      | 106.15                       | 35  | 40  | 17.5  | 9.10                     | DFID  | 23/04/2002     | 15/07/2003         | 31/03/2015         | 30/09/2015                                | Ongoing (Phase II) |
|            |   |                               |                              |   |   |   |                          |   | 25/11/2013     | 27/01/2014         | 31/03/2016         | 30/09/2016                                |                    |
| 1210       | Livelihood Security Project for Earthquake Affected Rural                   | Agricultural Development      | 23.9                         | 14.9                                      | 6.6 (Incl. 1.7 mn from local NGO)                                   | 1.65  | 0.7                      | WFP, SEWA                                     | 12/09/2001     | 04/10/2002         | 15/06/2009         | 15/12/2009                                | Closed             |

| Project ID | Project Name  | Project Type <sup>43</sup>    | Total Cost (in million US\$) | IFAD Fin (in million US\$) <sup>44</sup> | Co-financing (in million US\$)                           | Govt. Funding (in million US\$) <sup>45</sup> | Beneficiary Contribution | Co-financier               | Board Approval | Loan Effectiveness | Project Completion | Planned/Actual Closing Date <sup>46</sup> | Current Status |
|------------|---|-------------------------------|------------------------------|--|--|---|--------------------------|----------------------------|----------------|--------------------|--------------------|---|----------------|
|            | Households in Gujarat   | ent                           |                              |  |  |   |                          |                            |                |                    |                    |   |                |
| 1226       | Livelihoods Improvement Project in the Himalayas  | Credit and Financial Services | 84.3                         | 39.9                                     | 23.4 (From local financial institutions)                 | 11.44   | 9.49                     |                            | 18/12/2003     | 01/10/2004         | 31/12/2012         | 30/06/2013                                | Closed         |
| 1314       | Tejaswini Rural Women's Empowerment Programme   | Credit and Financial Services | 223.7                        | 54.4                                     | 142.3 (From local financial institutions)                | 12.75   | 13.9                     |                            | 13/12/2005     | 23/07/2007         | 30/09/2017         | 31/03/2018                                | Ongoing        |
|            |   |                               |                              |  |  |   |                          |                            | 24/03/2014     | 26/06/2014         | 30/09/2017         | 31/03/2018                                |                |
| 1348       | Post-Tsunami Sustainable Livelihoods Programme for the Coastal Communities of Tamil Nadu  | Credit and Financial Services | 68.6                         | 30                                       | 24.9 (local financial institutions)                      | 3.4   | 10.34                    |                            | 19/04/2005     | 09/07/2007         | 10/05/2014         | 10/05/2014                                | Ongoing        |
|            |   |                               |                              |  |  |   |                          |                            | 20/04/2006     | 19/01/2009         | 31/03/2017         | 30/09/2017                                |                |
| 1381       | Women's Empowerment and Livelihoods Programme in the mid-Gangetic Plains                  | Credit and Financial Services | 52.5                         | 30.1                                     | 18.09 (from local financial institutions)                | 1.7   | 2.47                     |                            | 14/12/2006     | 04/12/2009         | 31/12/2017         | 30/06/2018                                | Ongoing        |
| 1418       | Mitigating Poverty in Western Rajasthan Project   | Rural Development             | 62.54                        | 30.9                                     | 7.63 (4.43 from local financial institutions)            | 21.36   | 2.6                      | Tata Trust                 | 24/04/2008     | 11/12/2008         | 31/12/2016         | 30/06/2017                                | Ongoing        |
| 1470       | Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme | Agricultural Development      | 118.6                        | 41.1                                     | 36.13 (Incl. 14.54 mn from local financial institutions) | 37.6  | 3.6                      | Tata Trust, Private sector | 30/04/2009     | 04/12/2009         | 31/12/2017         | 30/06/2018                                | Ongoing        |
| 1617       | Integrated Livelihood Support Project   | Agricultural Development      | 258.79                       | 89.9                                     | 109.8 (local financial institutions)                     | 48.8  | 10.97                    |                            | 13/12/2011     | 01/12/2012         | 31/03/2019         | 30/09/2019                                | Ongoing        |
| 1649       | Jharkhand Tribal Empowerment and Livelihoods Project                                      | Agricultural Development      | 115.5                        | 51                                       |  | 62.92 (55 million from other domestic)        | 0.9                      |                            | 21/09/2012     | 04/10/2013         | 31/12/2021         | 30/06/2022                                | Ongoing        |

| Project ID | Project. Name  | Project. Type <sup>43</sup> | Total Cost (in million US\$) | IFAD Fin(in million US\$) <sup>44</sup> | Co-financing (in million US\$)                              | Govt. Funding (in million US\$) <sup>45</sup> | Beneficiary Contribution | Co-financier | Board Approval | Loan Effectiveness | Project Completion | Planned/ Actual Closing Date <sup>46</sup> | Current Status |
|------------|--|-----------------------------|------------------------------|---|---|---|--------------------------|--------------|----------------|--------------------|--------------------|--|----------------|
|            |  | ent                         |                              |   |   | govt sources such as MNREGA)                  |                          |              |                |                    |                    |  |                |
| 1715       | Livelihoods and Access to Markets Project                    | Rural Development           | 169.9                        | 50                                      | 57.5 (29.3 from local banks and 28.2 from other programmes) | 49.6  | 12.7                     |              | 08/04/2014     | 09/12/2014         | 31/12/2022         | 30/06/2023                                 | Ongoing        |
| 1743       | Odisha PTG Empowerment and Livelihoods Improvement Programme | Rural Development           | 130.39                       | 51.2                                    |   | 76.18   | 3                        |              | 22/04/2015     | -                  | -                  | -  | Approved       |

Source: GRIPS, IFAD Website and IFAD Xdesk. All data as of 24 April, 2015

## List of IFAD-funded grants with activities in India since 2010

| Grant Number | Grant Title  | Grant Type      | Recipient           | Benefitting Countries   | IFAD Financing Amount | Approval Date | Completion Date | Closing Date | Task Manager   |
|--------------|--|-----------------|---------------------|---|-----------------------|---------------|-----------------|--------------|----------------|
| 998          | Asia and the Pacific Region Asian Project Management Support (APMAS) programme   | Global/Regional | AIT                 | Cambodia, Lao PDR, India, Viet Nam  | 1400,000              | 15/09/2009    | 31/12/2013      | 30/06/2014   | Palmeri        |
| 1108         | Enabling Poor Rice Farmers to improve Livelihoods and Overcome Poverty in South and South-East Asia through the Consortium for Unfavourable Rice Environments (CURE)   | Global/Regional | IRRI                | Nepal, India, Philippines, Indonesia, Vietnam, Laos, Cambodia (Myanmar and Thailand will be covered by other donor partners' grants)  | 1500,000              | 30/04/2009    | 30/09/2013      | 31/03/2014   | Thapa          |
| 1113         | Programme on Livelihoods and Ecosystem Services in the Himalayas: Enhancing Adaptation Capacity and Resilience of the Poor to Climate and Socio-Economic Changes       | Global/Regional | ICIMOD              | Bhutan, India, Nepal  | 1500,000              | 30/04/2009    | 30/06/2013      | 31/12/2013   | Thapa          |
| 1265         | BHUTAN CLIMATE SUMMIT 2011   | Global Regional | Ministry of Finance | Bhutan, Bangladesh, Nepal and India   | 200,000               | 21/12/2010    | 30/09/2012      | 30/06/2013   | Darlong        |
| 1356         | Sending Money Home to Asia and the Pacific: Markets and Regulatory Framework   | Global/Regional | IBRD                | Afgh, BD, Camb, China, Fiji, India, ID, Iran, Kaza, Korea, Kyrgyzstan, Lao, Malaysia, MV, Mong, Myanmar, NP, Pak, PNG, PH, Rep Korea, SL, Taj, Thailand, Timor-Leste, Tonga, VT | 300,000               | 15/03/2012    | 31/05/2013      | 20/01/2014   | De Vasconcelos |
| 1311         | Enhancing dairy-based livelihoods in India and Tanzania through innovation and value-chain development approaches  | Global/Regional | ILRI                | India, Tanzania   | 100,000               | 29/08/2011    | 31/12/2014      | 30/06/2015   | Rota           |
| 1279         | Safe Nutrient, Water and Energy Recovery: Developing a Business Case   | Global/Regional | IWMI                | Bangladesh, India, VT, China (Ghana, Uganda, Botswana)  | 650,000               | 04/05/2011    | 30/09/2014      | 30/03/2015   | Cleveringa     |
| 1241         | Reinforcing the resilience of Poor Rural Communities in the Face of Food Insecurity, Poverty and Climate Change through on-farm Conservation of Local Agrobiodiversity | Global/Regional | Bioversity          | India, Nepal (Bolivia)  | 975,000               | 05/12/2010    | 31/03/2015      | 30/09/2015   | Alcadi         |

| Grant Number | Grant Title  | Grant Type       | Recipient  | Benefitting Countries  | IFAD Financing Amount | Approval Date | Completion Date | Closing Date | Task Manager   |
|--------------|--|------------------|--|--|-----------------------|---------------|-----------------|--------------|----------------|
| 1431         | Strengthening Knowledge on Global Food Availability and Utilization  | Global/Regional  | FAO/AMIS   | China, India, Indonesia, Thailand, Vietnam and the Philippines                           | 200,000               | 12/12/2012    | 31/03/2015      | 30/09/2015   | Garbero        |
| 707-IPAF     | Reclaiming the Commons with Women's Power: Eco-village development in Tribal Odisha  | Country Specific | Amasangathan   | India  | 43,500                | 04/07/2012    | 04/07/2014      |              | Cordone        |
| 45-IPAF      | Promoting Culture, Human Rights & Socio-Economic Opportunities Of The Hmars.   | Country Specific | Bible Hill Youth Club & Hill Tribes Mission Aid of India | India  | 32000                 | 09/05/2012    | 09/05/2014      |              | Cordone        |
|              | Activities financed under the "Legal Empowerment of Women Programme" (LEWI) Supplementary Funds from Canada to IFAD  | Country Specific | -  | India  | -                     | 31/08/2008    | 30/11/2011      | 31/12/2011   | Palmeri        |
| 1034         | Food and Agriculture Organization of the United Nations/Self Employed Women's Association (FAO/SEWA): Medium-term Cooperation Programme with Farmers' Organizations in Asia and the Pacific Region | Global/Regional  | FAO  | India, Nepal, Sri Lanka, Cambodia, Indonesia, Laos, Myanmar, Philippines, Vietnam, China | 1,083,000             | 25/04/2008    | 31/12/2012      | 30/09/2013   | Jatta          |
| 1130         | First Asia Regional Gathering of Pastoralist Women in Gujarat  | Global/Regional  | MARAG  | India  | 200,000               | 12/06/2009    | 30/06/2011      | 06/06/2012   | Puletti        |
| 200000029400 | Sensitization and effective implementation of policies on pastoral and common lands (component III)  | Global/Regional  | MARAG  | India  | 20,320                | 1/11/2012     | 01/10/2014      | 01/04/2015   | Sabine Pallas  |
| 200000069800 | ILC Asia Land Forum and Regional Assembly 2014 - Mera Gav Meri Jamin (Land for Dignity)  | Global/Regional  | MARAG  | India  | 72,100                | 26/05/2014    | 01/12/2014      | 01/06/2015   | Annalisa Mauro |
| 1239         | Root and Tuber Crop Research   | Global/Regional  | CIP/FoodStart  | Bangladesh, China, India, Philippines  | 1,450,000             | 05/12/2010    | 31/03/2015      | 30/09/2015   | Jatta          |
| 1317         | Development of Alternative Biofuel Crops   | Global/Regional  | ICRAF  | Brazil, Colombia, Egypt, India, Mali, Nicaragua, Philippines, Zambia                     | 1,500,000             | 15/09/2011    | 31/12/2016      | 30/12/2017   | Mathur         |
| 1363         | Rainfed Crop-based Production  | Global/Regional  | ICRISAT  | India, Laos, Nepal, Viet Nam   | 15,00,000             | 07/04/2012    | 30/06/2016      | 31/12/2016   | Darlong        |

| <b>Grant Number</b> | <b>Grant Title</b>   | <b>Grant Type</b> | <b>Recipient</b> | <b>Benefitting Countries</b>  | <b>IFAD Financing Amount</b> | <b>Approval Date</b> | <b>Completion Date</b> | <b>Closing Date</b> | <b>Task Manager</b> |
|---------------------|--|-------------------|------------------|---|------------------------------|----------------------|------------------------|---------------------|---------------------|
| 1447                | MTCP-2   | Global/Regional   | AFA              | Bangladesh, Bhutan, Cook Is., China, Fiji, Cambodia, India, Indonesia, Laos, Sri Lanka, Myanmar, Nepal, Philippines, Samoa, Solomon Islands, Tonga, Viet Nam, Vanuatu | 2,000,000                    | 07/07/2013           | 30/09/2018             | 31/03/2019          | Thierry             |
| 2000000102          | Livelihoods and Resilience HKH   | Global/Regional   | ICIMOD           | Bangladesh, India, Myanmar, Nepal   | 12,00,000                    | 25/11/2013           | 31/03/2017             | 30/09/2017          | Bresciani           |
| 2000000108          | Documenting Global Best Practices on Sustainable Models RuFBEP   | Global/Regional   | APRACA           | China, India, Indonesia, Philippines, Thailand  | 11,00,000                    | 09/12/2013           | 31/03/2018             | 30/09/2018          | Pedersen            |
| 1433                | M&E in India and Bhutan  | Global/Regional   | IFPRI            | Bhutan, India   | 500,000                      | 20/12/2012           | 31/03/2016             | 30/09/2016          | Darlong             |
| 200000021000        | Mobiles for Mobility (M4M): Ensuring timely access to information for pastoralists through a mobile-phone focused information Hub (360,000 US\$) | Global/Regional   | MARAG            | India   | 360,000                      | 16/10/2013           | 31/12/2015             | 30/09/2016          | Jeong               |

## Recommendations of the 2010 India CPE and actions taken in the COSOP 2011

| 2009 CPE Recommendations |   |  | 2010-2015 COSOP  | Remarks from 2014/2015 Reviews <sup>47</sup>   |
|--------------------------|---|--|--|--|
| Category                 | Recommendation  | Sub-theme  |  |  |
| Strategic issues         | <b>1. Give more priority to smallholder agriculture</b> | Include sustainable smallholder agriculture as a thrust area, as an engine for promoting pro-poor growth and reducing hunger and rural poverty.  | Reflected in COSOP, which indicates that it will be aligned with IFAD's Strategic Framework -where smallholder agriculture is viewed as a profitable sector linked to markets and value chains. Specific programme strategies are also defined: (i) farming systems based on the sustainable use of natural resources; (ii) a detailed review of risk-coping mechanisms, prioritizing risk-minimizing strategies and low-cost production systems; (iii) provision of micro insurance services; and (iv) access to payments for environmental services. | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews. |
|                          |   | Include emphasis on promoting the viability and risk-management of farming activities by smallholder farmers, with specific attention to rainfed areas and emphasis on water conservation, livestock development, and crop production. | Reflected in COSOP, which specifies that all future projects will be sited in rainfed areas. Under Strategic Objective 1 (SO1), COSOP explicitly states a focus on (i) in situ water conservation; (ii) sustainable crop and livestock development; and (iii) agricultural research and extension of low-cost, pro-poor technologies.  | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews. |
| Strategic issues         | <b>2. Targeting and reduced geographic coverage.</b>    | Devote greater emphasis to smallholder farmers, but also to rural women and tribal communities.  | Reflected in COSOP, which targets (i) tribal communities; (ii) smallholder farmers; (iii) landless people; (iv) women; and (v) unemployed youth.   | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews. |
|                          |   | Narrow geographic focus and not expand beyond the 11 states covered by ongoing operations.   | Reflected in COSOP, which limits geographic focus to states where IFAD had ongoing projects at the time of COSOP's design.   | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews. |
|                          |   | Avoid two-state projects through one loan and one supervision budget.  | COSOP includes this as a recommendation for future projects. The two tentative project concepts included in the COSOP are one-state-projects <sup>48</sup> .   | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews. |

<sup>47</sup> Most remarks are based on the annex "Progress against CPE recommendations", prepared by the Programme Management Department (PMD), and included in all 2010-2015 COSOP Reviews.

<sup>48</sup> *Integrated Livelihood Support Project-State of Uttarakhand and Integrated Tribal Community Development Project in the State of Jharkhand.*

|                  |  |   |   |  |
|------------------|--|---|---|--|
|                  |  | Opportunities to work in conflict areas could be pursued in consultation with Government. | Although COSOP does not clearly reflect a focus on conflict areas, it indicates that social unrest will be mitigated through different strategies. Moreover, the tentative project concept of the <i>Integrated Tribal Community Development Project in the State of Jharkhand</i> , included in the COSOP, has a focus on conflict and peace building. | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews, which indicate the <i>Jharkhand Tribal Empowerment and Livelihoods Project (2012)</i> and the <i>Odisha Particularly Vulnerable Tribal Groups Empowerment and Livelihoods Project</i> (due to be approved in 2015) as projects with a focus on conflict areas.  |
| Strategic issues | <b>3. Enhance private sector engagement in line with corporate social responsibility principles.</b> | Enhance partnership with the private sector.  | Reflected in COSOP, which recognises partnering with the private sector as a priority to be strengthened.   | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews, recognising active agri-business partnerships with a large number of private sector companies and growing partnership with the Industrial Credit and Investment Corporation of India (ICICI) Bank <sup>49</sup> .   |
| Strategic issues | <b>4. Innovation with deeper attention to replication and up scaling</b>                             | Include a well-defined innovations agenda.  | Reflected in COSOP (section IV C), which identifies opportunities for innovation in renewable energy, resilience to climate change, remittances and micro insurance, fair and effective value chains and Information and Communication Technology (ICT).  | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews recognizing replication and scaling-up in the following projects: (i) <i>North Eastern Region Community Resource Management Project for Upland Areas</i> ; (ii) <i>Integrated Livelihood Support Project</i> ; (iii) <i>Jharkhand Tribal Empowerment and Livelihoods Project</i> ; (iv) <i>Livelihoods and Access to Markets Project</i> ; (v) <i>Orissa Tribal Empowerment and Livelihoods Programme</i> ; (vi) <i>Odisha Particularly Vulnerable Tribal Empowerment and Livelihoods Improvement Programme</i> (due to be approved in 2015); (vii) <i>Tejaswini Rural Women's Empowerment Programme (TRWEP)</i> additional finance and Shaurya Initiative <sup>50</sup> . |
|                  |  | Explicit the approach pursued for replication and up scaling.                             | Reflected in COSOP where replication and scaling up of successful ideas and innovations is recognized as focus area to reach greater numbers of poor rural people.  | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews, indicating that scaling-up concept notes have led to new project designs, building on successful previous IFAD projects.  |

<sup>49</sup> ICICI Bank is an Indian multinational banking and financial services company. As of 2014 it was the second largest bank in India in terms of assets and market capitalization.

<sup>50</sup> According to 2015 COSOP Review, following the scaling-up of TRWEP across the entire State established in the 2018 State Vision Document for Madhya Pradesh, IFAD was requested to assist the State Government through the provision of an additional loan of USD 15 million. Besides, the scale-up of the Shaurya initiative (undertaken in the Tejaswini project) was also scaled-up for the entire state. The Shaurya initiative promotes "Shaurya Dals" to address the issue of violence against women and children. Started with an aim to curb violence against girls and women, Shaurya Dal consists of 5 women members and five male members of a village.

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|                  |  | Explore opportunities for developing and strengthening partnerships with national institutions and the private sector for the implementation of this recommendation. | Reflected in COSOP, which states that the relationships with academic and research institutions (among others the Indian Council for Agricultural Research) will be strengthened to gain access to knowledge, good practices and expertise. Furthermore, as mentioned under recommendation 3, partnership with private sector will be strengthened. | Considered as a <i>partially completed</i> recommendation by both reviews, which highlight that in October 2013, in response to a request from the Department of Economic Affairs (DEA) <sup>51</sup> , IFAD financed a national level workshop on scaling-up high potential agricultural technologies in the Indian Council of Agricultural Research (ICAR) <sup>52</sup> .   |
|                  |  | Expand partnership with NGOs and other rural institutions in order to scout for, develop, pilot test and assess innovations emerging from the grassroots level.      | Reflected in COSOP, which includes a commitment to continue to partner with national-level NGOs, not only as implementing partners but also as a source of innovation and analysis on issues affecting rural poor people.   | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews, mentioning that NGOs are the main field level-implementing partners in all new IFAD projects.   |
| Strategic issues | <b>5. Launch a coherent Knowledge Management programme</b> | Include a distinct and clearly Knowledge Management programme.   | Reflected in COSOP, which includes knowledge and learning sharing as a cross cutting objective. It's been designed to focus on scouting, generating, validating and sharing knowledge with the objective of replicating and scaling up successful ideas and innovations in order to reach greater numbers of poor rural people.                     | Confirmed and considered as a <i>fully completed</i> recommendation by both reviews, mentioning IFAD's support to set up a knowledge sharing website for the Department of Economic Affairs (DEA). Furthermore, the reviews mention the existence of a KM focal point in the India Country Office. <i>IFAD in India</i> newsletters are prepared every 6 months to share knowledge, innovation briefs and case studies prepared at the request of the DEA.                                   |
| Strategic issues | <b>6. Seek deeper convergence with government</b>          | Greater convergence within government-funded programmes and between operations and other donor funded activities and Government-assisted programmes.                 | Reflected in COSOP as a cross cutting issue. In the COSOP's Results Management Framework it is mentioned that project design features should be oriented to seek convergence with government schemes and programmes.  | Considered as a <i>fully completed</i> recommendation by both reviews, mentioning that convergence is a central theme of all the new projects. 2015 review informs of an active dialogue between the India Country Office (ICO) and the National Rural Livelihood Mission (NRLM) <sup>53</sup> , under the Ministry of Rural Development, as well as the sharing of good practices at the state level. An NRLM convergence action plan is being prepared for all on-going projects in India. |
|                  |  | In-depth analysis of other on-going or planned development initiatives in the districts during project design.   | Reflected in COSOP Section V F "Performance-Based Allocation System (PBAS) financing framework": " <i>Among other features, commitment should include, to the extent possible: (...) early appointment of key project staff to enable their participation during project design</i> "   | Considered as a <i>fully completed</i> recommendation by both reviews as in depth analysis on convergence is included in all new IFAD projects' design.  |

<sup>51</sup> The Department of Economic Affairs (DEA) of the Ministry of Finance of the Government of India is IFAD's nodal partner in India.

<sup>52</sup> The Indian Council of Agricultural Research (ICAR) is an autonomous organisation under the Department of Agricultural Research and Education (DARE) of the Ministry of Agriculture. Formerly known as Imperial Council of Agricultural Research, it was established on 16 July 1929. The Council is the apex body for co-ordinating, guiding and managing research and education in agriculture including horticulture, fisheries and animal sciences in India.

<sup>53</sup> Ministry of Rural Development launched the Aajeevika-National Rural Livelihoods Mission (NRLM) in June 2011. Aided in part through investment support by the World Bank, the Mission aims at creating efficient and effective institutional platforms of the rural poor enabling them to increase household income through sustainable livelihood enhancements and improved access to financial services.

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|                  |  | Link Project Management Units (PMU) more directly with state and district administrations   | Not specifically reflected in COSOP.   | Considered as a <i>fully completed</i> recommendation by both reviews as all new projects are implemented by State Government administrations. The reviews mention that in the case of <i>the Integrated Livelihood Support Project-State of Uttarakhand</i> , the convergence with the National Rural Livelihood Mission (NRLM) is automatic, as the lead project agency is the NRLM. Furthermore, District and Block level Project Management Units of all projects work closely with the District and Block level administrations and their plans are in most cases incorporated in the District Plans. |
|                  |  | Build and strengthen the communities' capacity to access the available schemes of different Government's departments.   | COSOP's Results Management Framework includes as institutional/policy objective " <i>Support self-governance of tribal communities through strengthening their traditional/ community institutions through capacity building in accessing local governmental institutions, schemes and services, (...)</i> ".                                    | Considered as a <i>fully completed</i> recommendation by both reviews, which state that IFAD supported projects work on this principle. 2015 Review presents the Community Managed Resource Centres (CMRCs) in Maharashtra ( <i>Tejaswini Rural Women's Empowerment Programme</i> ) as an example <sup>54</sup> .  |
| Strategic issues | <b>7. Widen partnership with central government</b>              | Engage more proactively with the central Ministries, especially Ministry of Agriculture and Ministry of Rural Development (MORD), to leverage their expertise and experience. | Reflected in COSOP's (V B section on "Partnership"), which also mentions partnership with the Ministries of Tribal Affairs, of Women and Child Development, of Development of the North Eastern Region, and with the North Eastern Council. Ad hoc partnerships and consultations with other central government institutions are also mentioned. | Considered as a <i>fully completed</i> recommendation by both reviews.   |
|                  |  | Encourage exposure visits of central government officials to project areas.   | Reflected in COSOP (V B section on "COSOP Monitoring"), which mentions that representatives of central and state government agencies are expected to take part in monitoring activities at the state level.  | Although considered as a <i>fully completed</i> recommendation by both reviews, only visits of DEA officials to two projects <sup>55</sup> are mentioned.  |
| Strategic issues | <b>8. Ensure ownership and commitment with State Governments</b> | Involve state Governments from the very beginning of project design.  | Reflected in COSOP (Section V D on "Partnership"), which underlines the importance of the relationship with state governments in order to ensure their effective support to IFAD-supported investment projects.  | Considered as a <i>fully completed</i> recommendation by both reviews, which recognise that all new projects have been conceived as a response to State Government requests and Concept Notes. Besides, it is mentioned that State Governments nominated focal points to engage actively in design processes <sup>56</sup> .   |

<sup>54</sup> The Tejaswini Maharashtra Rural Women Empowerment Programme, being implemented by Mahila Arthik Vikas Mahamandal (MAVIM), the State Women's Development Corporation of Government of Maharashtra, supports and strengthens women's self-help groups (SHG) and their apex organizations, and provides them with access to financial services, fostering linkages with banks and supporting microfinance institutions. In order to sustain the SHG movement the model of Community Managed Resource Centre (CMRC), a grassroots institution, is established.

<sup>55</sup> *Jharkhand-Chhattisgarh Tribal Development Programme* in 2011 and *Convergence of Agricultural Interventions in Maharashtra's Distressed Districts Programme* in 2013.

<sup>56</sup> For example in the *Livelihoods and Access to Markets Project* and in the design of *Odisha Particularly Vulnerable Tribal Empowerment and Livelihoods Improvement Programme*.

|                    |  |  |  |  |
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|                    |  | State Government should ensure: (i) smooth flow of funds; ii) timely provision of counterpart funds; (iii) direct participation in Joint Review Mission (JRM); (iv) timely follow-up on agreed recommendations; (v) competitive and attractive salaries and allowances, including their timely adjustments; and (vi) continuity of tenure of Project Directors and key-management staff. | Reflected in COSOP section V F on "PBAS financing framework": "(...) <i>commitment should include, to the extent possible: (...) continuity of project directors and managers for reasonable periods; agreement, where required, on competitive salaries for participating project staff and NGOs; (...) and active participation of both state and central government in joint review activities</i> ".<br>Also reflected in section V B on "COSOP Management": " <i>Country office will: (...) coordinate supervision activities through JRMs and timely follow-up on recommendations, for both loans and grant-funded operations; (...)</i> " | Considered as a <i>partially completed</i> recommendation by both reviews mentioning progress in most of these areas. Timely provision of counterpart funds is not mentioned.  |
| Operational issues | <b>9. Increase loan size</b>                         | Increase the average loan size of the operations and undertake fewer projects.   | Reflected in COSOP's section V F "PBAs financing framework".   | Considered as a <i>fully completed</i> recommendation by both reviews.   |
|                    |  | Financing larger projects should not result in a commensurate cut in IFAD's administrative budget allocated towards country programme management.  | No specifically mentioned in the COSOP.  | Considered as a <i>not completed</i> recommendation by both reviews due to the drop in the administrative budget across Programme Management Department (PMD) and the reduction of unit costs across the Asia and the Pacific Division, including India.   |
| Operational issues | <b>10. Strengthen the India Country Office (ICO)</b> | Strengthen the country office, including the out posting of the CPM to Delhi and appointment of a full-time coordinator.   | Reflected in COSOP's section 5 B on "COSOP Management".  | Considered as a <i>partially completed</i> recommendation by both reviews, which mention that (i) a senior Country Coordinator was appointed in September 2011, and (ii) IFAD is waiting for certification of the CPM to enable out-posting although budget implications of out-posting the CPM are reported unknown.  |
|                    |  | Reconsider the role, priorities and organisation of the ICO.   | Reflected in COSOP's section 5 B on "COSOP Management": " <i>The COSOP will be managed by the Country Programme Manager (CPM) and the India Country Office, which will be strengthened as recommended by the CPE</i> ".  | Considered as a <i>fully completed</i> recommendation by both reviews reporting the full reorganisation of ICO structure in November 2011. The 2015 COSOP review mentions that there are three full time professional positions, two Country Project Officers (CPO) and one Country Programme Assistant (CPA), with financial/procurement tasks.   |
|                    |  | Provide country office staff with fixed-term contracts and better mainstreamed into IFAD's overall work force.   | Not specifically mentioned as such in COSOP document.  | Considered as a <i>fully completed</i> recommendation by both reviews mentioning that all country staff is on IFAD fixed-term contracts.   |
|                    |  | Reconsider hosting arrangements with World Food Programme (WFP) and analyse the merits of hiring alternative premises.   | Not specifically mentioned as such in COSOP document.  | Considered as a <i>fully completed</i> recommendation by both reviews reporting: (i) the review and good performance of hosting arrangements; (ii) cost escalation did not happen as all contracting was done by UNIDO Headquarters and not by WFP; (iii) there is no reason to find alternative premises as rent of the WFP offices is low compared to similar offices in the same area of Delhi. |

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|                    |   | Upgrade office infrastructure in terms of space and information technology facilities, which are currently constraining the work of the office, inter alia, such as the access to IFAD databases and reports at headquarters.   | Not specifically mentioned as such in COSOP document.   | Considered as a <i>fully completed</i> recommendation by both reviews, which mention that all country staff has access to IFAD databases and is responsible for directly uploading to the corporate databases. Furthermore, resources are available to replace computers when necessary.  |
| Operational issues | <b>11. Ensure greater continuity in project directors</b> | Central Government and State Government shall endeavour to ensure continuity in project directors to the extent possible  | Reflected in COSOP (section V F on “PBAS financing framework”): <i>“Among other features, commitment should include, to the extent possible: (...) continuity of project directors and managers for reasonable periods”.</i>  | Considered as <i>partially completed</i> recommendation by both reviews as there is still frequent rotation of project directors in some states.  |
|                    |   | IFAD and the Government could consider alternatives including, inter alia, recruiting from the open market or deputing senior level staff from established civil society organizations.   | Reflected in COSOP’s section V G on “Risks and Risk Management”: <i>“the difficulty of attracting and retaining competent and motivated staff to manage projects will be mitigated through provision of competitive salaries and training, and through recruitment on the open market”.</i> | Considered as a <i>fully completed</i> recommendation by both reviews as alternatives are being considered in all the new projects. It is mentioned that the favoured option so far is the combination of a part time Indian Administrative Service (IAS) officer as Project Director (PD) and a full time deputy PD, sometimes recruited from the open market.   |
| Operational issues | <b>12. Improve project efficiency</b>                     | Some measures should be deployed to improve efficiency, streamlining the flow of funds to limit implementation delays, strengthen the capacity in the project management unit and state governments in procurement and other loan administration issues, and ensuring the assignment and continuity of staff to the project with adequate expertise and experience in project management. | Reflected in COSOP’s section V C on “Country Programme Management”, which includes a variety of measures <sup>57</sup> .  | While both reviews indicate specific progresses <sup>58</sup> , they also mention that the cumulative level of disbursement for the country portfolio remains problematic in some projects mainly due to (i) political factors; (ii) inadequate staff capacity, delays in getting staff appointed and high turnover of staff; (iii) delays in undertaking procurement of service providers; (iv) un-workable contracting terms with NGO service providers; and (iv) other miscellaneous project management issues. External factors, like the 2013 earthquake in Uttarakhand, also contributed to delays. |

<sup>57</sup> *“The performance of the IFAD portfolio will be strengthened mainly through reduced rotation of PDs, reduced staff turnover owing to competitive salaries, improvement in financial management and M&E activities, and timely response on remedial actions agreed by JRMs. Enhanced efficiency and effectiveness of IFAD-supported activities will be achieved through increased lending size, continual building of the managerial capacity of the project management unit and the staffs of implementing partners, better implementation support, and rigorous and innovative M&E processes. Given the current experience of delayed disbursement in ongoing IFAD projects, the COSOP expects to meet the challenge of increased lending size (...). In addition, it will be imperative to ensure that competent and committed project staff are retained in the project for an adequate length of time”*

<sup>58</sup> The progresses highlighted are (i) disbursement performance improved from SDR 11 million in 2010 to SDR 22 million in 2011 as a result of streamlining the Withdrawal Application process and flow-of funds; (ii) timing in WA processing decreased by 5 days in 2011 due to decentralization of some loan administration functions to the Indian Country Office; (iii) timing of procurement review improved from 2011 with the recruitment of a procurement specialist on retainer contract. A part from this information, no quantification in changes for processing time is provided by the reviews.

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| Operational issues | <b>13. Resource issues</b> | Conduct a detailed cost analysis during the formulation of the next COSOP and make the necessary allocations commensurate with the size, focus and coverage of IFAD supported activities in the country. | Not mentioned as such in the COSOP. | Considered as a <i>fully completed</i> recommendation by both reviews that inform of a detailed cost analysis undertaken. It is also mentioned that as a result of the limitation of projects to one state and the reduction of projects to 9 in 2014, the annual supervision budget was reduced while the annual design costs drop due to the move towards two new designs every three years.. Besides, the India Country Office was reduced in size to 3 full time staff in 2012. Cost saving of 40% in ICO took place. |
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## 2011 COSOP results framework

| Country Alignment   | Key Results for COSOP  |  |  | Institutional/Policy objectives  |
|---|--|--|--|--|
|   | Strategic Objectives   | Outcome Indicators   | Milestone Indicators   |  |
| <p>National Nutritional Policy (NNP), of the Government of India is under the aegis of Department of Women and Child Development 1993.</p> <p>National Policy for Farmers (NPF) draft was prepared by the National Commission of Farmers (NCF), which was consulted with Central and State Government and approved in 2007.</p> <p>National Rural Livelihood Mission - launched in 2009/10 is the restructured Swarnjayanti Gram Swarozgar Yojana (SGSY) scheme considered now as the key component of the national poverty reduction strategy.</p> <p>PESA (1996): In 1996 the Panchayat Extension to Scheduled Areas Act (PESA) is a legislation for Adivasis/tribals (in Fifth Schedule areas) since the 73rd constitutional amendment established special provisions for tribal peoples in scheduled areas. PESA significantly strengthens the position of tribal people in the democratic process through the self-governance of the 'village republic' at Gram Sabha (village assembly) level. This would enable communities to assume control over their livelihoods, conserve and manage natural resources and protect traditional rights.</p> <p>Forest Rights Act of 2006, to provide forest dwellers and tribals' access to land ownership as well as forest produce. National Tribal Policy (draft policy) The tribal groups and also their areas have been recognized as one of the most under developed pockets in the country, and hence needing special attention through specialized schemes and programmes.</p> | SO 1: Increased access to agricultural technologies and natural resources. | <p><u>COSOP goal indicator</u></p> <p>75% target group/persons or double the baseline report increased income and assets.<br/>75 % or 200,000 target group households showing improved food security</p> <p><u>SO1 outcome indicators</u></p> <p>3% growth in employment in agriculture sector in the target areas (with agriculture sector growth at 4%)<br/>100000 (or double the baseline) small farmers report production/yield increase/increased herd size<br/>70,000 farmers &amp; fishers adopt recommended technologies</p> | <p><u>SO1 milestone indicators</u></p> <p>20,000 people trained in Income Generating Activities, business and entrepreneurship<br/>10000 people receive vocational training<br/>20,000 people trained in crop, livestock and fish production practices and technologies<br/>200,000 people accessing facilitated advisory services<br/>20,000 smallholder farmers report improved long term tenure.<br/>Hectares of land provided to target groups<br/>75% of community action plans aligned with local government plans.</p> <p><u>SO2 milestone indicators</u></p> <p>People trained in business and entrepreneurship facilitated non-financial and financial services.<br/>People trained in post- production, processing and marketing.<br/>Number of roads, markets, storage, processing facilities<br/>800,000 women in savings and credit groups formed and strengthened<br/>3000 marketing groups formed and/or strengthened<br/>70,000 people in marketing groups</p> | <p>Facilitate access and availability of food through the implementation of project components.</p> <p>Embed project design features that would support convergence of government schemes (for example NRLM) and programmes.</p> <p>Support the scaling of innovations and sharing lessons learnt from this experience.</p> <p>Support self-governance of tribal communities through strengthening their traditional/ community institutions through capacity building in accessing local governmental institutions, schemes and services, production technology, access to markets, financial literacy, and provision of knowledge and information for improving their programme implementation capacity.</p> <p>Enable communities to build their institutions and capacities to acquire forest lands title, use forest for their livelihoods, the right to Relief and development, and Forest Management Right under the Forest Rights Act, 2006.</p> <p>Undertake capacity building of institutions in tribal areas to ensure regulatory protection of tribal customary laws and practices, their rights, socio-economic empowerment and to implement provisions under PESA.</p> |
|   | SO-2: Increased access to financial services and value chains.             | <p>70,000 farmers and fishers use purchased inputs</p> <p>Community Institutions formed/ strengthened.</p> <p>NRM groups operational/functional</p> <p>% of degraded land rehabilitated</p> <p>Hectares of land improved through soil/water conservation methods</p> <p><u>SO2 outcome indicators</u></p> <p>95% of credit groups operational and functional</p> <p>2500 marketing groups operational and functional</p>   |  |  |

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