

Republic of the Philippines
Country Strategy and Programme Evaluation
Approach Paper

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Currency equivalent, weights and measures

Currency equivalent

Currency unit = Philippine Peso (PHP)

US\$ 1 = PHP 47.63 (end February 2016)

Weights and measures

| | | |
|--------------------|---|----------------------|
| 1 acre | = | 0.405 hectare |
| 1 hectare | = | 2.47 acres |
| 1 hectare | = | 100,000 square meter |
| 1 square kilometre | = | 100 hectare |

Abbreviations and acronyms

| | |
|---------|---|
| ACP | agreement at completion point |
| ACPoR | annual country programme review |
| ADB | Asian Development Bank |
| AFMA | Agriculture and Fisheries Modernisation Act |
| APR | Asia and the Pacific Division (of IFAD) |
| ARB | agrarian reform beneficiary |
| CARP | Comprehensive Agrarian Reform Programme |
| COSOP | Country Strategic Opportunities Paper/Programme |
| CPM | country programme manager |
| CSPE | country strategy and programme evaluation |
| DAR | Department of Agrarian Reform |
| DBM | Department of Budget Management |
| DENR | Department of Environment and Natural Resources |
| FAO | Food and Agriculture Organization of the United Nations |
| GDP | gross domestic product |
| GNI | gross national income |
| HDI | Human Development Index |
| IFAD | International Fund for Agricultural Development |
| IOE | Independent Office of Evaluation of IFAD |
| IP | indigenous people |
| IPRA | Indigenous Peoples' Rights Act |
| NCIP | National Commission on Indigenous Peoples |
| NEDA | National Economic and Development Authority |
| ODA | official development aid |
| PBAS | performance-based allocation system |
| PDP | Philippines Development Plan |
| PPA/PPE | Project performance assessment/evaluation |
| PSA | Philippines Statistics Authority |

Project names

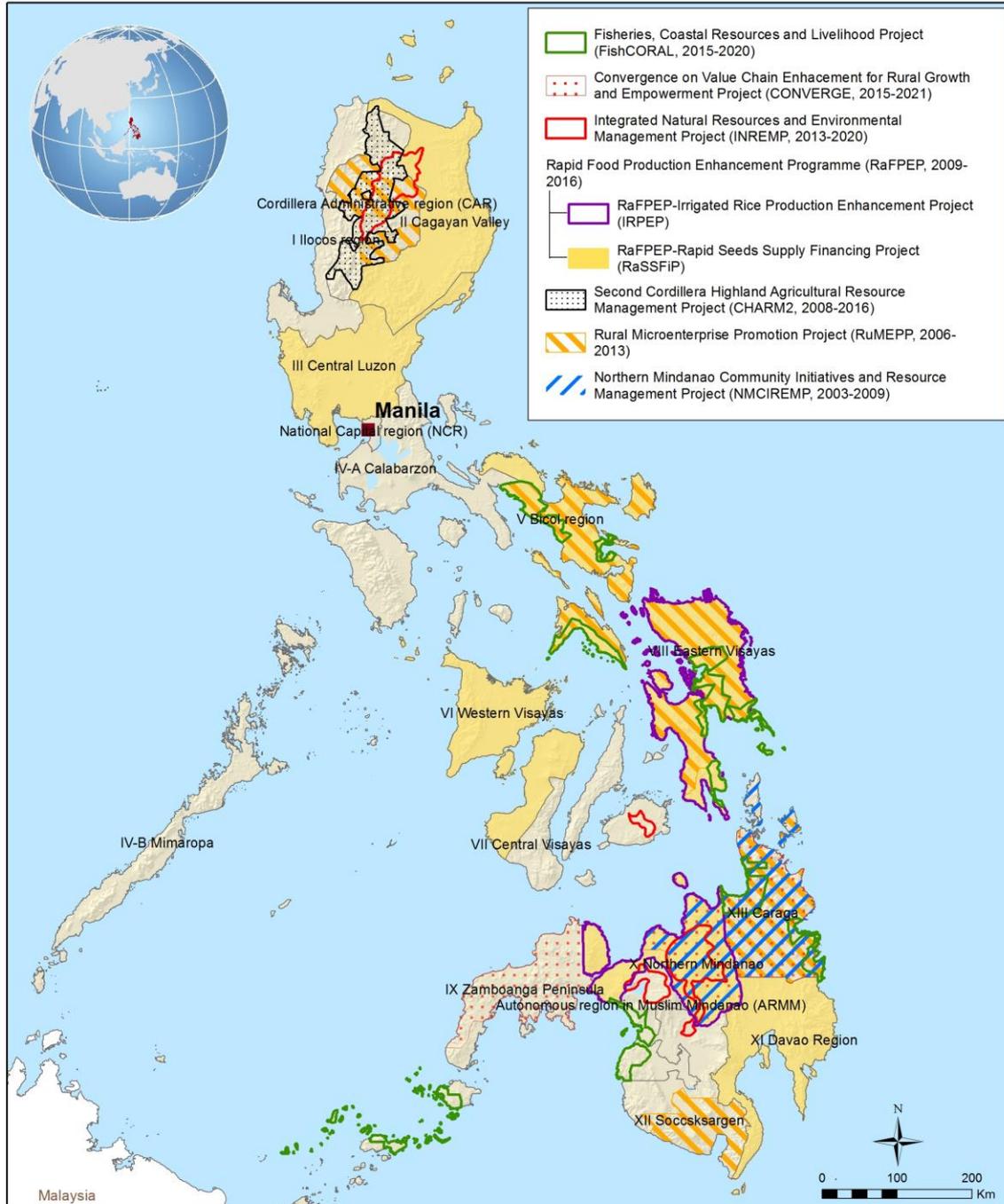
| | |
|-----------|---|
| CONVERGE | Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project |
| FishCORAL | Fisheries, Coastal Resources and Livelihood Project, |
| HARP | Rapid Response to Post Typhoon Haiyan Agriculture Rehabilitation Programme |
| INREMP | Integrated Natural Resources and Environment Project |
| IRPEP | Irrigated Rice Production Enhancement Project (sub-project under RaFPEP) |
| NMCIREMP | Northern Mindanao Community Initiatives and Resource Management Project |
| RaFPEP | Rapid Food Production Enhancement Programme |
| RaSSFIP | Rapid Seed Supply Financing Project (sub-project under RaFPEP) |

Map of the country programme area

Republic of the Philippines

IFAD-funded operations approved after 2000

Country strategy and programme evaluation



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.
 Map compiled by IFAD | 25-02-2016

Republic of the Philippines

Country Strategy and Programme Evaluation

Draft Approach Paper

I. Introduction

1. In line with the International Fund for Agriculture Development (IFAD) Evaluation Policy¹ and as approved by the 116th session of the IFAD Executive Board in December 2015, the Independent Office of Evaluation (IOE) will undertake a Country Strategy and Programme Evaluation (CSPE) in the Republic of the Philippines. In general terms, the objectives of the CSPE are to: (i) assess the results and performance of the IFAD-financed strategy and programme; and (ii) generate findings and recommendations for the future partnership between IFAD and the Government of the Philippines for enhanced development effectiveness and rural poverty eradication. The latter is expected to serve as building blocks for formulation of the forthcoming Philippines results-based country strategic opportunities programme (COSOP), to be prepared by IFAD and the Government following the completion of the CSPE.
2. This approach paper presents the overall design of the CSPE. It contains a summary of background information on the country and IFAD supported portfolio that will be evaluated. The paper outlines the evaluation objectives, methodology, process and timeframe. IOE has conducted a preliminary review of the key available documents, including those related to country strategies and projects in preparation for this CSPE approach paper. Further desk review will be conducted as an integral part of the CSPE undertaking.

II. Country context

A. Geography, population, economy and political system

3. **Geography.** The Republic of the Philippines is an archipelago of over 7,100 islands with a total land area of 300,000 km² and is located 800 km from the Asian mainland between the islands of Taiwan and Borneo, surrounded by three seas - the Philippines Sea, the South China Sea, and the Celebes Sea. The climate is tropical, temperatures ranging between 21-32°C, with a northeast monsoon in November-April and a southwest monsoon in May-October.
4. The country is part of the typhoon belt and is annually struck by some 10 to 15 typhoons and five to six cyclones that can cause considerable damage. Recent storms include the super-typhoon Haiyan in November 2013 which killed over 6,000 people and displaced approximately four million people. According to the report published in 2015 by the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP)², the Philippines was ranked third³ on a list of countries most exposed to natural disasters for the past 45 years. According to the UNESCAP report, the Philippines has deadly and costly exposures to earthquakes, storms, floods, droughts and sea level rise. About 27.3 percent of the total land area in the country (8.34 million hectares) is considered to be vulnerable to drought, alternating with floods and typhoons on an annual basis.
5. **Population.** The population of the Philippines was reported as 99.14 million in 2014, with 55 million living in rural areas (56 per cent of the total population).⁴ The average annual population growth rate was around 1.6 per cent in 2014.⁵ Indigenous peoples, recognized by the Philippines Constitution and the Indigenous

¹ IFAD (2011) Evaluation Policy.

² UNESCAP (2015). Overview of Natural Disasters and their Impacts in Asia and the Pacific, 1970-2014.

³ After Vanuatu and Tonga.

⁴ World Bank databank.

⁵ Ibid.

Peoples' Rights Act (IPRA) of 1997, constitute around 10-15 per cent of the total population of the Philippines and live in 65 of the country's 78 provinces.⁶

6. **Economy.** The Philippines is considered to be one of the most dynamic economies in the East Asia region, with sound economic fundamentals and a globally recognized competitive workforce. Economic growth in the Philippines has averaged above 5 per cent in the past decade, significantly higher than in the previous decades. In 2014, the Gross Domestic Product (GDP) accounted for US\$284.6 billion. The GDP growth has been relatively strong and stable in recent years: 6.7, 7.2 and 6 per cent in 2012, 2013, and 2014, respectively. The Gross National Income (GNI) per capita in 2014 was US\$3,500,⁷ hence the Philippines is classified as a lower middle income country.
7. South-East Asia is the world's most dynamic and diverse remittance market, with almost 13 million migrants living abroad. The Philippines ranks as the third biggest recipient of remittances in the world, having received US\$24.3 billion (over 10 per cent of GDP) in 2012, and accounts for over half of all remittances to South-East Asia. Personal remittances represented 9.8 per cent of GDP in 2013.⁸ The Commission on Filipinos Overseas estimated that as of December 2012, there were 10.49 million Filipinos overseas.⁹
8. **Political system.** Under the 1987 constitution, the government is based on a separation of powers between the executive presidency, a bicameral legislature and an independent judiciary. The president is chief executive, head of state and commander-in-chief, serves no more than one six-year term. Benigno Aquino became president in June 2010. The next elections for the presidency, for the entire lower house (the House of Representatives) and one-half of the upper house (the Senate), are due in May 2016.

B. Agriculture

9. In 2014, agriculture (including forestry and fisheries) accounted for 11.3 per cent of GDP. The share of agriculture GDP declined from 22 per cent in 1995 to 14 per cent in 2000, and the figure has stayed around 11-12 per cent in the past several years. It was reported that the agriculture sector employed about 30 per cent in 2014.¹⁰ The total agricultural land area constitutes 42 percent of the country's total land area (World Bank data 2013). Three-quarters of the cultivated area is devoted to subsistence crops and one-quarter to commercial crops, mainly for export.
10. The crop subsector contributes at 56 per cent of the production value, the livestock and poultry 28 per cent, and the fisheries sector 17 per cent.¹¹ Main crops in order of value of production are: palay (paddy), banana, corn, coconut, sugarcane, mango, cassava, rubber and pineapple. Philippine agricultural exports used to play a prominent role in the economy by providing foreign exchange earnings and additional economic activities. However, with the increasing importance of non-traditional manufactured exports and the rapid growth of the service and industrial sectors, the share of agricultural exports to the country's GDP has reduced from 6 per cent in 1980 to 2 per cent in 2010. Top agriculture and fisheries exports include coconut oil (15 per cent), banana (14 per cent), tuna (11 per cent), pineapple and products (7 per cent).¹²

⁶ An unofficial survey conducted by the National Commission on Indigenous Peoples (NCIP) estimates the population of indigenous peoples in the Philippines to be between 12-15 million. Main indigenous groups are collectively known as *Igorot* (northern mountains of Luzon), *Lumad* (southern island of Mindanao) and *Mangyan* (central islands and Luzon). (IFAD, 2015. Country Technical Note on Indigenous Peoples' Issues).

⁷ World Bank databank.

⁸ Ibid.

⁹ 4.93 million or 47 per cent of which are permanent migrants, 4.22 million or 40 per cent are temporary migrants and 1.34 million or 13 per cent are irregular migrants <http://www.cfo.gov.ph/images/cfoprimer2014.pdf>.

¹⁰ World Bank databank.

¹¹ Philippines Statistics Authority 2014. Agriculture and Fisheries Yearbook 2013.

¹² 2013 national statistics available at website: <http://countrystat.psa.gov.ph/?cont=3> accessed February 2016.

11. The Philippine rural economy has been characterized for many years by the low income levels of primary producers, low levels of rural employment, lack of food security, weak agricultural competitiveness and an overall high level of rural poverty. The underlying reasons for the relatively poor performance of the sector have been extensively studied. Poorly developed infrastructure for transport, particularly roads, port facilities and inter-island shipping, head the list of constraints.¹³ The spread of modern agricultural technology has also been constrained by a weak extension system and the high costs of inputs. As a result, yields of most crops are well below potential. High post-harvest losses further reduce profitability, with losses ranging from 15 to 50 per cent for fruits and vegetables, 15 per cent for rice and 5 per cent for corn. Market assistance has also been limited, contributing to poorly developed value chains for many commodities, while product standards and quality systems have been ineffectively regulated. The result has been an under-investment by the private sector in agriculture.¹⁴
12. Furthermore, frequent natural disasters cause significant damage to the country's economy and people's livelihoods. The government estimates that between 2006 and 2013 disasters damaged over 6 million hectares of crops. During this period, the total damage and losses in the agriculture sector were estimated to be US\$3.8 billion, caused by 78 natural disasters (2 droughts, 24 floods, 50 typhoons/tropical storms, 1 earthquake and 1 volcanic eruption).¹⁵
13. The *Comprehensive Agrarian Reform Programme (CARP)* initiated in 1988 has been one of the important elements in the Philippines agricultural policies. CARP aims to redistribute private and public agricultural lands to farmers and farmworkers who are landless for an equitable land ownership. The Department of Agrarian Reform (DAR) has been in charge of acquiring and redistributing an estimated 7.8 million hectares of land. As of December 31, 2013, the government acquired and distributed 6.9 million hectares of land, equivalent to 88 per cent of the total land subject to CARP.¹⁶ Agrarian reform beneficiaries (ARBs) have been among the main target group for IFAD support, as noted in the country strategies.

C. Poverty

14. It was estimated that 25.2 per cent of population lived below the national poverty line in 2012.¹⁷ About one out of every five Filipino families (19.7 per cent) was poor in 2012. Although the proportion of poor families has been fairly constant between 2006 and 2012, on account of the country's growing population, the number of poor families has risen from 3.8 million in 2006 to 4.2 million in 2012.¹⁸ According to the Philippines Statistics Authority (PSA), subsistence incidence among Filipinos, or the proportion of Filipinos whose incomes fall below the food threshold (also referred to as extreme poverty), was estimated at 10.5 per cent in the first semester of 2014.¹⁹ Poverty in rural areas is significantly higher at 39.4 per cent compared to urban areas (13.2 per cent), although urban poverty is also on the rise.²⁰ According to the PSA data, poverty incidence among fishermen and farmers have consistently been much higher than the average, for example, 39.2 per cent

¹³ About half of rural villages in the country lack all-weather access to the main transport system. Out of the overall road network of 196,686 km, gravel roads make up about 52 per cent, while 31 per cent are earth roads. Only some 17 per cent of the 121,442 km local (*barangay*) road network is paved, leaving a huge backlog of farm to market roads to be developed.

¹⁴ World Bank Analytical and Advisory Assistance for Agriculture and Rural Development in the Philippines (Agricultural Productivity and Agribusiness): a Synthesis Paper (2011) reported in document 74097-PH Project Appraisal Document for the Philippines Rural Development Project, July 2014

¹⁵ FAO 2015. The Impact of Natural Hazards and Disasters on Agriculture and Food Security and Nutrition: A Call for Action to Build Resilient Livelihoods. (Updated May 2015)

¹⁶ Department of Agrarian Reform website. Accessed February 2016.

¹⁷ Philippines Development Plan 2011-2016, Mid-Term Update (2014)

¹⁸ 2012 Full Year Official Poverty Statistics, National Statistical Coordination Board, 2013

¹⁹ Philippines Statistics Authority website. Accessed in February 2016.

²⁰ World Bank 2014, ADB 2009.

(fishermen) and 38.3 per cent (farmers) compared to the national average of 25.2 per cent in 2012.²¹

15. In addition to income poverty, a concept of "multidimensional poverty" has also been used by the Government in its official document.²² The incidence of multidimensional poverty was estimated to be 28.2 per cent.²³
16. The Human Development Index (HDI) for the Philippines in 2013 was 0.660, positioning the country 117th out of 187 countries, under the medium HDI category.²⁴ In general, the HDI for the Philippines registered steady increase over the years. The HDI of 0.660 in 2013 is above the average of 0.614 for countries in the medium human development group but below the average of 0.703 for countries in East Asia and the Pacific.
17. Although the proportion of households and population living below the official poverty line has declined compared to a couple of decades ago, the progress has been uneven, and also slow especially in the last decade. It has been noted that economic growth in the recent years has not translated into poverty reduction in a significant way.²⁵ Relative to other countries in the region, the Philippines is considered to be lagging behind in poverty reduction efforts.²⁶ The Gini coefficient of income inequality for the Philippines was reported as 43.0, relatively higher compared to other countries in Asia²⁷
18. Factors for persistent poverty and inequality noted include: low productivity in agriculture, weakness in employment generation and job quality, high population growth, recurrent shocks and risks such as economic frequent natural disasters, economic crisis, and conflicts.
19. The global assessment of the Philippines with regard to gender equality is noteworthy. The country has been ranked high (7th out of 145 countries in the Global Gender Gap 2015 report²⁸).

D. Government's development policy framework

20. An overarching development policy framework is enshrined in the **Philippine Development Plan** (PDP, 2011-2016, updated in 2014) with an emphasis on sustained inclusive growth. The strategic objectives are: (i) attaining a sustained and high rate of economic growth that provides productive employment opportunities; (ii) equalizing access to development opportunities for all Filipinos; and (iii) implementing effective social safety nets to protect and enable those who do not have the capability to participate in the economic growth process. The Plan set out a strategy for the agriculture sector, with three distinct goals: (i) improved food security and increased rural incomes; (ii) increased sector resilience to climate change risks; and (iii) enhanced policy environment and governance. One of the

²¹ http://www.nscb.gov.ph/pressreleases/2014/PSA-%20PR-20140704-SS2-01_poorestsector.asp accessed February 2016.

²² Philippine Development Plan 2011-2016 Midterm Update. A measurement of multidimensional poverty involves several information/indicators to capture the complexity of poverty and can better inform policies to effectively formulate a poverty reduction strategy. It considers several factors that show poor people's experience of deprivation in multiple dimensions such as: lack of education, insufficient nutrition and poor health, inadequate living standard (e.g. no access to clean water and sanitation, facilities, electricity, poor quality of housing, etc.), lack of income, social exclusion, disempowerment, unstable and poor quality of work/employment, and threat of violence

²³ A. Balisacan (2011). What Has Really Happened to Poverty in the Philippines? New Measures, Evidence, and Policy Implications.

²⁴ Human Development Report 2014, UNDP, 2014

²⁵ ADB 2009. Poverty in the Philippines: Causes, Constraints, and Opportunities; World Bank 2014. Country Partnership Strategy for the Republic of the Philippines (2015-2018).

²⁶ With reference to the Millennium Development Goal of halving the poverty rate between 1990 and 2015, the Philippines has achieved a reduction of 38 per cent, compared to China of 80 per cent, Indonesia of 66 per cent, and Viet Nam of 73 per cent.

²⁷ Human Development Report 2014. For example, 38.1 in Indonesia, 35.6 in Viet Nam, while 42.1 for China.

²⁸ World Economic Forum 2015. The Global Gender Gap Index examines the gap between men and women in four fundamental categories: Economic Participation and Opportunity, Educational Attainment, Health and Survival and Political Empowerment.

priorities of the government in the sector has been self-sufficiency of food staples, in particular of rice.

21. The intervention strategies under the PDP have a direct bearing on IFAD's support to the rural sector, *inter alia*, by tackling productivity and incomes of households and enterprises in the rural sector; increasing investments and employment across the value chain; transforming agrarian reform beneficiaries (ARBs) into viable entrepreneurs; explicit attention to marginalized groups including "farmers and landless rural workers; artisanal fisher folk; urban poor; indigenous people; workers in the informal sector; migrant workers; women; children; youth; senior citizens; and persons with disabilities"; support to the issuance of certificate of ancestral domain titles for indigenous peoples; and increasing the resilience of agriculture communities through the development of climate change-sensitive technologies, and systems.

E. Official development assistance²⁹

22. The ODA Portfolio Review by the National Economic and Development Authority (NEDA) for 2014 reported that the Philippines' ODA portfolio totaled US\$14.37 billion (approximately 78 per cent in loans). The share of the Agriculture, Agrarian Reform and Natural Resources (AARNR) sector in the ODA portfolio was 14.5 per cent (US\$1.62 billion) for loans and 18 per cent (US\$583.04 million for 141 projects) in grants. IFAD share was 4.6 per cent of the loan portfolio in the AARNR sector and 3.4 per cent of the combined portfolio of loans and grants in the sector.

Table 1

ODA portfolio (loans and grants)

| | Number | Amount (US\$ mill) | Main development partners | Amount – AARNR sector (US\$ mill) | AARNR % of total loan or grant |
|-----------|--------|-----------------------|---|--------------------------------------|-----------------------------------|
| Loan | 76 | 11 182 | World Bank (40%), Japan (28%), ADB (19%) | 1 620 | 14.5 |
| Grants | 449 | 3 185 | USA (36%), UN (19%), Australia (18%) | 583 | 18.3 |
| Total ODA | -- | 14 370 | World Bank (32%), Japan (23%), ADB (16%), USA (8%) | 2 203 | 15 |

Source: NEDA, 2014. ODA Portfolio Review Report

23. In 2013, the Government adopted a policy of reviewing and appraising development project proposals based on technical and financial merits first, separate from consideration of possible lenders/development partners. It is only when ODA is determined to be the appropriate source of financing that the Government (Department of Finance, NEDA, Department of Budget Management and relevant technical agency) are to lead exploratory discussions with potential development partners having the required foreign expertise/technology, while also taking into consideration the development partners' capacity to meet target implementation schedules, and the terms and conditions in financing the project.³⁰

²⁹ Mainly based on the report published on the website by the National Economic and Development Authority.
<http://www.neda.gov.ph/2015/10/14/cy-2014-oda-portfolio-review/>

³⁰ Government of the Philippines. Memorandum dated 17 February 2013 by the Investment Coordination Committee titled "Proposed Revisions on Investment Coordination Committee Review/Evaluation Procedures and Parameters (Evaluating Proposals Separate from Source of Financing)".

III. Overview of IFAD-funded operations and country strategy

A. Portfolio

24. Since 1978 IFAD supported fifteen loan-financed projects in the Philippines for a total project cost of US\$771.5 million (see annex 1 for a list of all loan-financed projects approved). The total amount of IFAD lending is US\$243.7 million. Currently, IFAD loans to the Philippines are on ordinary terms.

Table 1

A snapshot of IFAD operations since 1978

| | |
|--|--|
| Total loans-funded projects approved | 15 (first loan in 1978) |
| Total amount of IFAD lending | US \$ 243.7 million |
| Counterpart funding (Government and beneficiaries) | US \$ 234.8 million |
| Co-financing amount | US \$ 292.3 million |
| Total portfolio cost | US \$ 771.5 million |
| Co-financers | ADB, EC, FAO, GEF, IBRD, OFID |
| Number and financing amount of ongoing projects (as of Feb 2016) | 5 (with US\$117 million) |
| Country Strategic Opportunities Programme (COSOP) | 1999 and 2009 |
| Country presence in the Philippines | Since 2009. Currently staffed with country programme officer (Yolando Arban) and country programme assistant (Vivian Azore). |
| Country Programme Managers (CPMs) | Omer Zafar (Jan 2016-), Benoit Thierry (Sep 2014-), Khalid El Harizi (May 2014-), Youqiong Wang (Feb 2011-), Sana Jatta (Apr 2002-) |
| Lead Agencies and key implementing partner agencies | Dept of Agriculture, Dept of Agrarian Reform, Dept of Trade and Industry, Dept of Environment and Natural Resources, National Irrigation Authority, Bureau of Fisheries and Aquatic Resources, National Commission of Indigenous Peoples |

25. The main sub-sectors and focus of loan-financed projects include: community development, agriculture, natural resource management, micro/rural finance and enterprise, irrigation development, rural infrastructure, marketing and value chain development. The latest project (Fisheries, Coastal Resources and Livelihood Project, FishCORAL) is the first entry in the fisheries sub-sector, even though there were some earlier projects with fisheries and coastal management activities as part of community based natural resource management. Projects have been a mixture of area-based ones with multi-sectoral components (in Cordillera and Mindanao) on the one hand, and on the other hand, those with wide geographical coverage with more sectoral focus (e.g. microenterprise, rural finance, irrigation development).
26. The IFAD resource envelope for the Philippines based on the performance-based allocation system (PBAS) was US\$58 million for the period 2013-2015 (6.7 per cent of the total allocation in APR) and is US\$79 million for the period 2016-2018 (7.7 per cent of the total allocation in APR). In terms of the portfolio size (number of projects and financing), at present the Philippines can be considered to be in the middle or upper range in the APR region, with 5 projects with the financing of US\$117 million.

27. The financing amount in the active portfolio increased significantly in September 2015 with the approval of two projects with the IFAD financing of US\$54 million. Both projects were identified as pipeline projects in the 2009 COSOP but had significant delays in the process prior to the IFAD Board approval mainly due to the prudent review process on the government side. The Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project (CONVERGE) was originally scheduled for submission to the Executive Board in April 2012³¹, and FishCORAL for the April 2014 session.
28. In addition to the delays in the pre-approval period, apart from one project (RaFPEP), other projects have had implementation and disbursement delays to varied degree. In particular, for the Integrated Natural Resource and Environmental Management Project (INREMP), there has been only initial disbursement since the entry into force in April 2013 and the disbursement rate is still 3 per cent (rated as 1 (highly unsatisfactory) for disbursement in the latest project status report).
29. The co-financiers in IFAD funded projects since 1978 include: Asian Development Bank (ADB), European Commission (EC), Global Environmental Facility (GEF), International Bank for Reconstruction and Development (IBRD), OPEC Fund for International Development (OFID). Co-financing and supervision as cooperating institution by ADB or IBRD used be the predominant modality of IFAD operations, but since around 2000, IFAD has had more projects without IFI co-financing and also has engaged in direct supervision, in line with the shift in the corporate policy on supervision. In the active portfolio, INREMP is the only project with significant co-financing by ADB which is also responsible for supervision.

B. Grants

30. IFAD has financed loan component, country-specific and regional grants which include the Philippines as benefitting country (see annex 2 for a list of grants under implementation after 2010). Among seven loan-financed projects approved after 2000, there are three that included grants as an integral part of the project design and financing agreements with the Government. There were two projects with country-specific grant - Rural Microenterprise Promotion Programme (RuMEPP) and Second Cordillera Highland Agricultural Resource Management Project (CHAMRP2) - mainly to finance technical assistance and training. Rapid Food Production Enhancement Project (RaFPEP), which was conceived in response to the soaring food prices at the time, was co-financed by a sizable amount of grant from the European Commission (US\$13 million).
31. The country specific grants not associated with loans since 2010 included a particular case approved by the Executive Board in 2014 in response to Typhoon Haiyan ("Rapid Response to Post Typhoon Haiyan Agriculture Rehabilitation Programme - HARP) with an exceptionally large amount over US\$4 million for a country-specific grant. Other country-specific grants include those to government agencies³² as well as non-governmental organizations and academic institutions.³³
32. Regional grants have included those with CGIAR institutions (IRRI, ICRISAT, ICRAF, CIP) relating to particular types of agricultural commodities or agricultural technologies, involving research and development, as well as region-wide support to strengthening farmer organizations (covering the Philippines and also with the

³¹ As for CONVERGE, it should be noted that one project component (component A for value chain analysis and planning) was approved by the NEDA Board in November 2012 with the provision that it would be funded from the 2013 government budget (under the General Appropriation Act). Consequently, under this approved component, DAR updated Value Chain Investment Plans for 11 targeted Agrarian Reform Communities and submitted them to the NEDA Board for consideration and approval of the other project components. The NEDA Board confirmed the approval by the Investment Coordination Committee in October 2014.

³² For example, a grant of US\$200,000 approved in 2010 to the National Economic and Development Authority for technical assistance on institutional strengthening of results-based monitoring and evaluation for government agencies.

³³ Including a grant to a university managed by SKD to conduct an ex-post impact evaluation of RuMEPP.

main grant recipient located in the Philippines), grants to non-governmental organizations with a focus on remittances.

C. Overview of IFAD country strategy

33. IFAD has prepared two Country Strategic Opportunities Paper/Programme (COSOPs) in 1999 and after an extended period, in 2009. The preparation of the 2009 COSOP was based on "a lengthy participatory process"³⁴, which started in 2004. The 2009 COSOP was supposed to cover the period 2010-2014, but its mid-term review (MTR) in 2012 proposed an extension up to 2016 in order to have a "greater chance of achieving the strategic objectives" given the slow progress in the portfolio, as well as to align the COSOP completion date with the end of the PDP period. At the MTR, revisions were also made in the results management framework (see annex 5 for comparison of the original and revised results management framework).
34. The strategic thrusts in both COSOPs largely remained the same, in terms of the main target group (i.e. upland dwellers/indigenous peoples, agrarian reform beneficiaries, fisher folks), intervention sub-sectors/areas (natural resource management, micro/rural finance, microenterprise and agri-business development community development, coastal management), as well as cross-cutting issues identified (i.e. local capacity building, decentralization, resilience to shocks, etc.). But the geographic focus was somewhat broadened. The formats of these two COSOPs are different but key elements of both documents can be discerned and summarized below:

Table 2
Key elements of 1999 and 2009 COSOPs

| | COSOP 1999 | COSOP 2009 |
|--------------------------------------|--|--|
| <i>Strategic objectives (SOs)</i> | <p>"Key elements of IFAD strategy" (selected points)</p> <ul style="list-style-type: none"> • Focus on beneficiaries/areas which are jointly perceived by 'partners' as priorities. • Assess and prioritise the needs for 'asset control' by potential beneficiaries. • Monitor beneficiaries not only in terms of impact but susceptibility to external economic, social and environmental 'shock' both now and in the future. • Identify and include the stakeholders in any proposed initiative from initial stages, including the roles in implementation. Complementarity of resources and interventions of partners. • Focus on devolved/decentralised implementation • Strengthen the capabilities of both service delivery institutions at LGU level and the beneficiaries • Improving quality of life with comprehensive interventions | <ol style="list-style-type: none"> 1) Upland poor households in the 20 poorest provinces – particularly those of IPs and ARBs – have improved access to land and water resources and gainfully use these sustainably 2) Entrepreneurial poor in selected rural areas, particularly in the Visayas, and northern and western, southern and eastern, and central Mindanao, have improved access to markets and rural financial services to improve the value chains of agribusiness systems benefiting poor farmers, livestock producers, fishers, marginalized groups, women and rural entrepreneurs 3) Selected marginalized and poor communities dependent on coastal resources in Bicol, eastern Visayas, northern Mindanao and the Autonomous Region for Muslim Mindanao have sustainable access to fisheries and other productive coastal resources, use sustainable management practices and diversify livelihood opportunities to meet their basic needs, in particular food. |
| <i>Geographic focus and coverage</i> | Regions V (Bicol), VII (Panay Island); VIII (Samar and Leyte); X (Northern Mindanao) and XIII (Caraga) as specific regions for "future interventions within "Mindanao and Visayas" | 20 poorest provinces: Abra, Agusan del Sur, Apayao, Kalinga, Lanao del Norte, Lanao del Sur, Maguindanao, Masbate, Misamis Occidental, Mt. Province, Nigros Oriental, Northern Samar, Occidental Mindoro, Oriental Mindoro, Saranggani, Sulu, Surigao del Norte, Surigao del Sur, Tawi-tawi and Zamboanga del Norte (Regions covered: ARMM, CAR, IV-B, V, VI, VII, VIII, IX, X, XII, XIII) |
| <i>Opportunities for innovation</i> | <p>Section on "Main opportunities for project interventions and innovation" discusses mainly the opportunities for interventions and not for innovation. For the former, the main elements include the following:</p> <ul style="list-style-type: none"> • Support to strengthen the capacity of community organizations and LGUs | <ul style="list-style-type: none"> • Access to land for indigenous peoples (e.g. certificate of ancestral domains) (SO1) • Sustainable farming for upland areas (SO1) • Agri-business and value chains development for the poor, microfinance, microenterprise (SO2) • Coastal communities to be helped to identify ways of nurturing fragile environment maximise and |

³⁴ IFAD, Philippines 2009 COSOP.

| | COSOP 1999 | COSOP 2009 |
|-------------------------------------|---|---|
| | <ul style="list-style-type: none"> • Enterprise and marketing development, developing capacity of individuals and groups. Skills training for enterprise development, development of private sector approaches, development of saving facilities. • Community-based resource and environment management | <ul style="list-style-type: none"> • diversify incomes. Coastal management (SO3) • Harness remittances for productive purposes • improving the coping strategies for climate change and natural or man-made calamities • Rural financial and weather insurance, community-based participatory dev't approaches |
| <i>Target group</i> | Findings of the consultation workshops identified "upland groups (including indigenous peoples and agrarian reform beneficiaries), coastal fisher folk and landless groups" as the IFAD target group. | <ul style="list-style-type: none"> • Indigenous peoples and other marginalized groups such as woman-headed households and upland settlers • Agrarian reform beneficiaries • Small farmers • Artisanal coastal fishers • Landless labourers/farm workers • Micro and small-scale entrepreneurs • Local Government Units of poor communities |
| <i>Policy dialogue</i> | <ul style="list-style-type: none"> • Policy reform in the financial sector • Roles of the private sector, state, local government and local communities, promoting the focus on rural empowerment, decentralization and good local governance • Rural "asset" control (including land tenure issues) | <p>"Policy linkages":</p> <p>Land tenure issues for IPs and agrarian reform beneficiaries; policy/regulatory environment for microfinance and microenterprise promotion; decentralization; remuneration for (environmental) services provided by the IPs and others</p> |
| <i>Country programme management</i> | | <p>CPM based in Rome supported by a country programme management facilitator/knowledge management officer (CPMF/KMO), filled by a fixed-term consultant.</p> <p>NEDA to co-supervise all IFAD projects (may also lead some supervision missions). IFAD to be represented in each mission by either CPM or CPMF/KMO and 1 or 2 internationally recruited consultants.</p> |
| <i>Partnerships</i> | Partnerships with NGOs mentioned under section "Outreach and Partnership Possibilities with NGO, National and Local Initiative". No mention of other partnership opportunities, except for local governments. | <p>Government: NEDA, DoF, DA, DENR, DAR & DTI</p> <p>Donors: AsDB, CIDA, EC, FAO, OFID, UNDP, USAID</p> <p>NGOs, academic, research organizations and the private sector (only in vague terms)</p> |
| <i>Knowledge management</i> | No mention | <p>Annual country programme review meetings; annual knowledge and learning markets; regular updating of PBAS scores; conducting studies and workshops/seminars</p> <p>Communicating knowledge products through a supportive infrastructure comprising a national website</p> <p>Promoting knowledge sharing and learning culture within and among IFAD projects and partners</p> |

35. IFAD set up a country office in Manila in 2009, although the host agreement has not been signed yet. It is currently staffed with a country programme officer and country programme assistant. The country office is co-located in the building where most of the UN offices are based.

IV. Evaluation Objectives, Methodology and Process

A. Objectives

36. CSPE is an evaluation of the results of partnership between IFAD and the Government of the Republic of the Philippines for reducing rural poverty and promoting rural transformation. The CSPE will be undertaken for both accountability and learning purposes, and to strengthen IFAD's development effectiveness.
37. The objectives of the CSPE in the Philippines are to: (i) assess the results and performance of the IFAD-financed strategy and programme; and (ii) generate findings and recommendations for the future partnership between IFAD and the Government of the Philippines for enhanced development effectiveness and rural poverty eradication. The latter is expected to serve as building blocks for

formulation of the forthcoming Philippines results-based country strategic opportunities programme (RB-COSOP), to be prepared by IFAD and the Government following the completion of the CSPE.

B. Coverage and scope

38. The CSPE will assess the results and performance of the partnership between IFAD and the Government pursued under COSOPs 1999 and 2009, while the latter would be the main focus of the strategy assessment (relevance and effectiveness). The main unit of analysis of CSPEs is the country strategy and programme. The CSPE will have a strategic focus building on the assessment of lending and non-lending activities. While recognizing that IFAD's assistance represents only a small segment of government actions in the agriculture and rural development sector, the CSPE will analyse wider issues related to IFAD-government partnership, such as IFAD's strategic positioning in the country in relation to government priorities and the work of other development partners. The CSPE will examine IFAD's role in contributing to institutional and policy transformation for better impact in the context of the country's positioning in the regional and global economy currently classified as a lower middle-income country. The evaluation will also explore innovative scaling-up approaches to achieve sustainable and inclusive smallholder agriculture development. Consideration will be given to contextualizing the findings with respect to the PDP, Millennium Development Goals and, looking forward, the Sustainable Development Goals.
39. The CSPE will be coordinated with the ongoing corporate level evaluation (CLE) on IFAD's decentralization experience conducted by IOE. A case study for the Philippines will be conducted for the CLE in coordination with the CSPE team and it will provide inputs also to this CSPE.
40. As for the lending portfolio, the CSPE will cover the projects approved after the 1999 COSOP (table 3). These projects can be grouped as follows:
 - (i) Two projects that have been closed and have been or is subjected to project specific evaluation: (a) NMCIREMP for which a project performance assessment was undertaken by IOE in 2011; and (b) RuMEPP for which a project performance evaluation is being undertaken.
 - (ii) Two projects that are at an advanced stage of implementation: CHARMP2 and RaFPEP
 - (iii) Three projects which have either been delayed in execution or are recently approved in September 2015: (a) INREMP; (b) CONVERGE and (c) FishCORAL.

Table 3
Evaluability of projects covered by the 2016 CSPE

| Project Name | Lending terms | Board Approval | Entry into force | Completion | Disb% ^a | Evaluation criteria* |
|--|---------------|----------------|------------------|--------------|--------------------|---|
| Northern Mindanao Community Initiatives and Resource Management Project (NMCIREMP) | HC | 06/12/2001 | 01/04/2003 | 30/06/2009 | NA (closed) | All criteria (already evaluated) |
| Rural Microenterprise Promotion Programme (RuMEPP) | HC | 19/04/2005 | 31/10/2006 | 31/12/2013 | NA (closed) | All criteria (will have been evaluated) |
| Second Cordillera Highland Agricultural Resource Management Project (CHARMP2) | HC | 24/04/2008 | 14/11/2008 | 31/12/2016** | 83 | All criteria |

| Project Name | Lending terms | Board Approval | Entry into force | Completion | Disbs% | Evaluation criteria* |
|--|---------------|----------------|------------------|------------|--------|----------------------|
| Rapid Food Production Enhancement Programme (RaFPEP) | I | 17/12/2008 | 09/11/2009 | 31/12/2016 | 94 | All criteria |
| Integrated Natural Resources and Environmental Management Project (INREMP) | I | 13/12/2012 | 12/04/2013 | 30/06/2020 | 3 | Relevance*** |
| Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project (CONVERGE) | O | 15/09/2015 | 26/10/2015 | 31/12/2021 | 0 | Relevance*** |
| Fisheries, Coastal Resources and Livelihood Project (FishCORAL) | O | 15/09/2015 | 26/10/2015 | 31/12/2020 | 0 | Relevance*** |

Lending terms: (i) HC – highly concessional; (ii) I – intermediate; and (iii) O-ordinary.

* See Chapter 3 of the Evaluation Manual (second edition, IFAD 2015) for more information on the definition of the evaluation criteria

** A proposal for additional financing and extension of the completion and closing dates is underway.

*** Efficiency will be discussed in relation to project processing and implementation progress so far (the latter only for INREMP) but no rating will be provided.

41. Annex 2 contains a list of grants which covered the Philippines. As part of the CSPE, a sample of about 4-5 grants will be selected that have supported policy dialogue, knowledge management and partnership buildings. Each grant will not be rated as such, but the activities they supported will be assessed as part of the country programme strategy.

C. CSPE methodology

42. The broad evaluation questions for the CPSE are as follows:
- (i) To what extent has the country strategy and programme achieved intended results and impact? What are the explaining factors for performance, satisfactory or not satisfactory?
 - (ii) To what extent have the strategies, approaches and interventions deployed been appropriate (or adjusted to be appropriate) to achieve the desired results?
 - (iii) What lessons and issues are identified for future direction for the IFAD country strategy and programme for the Philippines?
43. There are three key dimensions of the country strategy and programme that will be assessed in the CSPE³⁵:
- (i) **Project portfolio assessment.** The CSPE will assess the performance of loan-financed projects, using the standard project-level IOE evaluation criteria (rural poverty impact, relevance, effectiveness, efficiency, sustainability of benefits, gender equality and women's empowerment, innovation and scaling-up, natural resource management and adaptation to climate change), with each project rated for applicable criteria. The coverage of loan-financed projects and the extent to which a set of evaluation criteria will be applied is provided in table 3 in the previous section.
 - (ii) **Assessment of non-lending activities.** The CSPE will also assess the relevance and effectiveness of non-lending activities (including grants), defined as policy dialogue, knowledge management and partnership building, for each of which a single rating will be provided.

³⁵ For more information, refer to the Evaluation Manual (second edition, IFAD 2015), in particular, Chapters 3 and 6. http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf

- (iii) **Assessment of partners' performance.** This relates to the performance of IFAD and the government: (a) at project level (which assessment will be conducted for each loan-financed projects within the context of project portfolio assessment, resulting in ratings); and (b) at the level of overall country programme management and related process.
44. Building on the analysis on the above-mentioned three dimensions, the CSPE will assess **the relevance and effectiveness at the country strategy level**, i.e. how IFAD has defined and implemented its strategy (2009 COSOP) to reduce poverty in partnership with the Government (relevance) and what results it has achieved and how (effectiveness). The CSPE will examine the COSOP and their reviews, as well as operationalization, including how the strategy has been managed to achieve the intended results and how significant the contributions of IFAD, Government and other partners were. It is important for the evaluation to analyze the main logic and assumptions underlying the country strategy.
45. The performance in each of these areas will be rated on a scale of 1 (lowest) to 6 (highest).³⁶ While the ratings for these areas 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 together – they reflected the approach outlined in the COSOP. Based on this assessment and the aforementioned three ratings, the CSPE will generate an overall achievement rating for the IFAD-Government partnership.
46. **Theory-based approach.** In general terms, the principles of theory-based evaluation will be applied in an attempt to evaluate plausible causal relationships under the COSOP. A schematic theory of change logic model has been developed from the text of the 2009 COSOP, supplemented by discussions with country office and project staff (annex 4; also see box 1 below for description). The model identifies the underlying context on which the COSOP was designed, illustrates the logic of interactions between loan-funded projects, grants, non-lending services and country management that contribute towards outcomes and impact. A number of key assumptions are also identified from the text of the COSOP and implicit in the theory of change. The model has been used to help construct specific evaluation questions under the evaluation framework described in section IV.D below.

Box 1

Developing a theory of change for the Philippines country strategy and programme based on 2009 COSOP

The IFAD COSOP for 2010-16 was drafted to take account of four broad sets of factors: IFAD's direct experience in support of national policies through former projects; IFAD's own revised and updated policies and Strategic Framework for 2007-2010; issues facing the Philippines' agriculture and rural sectors; and the policies of the Government of the Philippines. In the 2009 COSOP, it is possible to identify several important areas of national development priorities and policy issues IFAD's interventions were intended to support. These include: upland areas development, with a focus on indigenous peoples and agrarian reform beneficiaries, in the 20 poorest provinces (relevant to, inter alia, the Indigenous Peoples Rights Act – IPRA and Comprehensive Agrarian Reform Programme - CARP); support to the entrepreneurial poor in selected rural areas through agribusiness and value chain development, coupled with micro and small enterprise and financial services (one of the key government priorities, as reflected in the Philippines Development Plan, for example); support to selected marginalized and poor communities dependent on coastal resources (reflected in the Agriculture and Fisheries Modernization Act, AMFA); and support to decentralization policies and process. While policies and legislations such as PDP, AFMA, IPRA and CARP are overarching frameworks, it was expected that there would be specific policy issues within such frameworks emerging

³⁶ The standard rating scale adopted by IOE is: 1 = highly unsatisfactory; 2 = unsatisfactory; 3 = moderately unsatisfactory; 4 = moderately satisfactory; 5 = satisfactory; 6 = highly satisfactory.

from IFAD's experience (e.g. land tenure issues for indigenous peoples and agrarian reform beneficiaries, rural/microfinance services, etc.), as noted in the COSOP.³⁷

The implicit theory of change in the COSOP is that direct investment in partnership with the GOP, supported by some selected regional grants would deliver innovative programmes targeted at different target groups in poor rural communities. Structured annual programmes of knowledge management and joint programme reviews would provide substantive material for policy dialogue, with the aim of successful investments being scaled up by the government and/or development partners. It is a knowledge-driven partnership strategy with a discrete set of independent investments.

This theory gives rise to four key areas of enquiry for the CSPE: (i) to what extent has the loan programme successfully supported dialogue and discussion on the policy issues that affect the IFAD target group and delivered measurable outcomes; (ii) have the complementary grants generated useful findings to help improve implementation; (iii) has the flow of information through knowledge management been disseminated and taken up by development partners; and (iv) has experience gained in IFAD-financed projects influenced governments' policies and programmes?

47. The evaluation will be based on a combination of a review of the available data and information and some spot-checking to gauge the veracity of reported results and impact. The evaluation will examine the plausibility of the COSOP strategy, for example, by:
- (i) Assessing to what extent intended results chains under the projects are corroborated by the available evidence;
 - (ii) Examining broader contextual issues and potential alternative factors for results and impact reported on, and reassessing the plausibility of results chains and key assumptions;
 - (iii) Assessing the level of synergies of IFAD-supported interventions (loan projects, grants and non-lending activities).
48. **Selection of field visit sites:** The CSPE will cover the projects (especially loan-financed projects) under review through field visits to selected sites. Field visits for RuMEPP have been undertaken during its PPE and will not be repeated during the CSPE main mission. The CSPE main mission will visit project sites (mainly CHARMP2 and RaFPEP, but possibly also NMCIREMP and grant-financed projects). Regions and provinces to be visited will be selected for a field visit, taking into consideration the following:
- **Diversity:** covering different agro-ecological zones, rural livelihoods systems, access to services, different types of target group (i.e. indigenous peoples, agrarian reform beneficiaries, microenterprises, etc.) with whom IFAD has been working and/or is expected to target;
 - **Project overlap:** opportunity to see activities from different projects (loan or grant-financed) within a given LGU/province;
 - **Synergies:** a location which provides opportunity to observe synergies with projects and interventions supported by other development partners;
 - **Availability:** stakeholders need to be available for meetings;
 - **Security:** field sites needs to be sufficiently secure for the team to access.

Selection of regions and provinces for field visits will be decided based on discussion with stakeholders during and after the preparatory mission.

³⁷ For example, paragraph 35 stating as one of the IFAD's comparative advantages "strong partnerships of equals with many Government agencies, NGOs and development partners for poverty alleviation through agricultural and rural development programmes and policy dialogues"; paragraph 39 "there is significant potential for innovation and up-scaling, using as a basis IFAD's comparative advantages, the experience..."; paragraph 44 (on policy linkage) "through a series of participatory processes with stakeholders...key policy issues and recommendations will be identified and channelled to the national level to facilitate their inclusion in the national policy dialogue and policy making process".

49. **Sampling grants.** Grants will be selected for stakeholder discussion and – if applicable – site visits, based on the following criteria:
- Different types of linkages to loan projects, or non-lending activities supported and/or different types of partnerships;
 - Significance, in terms of contribution to strategic objectives or in terms of strategic partnerships supported;

Selection of grants will be finalised during the documents review phase.

50. **Identifying stakeholders.** Comprehensive coverage of stakeholders for feedback and further analysis of key issues will be an important aim of the data collection phase. In order to good coverage, the following criteria will be used:
- Different types of stakeholder groups in terms of roles in the programme and partnerships with IFAD, e.g. government at national and local level, private sector, NGOs, civil society organizations, research institutions, partners for political dialogue, implementing partners, beneficiaries, development partners;
 - Different perspectives and interests, also covering those that are not directly involved with IFAD or benefitting from IFAD support and/or those that may have different views on some strategic issues.
51. **Data collection approach.** No large-scale quantitative survey will be conducted for the CSPE. The evaluation will combine a desk review of existing documentation (IFAD project documents, data and information generated by the projects, periodical portfolio review reports, COSOP review reports, client survey results, Government documentation, available statistical data, and other reports) with interviews with relevant stakeholders at IFAD and in the country, and direct observation in the field. Evidence collected from different sources will be triangulated.
52. **Self-assessment.** A self-assessment by those involved in the design and implementation of the COSOP and IFAD-funded operations is an important element of the CSPE. The self-assessment should not attempt to be comprehensive, but rather focus on areas which are of strategic importance but may not be exhaustively covered by the existing documentation. The self-assessment will be an opportunity to reflect, cover some important gaps and be well-prepared for the CSPE. Self-assessments will be conducted by Government and PMD respectively prior to the main mission. The documentation will provide an important input into the CSPE and the self-ratings provide the base for discussion during the main mission.

D. Evaluation framework and key issues for consideration

53. To help reflect on the broad evaluation questions set out in section IV.C, and to guide the CSPE, an evaluation framework has been developed (annex 3). The evaluation questions include "core questions" as defined in the Evaluation Manual (i.e. mandatory questions which all relevant evaluations should seek to address to the extent possible). Some of the "core questions" are adapted for this specific CSPE, and additional questions specific to the Philippines context are provided.
54. Based on preliminary research in preparation of the approach paper, in the context of IFAD's strategy and programme in the Philippines, the following issues deserve particular attention for investigation:
- (a) *Coherence of the strategy and programme.* How have the sectors/sub-sectors of IFAD operations to date, geographical coverage, the target group (e.g. indigenous peoples, agrarian reform beneficiaries, the entrepreneurial poor, fisher folks, etc.), cross-cutting issues reflected as well as instruments employed been mutually reinforcing? To what extent have these been coherent in the context of the overall country programme?

- (b) *Delays implementation process.* Out of five projects to be covered in the portfolio assessment (not including the two recently approved), three of them have received the rating below 3 (including 1 and 2) for disbursement performance in the self-rating (in periodically-updated project status reports). What have been the main factors causing such delays? How have these delays affected expected results or implied missed opportunities? What are lessons and the way forward?
- (c) *IFAD's role and added value.* With the presence of large donors such as Japan, the World Bank, ADB and the USA, the share of IFAD financing is very small, not only in the total ODA but also in the ODA for the agriculture and natural resource sector. The Government's new financing framework for development projects (see paragraph 25) also has implications on the approach for project identification, design and appraisal, and discussion and decision-making on the source of financing. In this regard, what can be the role and added value of IFAD in partnership with the Government and others?

E. CSPE process

- 55. The CSPE will follow the standard process as laid out in the IOE Evaluation manual which includes the following phases and steps:
- 56. **Initial documents review and preparation of issues paper.** In the initial phase, the desk review included relevant COSOP documents and selected project documents.
- 57. **Preparatory mission.** A preparatory mission to Manila took place between 25th January and 6th February 2016. The mission is used to meet key stakeholders for this evaluation and to finalise the approach to this CSPE. The team will have discussions with stakeholders to clarify the purpose, focus and process of this CSPE. It will also aim to locate resource persons and retrieve the additional data and documents required for this CSPE. It will finalise the sampling approach and select project sites for visits during the main mission.
- 58. **Draft approach paper.** The draft approach paper which includes the draft evaluation framework and the proposed timeline was shared with IFAD and the Government for comments by early March 2016.
- 59. **Desk review.** The desk review phase includes a comprehensive review of the lending and non-lending activities and grants. The documents review will enable the preparation of working hypotheses which will guide the further inquiry. At this stage, the team will also finalise detailed questions and checklist for the main mission.
- 60. **Self-assessment.** COSOP implementing partners will be requested to prepare a self-assessment of the COSOP performance as key input to the evaluation. The IFAD CPM and the Government (coordinated by NEDA) will be responsible to preparing their respective self-assessments after reflection with key implementing partners. The approach paper includes proposed self-assessment tools, which covers selected evaluation criteria and questions from the evaluation framework where inputs from implementing partners will be required. Partners may decide to reflect on additional criteria and questions as an input into this CSPE.
- 61. **Country work.** The main country mission will take place from 29 March to 22 April 2016. The main purpose of the mission is to crosscheck and verify the initial findings from the desk review and the self-assessment. This will include extensive stakeholder consultation for feedback on the COSOP performance. It will also include focus group discussions around the main thematic issues for this CSPE. To ensure sufficient coverage and stakeholder participation, the team will travel to selected regions and provinces where it will consult with key stakeholders, conduct reality checks on selected activities on the ground and hold discussions with beneficiaries. At the end of the main mission, the evaluation team will organize a

wrap up meeting to present emerging findings to the representatives of Government, and other development partners. The IFAD Country Programme Manager (CPM) and the Country Programme Officer for the Philippines will take part in the meeting.

62. During the main mission, the team will allocate half a day for an internal workshop to synthesise findings and validate the COSOP results, using the methodological steps presented above. It will then clarify the requirements for reporting and the contribution expected from each team member.
63. **Analysis and draft report preparation.** Following the country work, the CSPE team will systematize and analyse the data collected from desk review, interviews, discussion guided by the evaluation framework and the Evaluation Manual, and prepare a draft report.
64. **Draft report and review.** A draft report will be available for peer review in July 2016. Internal peer review in IOE will include both a review of the evidence base and robustness of the analysis and an assessment of the conclusions and recommendations (linkage with findings, capturing key country context issues emerging issues and avoiding redundancies). Thereafter, it will be shared with APR and the Government simultaneously for their review. The draft report will also be shared with development partners as appropriate. The report will be revised independently by IOE and audit trails will be prepared to explain how comments were taken into consideration
65. **Finalisation, dissemination and follow up.** The report will then be finalized by IOE and a national roundtable workshop will be organized in November 2016 to discuss the issues and recommendations raised by the CSPE, to agree on key points to be included in the Agreement at Completion Point (ACP) and to reflect on strategic issues that will inform the forthcoming Philippines Country Strategic Opportunities Programme (COSOP). The timing of the CSPE is compatible with the strategy cycle of the Philippines Development Plan and may provide an opportunity to contribute to the preparation of the next plan period and for discussion among development partners. The final CSPE report is expected to be presented by IOE to the Evaluation Committee. It will also be presented for discussion with the IFAD Executive Board when the new Philippines COSOP is considered by the Board.
66. **Tentative schedule** is presented in table below:

| <i>Activity</i> | <i>Date</i> |
|---|---------------------------|
| Initial desk review, preparation of draft approach paper | Dec 2015-Jan 2016 |
| Preparatory mission to the Philippines | 25 Jan – 6 Feb |
| Draft approach paper for review by APR and Government | Early March 2016 |
| Approach paper finalized | Mid/late March 2016 |
| Self-Assessment by APR and Government | March 2016 |
| Main country mission | 29 Mar-22 Apr 2016 |
| IOE peer review | Mid July 2016 |
| Draft report shared with APR and Government | By end July 2016 |
| Comments by APR and Government | By early September 2016 |
| Mission to the Philippines to discuss comments with government and prepare workshop | Late September 2016 (tbc) |

Report finalized

By mid-October 2016

CSPE National Round Table Workshop

Late Nov-early Dec 2016

Finalise CSPE Agreement at Completion Point

Within 3 months after workshop

F. Core learning partnerships

67. A standard feature in IFAD evaluations, the core learning partnership (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 to (i) provide comments in the approach paper; (ii) reviewing and commenting on the draft CSPE report; and (iii) participate in the final workshop.
68. In consultation with the IFAD Country Office, the following persons have been identified as members of the CLP:

| <i>Organization</i> | <i>Designation</i> | <i>Name</i> |
|---|---|---------------------------------|
| Government | | |
| Dept of Finance | National Treasurer | Roberto Tan |
| NEDA | Deputy Director General | Rolando G. Tungpalan |
| Dept of Budget Management | Undersecretary – Budget Policy and Strategy | Laura Pascua |
| Dept of Agriculture | Undersecretary – Operations, Agribusiness and Marketing | Atty. Emerson Palad |
| Dept of Agrarian Reform | Undersecretary – Foreign Assisted and Special Projects | Herman Z. Ongkiko |
| Dept of Trade & Industry | Undersecretary – Regional Operations Group | Zenaida Cuison Maglaya |
| Dept of Environment and Natural Resources | Undersecretary - Policy and Planning & Foreign Assisted Programs | Manuel D. Gerochi (CESO I) |
| National Irrigation Authority | Administrator | Florencio Padernal |
| Bureau of Fisheries and Aquatic Resources | Undersecretary | Asis G. Perez |
| National Anti-Poverty Commission | Undersecretary | Patrocinio Jude H. Esguerra III |
| National Commission on Indigenous Peoples | Executive Director | Lee T. Arroyo |
| IFAD financed projects | | |
| RaFPEP | Programme Coordinator | Adamar Estrada |
| CHARMP2 | Project Manager | Cameron P. Odsey |
| INREMP | Project Manager | Amie T. Rabang |
| Non-governmental / civil society organizations | | |
| AsiaDHRRA | Executive Director | Marlene Ramirez |
| PAKISAMA | National Coordinator | Raul Socrates Banzuela |
| Development Partners | | |
| ADB | Unit Head, Project Administration, Environment, Natural Resource and Agriculture Division, Southeast Asia | Marzia Mongiorgi-Lorenzo |

| <i>Organization</i> | <i>Designation</i> | <i>Name</i> |
|---------------------|--------------------------------------|----------------|
| | Department | |
| IFAD | | |
| | Director, APR, IFAD | Hoonae Kim |
| | Country Programme Manager, APR | Omar Zafar |
| | Country Programme Officer, APR | Yolando Arban |
| | Director, IOE, IFAD | Oscar Garcia |
| | Deputy Director, IOE, IFAD | Ashwani Muthoo |
| | Senior Evaluation Officer, IOE, IFAD | Fumiko Nakai |

69. According to the IFAD Evaluation Policy, evaluations conclude with an Agreement at Completion Point (ACP), 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 roundtable workshop so that it can benefit from the outcomes of the discussion. IOE does not sign the agreement and is only responsible for facilitating the process leading to 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 Department of Finance and the IFAD's Associate Vice President for Programmes. The ACP will be included in the final published report and presented as an annex in the COSOP document when the same is discussed with the Executive Board of IFAD.

V. Roles, responsibilities and team composition

70. The IOE Director will have the overall oversight of the CSPE. Ms Fumiko Nakai, IOE Senior Evaluation Officer, is designated as Lead Evaluator for this CSPE. She will be leading the evaluation and managing the overall exercise, including designing the methodology, recruiting a team of specialists, leading the preparatory and main missions and managing the division of responsibilities and inputs of team members, liaising with the Government and other key stakeholders, etc. The IOE will be ultimately responsible for the contents of the evaluation report and the overall evaluation process. Ms Nakai will be supported by Ms Laure Vidaud, Evaluation Assistant.
71. The main field mission will be conducted by a team of independent and external specialists under the responsibility and supervision of IOE. The team will include Mr Derek Poate as principal senior consultant in charge of reviewing strategic issues, Ms Maliha Hussein as senior consultant chiefly responsible for assessing IFAD's lending portfolio, Mr Elmer Mercado responsible for providing inputs to the lending portfolio assessment and strategic issues in the areas of natural resource management, indigenous peoples' issues and decentralization, Ms Valeria Galletti conducting a desk review of grant projects and information on non-lending activities, and Ms Luningning Bondoc assisting in data collection.

VI. Communication and dissemination

72. A CSPE national roundtable workshop will be organised in Manila at the conclusion of the evaluation process. This learning event will allow a broader number of stakeholders, beyond the core learning partnership, to discuss the results and the recommendations of the evaluation and their implication for the future collaboration of IFAD in the country. This will be an important step before the Government of the Philippines and IFAD can sign the Agreement at Completion Point (ACP).

73. The final report (about 55-60 pages main text in English), including the ACP, will be distributed in hard copies to partners in the Philippines, posted on IFAD's public website as well as on other websites maintained by the UN Evaluation Group, the Evaluation Cooperation Group, the OECD-DAC Evaluation Networks, as well as other relevant websites. IOE will also elaborate shorter (2-page) documents that are more reader friendly and cater for a broader audience: (i) an evaluation profile (summarising key findings) (ii) an evaluation insight (dedicated to a single theme); and (iii) infographic.

List of IFAD-supported lending operations approved since 1978

| Proj ID | Project name | Project sector | Total project cost (US\$) | IFAD Financing (US\$) | Co-financer Amount (US\$) | Government (US\$) | Coop Institution | Approval Date | Signing Date | Entry into Force | Current Completion Date | Closing Date |
|---------|--|----------------|---------------------------|-----------------------|---|-------------------|------------------|---------------|--------------|------------------|-------------------------|--------------|
| 008 | Magat River Multipurpose Project II | IRRIG | 62 000 000 | 10 000 000 | 21 000 000 | 31 000 000 | IBRD | 12/12/1978 | 26/01/1979 | 25/04/1979 | 31/12/1984 | 30/06/1985 |
| 084 | Smallholder Livestock Development Project | LIVST | 12 700 000 | 2 612 000 | 2 640 000 | 2 046 000 | AsDB | 17/12/1981 | 22/06/1982 | 01/10/1982 | 31/03/1989 | 30/09/1989 |
| 108 | Communal Irrigation Development Project | IRRIG | 121 800 000 | 7 720 000 | 71 100 000 | 38 700 000 | IBRD | 15/09/1982 | 16/11/1982 | 29/03/1983 | 31/12/1990 | 30/06/1991 |
| 196 | Highland Agriculture Development Project | AGRIC | 26 900 000 | 3 567 000 | 18 800 000 | 3 500 000 | AsDB | 03/12/1986 | 22/01/1987 | 21/08/1987 | 30/06/1993 | 31/12/1993 |
| 302 | Visayas Communal Irrigation and Participatory Project | IRRIG | 21 700 000 | 15 141 600 | UNDP 0.62m DISOP 0.8m | 4 466 400 | UNOPS | 14/04/1992 | 18/05/1992 | 25/08/1992 | 30/06/1999 | 31/12/1999 |
| 486 | Cordillera Highland Agricultural Resource Management Project | AGRIC | 9 200 000 | 9 240 000 | 19 060 000 | 11680000 | AsDB | 06/12/1995 | 06/03/1996 | 04/12/1996 | 31/12/2004 | 30/06/2005 |
| 505 | Rural Micro-Enterprise Finance Project | CREDI | 64 800 000 | 14 720 000 | 20 010 000 | 25 000 000 | AsDB | 18/04/1996 | 08/05/1996 | 04/12/1996 | 01/08/2002 | 31/12/2002 |
| 1066 | Western Mindanao Community Initiatives Project | RURAL | 18 200 000 | 15 500 000 | - | 2 306 300 | UNOPS | 23/04/1998 | 29/04/1998 | 25/03/1999 | 30/06/2007 | 31/12/2007 |
| 1137 | Northern Mindanao Community Initiatives and Resource Management Project (NMCIREMP) | RURAL | 21 600 000 | 14 805 000 | - | 3 007 000 | -IFAD | 06/12/2001 | 08/04/2002 | 01/04/2003 | 30/06/2009 | 31/12/2009 |
| 1253 | Rural Microenterprise Promotion Programme (RuMEPP) | CREDI | 27 500 000 | 19 129 788 | - | 654 672 | IFAD | 19/04/2005 | 11/11/2005 | 31/10/2006 | 31/12/2013 | 30/06/2014 |
| 1395 | Second Cordillera Highland Agricultural Resource Management Project (CHARMP2) | RURAL | 66 400 000 | 27 119 766 | AsDB 10 mill (not materialized), OFID 10 mill | 14 286 935 | IFAD | 24/04/2008 | 04/06/2008 | 14/11/2008 | 31/12/2016 | 30/06/2017 |
| 1475 | Integrated Natural Resources and Environmental Management Project (INREMP) | AGRIC | 148 600 000 | 20 000 235 | AsDB 100 mill CCF of AsDB 1.41 mill, GEF 25 mill | 18 282 554 | AsDB | 13/12/2012 | 12/04/2013 | 12/04/2013 | 30/06/2020 | 31/12/2020 |
| 1485 | Rapid Food Production Enhancement Programme (RaFPEP) | AGRIC | 42 200 000 | 15 900 459 | EC 13 mill, FAO 500 000 | 13 620 000 | IFAD | 17/12/2008 | 02/09/2009 | 09/11/2009 | 31/12/2016 | 30/06/2017 |
| 1547 | Convergence on Value Chain Enhancement for Rural Growth and Empowerment Project (CONVERGE) | RURAL | 52 530 000 | 25 010 000 | - | 9 590 000 | IFAD | 15/09/2015 | 26/10/2015 | 26/10/2015 | 30/04/2023 | 30/06/2023 |
| 1548 | Fisheries, Coastal Resources and Livelihood Project (FishCORAL) | FISH | 43 000 000 | 29 956 000 | - | 11 761 000 | IFAD | 15/09/2015 | 26/10/2015 | 26/10/2015 | 31/12/2020 | 30/06/2021 |

List of IFAD-supported grants in or covering the Philippines under implementation after 2010

A. Grants directly co-financing loans

| <i>Grant Number</i> | <i>Related loan-financed projects</i> | <i>Signing date</i> | <i>Completion date (loan-financed projects)</i> | <i>Financing amount</i> |
|---------------------|--|---------------------|---|--------------------------------|
| 1000002577 | Rural Microenterprise Promotion Programme | 11/11/2005 | 31/12/2013 | 500 000 |
| 1000003084 | Second Cordillera Highland Agricultural Resource Management Project (CHARMP2) | 04/06/2008 | 31/12/2016 | 561 000 |
| 1000003084 (EC) | Rapid Food Production Enhancement Project (RaFPEP) – Rapid Seed Supply Financing Project (RaSSFIP) | 02/09/2009 | 31/12/2016 | 13 140 000 (Euro 9 596 210) |

B. Country-specific grants

| <i>Grant Number</i> | <i>Grant title</i> | <i>Grant recipient</i> | <i>Signing date</i> | <i>Completion date</i> | <i>Financing amount (US\$)</i> |
|---------------------|---|---|---------------------|------------------------|--------------------------------|
| 1000002848 | AIMS: an area-based information management system, Northern Mindanao, Philippines | Saturnino Urios University | 14/06/2007 | 31/03/2009 | 107 992 |
| 1000003277 | Effects of biofuels on agricultural development, food security, poverty and the environment: Philippines | Southeast Asian Regional Centre for Graduate Study and Research in Agriculture (SEARCA) | 05/02/2009 | 31/03/2011 | 200 000 |
| 1000003851 | Technical Assistance on Institutional Strengthening of Results-based Monitoring and Evaluation for the National Economic and Development Authority and Implementing Agencies of the Philippines | National Economic and Development Authority (NEDA) | 19/11/2010 | 30/06/2013 | 200 000 |
| 2000000382 | Rapid Response to Post Typhoon Haiyan Agriculture Rehabilitation Programme (HARP) | DOF - PHL | 27/01/2014 | 30/06/2015 | 4 050 000 |
| 2000000854 | Technical Support to the Ex-post Impact evaluations using mixed methods approaches of the Rural Microenterprise Promotion Programme (RuMEPP) | De La Salle University | 14/12/2014 | 31/12/2015 | 240 000 |
| 2000000159 | Scaling up initiatives in Mobilizing Migrant Resources towards Agriculture Development In the Philippines | Atikha Overseas Workers and Communities Initiative Inc. | 04/12/2014 | 31/12/2016 | 500 000 |

C. Global/regional grants that cover the Philippines

| Grant Number | Grant title | Grant recipient | Signing date | Closing date | IFAD Financing (US\$) | Countries involved |
|--------------|---|--|--------------|--------------|-----------------------|--|
| 1000000099 | Medium Term Cooperation Programme with Farmers Organizations in the Asia and the Pacific Region: Southeast Asia sub-programme (MTC I) | Self Employed Women's Association (SEWA) | 17/06/2009 | 31/12/2012 | 1 083 000 | Cambodia, China, India, Indonesia, Lao PDR, Myanmar, Nepal, Philippines, Sri Lanka and Viet Nam |
| 1000001711 | Program for Accelerating the Financial Empowerment of Poor Rural Communities in Asia and the Pacific through Rural Finance Innovations | APRACA | 11/01/2007 | 30/09/2012 | 1 200 000 | Most countries in the Asia region |
| 1000002830 | Programme for Knowledge Networking for Rural Development Asia/Pacific (ENRAP II) | IDRC | 14/04/2007 | 31/03/2011 | 1 085 000 | Most countries in the Asia region |
| 1000002907 | Programme for linking the poor to Global Regional markets: pro-poor development of biofuel supply chains | ICRISAT | 03/12/2007 | 30/06/2011 | 1 500 000 | China, Colombia, India, Mali, the Philippines and Viet Nam |
| 1000003086 | Programme on Rewards for Use of and Shared Investment in Pro-poor Environmental Services (RUPES II) | ICRAF | 15/10/2008 | 31/03/2013 | 1 500 000 | Nepal, India, Philippines, Indonesia, Viet Nam, China, Cambodia, Mongolia, Thailand |
| 1000003087 | Regional capacity building and knowledge management for gender equality | FAO | 09/01/2009 | 31/12/2011 | 1 500 000 | 24 countries (divided into Year 1 and Year 2) in all regions (Asia, Africa, Latin America, Central Europe, etc.) |
| 1000003253 | Empowering smallholder farmers in the market (ESFIM) | IFAP | 04/05/2009 | 31/12/2012 | 1 000 000 | 10 countries in Africa, Latin America and Asia including Philippines (financing for PHL to be verified) |
| 1000003375 | Enabling Poor Rice Farmers to Improve Livelihoods and Overcome Poverty in South and Southeast Asia through the Consortium for Unfavourable Rice Environments (CURE I) | IRRI | 28/07/2009 | 31/03/2014 | 1 500 000 | Bangladesh, Nepal, India, Philippines, Indonesia, Viet Nam, Laos, Cambodia, Myanmar and Thailand |
| 1000003615 | Advancing the international land coalition's strategic framework: putting a pro-poor land agenda into practice at the national, regional and global levels | ILC | 26/02/2010 | 30/06/2011 | 1 070 000 | Kenya, Malawi, Zimbabwe, India, Philippines, Dominican Republic (then changed for Bolivia) |
| 1000003832 | Improving Livelihoods and Overcoming Poverty in the Drought-Prone Lowlands of South-East Asia | IRRI | 16/12/2010 | 31/12/2014 | 1 200 000 | Cambodia, Indonesia, Myanmar, Philippines, Thailand |
| 1000003895 | Root and Tuber Crops Research and Development Programme for Food Security in Asia and Pacific Region | International Potato Center (CIP) | 22/03/2011 | 30/09/2015 | 1 450 000 | Bangladesh, China, Philippines, Indonesia, India |
| 1000004001 | Indigenous Peoples Assistance Facility (IPAF) – Asia and the Pacific | TEBTEBBA | 27/07/2011 | 31/12/2014 | 466 620 | In Asia, Bangladesh, India Laos, Nepal, PNG, Solomon |

| Grant Number | Grant title | Grant recipient | Signing date | Closing date | IFAD Financing (US\$) | Countries involved |
|--------------|--|--|--------------|--------------|-----------------------|--|
| | | | | | | Islands, Philippines. Also Latin America and the Caribbean and Africa |
| 1000004046 | Catalysing commitment to pro-poor land governance | ILC | 07/09/2011 | 31/03/2013 | 1 000 000 | Bangladesh, Bolivia, Colombia and Philippines |
| 1000004067 | Disseminating CGIAR challenge programme on water and food innovations (CPWF) and adoption process for water and food, and piloting their mainstreaming in the IFAD portfolio | International Water Management Institute-Challenge Programme on water and food (IWMI-CP) | 07/05/2012 | 31/12/2014 | 1 000 000 | Bangladesh, Bhutan, Bolivia, Brazil, Burkina Faso, Cambodia, China, Colombia, Ecuador, Ethiopia, Ghana, India, Iran, Kenya, Laos, Nepal, Nicaragua, Niger, Peru, Philippines, South Africa, Tanzania, Thailand, Uganda, Vietnam and Zimbabwe |
| 2000000074 | Medium Term Cooperation Programme with farmers' organizations in Asia and the Pacific, phase II (MTCP 2) | Asian Farmers' Association for Sustainable Rural Development (AFA) | 04/09/2013 | 30/09/2018 | 2 000 000 | Selected countries in Asia and the Pacific (Philippines in phase 1 2009-2012 AFA Phil as recipient) |
| 2000000094 | Enabling Poor Rice Farmers to Improve Livelihoods and Overcome Poverty in South and Southeast Asia through the Consortium for Unfavourable Rice Environments (CURE 2) | IRRI | 13/03/2014 | 31/03/2018 | 1 500 000 | Nepal, India, Bangladesh, Philippines, Indonesia, Vietnam, Laos, Cambodia, Myanmar and Thailand |
| 2000000099 | Climate-smart, tree-based, co-investment in adaptation and mitigation in Asia | ICRAF | 13/03/2014 | 30/09/2017 | 1 500 000 | Indonesia, Philippines, Vietnam |
| 2000000493 | Indigenous Peoples Assistance Facility (IPAF) | TEBTEBBA | 14/10/2014 | 30/06/2018 | 525 600 | Countries in Africa, Asia and the Pacific, and Latin America and the Caribbean |
| 2000000511 | Regional Programme on Remittances and Diaspora Investment for Rural development | Planet Finance Technical Advisory Services (PFTAS) | 18/02/2015 | 31/03/2018 | 900 000 | Pakistan, Philippines, Nepal, Sri Lanka |

Philippines CSPE Evaluation Framework

A. Lending Portfolio – Evaluation Questions³⁸

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|-----------|---|--|
| 1. | Rural poverty impact (to be rated on a scale of 1-6 for each project) | NMCIREMP; RuMEPP; CHAMP2; RaFPEP-IRPEP |
| 1.1 | To what extent has the initiative had the anticipated impact on the target group? | NMCIREMP: PPA |
| 1.2 | To what extent have beneficiary incomes changed as a result of the project? | RuMEPP: impact evaluation, PPE |
| 1.3 | In what way have household net assets changed due to the intervention? | RaFPEP-IRPEP, CHAMP2: project documents, field visits |
| 1.4 | What changes have taken place in household food security and nutrition and what explains such changes? | |
| 1.5 | To what extent and how do the rural poor play more effective roles in decision making? In what way did/does the project empower the rural poor vis-à-vis development actors and local and national public authorities? (EM annex II) | NMCIREMP PPA + follow-up by field visits RuMEPP: PPE RaFPEP-IRPEP, CHAMP2: project documents, field visits |
| 1.6 | To what extent and in what way did the project contribute to changing the way local governments, the private sector and other institutions interact and work with the rural poor? Has the project contribute to any changes in national/sectoral policies, legislations and regulatory framework in favour of the rural poor? If so, in what way? | NMCIREMP PPA + follow-up by field visits RuMEPP: PPE RaFPEP-IRPEP, CHAMP2: project documents, field visits |
| 2. | Portfolio Relevance (to be rated on a scale of 1-6 for each project) | All seven projects |
| 2.1 | In what way were/are project objectives in line with key IFAD and government objectives for promoting sustainable agriculture development as well as the needs of the rural poor? | Design fit with contextual factors in ToC: see NMCIREMP: PPA; RuMEPP: PPE Other projects: desk review, key informant interviews |
| 2.2 | Was project design appropriate (for example, in terms of components, financial allocations, institutional arrangements, etc.) to meet the intervention's objectives? | NMCIREMP: PPA; RuMEPP: PPE Other projects: desk review, key informant interviews |
| 2.3 | Was the project adjusted during implementation to any changes in context to retain continued relevance? (CHARMP2 AD titling) | NMCIREMP: PPA; RuMEPP: PPE Review of CHAMP2; RaFPEP; INREMP SVIS ³⁹ reports, PSRs, monitoring documents |

³⁸ Reference to the Evaluation Manual: criteria to be applied in Box 7 p.69; core questions p.39-43

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|-----------|--|---|
| 2.4 | Did project designs respond adequately to the contextual analyses in the COSOPs, particularly with regards to: indigenous peoples; land access and titling; post conflict tensions; climate vulnerability; and, weak service capacity in govt. Were lessons from previous interventions taken into account? | NMCIREMP PPA, RuMEPP PPE Previous project evaluation reports, COSOP2009, design documents |
| 2.5 | How appropriate were the logical frameworks, indicators and targets in project design? If they were revised during implementation, why and in what ways? | Desk review of project design documents, SVIS reports, MTR, PCR, PPA/PPE |
| 2.6 | How was the target group defined and how appropriate was (is likely to be) the project's targeting strategy in reaching them? | Desk review of project design documents, SVIS reports, MTR, PCR, PSRs, PPA/PPE |
| 2.7 | [For CHARMP2 and INREMP] Has the co-financing arrangements had implications on the relevance of project design? If so, in what way? | Desk review of project design documents, PSRs, interviews with IFAD staff, government counterparts, co-financiers |
| 2.8 | To what extent has IFAD considered and incorporated the country's proneness to disasters into project designs? How has IFAD responded to such events (e.g. typhoon Haiyan) in light of its policy guidance (e.g. Crisis Prevention and Recovery, and Guidelines for Disaster Early Recovery) and its comparative advantage? | Desk review of project design documents, interviews with IFAD staff, government counterparts, co-financiers |
| 3. | Portfolio Effectiveness (to be rated on a scale of 1-6 for each project) | NMCIREMP; RuMEPP; CHARMP2; RaFPEP |
| 3.1 | To what extent have the objectives of the project and its components been attained in quantitative and in qualitative terms? How strong is the evidence for the achievements of results claimed in the project/programme documentations? What is the evidence for the extent of project contribution or other non-project factors? | NMCIREMP: PPA; RuMEPP: PPE CHARM2 & RaFPEP: (where available) statistical Data on agricultural production Discussions and interviews with beneficiaries, government staff, non-beneficiaries Project M&E data and progress reports |
| 3.2 | What changes in the overall context (e.g. policy framework, political situation, institutional set-up, economic shocks, civil unrest) have affected or are likely to affect project implementation and overall results? (e.g. natural disasters such as typhoon Yolanda) | Timeline history |
| 3.3 | What factors in project design and implementation account for the estimated results in terms of effectiveness; are there valid alternatives? | Review of project documents. Perceptions of project and government staff |
| | How effective was the project in benefiting the intended target group? What were the strengths and weaknesses in terms of targeting? How has CHARMP2 been able to deliver much higher rates of beneficiary participation than originally planned? | NMCIREMP PPA, RuMEPP PPE CHAMRP2 & RaFPEP-IRPEP: SVIS reports, MTR, field visits and interviews |

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|-----|--|---|
| 4. | Portfolio Efficiency (to be rated on a scale of 1-6 for each project) | Mainly NMCIREMP; RuMEPP; CHARMP2 and RaFPEP. Only selected questions for other projects (not rated for INREMP, CONVERGE and FishCORAL). |
| 4.1 | How does the economic rate of return at evaluation compare with that at project design? | NMCIREMP: PPA; RuMEPP PPE CHARMP2 & RaFPEP: Data collection and analysis |
| 4.2 | What are the project costs per beneficiary (both at the time of appraisal and at the time of evaluation) and how do they compare to other IFAD-funded operations (or those of other donors) in the same country and/or other countries? | Desk calculation |
| 4.3 | What are the total project management costs in relation to total project costs and how do they compare with similar projects? | Desk calculation |
| 4.4 | What are the major factors that account for project efficiency performance? What were/are key factors for disbursement delays and slow implementation, in particular in RuMEPP, CHARMP2 and INREMP? How have these delays affected project performance and the actual or likely achievements of results? | Project related documents, interviews with project staff and IFAD |
| 4.5 | [For RuMEPP and RaFPEP] Has the geographical coverage of multiple regions and island groups in some projects affected the efficiency of the project implementation and attainment of results? If so, how? | RuMEPP: PPE RaFPEP: Perceptions of IFAD country office, project and government staff in interviews and self-assessment. |
| 4.6 | How is the value for money of the different investments compared to national or regional benchmarks for unit costs for different resources or for cost versus quantity/quality of outputs? | Project accounts, Benchmarks from other projects, government agencies, private sector |
| 4.7 | [For CHARMP2 and INREMP] To what extent and how has the co-financing arrangements had implications for the efficiency (e.g. project processing, fiduciary aspects, etc.)? | Desk review of project-related documents. Interview with IFAD, government counterparts |
| 4.8 | [For CONVERGE and FishCORAL] Why did pipeline projects FishCORAL & CONVERGE not become effective earlier in the COSOP period? Are there ways in which these issues could have been resolved more speedily? | Desk review of project related documents, IFAD-Govt correspondences, interviews with IFAD, government counterparts |
| 5. | Portfolio Sustainability of benefits (to be rated on a scale of 1-6 for each project) | NMCIREMP; RuMEPP; CHAMRP2; RaFPEP-IRPEP |

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|-----------|--|--|
| 5.1 | Do project activities benefit from the engagement, participation and ownership of local communities, grass-roots organizations and the rural poor, and are adopted approaches technically viable? | NMCIRMP: PPA; RuMEPP: PPE Review of project design documents. Interviews with RaFPEP and CHARMP2 project teams. |
| 5.2 | Is there a clear indication of government commitment after the loan closing date, for example, in terms of provision of funds for selected activities, human resources availability, continuity of pro- poor policies and participatory development approaches, and institutional support? | NMCIREMP: Local govt interviews & reports RuMEPP: Interviews with DTI, local govt CHARMP2 & RaFPEP-IRPEP: Interviews with DA, NCIP (for CHARMP2), local governments |
| 5.3 | What are the chances that benefits generated by the project will continue after project closure and what is the likely resilience of economic activities to post-project risks? <i>In the case of NMCIREMP, to what extent and in what way have the project benefits reported in PPA continued?</i> | NMCIREMP: PPA plus field visit; RuMEPP: PPE CHARMP2: self assessment, monitoring reports & field visits RaFPEP-IRPEP: self assessment, monitoring reports & field visits |
| 6. | Gender equality and women's empowerment (to be rated on a scale of 1-6 for each project) | NMCIREMP; RuMEPP; CHAMRP2; RaFPEP-IRPEP |
| 6.1 | What were the project's achievements in terms of promoting gender equality and women's empowerment, including changes in the following aspects (in line with the IFAD policy on this topic): (i) women's access to resources, assets and services; (ii) women's influence in decision-making; (iii) workload distribution among household members; (iv) health, skills, income and nutritional levels; and (v) gender relations within households. | NMCIREMP: PPA; RuMEPP: PPE CHARMP2 & RaFPEP-IRPEP: PSRs, SVIS reports, self-assessment, monitoring reports & field visits Review IPGN history and materials |
| 6.2 | What percentage of total project resources was invested in activities to promote gender equality and women's empowerment and how does that compare with other projects funded by IFAD? | NMCIREMP PPA; RuMEPP PPE CHARMP2 & RaFPEP-IRPEP: monitoring reports & field visits |
| 6.3 | To what extent did the project define and monitor sex-disaggregated results to ensure that gender equality and women's empowerment objectives were being met? Was the project implementation structure adequate to support effective implementation of gender equality and women's empowerment goals? | NMCIREMP: PPA; RuMEPP: PPE CHARMP2 & RaFPEP-IRPEP: PSRs, self-assessment, monitoring reports, field visits, interviews |
| 7. | Innovation & scaling up (to be rated on a scale of 1-6 for each project) | NMCIREMP; RuMEPP; CHAMRP2; RaFPEP-IRPEP |
| 7.1 | What are the characteristics of innovation(s) promoted by the intervention? | Review linkages of grants with loan projects. Review of project design documents. |

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|-----------|---|--|
| 7.2 | Are the innovations consistent with the IFAD definition of this concept? | CSPE team analysis |
| 7.3 | Are the actions in question truly innovative or are they well-established elsewhere but new to the country or project area? | CSPE team analysis; assessment from PTA |
| 7.4 | Have grants been used to promote innovation? <i>If so, how?</i> | Review linkages of grants with loan projects. |
| 7.5 | What evidence was used to justify scaling up? Were successfully promoted innovations documented and shared to facilitate scaling up? | Interviews with project staff and partners; analysis of material from KLM-PE ⁴⁰ and ACPoR ⁴¹ meetings. |
| 7.6 | Has IFAD proactively engaged in partnership building and policy dialogue to facilitate the uptake of successful innovations? <i>To what extent has the projects been successful in supporting and informing the targeted policies? Are the partnerships created effective for the purpose or could other more effective partnerships have been developed?</i> | NMCIREMP: PPA plus field visit; RuMEPP: PPE CHARMP2 & RaFPEP-IRPEP: self-assessment, monitoring reports & field visits Interviews with government counterparts, development partners |
| 7.7 | Based on the information available, have these innovations been scaled up and, if so, by whom? If not, what are the prospects at the time of evaluation that they can and will be scaled up by the government, other donors and/or the private sector? What were/are the pathways to scaling up? | CSPE team analysis Review and analysis of identified cases of innovations/scaling-up |
| 8. | Environment and natural resource management (to be rated on a scale of 1-6 for each project) | NMCIREMP; RuMEPP; CHAMRP2; RaFPEP-IRPEP |
| 8.1 | To what extent did the project adopt approaches/measures for restoration or sustainable management of natural resources (e.g. enhancement of ecosystem services, support to training and extension to foster efficient environment and natural resource management, uptake of appropriate/new technologies)? | NMCIREMP PPA plus field visits; RuMEPP PPE CHARMP2 & RaFPEP-IRPEP: monitoring reports & field visits |
| 8.2 | To what extent did the project develop the capacity of community groups and institutions to manage environmental risks (e.g. how governance-related factors are shaping the management of natural resources, influence of incentives and disincentives for sustainable natural resource use and natural resource-based livelihoods improvement)? | NMCIREMP: PPA plus field visit; RuMEPP: PPE CHARMP2 & RaFPEP-IRPEP: monitoring reports & field visits |
| 8.3 | To what extent did the project contribute to reducing the environmental vulnerability of the community and build resilience for sustainable natural resource management that contribute to poverty reduction (e.g. factors such as access to technologies, information/awareness creation)? | Secondary data; analysis from FAO; analysis from environmental NGOs etc. |
| 8.4 | To what extent did the project contribute to long-term environmental and social sustainability (e.g. through avoiding over exploitation of natural resources or loss of biodiversity or reduction of the community's | NMCIREMP: PPA plus field visit; RuMEPP PPE CHARMP2 & RaFPEP-IRPEP: monitoring |

⁴⁰ Knowledge & Learning Market, Policy Engagement

⁴¹ Annual Country Programme Review

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|------|---|---|
| | livelihoods); and by empowering and strengthening the capacity of community-based natural resource management groups to ensure sustainable natural resources engagement, especially of vulnerable groups, in decision making affecting natural resources use? | reports & field visits |
| 8.5 | To what extent did the project follow required environmental and social risk assessment procedures, including meaningful consultation with affected and vulnerable communities, and have complied with applicable IFAD or national environmental and social standards or norms, to ensure any harmful impacts are avoided or managed/mitigated through, where needed, the implementation of effective environmental and social management plans, including robust monitoring and supervision? | NMCIREMP PPA, RuMEPP PPE Interviews with DENR, NCIP; CSPE team analysis |
| 9. | Adaptation to climate change (to be rated on a scale of 1-6 for each project, where applicable) | NMCIREMP; CHAMP2; RaFPEP-IRPEP (subject to data availability) |
| 9.1 | What specific adaptation activities did the initiative (i.e. COSOP or project) contain, if any, and what were their effects on the rural poor? | Analysis of project design documents |
| 9.2 | What are the amounts and nature of funds allocated to adaptation to climate change- related risks? | Desk analysis |
| 9.3 | Can any factors be identified that might help the rural poor to restore the natural resource and environment base that (may) be affected by climate change? | NMCIREMP: PPA + field visit; CHAMP2 & RaFPEP-IRPEP: monitoring reports & field visits |
| 10. | Performance of partners: IFAD (to be rated on a scale of 1-6 for each project) | All seven projects as applicable (but <u>not rated</u> for INREMP, FishCORAL and CONVERGE) |
| 10.1 | How well were the comments and recommendations of quality enhancement and quality assurance processes, including from evaluations, included in the final project design? | Quality enhancement, quality assurance documents; relevant evaluation reports |
| 10.2 | How well and adequately and in what manner has supervision and implementation support been organized and provided? How has IFAD taken action to address implementation bottlenecks and issues, if any, and how timely and effective have these been? | Supervision mission reports, PSRs, interviews with IFAD and project staff |
| 10.3 | To what extent has IFAD exercised its fiduciary responsibilities (except for INREMP)? | PSRs, records on withdrawal application processing; possibly selected procurement documents and no-objections |
| 10.4 | What has been the role of IFAD in INREMP design and supervision (by AsDB)? | Project-related documents; ADB documents; interviews with IFAD, ADB |
| 11 | Performance of partners: Government (to be rated on a scale of 1-6 for each project) | All seven projects (but not rated for INREMP, FishCORAL and CONVERGE) |
| 11.1 | How are key elements of project management performance assessed, in various aspects such as M&E, submission of AWPBs/progress reports? | SVIS reports; PSRs; interviews with IFAD staff and government counterparts |
| 11.2 | Were counterpart resources (funds and staffing) provide in line with the agreement at design stage? | SVIS reports; PSRs; interviews with IFAD staff |

| No. | Evaluation criteria & evaluation questions | Projects covered Data source/data collection method |
|------|---|---|
| | | and government counterparts |
| 11.3 | How well has the Government performed on the fiduciary aspects of project management? (procurement, financial management, etc.) | SVIS reports; PSRs; interviews with IFAD staff and government counterparts |
| 11.4 | To what extent has the high-level management of the Government (e.g. project steering committee) or oversight agencies exercised oversight and provided guidance? To what extent has NEDA (or other agencies) participated in project design and supervision missions, and what were their contributions? | SVIS reports, project design documents, interviews with IFAD staff and government counterparts; |

B. Non-lending activities (Policy Dialogue, Partnerships and Knowledge Management)⁴²

| No. | Evaluation criteria/issues & evaluation questions | Data sources/data collection methods |
|------------|---|--|
| | (to be rated on a scale of 1-6 for each of the following areas, i.e. (i) policy dialogue; (ii) partnership building; and (ii) knowledge management) | |
| NA1 | Relevance of Non-Lending Activities | |
| NA1.1 | Are policy dialogue, partnership-building, and knowledge management objectives clearly justified and outlined in the COSOP? Are they relevant to the IFAD programme as a whole and to IFAD's comparative advantage? If activities that were not originally foreseen have been carried out, were they relevant? | Desk analysis of COSOPs; COSOP MTR; ACPoR reports; APR portfolio review reports; publications and knowledge products. Interviews with government staff and other devt partners |
| NA1.2 | What instruments and tools were envisaged in COSOP to design and be engaged in non-lending activities? What resources, if any, were earmarked in the COSOP (e.g. in the form of grants and/or the IFAD administrative budget)? | Desk analysis of COSOPs and other documents |
| NA1.3 | How were the work and role of other partners taken into account in selecting the focus of non-lending activities? | Interviews with CPM and country office staff, |
| NA2 | Effectiveness of Non-Lending Activities (same as above) | |
| NA2.1 | Did the foreseen activities, if any, take place? If not, why not? What activities that were not originally foreseen have been carried out? | Interviews with project staff and partners; analysis of material from KLM-PE and ACPoR meetings |
| NA2.2 | To what extent and in what way did non-lending activities achieve the objectives (as explicitly articulated, or as implied)? Could the same objectives have been achieved with different (less expensive) means? | Country programme issues sheet in annual portfolio review |
| NA2.3 | Did non-lending activities contribute to the replication and/or scaling up of innovation promoted by IFAD? Has experience gained in IFAD-financed projects influenced governments' policies and programmes? Has the flow of information through knowledge management been disseminated and taken up by development partners? If | |

⁴² Reference to the Evaluation Manual: Guiding Questions in Box 8, p.72

| | | |
|--|--|---|
| | so, how? | |
| NA2.4 | How well have non-lending components helped ensure a coherent country programme strategy, consistent with the commitments of the Paris declaration on aid effectiveness? | CSPE team analysis |
| NA2.5 | What have been the roles of the IFAD country representative, where applicable, and of the main government institutions in making non-lending activities effective? | Interviews with CPM and country office staff, NEDA and DA, DAR, DENR, DTI; CLE decentralization case study |
| Selected grants - Evaluation Questions (based on 'appropriate' questions, Evaluation Manual, p73) | | |
| G1 | Relevance of grants (no ratings) | |
| G1.1 | In what way were/are grant project objectives in line with COSOP, IFAD objectives, priorities of the government, partner institutions and the rural poor? (both country-specific and regional grants) How were the grants expected to support policy dialogue, partnership buildings and knowledge management? | Review of COSOP documentation Review of country policy documents Review of grant documents, interview with grant project stakeholders Interviews with key government officials in terms of their understanding of IFAD's non-lending aims and activities |
| G1.2 | Were appropriate mechanisms in place to link grants to (potentially) relevant loan-financed projects and have those worked effectively? | Interviews with key government officials in terms of their understanding of IFAD's non-lending aims and activities. Review of grant reports; analysis of material from KLM-PE and ACPoR meetings. |
| G2 | Effectiveness of grants (no ratings) | |
| G2.1 | Has the grant achieved or is it likely to achieve the expected results? | Review of grant reports; analysis of material from KLM-PE and ACPoR meetings. |
| G2.2 | Were multiple phases of grants justified by the nature of their results? (e.g. FoodSTART; RUPES; MTCP) | Review of grant reports; analysis of material from KLM-PE and ACPoR meetings. |
| G2.3 | Is there an ongoing plan for IFAD or any of its partners to internalize or use knowledge, technology or other products generated by the grant, and if so, is the plan being followed up? | Analysis of material from KLM-PE and ACPoR meetings. Interviews with PTA |
| G2.4 | Has the Philippines benefited appropriately from participating in multi-country regional grants? | Interviews with key government officials in DA, DAR, DENR, DTI |

C. Strategic (COSOP) Level⁴³

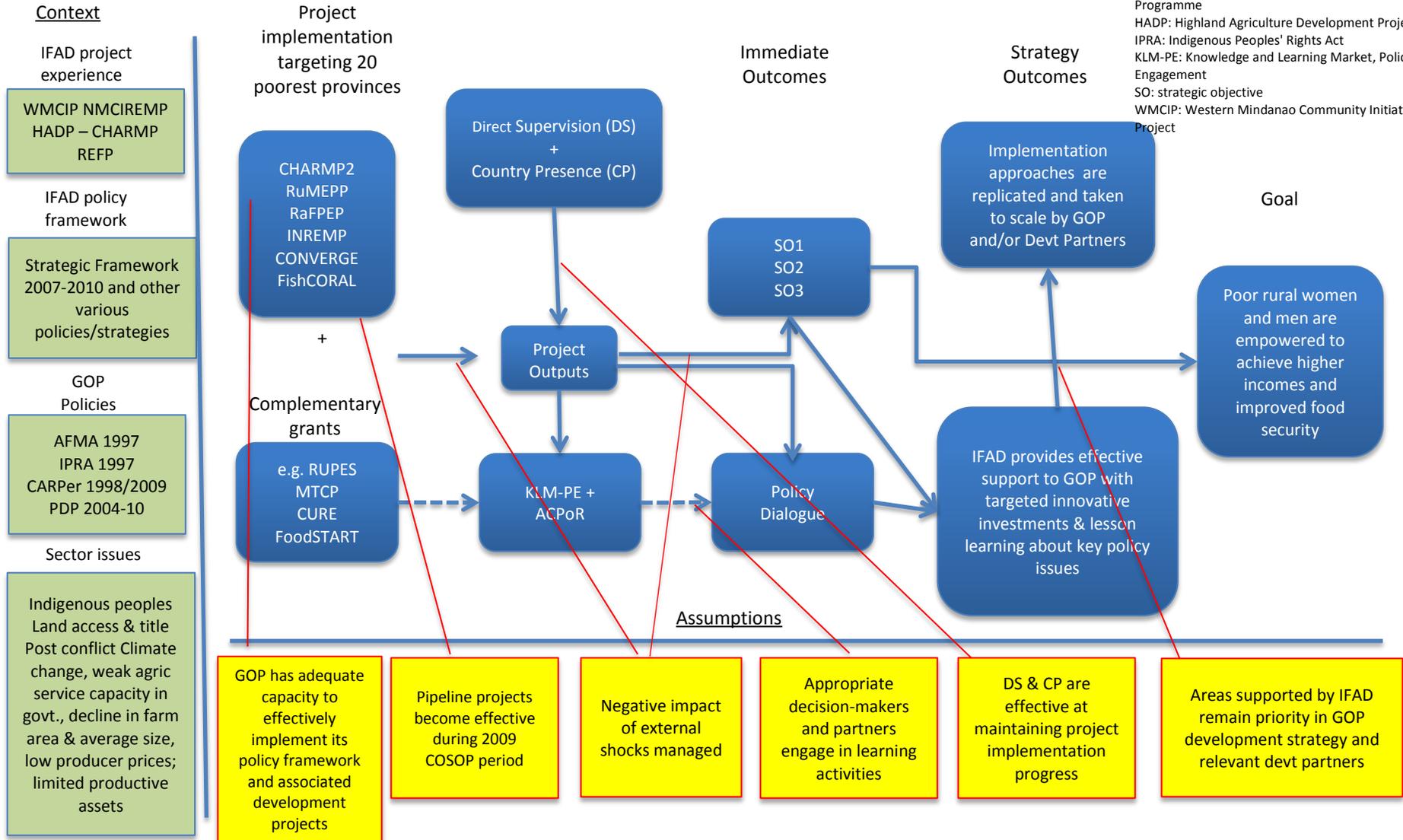
| No. | Evaluation criteria/issues & evaluation questions | Data sources/data collection methods |
|------------|--|--|
| ST1 | Relevance of country strategy (to be rated on a scale of 1-6): Alignment of strategic objectives | |
| ST1.1 | Were the strategic objectives identified in the COSOP aligned with the government's strategies and policies, and consistent with the overarching objectives of the prevailing IFAD strategic framework and relevant corporate policies? | Desk reviews of: COSOP documents and MTR, annual reports; PDP objectives and indicators; Relevant IFAD policies & guidelines |
| ST1.2 | To what extent has IFAD fostered partnerships with other bilateral and multilateral donors working in agriculture and rural development in the Philippines ? | Desk reviews of: COSOP documents and MTR, annual reports. Perceptions of IFAD CPM & CPO; of DP representatives |
| | Relevance of country strategy: Design and coherence of the strategy | |
| ST1.3 | Did the strategy succinctly articulate IFAD's comparative advantage and competencies in the country (i.e. country positioning) and constitute a coherent and well-articulated country programme? | Desk review of COSOP documents |
| ST1.4 | Were the most appropriate strategy elements and subsectors for investments chosen, given the context and rural poverty analysis? Did a combination of these elements and subsectors present strong coherence ? Were the strategic objectives and design and implementation properly informed by IFAD's experiences in the country and elsewhere? | CSPE Team analysis |
| ST1.5 | How well were the target group and targeting strategy articulated ? Were the geographic priorities defined in the strategy consistent with the definition of the target groups? To what extent and in what way were the strategy objectives and main COSOP focus relevant to the target group ? | CSPE Team analysis |
| ST1.6 | Were the main partner institutions (e.g. for project execution, supervision and implementation support, community mobilization, co-financing) the most appropriate for meeting the country strategy objectives? | Desk review of COSOP documents |
| ST2 | Effectiveness of country strategy (to be rated on a scale of 1-6) | |
| ST2.1 | To what extent were the COSOP's main strategic objectives achieved? | COSOP reviews from 2012 MTR and ACPoR 2016 |
| ST2.3 | Are there other originally not foreseen results that have been attained and how were they achieved? | COSOP reviews from 2012 MTR and ACPoR 2016 |
| ST2.4 | What context changes have influenced or are likely to influence the fulfilment of the strategic objectives? Was the COSOP properly adapted mid-course to reflect changes in the context? | Perceptions of IFAD partners in government and among NGOs and private sector |
| ST2.5 | Have IFAD's activities had any identifiable influence on partners or policies ? | Perceptions of IFAD partners in government and |

⁴³ Reference to the Evaluation Manual: 'Guiding Questions' in Box 9, p.74; 'Guiding Questions' in Box 10, p75; Criteria Text p74; 'To consider' text p76)

| | | |
|-------|--|---|
| | | among NGOs and private sector. Review of recent government legislation and guidelines |
| ST3 | Partners' performance and COSOP management | |
| ST3.1 | To what extent and in what way has supervision and implementation support arrangements and the country presence (since 2009) supported progress towards the COSOP objectives? To what extent and how have government counterparts participated in supervision missions and other country programme management related activities, and what effects did they have? | Desk reviews of: COSOP documents and MTR, annual reports. Perceptions of IFAD CPM & CPO; of DP representatives |
| ST3.2 | What is the quality of the COSOP results management framework, project status reports, and aggregated RIMS reports and country programme sheets, and were management actions in connection with this information system appropriate? | CSPE Team analysis of documents |
| ST3.3 | Was the COSOP progress monitoring performed properly? Were annual country programme reviews undertaken in a timely manner and were the corresponding recommendations implemented within the required time frames? How was the COSOP MTR in 2012 used to adjust or change the direction, speed or approaches to implementation to reflect changes in the country context, and how appropriate were these changes? | Desk reviews of: COSOP documents, ACPoR reports, country programme issues sheet, COSOP MTR CSPE Team analysis of documents Perceptions of project implementers and development partners |
| ST3.4 | Did the Country Programme Management Team concept function appropriately and make the necessary contribution to country programme management? | Perceptions of IFAD CPM & CPO Views of CPMT members |
| ST3.5 | To what extent has IFAD complied with the Paris declaration on aid effectiveness (2005), which was reaffirmed by the Accra agenda for action (2008) and the Busan declaration (2011)? (Progress to be assessed in five broad areas identified in the Paris declaration: ownership, alignment, harmonization, managing for results and mutual accountability.) | CSPE Team analysis |
| ST3.6 | Why did the preparation of 2009 COSOP take a long time (with the initial consultation in 2004-2005)? Were there any implications from this timeframe (i.e. a large time gap between COSOPs, 1999 and 2009) on the strategy or design of projects? | COSOP and related documents review; interviews with previous CPMs, if feasible |

2009 COSOP Theory of Change

AFMA: Agriculture and Fisheries Modernization Act
 CARP: Comprehensive Agrarian Reform Programme
 HADP: Highland Agriculture Development Project
 IPRA: Indigenous Peoples' Rights Act
 KLM-PE: Knowledge and Learning Market, Policy Engagement
 SO: strategic objective
 WMCIP: Western Mindanao Community Initiatives Project



2009 COSOP Results Management Framework

| Strategic objectives | Original | | | Revised at MTR (2012) | | |
|---|---|--|--|--|--|---|
| | Outcome indicators (gender disaggregated) | Outputs indicators (gender disaggregated) | Policy dialogue agenda | Outcome indicators (gender disaggregated) | Output indicators (gender disaggregated) | Institutional/policy objectives |
| SO1. Upland poor households (HHs) in the 20 poorest provinces – particularly those with indigenous peoples and agrarian reform beneficiaries – have improved access to land and water resources and services and gainfully use these sustainably. | <ul style="list-style-type: none"> About 20% of upland poor HHs possess appropriate land tenure instruments, of whom 50% have increased their income by 15%, and 50% utilize one or more environmentally-sustainable practice 20% of upland poor HHs report a secure source of water for irrigation and household use | <ul style="list-style-type: none"> No. of people trained in environmentally sustainable and gender-sensitive farming and climate change impacts No. of land tenure instruments facilitated and issued Coverage and availability of portable water for home use No. of small-scale infrastructure, e.g. km of access or farmer to market roads development | <ul style="list-style-type: none"> Resolution of resource use conflicts in existing laws Climate change implications of upland farming practices Policies/issues not included in current convergence framework of the rural development sector | In CAR target areas and compared with 2010: <i>- Reduction in the number of HHs with annual average income (in real terms) of less than PHP 60,000 to 23% in line with the PDP national target.</i> | In CAR target areas: - 8 Ancestral Domain Titles secured for IPs. - 170 POs sustainably manage subprojects. - Forest cover successfully increased by 10,000 ha. - 20% increase in produce sales and 10% increase in real unit prices reported by project beneficiaries after interventions. - 30% increase in the traffic counts on project improved roads. | <ul style="list-style-type: none"> Climate change implications for upland farming practices. Emerging policy issues related to the NCI. NG: LGU cost sharing policy. |
| | | | | In INREMP targeted upper river basins: - 25% of the land is under science based land use systems. | In INREMP targeted upper river basins: - 10% increase in revenue of LGUs and POs from watershed-based activities through PES. - 15% increased incomes from livelihood investments for beneficiaries | |
| SO2. The entrepreneurial poor in selected rural areas, particularly in the Visayas, and northern and western, southern and eastern, and central Mindanao, <u>have improved access to markets and rural financial and other services (seeds and irrigation) to improve the value chains of agribusiness systems benefiting poor farmers, fisher folk, marginalized groups, women and rural</u> | <ul style="list-style-type: none"> 20% of targeted entrepreneurial poor have access to rural credit/micro-finance facilities sustainable practice 20% of upland poor HHs report a secure source and markets 20% of entrepreneurial poor have diversified/expanded their economic undertakings 20% of beneficiaries engaged in agri-based and environment-friendly | <ul style="list-style-type: none"> No. of entrepreneurial poor famrers and women provided with microcredit No. of viable microenterprises established or strengthened Adaption rate of improved technologies No. & ha of communal irrigation systems constructed/rehabilitated No. of post-harvest facilities constructed/rehabilitated & no. of farmers benefiting | <ul style="list-style-type: none"> Terms and conditions of credit delivery Restrictions on microenterprises (e.g. prohibitive minimum capital requirements and collateral loan loss provision) There is SMEs agenda but no microenterprise agenda | In RuMEPP target areas: -50,000 new jobs generated. - 10,000 of the assisted micro enterprises increase their profitability and are operational after three years. | In RuMEPP target areas: - 75 MFIs have lent to 35,000 new micro enterprise borrowers. - 80% of micro-entrepreneurs trained use the training provided. | <ul style="list-style-type: none"> Conditions under which MFIs operate e.g. minimum capital requirements, collateral, loan loss provision etc. Policies affecting the establishment and operation of micro-enterprises. |
| | | | | In the 11 areas targeted by Project CONVERGE: - Average income of 32,000 participating | In the 11 areas targeted by Project CONVERGE: - Participating businesses have created new jobs for | |

| Strategic objectives | Original | | | Revised at MTR (2012) | | |
|--|--|---|------------------------|--|--|---|
| | Outcome indicators (gender disaggregated) | Outputs indicators (gender disaggregated) | Policy dialogue agenda | Outcome indicators (gender disaggregated) | Output indicators (gender disaggregated) | Institutional/policy objectives |
| <u>entrepreneurs.</u> [The above wording in the COSOP MTR report was revised somewhat from the original SO2, which only indicated "... <i>pursue, maintain and enhance farm related, off-farm/non-farm and/or microenterprise undertakings</i> " in place of the parts underlined above.] | livelihood endeavors possess improved capacities | <ul style="list-style-type: none"> No. of relevant national or local policies and/or regulations updated | | <i>smallholders increased in (constant 2000 prices) by 10%.</i> | 1,000 HHs. - 10,000 target group HHs have improved access to rural infrastructure and production/ processing facilities. - > 30% of the members of the management committees (POs etc.) are women and >15% IPs. | - Emerging policy issues related to the NCI. |
| | | | | In RaSSFIP and IRPEP target areas: - Minimum of 10% increase in overall rice production compared with the baselines on 803,750 ha for RaSSFIP areas and 11,150 ha for IRPEP irrigation schemes. | In RaSSFIP target areas: - 803,000 bags of certified rice seed distributed. In IRPEP target areas: - At least 80% irrigation service fee collection by IAs in CISs, and 90% by IAs in NISs. - Women account for at least 30% of IA leaders. - 100% of rehabilitated and restored areas are receiving irrigation water and are double cropped annually - 50% of farmer members' rice production are sold through the IAs. | - Buffer stocks for rice seed. - Availability and accessibility of quality seeds to paddy farmers. - Climate change implications for irrigation schemes. - CIS rationalized amortization scheme. |

| Strategic objectives | Original | | | Revised at MTR (2012) | | |
|--|---|---|---|--|--|--|
| | Outcome indicators (gender disaggregated) | Outputs indicators (gender disaggregated) | Policy dialogue agenda | Outcome indicators (gender disaggregated) | Output indicators (gender disaggregated) | Institutional/policy objectives |
| SO3 ⁴⁴ . Selected marginalized and poor communities dependent on coastal resources in Bicol, Eastern Visayas, Northern Mindanao, and ARMM have Sustainable access to fisheries and other productive resources in coastal areas, and utilize sustainable coastal resource management practices and diversify livelihood opportunities to meet their basic needs, particularly, food. | <ul style="list-style-type: none"> • 5% increase in local fish stock in targeted coastal areas • Fish catch per unit of effort increased by 20% • 20% of target beneficiaries, including women headed HHs, feed their families three meals a day • 20% of fisherman adapt sustainable and environment-friendly fishing techniques | <ul style="list-style-type: none"> • Municipal waters delineated as sanctuaries • No. of ha of degraded areas restored • No. of fish farms established & fishers trained in improved fishing techniques • No. of approved Coastal Resource Management (CRM) plans implemented • No. of small-scale infrastructure constructed • No. of sustainable enterprise and livelihoods developed to reduce reliance on fishing | <ul style="list-style-type: none"> • Ensure budget allocation for CRM activities • Full implementation of the Fishery Code • Encroachment on fishing grounds • Access rights to inland water bodies and municipal waters • Review of policy on foreshore lease and development | <ul style="list-style-type: none"> - 5% increase in local fish stock in targeted coastal areas; - Fish catch per unit of effort increased by 25%; - 50% of target beneficiaries, including women headed HHs, feed their families three meals a day; - 50% drop in apprehensions due to increased compliance with regulations on resource management; - 25% of project targeted fishermen adopt sustainable and environment friendly fishing techniques. | <ul style="list-style-type: none"> - Municipal waters delineated as sanctuaries; - No. of ha of degraded areas restored; - No. of fish farms established and fisher folk trained in improved fishing techniques; - No. of approved Coastal Resource Management plans implemented; - No. of small-scale infrastructure constructed (e.g. rock causeways); - No. of sustainable enterprises and livelihoods developed to reduce reliance on fishing. | <ul style="list-style-type: none"> - Ensure budget allocation for coastal resource management activities. - Full implementation of the Fishery Code. - Encroachment on fishing grounds. - Access rights to municipal waters. - Review of policy on foreshore lease and development -Ridge to reef natural resources management framework and operationalization. |

⁴⁴ The 2009 COSOP indicated that all indicators for SO3 would be revised following the design of CoRFIP which is the only project that will contribute to SO3.

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IFAD Strategy/Policy

Strategic Framework, 2007-2010; 2011-2015

Gender equality and women's empowerment Policy – 2012.

Partnership strategy – 2012.

Environment and natural resource management Policy – 2011

Private sector strategy – 2011.

IFAD Guidelines for Disaster Early Recovery - 2011

Climate change strategy – 2010

Policy on engagement with indigenous peoples - 2009

Policy on improving access to land and tenure security – 2008

Innovation strategy – 2007

Knowledge management strategy –2007

Rural finance policy – 2000 and 2009 update

Targeting policy – 2006

IFAD other documentation on the Philippines

Country Strategic Opportunities Paper: 1999.

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Country Technical Note on Indigenous Peoples' Issues in the Philippines.

Key project related documentation (for projects covered)

Project design documents / appraisal reports

Project design review reports (quality enhancement, quality assurance, etc.)

Project implementation/operational manuals

Financing agreements and amendments

Supervision mission and implementation support mission reports

Mid-term reports
Project status reports
Baseline surveys
Impact assessment surveys
Internal memorandum

(A comprehensive list of project documents for the CSPE team to review will be developed)

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