

IFAD

# Adaptation for Smallholder Agriculture Programme ("ASAP")

Programme Description

A new programme to help smallholder farmers respond to climate change by scaling up and showcasing multiple-benefit adaptation approaches to landscape management and rural development.

Financing partners: IFAD, Governments of Belgium, Canada, Netherlands, Sweden and the United Kingdom.

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## IFAD Adaptation for Smallholder Agriculture Programme ('ASAP')

*This document outlines the rationale and programming framework for IFAD's Adaptation for Smallholder Agriculture Programme (ASAP) and incorporates feedback from partner countries, donors, development think-tanks and civil society as received and as appropriate. All comments are welcome - please call or email Elwyn Grainger-Jones (Director of Environment and Climate Division, IFAD Rome) +390654592151, [e.grainger-jones@ifad.org](mailto:e.grainger-jones@ifad.org) or Gernot Laganda (Adaptation Specialist, IFAD Rome) +3906545922142, [g.laganda@ifad.org](mailto:g.laganda@ifad.org)*

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## **Preface**

Climate change is hitting smallholder farmers hard and is changing the way we do rural development, but currently-available climate finance is not benefiting them nearly enough.

ASAP is tailored to have the maximum impact on IFAD's approximately US\$1 billion per year of new projects by changing the incentive structure for investing in climate resilience. It will combine low added transaction costs with high added rigour and measurement of impacts - making full use of IFAD's existing effective systems and our extensive partnerships with the world's poorest communities.

ASAP is driven by our commitment, set out in IFAD's new Climate Change Strategy and the Environment and Natural Resource Management Policy, to ensure this organisation remains a cutting-edge development agency by integrating climate change issues throughout our operations and programmes. Through proactive change and a partnership-based and knowledge-intensive approach, IFAD is strengthening its ability to help poor smallholder farming communities weather the storms of climate change.

This Programme brief has the full support of IFAD management and staff - it has been prepared under the guidance of the Vice-President, the Associate Vice-President Programmes, and the Director for Environment and Climate Change. Technical, regional, finance, legal, communication and other divisions have contributed significantly to its preparation and, as such, it has the buy-in of the entire institution.

The document has undergone an extensive peer review with development partners, development think-tanks and non-governmental organisations and continues to benefit from the feedback and recommendations of external partners. IFAD welcomes any constructive suggestion to help improve the programme, and financial support to increase ASAP's reach and impact in smallholder farming communities.

Kanayo Nwanze

President of the International Fund for Agricultural Development

## **Executive Summary**

ASAP is a new direct entry point in IFAD to channel earmarked climate and environmental finance to smallholder farmers. ASAP funds will co-finance projects using clear selection criteria and applying a results framework which contains 10 specific and measurable indicators of achievement. An important element of ASAP will be a knowledge management programme that will develop and share climate adaptation lessons and tools across IFAD's programmes and with key external partners. Based on a thorough monitoring and evaluation system, this is expected to demonstrate the value of investing climate finance in smallholders to the Green Climate Fund and other climate initiatives. Investment areas are determined by the needs identified by partner communities [Section D]

**The climate challenge of the world's 500 million smallholder farms cannot be overlooked.** They provide up to 80 per cent of food in developing countries, manage vast areas of land (farming some 80 per cent of farmland in Sub-Saharan Africa and Asia) and make up the largest share of the developing world's undernourished. As the most vulnerable and marginalized people in rural societies – many of them are women heads of household<sup>1</sup> or indigenous peoples – smallholder farmers are especially exposed to climate change. They inhabit some of the most vulnerable and marginal landscapes, such as hillsides, deserts and floodplains. They often lack secure tenure and resource rights. They rely directly on climate-affected natural resources for their livelihoods. [Section A]

**Responding to climate change requires major changes in how rural development is practiced.** First, project and policy preparation needs to be based on a deeper risk assessment and a better understanding of interconnections between people and wider landscapes. Second, this can drive a major scaling up of “multiple-benefit” sustainable agricultural intensification approaches - these can build climate resilience through managing competing land-use systems at the landscape level while at the same time reducing poverty, enhancing biodiversity, increasing yields, and reducing greenhouse gas emissions. Third, climate change is reshaping the architecture of public (and potentially private) international development finance, requiring new efforts to enable agriculture, and smallholder farmers in particular, to become significant beneficiaries of climate finance. Each of these three elements is required to build the adaptive capacity of smallholders in the context of increasing environmental and economic uncertainty. [Section A]

**ASAP will transform incentives within IFAD and its partners to increase the climate resilience of its approximately US\$1bn per year of investments.** IFAD has extensive experience in building more resilient rural livelihoods, but the capacity to do a lot more. ASAP aims to help IFAD help 8 million people who are living in poor smallholder farming communities become more resilient to climate change, introduce climate-resilient land management to 1,000,000 hectares of poor smallholder farms, double the share of environment and natural resource management (ENRM) projects in IFAD's new lending, avoid or sequester 80 million tonnes of greenhouse gas emissions, and increase human capacity on adaptation, climate risk management and hydro-meteorological disaster preparedness in 1200 communities. IFAD has the credibility and capacity to help deploy climate finance for smallholder farmers, and thus demonstrate that a respected and trusted UN organisation can play a role in deploying climate finance at scale. This is

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<sup>1</sup> According to FAO's State of Food and Agriculture 2010-2011 (Women in Agriculture), Table A5, p118 - 124, women comprise over 50% of household heads in some countries such as Swaziland and South Africa

central to IFAD's 2010 Climate Change Strategy and its new Environment and Natural Resource Management Policy. [Section A]

### ASAP Results Framework - Summary

<i>Results Hierarchy</i>	<i>10 Key Indicators</i>	<i>2020 Target Impact</i>
<b>Goal:</b> Poor smallholder farmers are more resilient to climate change	1. # of poor smallholder household members whose climate resilience has been increased because of ASAP - disaggregated by sex	8 million people including 4 million women and girls
<b>Purpose:</b> Multiple-benefit adaptation approaches for poor smallholder farmers are scaled up	2. % of new investments in ENRM in IFAD 9th Replenishment compared to IFAD 8th Replenishment	Doubling share of ENRM investments in IFAD 9 compared to IFAD 8
	3. Leverage ratio of ASAP grants versus non-ASAP financing	1:4
	4. % increase in number of non-invasive on-farm plant species on smallholder farms	30 % increase
	5. # of tonnes of GHG emissions (CO <sub>2</sub> e) avoided and/or sequestered	80 million tonnes
	<b>5 ASAP Outcomes</b>	
1. Improved land management and gender-sensitive climate resilient agricultural practices and technologies	6. # increase in hectares of land managed under climate resilient practices	1,000,000 hectares
2. Increased availability of water and efficiency of water use for smallholder agriculture production and processing	7. % change in water use efficiency by men and women	30 % average increase
3. Increased human capacity to manage short- and long-term climate risks and reduce losses from weather-related disasters	8. # of community groups including women's groups involved in ENRM and/or DRR formed or strengthened	1,200 community groups including especially disadvantaged men and women
4. Rural infrastructure made climate-resilient	9. \$ value of new or existing rural infrastructure made climate-resilient	\$ 80 million
5. Knowledge on Climate Smart Smallholder Agriculture documented and disseminated	10. # of international and country dialogues where IFAD or IFAD-supported partners make an active contribution	40 dialogues including in specific areas such as gender and marginalized groups

The main **proposed design features** for ASAP are that it will be: simple and efficient, focussed on poor smallholder farming **communities**, delivery and scaling-up focused, programmatic and partnership based. It is specifically designed to pilot the use of climate finance to exert the maximum **institutional change**. [Section C]

### The IFAD Adaptation for Smallholder Agriculture Programme (ASAP)

#### A. Why smallholder adaptation, what needs to be done differently, and why IFAD?

##### *Why smallholder adaptation<sup>2</sup>?*

A.1. **The need for climate-smart agriculture for the world's 500 million smallholder farms<sup>3</sup> cannot be overlooked:** they account for 60 per cent of global agriculture, provide up to 80 per cent of food in developing countries, manage vast areas of land (farming some 80 per cent of farmland in Sub-Saharan Africa and Asia) and make up the largest share of the developing world's undernourished. As the most vulnerable and marginalized people in rural societies – many of them are women heads of household or indigenous peoples – smallholder farmers are especially exposed to climate change. They inhabit some of the most vulnerable and marginal landscapes, such as hillsides, deserts and floodplains. They often lack secure tenure and resource rights. They rely directly on climate-affected natural resources for their livelihoods.

A.2. **Climate change is transforming the context for smallholder agriculture.** Over centuries, smallholders have developed the capacity to adapt to environmental change and climate variability, but the speed and intensity of climate change is outpacing the speed of historically autonomous actions. Many of IFAD's smallholder partners are already reporting changes in weather-related impacts on key ecosystems and biodiversity that sustain agriculture. In the absence of a profound step-change in local and global action on climate change, it is increasingly likely that poor rural people would need to contend with an average global warming of 4 degrees above pre-industrial levels by 2100, if not sooner<sup>4</sup>. Such substantial climatic change will further increase uncertainty and exacerbate weather-related disasters, drought, biodiversity loss, and land and water scarcity. Perhaps most significantly for farmers, they can no longer rely on historical averages, making it harder for them to plan and manage production when planting seasons and weather patterns are shifting. The major cereal crops (wheat, rice, maize etc.) are at their heat tolerance threshold and with a 1.5 - 2<sup>0</sup> C temperature increase could collapse<sup>5</sup>. These 'first-round' effects will be compounded by second-round socio-economic impacts in terms of economic opportunities and political stability.

A.3. **Poor rural men and women experience changes in climate variability differently<sup>6</sup>.** Climate-related stresses and disasters often exacerbate gender inequalities and differences in how men and women are vulnerable to, and can cope with, these impacts<sup>7</sup>. In certain types of weather-related disasters, more women die than men because they are not warned, cannot

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<sup>2</sup> What is adaptation? The World Bank's guidance note on adaptation views adaptation as "Adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects. Adaptation can be carried out in response to (ex post) or in anticipation of (ex-ante) changes in climatic conditions. It entails a process by which measures and behaviours to prevent, moderate, cope with and take advantage of the consequences of climate events are planned, enhanced, developed and implemented (adapted from UNDP 2005, UKCIP 2003 and IPCC 2001)". In this regard, an action is considered an adaptation response when it is only "planned" and "an explicit response to climate risk considerations". This definition is adopted for the purposes of ASAP.

<sup>3</sup> For the purposes of this concept note, "smallholder" is used in a broad sense not only to include farms that are less than 10 ha, primarily dependent on household labour and rain-fed, but also, pastoralists, agro-foresters and artisanal fisher folk.

<sup>4</sup> Richard A. Betts et al, When could global warming reach 4°C? In: *Four degrees and beyond: the potential for a global temperature increase of four degrees and its implications*, eds. M. New et al. (London: The Royal Society A: Mathematical, Physical & Engineering Sciences, 2011), <http://rsta.royalsocietypublishing.org/content/369/1934/67.full>.

<sup>5</sup> IPCC 4th Assessment Report; Lobell et al (2008) Prioritizing Climate Change Adaptation Needs for Food Security to 2030; and presentation by David Lobell (2010) Towards food security in a warmer world: understanding crop responses to climate

<sup>6</sup> Lambrou and Nelson, Farmers in a changing climate: does gender matter? Food security in Andhra Pradesh, India FAO (2010). This research finds that men and women experience changes in weather variability differently, have complementary but different coping strategies, and have different levels of access to institutional support.

<sup>7</sup> UNDP (2007) Human Development Report 2007-2008: Fighting Climate Change: Human Solidarity in a Divided World. Palgrave Macmillan, New York

swim or cannot leave the house alone<sup>8</sup>. Stresses such as drought, deforestation or erratic rainfall force many women to invest more time in securing food, water, and energy for cooking and heating<sup>9</sup>. Women-headed households often have very limited capacity to cope with or recover from weather-related losses<sup>10</sup>.

**A.4. Smallholder agriculture is also a significant source of greenhouse gas emissions.** Overall agriculture and land use change account for 14 and 17 percent of global emissions respectively<sup>11</sup>. While information on the overall share of agriculture emissions by smallholders is not available, it is likely to be significant given the number of smallholder farmers, the amount of land covered, and the prevalence of smallholders on fragile landscapes. Smallholder farming is the main factor in forest loss in Sub-Saharan Africa, largely as a result of the breakdown in traditional shifting cultivation systems (itself attributable in part to population increase) and the lack of alternatives to agricultural extensification. Where soils are naturally poor, smallholder agriculture drives land degradation, with implications for emissions because of the reduced ground cover<sup>12</sup>. In many developing countries, women are responsible for finding energy for the household and due to a lack of alternative technologies need to often resort to the energy-inefficient open burning of biomass<sup>13</sup>.

**A.5. Climate change is making the development of smallholder agriculture more expensive.** At the project level, climate-resilient programmes typically have higher up-front design and implementation costs - e.g. infrastructure costs and initially increased asset management, operation and maintenance, more capacity-building and knowledge generation, strengthening institutions, greater project development costs (downscaled data generation and community-based approaches), and greater costs from enhancing cross sectoral and stakeholder collaboration. At a global level, the UNFCCC and World Bank have produced estimates of the costs of adaptation which range from US\$41-170 billion per year by 2030. The annual costs required for climate change adaptation in developing world agriculture are estimated by IFPRI to be in the region of US\$7-8 billion per year, whilst the UNFCCC estimate the costs of adaptation of agriculture to climate change to be US\$11.3 to 12.6 billion per year in 2030. While estimates vary considerably, recent studies suggest costs 2-3 times higher than recent estimates<sup>14</sup> and highlight that most studies consider a highly ambitious 2 degrees stabilisation scenario and often do not factor in associated costs such as ecosystems degradation and consequent loss of goods and services critical for agricultural production.

**A.6.** Another example of climate change multiplying existing drivers of poverty and vulnerability is through its **links to household food security and nutrition**. Under-nutrition remains one of the world's most serious health problems. A recent study by IFPRI indicates that in low-income countries under an optimistic emissions and impacts scenario, climate change increases the number of malnourished children by 9.8 percent<sup>15</sup>. Climate change is affecting nutrition through its impact on food security, sanitation, water and food safety, health,

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<sup>8</sup> Oxfam (2005) Gender and the Tsunami Briefing Note in Women's Environment & Development Organization (2007) Changing the Climate: Why Gender perspectives matter

<sup>9</sup> Women's Environment & Development Organization (2007) Changing the Climate: Why Gender perspectives matter

<sup>10</sup> Oxfam (2011) Climate Change: Beyond Coping: Women smallholder farmers in Tajikistan *Experiences of climate change and adaptation*, p4

<sup>11</sup> See [www.fao.org/docrep/012/i1315e/i1315e00.htm](http://www.fao.org/docrep/012/i1315e/i1315e00.htm)

<sup>12</sup> See UNEP Green Economy Report: <http://www.unep.org/greeneconomy/GreenEconomyReport/tabid/29846/Default.aspx>

<sup>13</sup> IUCN/UNDP/GGCA (2009), Training Manual on Gender and Climate Change, p109 in OECD (2010) Working paper: Climate change and gender: economic empowerment of women through climate mitigation and adaptation?

<sup>14</sup> "Assessing the costs of adaptation to climate change: A critique of the UNFCCC estimates" Martin Parry, Nigel Arnell, Pam Berry, David Dodman, Samuel Fankhauser, Chris Hope, Sari Kovats, Robert Nicholls, David Satterwaite, Richard Tiffin, Tim Wheeler. 2009 IIED London UK

maternal and child health care practices and wider socioeconomic factors. Women are already disadvantaged compared to men in these areas<sup>16</sup>, and climate change will further exacerbate this.

### ***What needs to be done differently to make smallholder agriculture more climate resilient?***

A.7. IFAD's President made the following statement<sup>17</sup> as part of a speech to the 2010 Hague Conference on Agriculture, Food Security and Climate Change:

*“My central message to you today is one of opportunity. I believe that collectively we have many of the tools and the techniques to launch a new integrated agricultural revolution. We need what Professor Swaminathan calls an ‘Evergreen revolution’. This must redefine the relationship we have between agriculture and the environment. Climate change now provides the imperative for us to do this and deliver a new green agro-ecological revolution.”*

A.8. As a starting point, it is important to note that responding to climate change does not mean throwing out or reinventing everything that has been learnt about development. It means a renewed effort to tackle wider and well-known development challenges. Many of IFAD's programmes are implicitly or explicitly designed to increase the resilience of smallholders and poor communities to shocks, which are often weather-related<sup>18</sup>. A coherent response to climate change requires continued emphasis on, for example, on country-led development, community-based natural resource management, gender awareness, targeting of poor rural people, dealing with land tenure issues, improving access to financial services and markets, increasing sustainable productivity, and institutional and human capacity building. It remains essential to promote good governance and to both empower and recognize the relevance of farmers' traditional and indigenous knowledge in addressing issues such as climate variability, and the differences between women's and men's knowledge and roles in responding to climate change. As set out in Toulmin (2011):

*The root of smallholder vulnerability lies in the marginalisation of farmers, pastoralists and other rural groups in power and decision-making. This is a fundamental problem for smallholders everywhere, and a consequence of their large numbers, weak and costly organisation and consequent very limited political power.*

A.9. The role of women's empowerment and gender equality in climate change adaptation is a good example of the above. Gender roles and inequalities are a key driver in determining the distributional impacts of climate change, for example as confirmed in research from Viet Nam.<sup>19</sup> IFAD's knowledge of empowering rural women will inform ASAP investments in country-level programmes. Women's historic disadvantages, including restricted access to productive resources and information and their limited decision-making power, make them most vulnerable to the impacts of climate change. On the other hand, women are also potential change agents

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<sup>16</sup> For an overview of the gender gaps in key dimensions of food security, see CGIAR Research Program On Climate Change, Agriculture And Food Security (CCAFS), FAO (2011) Gender And Climate Change Research In Agriculture And Food Security For Rural Development, p10

<sup>17</sup> See IFAD President's keynote address to Hague Conference on Agriculture, Food Security and Climate Change: <http://www.ifad.org/events/op/2010/hague.htm>

<sup>18</sup> The IPCC defines resilience in a natural system as the amount of change a system can undergo without changing state (IPCC, TAR, 2001). When referring to human systems, the term "resilience" can be considered as a synonym of adaptive capacity. UN/ISDR 2004 defines resilience as the capacity of a system, community or society potentially exposed to hazards to adapt by resisting or changing in order to reach and maintain an acceptable level of functioning and structure. This is determined by the degree to which the social system is capable of organizing itself to increase its capacity for learning from past disasters for better future protection and to improve risk reduction measures.

<sup>19</sup> See UNDP and Oxfam (2009) Responding to Climate Change in Viet Nam: Opportunities for improving gender equality A policy discussion paper, p25, which highlights gender dimensions of climate change livelihood impacts



in climate smart rural development, given their responsibilities in managing critical household assets and acting as stewards of natural resources. The growing global and local response to climate change makes it especially urgent to build on an existing understanding of gender roles and imbalances - a concentration of minds and resources focussed on the nexus between climate change and gender inequality therefore offers strategic opportunities to achieve step changes in both related challenges. Increasing women's rights of management and control over farmland and common property resources remains a key thrust in this sense.

**A.10. But beyond regular development best-practice, what is really different about climate-resilient smallholder agriculture?<sup>20</sup>**

**First, project and policy preparation needs to be based on a deeper risk assessment and a better understanding of interconnections between smallholder farming and wider landscapes.** Climate change is a 'threat multiplier' for smallholders - increasing existing livelihood threats and vulnerabilities, rather than an isolated specific risk:

- ⇒ **Climate change will magnify traditional risks.** Historical averages can no longer be relied upon since climate change is increasing variability, the range of extremes, the scale of volatility and risk. For example, historical drought or flooding frequency is no longer a straightforward guide to the future.
- ⇒ **There will be new sources of risk beyond the traditional ones** - such as sea-level rise and glacier-melt impact on water supply. Smallholder farms will need to increase their general resilience to withstand currently unidentified direct and indirect shocks. New opportunities for GHG emissions reduction rewards and carbon financing schemes can bring their own risks – for example, if poor people were to remain without access to emissions reduction rewards as a consequence of social exclusion and limitations on land-use rights.
- ⇒ **The impact of a changing climate on long-term trends needs to be better understood over time.** Although predictive capability will increase with new and more timely data and enhanced decision-support tools, climate uncertainty will continue to be a challenge. While impacts are already being felt, they will worsen increasingly in the years to come. Many project investments are expected to have a lifespan of twenty or more years, well within the timeframe for further significant climate impacts. This is especially important in agriculture, where most of the main staple crops are already being grown at their temperature threshold.<sup>21</sup> For many regions, despite science yielding clearer projections (e.g. drought in North Africa), traditional project appraisal has often discounted such future project risks. Of foremost concern is the need to avoid "maladaptation" – project design that exacerbates vulnerability – for example, facilitating habitation in a flood plain or low-lying coastal area.

**A.11. These risks need to be understood in the context of the complexity of people's interaction within their communities and with landscapes and ecosystems.** Embracing such complexity certainly adds to the effort involved in policy and project design, but can lead to better (and often simpler) solutions. The range of tools and approaches available to map risk and vulnerability at the community and landscape level is increasing rapidly. For example, better spatial analysis supported by geographic information systems can identify how investments or management practices in some parts of a landscape or watershed can produce benefits or reduce negative impacts in other parts, to provide 'connectivity' of hydrological systems or wildlife habitat. However, established socio-economic analysis, including an understanding of capacities and vulnerabilities of men and women and marginalized people such as pastoralists, remains critical to mobilizing their potential as well as ensuring that the vulnerable do not fall

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<sup>20</sup> For a detailed discussion, see the IFAD Occasional Paper *Climate-Smart Agriculture: What's different?*  
<http://www.ifad.org/pub/op/3.pdf>

<sup>21</sup> See David Lobell <http://www8.nationalacademies.org/onpinews/newsitem.aspx?RecordID=12877>

yet further into poverty. For example, despite women's expertise in hydrology through creating wells of fresh drinking water in the federated States of Micronesia, planners and decision-makers had not considered the possibility of their contributions.<sup>22</sup> As mentioned above, the perpetuation of gender inequalities presents a major risk, both in terms of equity but also in terms of climate change outcomes.

**A.12. Uncertainty over climate impacts is no reason for inaction - where uncertainty remains, there are many “no-regrets”<sup>23</sup> actions available.** New downscaled climate models provide some opportunities to reduce uncertainty in local vulnerability assessments, particularly where there is concurrence between global climate models in some regions<sup>24</sup>. This can provide projections, for example, of day and night-time temperature increases, water availability, shifts in vegetative cover and soil fertility. Where uncertainty remains, there are many “no-regrets” actions that can have significant development benefits under a range of climate scenarios<sup>25</sup>. A key immediate priority is to help communities build resilience to withstand a range of impending climate shocks and hazards while also adjusting to longer-term climatic trends where these are clearer. Many approaches are good for maintaining agricultural production with or without climate change - for example diversification of household food production, providing quality agricultural extension services, promoting better crop diversity and biodiversity, integrated farming and agro-forestry systems, and improved post-harvest management to reduce losses in terms of quantity and nutrients content<sup>26</sup>.

**A.13. Second, this deeper appreciation of interconnected risks should drive a major scaling up of successful “multiple-benefit” approaches for sustainable agricultural intensification that build climate resilience and achieve other public policy goals.** Examples (often overlapping) include balanced-input agriculture, sustainable land management (SLM) and conservation agriculture, agroforestry, landscape approaches, watershed management, integrated pest management, integrated plant nutrient management, organic agriculture, rangeland management and more broadly integrated food-energy systems. These multiple-benefit approaches contain a range of activities to strengthen natural and productive capital vis a vis increasing climate pressures: For example, terracing or bunding can prevent soil loss through erosion and water flooding, and thereby loss of soluble nutrients, while allowing water retention. Minimum or zero tillage, coupled with crop rotation and the application of manure, compost or mulching, and the fallow system can improve soil structure and fertility and build up organic matter in the soil and its water holding capacity. Mixed crop/livestock systems which facilitate the use of manure can support diversification of risks across different products. A system of crop rotation – production of both food crops and fodder crops diversifies risk at the farm level and often improves family nutrition. Agroforestry is another integrated system that combines trees with agricultural crops and/or livestock. The trees can in themselves be a source of income depending on the species. They can also serve to improve soil quality through nitrogen fixation (if they are legumes) and capture nutrients from deep in the soil (making them available through leaf litter), in addition to creating a more favourable microclimate. Better management of grazing land or pasture can also increase soil carbon content and productivity. Rotational grazing or a combination of stall feeding based on fodder crops and a limitation on the

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<sup>22</sup> Women's Environment & Development Organization (2007) Changing the Climate: Why Gender perspectives matter

<sup>23</sup> The 'no regrets' aspect of Adaptation means taking climate-related decisions or actions that make sense in development terms, whether or not a specific climate threat actually materializes in the future.

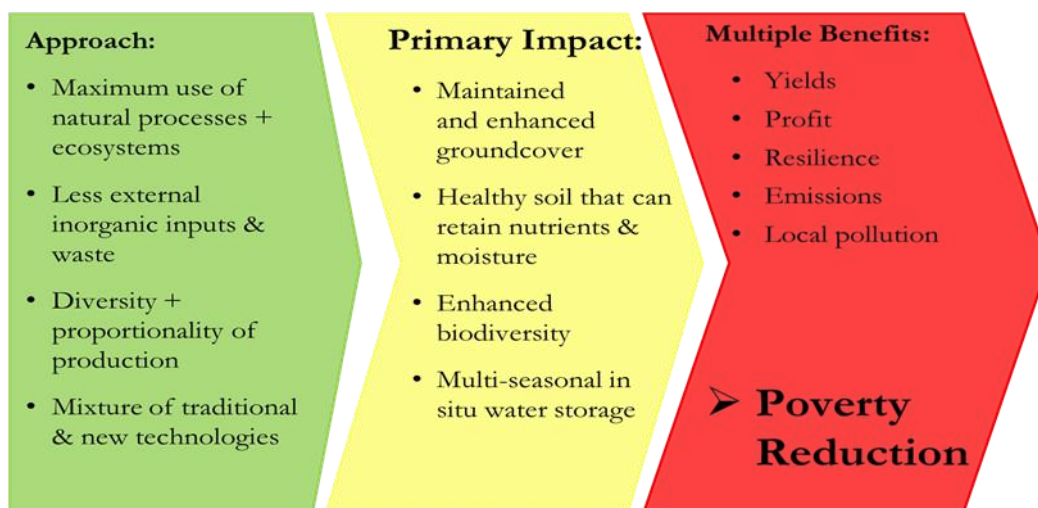
<sup>24</sup> See Wilby, R.L. and Fowler, H.J. 2010. Regional climate downscaling. In: Fung, C.F., Lopez, A. and New, M. (Eds.) Modelling the impact of climate change on water resources. Blackwell Publishing, Oxford.

<sup>25</sup> For example, the 5 climate-smart technologies identified by the CGIAR Challenge Program on Water and Food (CPWF) -namely (i)Zai pits for in situ water management; (ii)Groundwater utilization; (iii) Landscape water management; (iv) In-field rainwater harvesting, and (v) Small reservoirs

<sup>26</sup> Climate Change and Nutrition Security: A Message to the UNFCCC negotiators. The United Nations System Standing Committee on Nutrition (UNSCN) 2010. [http://www.unscn.org/files/Statements/Bdef\\_NutCC\\_2311\\_final.pdf](http://www.unscn.org/files/Statements/Bdef_NutCC_2311_final.pdf)

dependence on grazing the animals can result in increased productivity in the livestock sector combined with a build-up of the carbon stock in the rangelands. Such agronomic approaches (see table 1 below) typically maximize the use of natural processes and ecosystems, reduce the use of external inorganic inputs, enhance the diversity of production and tailor production intensity to the capacity of the landscape. They use a mix of traditional and new technologies. They are knowledge intensive, heterogeneous and need to be adapted to local circumstances.

**Tab. 1: Approach, primary bio-physical impacts and multiple benefits: A summary**



A.14. This wide range of agronomic approaches are described as “multiple-benefit” because they can build climate resilience through managing competing land-use systems at the landscape level while at the same time reducing poverty, enhancing biodiversity, increasing yields, and reducing greenhouse gas emissions. Their primary impact is the (re-) generation of healthy and diverse landscapes which typically feature maintained groundcover, healthy soil that can retain moisture, and enhanced (or maintained) biodiversity - all of which have a major impact on climate resilience. They are already being successfully scaled up. For example, agroforestry is now practised on between 12.5-25% of total agricultural land worldwide; Brazil currently practices minimum-tillage for about 60% of its cultivatable area. Conservation agriculture is used in about 100 million hectares worldwide (about 8 per cent of arable land). Current trade in organic food, drinks and cotton amounts to about US\$ 60 billion a year<sup>27</sup>. India, Indonesia, and Philippines have removed insecticide subsidies and reduced insecticide use nationally by 50 -75 percent, while rice production continued to increase annually. From IFAD’s newly launched Rural Poverty Report<sup>28</sup> (p.159)

*The broadest assessment of sustainable agricultural approaches in developing countries to date<sup>29</sup> is based on a study of 286 initiatives in 57 poor countries, covering 12.6 million farms on 37 million hectares. According to this study, virtually all these initiatives have increased productivity, while improving the supply of critical environmental services. Out of 198 sampled yield*

<sup>27</sup> See <http://www.unep.ch/etb/publications/Organic%20Agriculture/OA%20Synthesis%20v2.pdf>

<sup>28</sup> See p.144 Rural Poverty Report Chapter 5 <http://www.ifad.org/rpr2011/report/e/rpr2011.pdf>

<sup>29</sup> Pretty, J., A. D. Noble, D. Bossio, J. Dixon, R.E. Hine, F.W.T. Penning de Vries, and J.I.L. Morison. 2006. Resource-conserving agriculture increases yields in developing countries. *Environment Science and Technology* 40(4):1114-1119.

*comparisons, the mean yield increase over four years was 79 per cent; all crops showed water-use efficiency gains; the practices sequestered carbon; and most of those projects with data substantially reduced pesticide use while increasing yields.*

A.15. **Addressing inappropriate policies will accelerate the scaling up of these multiple-benefit approaches**<sup>30</sup>. Distorting trade policies and fossil-fuel and other subsidies, together with a lack of effective land management policies are key constraints to climate-smart agriculture, restricting access of poor rural people to secure, varied markets and diversification of the non-farm rural economy. In addition, smallholder farmers are not rewarded for their current and potential impact on reducing or containing emissions or increasing water availability at source in upper watersheds or aquifers in plains. In particular, a lack of clear land access and tenure rights removes incentives to make the typically long-run investments to maintain land such that it is resilient to climate change. A root cause of such failures is often the segmentation of issues at local, national and international levels. Ministries are tasked with maximizing agricultural production and others with protecting the environment, and yet others are responsible for gender equality and socio-economic issues, often based on institutional structures that compete around trade-offs rather than seeking multiple-benefits. From IFAD's 2011 Environment and Natural Resource Management Policy:

*A perception of a universal trade-off between food production and the environment has for too long dominated policy thinking. A juxtaposition of reducing poverty, tackling climate change, feeding the world and protecting the environment as any one singular option is a false choice. Some trade-offs do exist in the short run and these should be properly costed and reduced. In the long run, though, these are often false trade-offs, as continued agricultural production cannot be sustained if it is at the cost of undermining natural assets.*

A.16. **The global public good of climate mitigation is a major “co-benefit” of the above approaches.** In the immediate future it is likely that formal or voluntary carbon markets are unlikely to be a major source of funding for smallholders, hence a poverty and yield-driven approach with strong mitigation “co-benefits” may be the most effective way to achieve emissions reductions from smallholder farming. Likely climate-smart activities (table 1 below) typically: enhance soil fertility and improve soil carbon retention; increase vegetation especially through more tree cover; reduce nitrous oxide (N<sub>2</sub>O) and methane (CH<sub>4</sub>) emissions respectively through improved water, energy, nutrient, livestock and manure management; and reduce carbon dioxide (CO<sub>2</sub>) emissions by proposing alternatives to unsustainable slash and burn practices and elimination of burning crop residues.

⇒ **Take the example of agroforestry** - planting certain acacia trees in maize fields in Africa has led to even a doubling of yields while increasing the resilience of the soil to land degradation by improving its organic and nitrogen content, water retention capacity and moderation of micro-climate. At the same time, it is reducing soil carbon emissions by maintaining greenery and through tree growth and biodiversity through provision of diversified habitat and being a source of food for both wild and domesticated animals<sup>31</sup>. The full participation of women has significant benefits as women are managers of biodiversity in and around farming systems in many areas of the world. For example, in Rwanda, CIAT (International Center for Tropical Agriculture) scientists found that bean

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<sup>30</sup> For further analysis, see World Bank, *World Development Report 2008*. (Washington, D.C., 2007), chap. 4, [http://siteresources.worldbank.org/INTWDR2008/Resources/2795087-1192112387976/WDR08\\_08\\_ch04.pdf](http://siteresources.worldbank.org/INTWDR2008/Resources/2795087-1192112387976/WDR08_08_ch04.pdf).

<sup>31</sup> See <http://worldagroforestry.org/>

varieties selected by women farmers performed better than the scientists' own local mixtures 64-89% of the time, and produced substantially more beans.<sup>32</sup>

⇒ Another example is **helping pastoralists manage land better**, which can have a big impact on their livelihoods but also on GHG emission reductions. Considering the importance of rangelands in land uses (about 40% of the total land surface), herders and pastoralists could play a crucial role in soil carbon sequestration. All over the world there are some 100-200 million pastoralist households covering 5000 Million hectares (Mh) a rangelands in which are stored 30% of the world carbon stocks<sup>33</sup>. Unlocking women's and men's expertise alike is important, as women pastoralists also play a key role in as livestock keepers, natural resource managers, income generators and service providers.<sup>34</sup>

A.17. **Third, new efforts are required to enable agriculture and smallholder farmers in particular to become significant beneficiaries of climate finance.** As managers of a large share of the world's land and water resources, the increasing share of public development finance earmarked for climate change represents a major opportunity for smallholder farmers. Copenhagen fast-start commitments provide ambitious spending plans. Various global funds, such as the Climate Investment Funds, have been set up to deploy public finance at scale on climate change. Smallholders do not significantly benefit from existing formal carbon finance mechanisms and have limited access to the voluntary carbon market. Clearer mechanisms need to be established to value and reward the typically high emissions reductions possible from multiple-benefit approaches, requiring technical groundwork on the measurement and metrics of emissions impacts of different approaches.

A.18. **International development finance - for both projects or policy reforms - should increasingly reward "multiple benefit" interventions.** Such approaches to smallholder agriculture generate returns across a number of public policy priorities and with increasing budget austerity, a focus on multiple benefits will maximize "returns per dollar". The compartmentalization of many environmental issues into separate boxes has in the past created pressures for 'single-issue' financing windows without reference to other benefits. Subject-specific global funds risk concentrating on only one element of the picture, although some have introduced positive incentives for multiple-benefits - for example, the Global Environment Facility recently introduced incentives for multiple focal area projects. The reality in IFAD's experience is that environmental and socio-economic issues converge on the ground and must be treated holistically if climate finance is to be successfully deployed.

A.19. **There is a growing realisation of the potential catalytic impact of international climate, environmental and development finance on the scaling up of multiple-benefit approaches.** A little finance can go a long way in changing approaches. While detailed analysis is not yet available, agriculture is likely to have an unusually high level of multiple-benefit investment potential. For such investments in smallholder farming the main costs are often associated with up-front investment and know-how costs, which are paid back over time. Unlike in forestry, for example, there is no need for compensation for lost revenues. A fundamental challenge is smallholder farmers' inability or reluctance to assume the transition costs and risks such as capital inputs and potential short-term decrease in yields. From an IFAD Blog<sup>35</sup> on the Hague Conference on Agriculture, Food Security and Climate Change:

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<sup>32</sup>FAO (2005) Building on gender, agrobiodiversity and local knowledge: A Training Manual

<sup>33</sup> See IFAD paper on Livestock and Climate Change: <http://www.ifad.org/lrkm/events/cops/papers/climate.pdf>

<sup>34</sup> Flintan, Fiona (2008) Women's Empowerment in Pastoral Societies", IUCN, World Initiative for Sustainable Pastoralism, Global Environment Facility and UNDP

<sup>35</sup> See <http://www.thebrokeronline.eu/en/Online-discussions/Blogs/A-new-agriculture-for-food-security/An-evergreen-revolution-in-agriculture>



*Imagine that you have been farming a piece of land for generations. Yields have been going down steadily for years, but you still have just enough to feed your family. Then you hear from an agriculture extension worker that if you plant certain acacia trees in your maize field you will be able to double or triple yields. You don't have the small upfront savings to do this, plus you worry that any change in approach may fail, leaving your family hungry. This is where a small amount of development assistance can make a huge difference by buffering the risk and helping governments support farmers.*

A.20. Addressing these three elements - deepening understanding of risks and interconnections across landscapes; scaling up investments in multiple benefit approaches; and leveraging new and additional sources of climate finance - is an essential combination to help increase the adaptive capacity of communities.

### ***Why should IFAD play a role in deploying climate finance?***

A.21. **IFAD has the capacity to help deploy climate finance effectively for smallholder farmers, and thus demonstrate that a respected and trusted UN organisation can play a role in deploying climate finance at scale.** IFAD's development focus will help ensure that adaptation is not seen as a specialised independent activity, but rather an inter-dependant activity that fits well within a wider integrated smallholder poverty reduction approach<sup>36</sup> nested within developing countries' own development policies, planning, programmes and budgetary processes, and involving issues such as gender, indigenous peoples, nutrition, community empowerment and agronomy. For example, the IFAD gender policy for Gender Equality and Women's Empowerment commits IFAD to supporting gender mainstreaming in climate smart agriculture through specific measures<sup>37</sup>. The IFAD Policy on Engagement with Indigenous Peoples<sup>38</sup> commits to support indigenous peoples in enhancing the resilience of the ecosystems in which they live and in developing innovative adaptation measures. This policy also commits IFAD to support the emerging opportunities for indigenous peoples in carbon sequestration and other environmental services.

A.22. **IFAD is popular and trusted by developing country governments and its governance structure is politically representative with a tradition of consensus-based decision-making.** In a 2010 study by the Brookings Institute<sup>39</sup>, IFAD was ranked number 4 of the 31 main aid agencies on aid efficiency and top in reducing the administrative burden on clients. IFAD received a *good* rating in DFID's 2011 Multilateral Aid Assessment. The positive 2010 MOPAN<sup>40</sup> review rated IFAD as very strong on its focus on results and financial accountability. Also, IFAD has fully achieved GEF financial standards accreditation. ASAP will be coordinated by IFAD's new

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<sup>36</sup> For a longer discussion on this theme, see article by IFAD President Kanayo Nwanze and IFAD's Environment and Climate Division Director in 2010 Climate Action publication: [http://www.climateactionprogramme.org/publication/book\\_2010/](http://www.climateactionprogramme.org/publication/book_2010/)

<sup>37</sup> These include (i) project design and implementation based on an understanding of how climate change affects different categories of poor rural people, and women as compared with men; (ii) provision of training to women and men on key adaptation topics, including adjusting cropping patterns based on climate variability, sustainable agricultural systems for nutrition and high-value-added products, sustainable land management, early warning systems and disaster risk reduction; (iii) gender equality in access to climate change mitigation funds; (iv) increased research on gender-sensitive technologies that are energy- and water- efficient, and promote resilience to changing climatic events and other risks; and (v) solutions to the specific challenges faced by women, men and children in climate change-related policy dialogue, and mainstreaming effective responses into policies. ASAP design and implementation reflect these actions, for example through gender-sensitive indicators and selection criteria, and ASAP also offers significant opportunities to add to the emerging body of knowledge on gender implications of climate smart smallholder agriculture as a whole.

<sup>38</sup> <http://www.ifad.org/english/indigenous/index.htm>

<sup>39</sup> Quality of Official Development Assistance Assessment by N. Birdsall and Homi Khara. Brookings Institute October 2010

<sup>40</sup> Multilateral Organization Performance Assessment Network See <http://www.mopanonline.org/publications/2>

Environment and Climate Division (ECD), with extensive technical support from a new internal network of Environment and Climate Specialists co-located in IFAD's Regional Divisions.

**A.23. IFAD has successful experience in implementing large scale supplementary funds.** IFAD has co-financing agreements as Supervising Entity in place with the Global Agriculture and Food Security Programme (GAFSP) in Sierra Leone (jointly with World Bank) and Togo (sole Supervising Entity) representing some US\$70 million of GFSP grant co-financing. In addition, IFAD manages a Spanish Food Security Cofinancing Fund of Euro 300 million, approved by the Executive Board in December 2010, to be allocated over a period of five years. As per September 2012, IFAD manages 47 projects financed by the Global Environment Facility (GEF), Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF).

**A.24. ASAP will transform incentives within IFAD to increase the impact on climate resilience of its approximately US\$1bn per year of new investments.** IFAD has extensive experience in building more resilient rural livelihoods and has the capacity to do a lot more. ASAP is driven by IFAD's commitment to ensure this organisation remains a cutting-edge development agency by integrating climate change issues throughout our operations and programmes. This commitment has been driven by both demand from our membership in operations and our Governors and Executive Board. This is the right moment for IFAD to develop ASAP:

- ⇒ IFAD 8 called for IFAD to “Complement its core resources by being open to additional funding that would enable it to scale up its engagement in climate change issues.”
- ⇒ A key purpose of IFAD's 2010 Climate Change Strategy<sup>41</sup> is to support innovative approaches to helping smallholder producers - both women and men - build their resilience to climate change. The main Climate Change strategy output is a more ‘climate-smart’ IFAD, where responses to climate change are systematically integrated into core policies, programmes and activities. As part of the Strategy, IFAD set up a new Environment and Climate Division with a new regional and corporate climate and environment adviser network now in place. One of the four main objectives in IFAD's 2010 Climate Change Strategy is for additional funding to be secured to assist in the systematic integration of climate risks and opportunities into the overall IFAD portfolio.
- ⇒ IFAD's new Environment and Natural Resource Management Policy (see <http://www.ifad.org/gbdocs/eb/102/e/EB-2011-102-R-9.pdf>) focuses on building resilience through integrated approaches to management of natural assets - it places climate resilience coherently in the wider context of natural resource management. An outcome indicator for IFAD's 2011 Environment and Natural Resource Management Policy is “Untapped potential fully explored to leverage climate finance and fast-track funding commitments for ENRM for poor rural people.”<sup>42</sup>
- ⇒ At a time when environmental sustainability issues are gaining more attention, the provision of significant grant co-financing will boost incentives to scale up climate resilience programmes and integrate resilience into wider smallholder development programmes and policies in partner organisations - including a growing dialogue between

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<sup>41</sup> See IFAD Climate Change Strategy, annex 1 - <http://www.ifad.org/climate/strategy/e.pdf>

<sup>42</sup> The Policy (page 38) states that “In addition to its core resources, IFAD will continue to leverage its traditional supplementary funding sources and seek new ones to bolster systematic integration of ENRM... IFAD faces a major opportunity to help poor rural people benefit from increasing international public and private finance earmarked for environmental objectives - in particular related to climate change. IFAD will continue to leverage resources from international funds, such as the GEF and the Adaptation Fund. In addition, as requested by the Board of Directors at the Eighth Replenishment of IFAD's Resources, while maintaining its focus on its mandate and comparative advantage, IFAD will seek to complement its core resources by being open to additional funding that would enable it to scale up its engagement in climate change issues and to meet the additional costs that climate-related challenges impose on investments in development.”

agriculture and other key ministries engaged on climate change such as, Environment, Water, Health and Finance, plus decentralised authorities.

- ⇒ Furthermore, when recognition is growing of the importance of wider local and national policies on smallholder farm development, ASAP will create greater in-house incentives for project-policy interaction by drawing lessons from climate smart project activities at local level to influence policy making at all levels, including in-country frameworks such as National Adaptation Programmes of Action (NAPAs) and the Pilot Programme for Climate Resilience (PPCR).
- ⇒ The envelope of ASAP financing envisaged will thus enable the leveraging of substantial improvements in adaptation activities in the rural development sector, contributing to an anticipated US\$30-40 billion of IFAD's investments up to 2030 becoming explicitly adaptation oriented.

**A.25. ASAP will help IFAD make better use of multilateral funding sources and have an impact on the global use of agriculture and climate resources.** IFAD will continue to play an active role in deploying funding from multilateral sources such as the GEF, particularly for stand-alone activities or where global public good benefits dominate. ASAP is designed as a tailored instrument to support change in IFAD and its partners. Part of this change will facilitate our future engagement with such global funds - for example, ASAP could help IFAD invest in support of PPCR policy and analytical frameworks (possibly in countries such as Bangladesh, Cambodia, Zambia or Mozambique), ASAP could help supplement IFAD's use of GEF resources at the project level, and the knowledge management work catalysed by ASAP will support our use of multilateral funds and engagement in the country-level work they are supporting.



**B. Proposed ASAP Results Framework**

**Table 2 - ASAP Results Framework - 10 Key Indicators**

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

[Note: See Annex 1 for a detailed logframe and results framework, with staged and time-bound milestones.]

## C. 5 Key design features of ASAP

**C.1 Simple and Efficient:** Climate finance is complex in terms of the variety and number of stand-alone financing sources, which often seek justification based on one sub-element of climate change. An efficient design is needed to create high demand for ASAP co-financing both within and outside of IFAD. Within IFAD, about 10 single-donor supplementary funds are used to provide a small amount of co-financing for climate-resilience-related projects, suggesting there is scope and capacity for harmonization.

**C.2 Focussed on poor smallholder farming communities:** The programme has a clear and systematic targeting approach, given the huge and varied needs of developing countries to respond to climate change.

**C.3 Delivery and scaling-up focused:** Adaptation activities are currently typified as being stuck in exploratory, diagnostic and pilot phases with substantial support for risk assessments and vulnerability analysis and often designed as one-off activities. To support efforts through NAPAs, PPCRs and other national and international policy efforts, there is a need to deliver supportive ‘concrete’ investment outcomes for smallholders at scale. With an envisaged delivery of 150 million US\$ per year, ASAP is responding to this challenge.

**C.4 Programmatic** (in terms of integration into wider investment programmes and policies): a common problem with adaptation in agriculture is that it is sometimes seen as a separate activity and a “bolt-on” component to development projects and policies. Further, project-policy interaction can be improved.

**C.5 Partnership based:** IFAD cannot and should not do this alone. This work is knowledge-intensive because it is so context-specific. Lessons from experiences of top-down attempts at integrated rural development are that activities must be community-led, otherwise the wrong (and overly complex) investments are chosen.

### D. The nuts and bolts - how will it work?

D.1. **ASAP is a multi-donor grant co-financing programme tailored to have the maximum impact on IFAD's overall grant and/or loan-based operations.** Developing countries members are able to access a new source of co-financing targeted specifically at scaling up and integrating climate change adaptation in smallholder development programmes. ASAP has been established in a flexible manner that will allow new donors to contribute at any point. The programme has a multi-year duration to provide predictability and allow the grants to have maximum impact on pipeline project design.

D.2. **The management framework** for ASAP seeks to minimize transaction costs for all involved, and is based on IFAD's existing management and quality control systems. IFAD's Programme Management Department (PMD) leads programme implementation within IFAD. The PMD focal point for overall project management will be IFAD's new Environment and Climate Division (ECD), who will support internal coordination and external knowledge sharing. Diagram 1 below describes the **financing cycle for ASAP**. This is fully integrated into IFAD's existing project cycle but with additional technical and supervisory support:

- ⇒ IFAD's **country programmes** bid for funds on a case-by-case basis and lead on identification, development and implementation of ASAP co-financing. Projects are proposed via Regional Division Directors. Government counterparts including, where possible, gender experts and representatives of marginalized groups, are in the lead as with any regular IFAD-supported project.
- ⇒ A range of largely quantitative criteria are used to guide **merit-based project selection**. To maximize incentives, ASAP co-financing is not considered an automatic entitlement but used on a case-by-case basis. The main selection objective is to ensure that ASAP grants add clear and demonstrable value to IFAD or other project investments. The key qualitative criteria are i) the 'additionality' of the ASAP funding to the project that it is cofinancing (for example, whether the grant will provide genuine added value to a project and is not simply displacing other forms of public or private finance/activities); and ii) whether the ASAP-supported project is given strong support from the beneficiary Government, the relevant IFAD Regional Division country team and communities of smallholders including women and marginalized groups. Quantitative *ex ante* estimates of potential project contributions towards the ten key indicators of ASAP Results Framework will provide the main criteria for project selection, including projections of:
  - (1) The number of poor smallholder household members whose climate resilience has been increased because of ASAP, disaggregated by sex
  - (2) The size of the overall resulting investment
  - (3) The project leverage ratio of ASAP versus non-ASAP financing
  - (4) The tonnes of GHG emissions (CO<sub>2</sub>e) avoided and/or sequestered
  - (5) The increase in number of non-invasive on-farm plant species per smallholder farm supported
  - (6) The increase in hectares of land managed under climate-resilient practices
  - (7) The percentage change in water use efficiency by men and women
  - (8) The number of community groups including women's groups involved in ENRM and/or DRR formed or strengthened
  - (9) The value of new or existing rural infrastructure made climate-resilient
  - (10) The number of international and country dialogues to which the project would make an active contribution

## Adaptation for Smallholder Agriculture Programme - Programme Description

- ⇒ **The programme will reward projects where resilience is fully integrated** into a wider programme of IFAD and/or non-IFAD supported activities<sup>43</sup>. Co-financing will be fully blended (*'pari-passu'*) with other operations or grants, or could co-finance specific cost lines or elements within projects. As such, projects will need to demonstrate how they meet corporate goals in all areas such as for gender, private sector and indigenous peoples (see section A19 above for an example of alignment with IFAD gender strategy).
- ⇒ Project design will use existing IFAD **quality enhancement and assurance systems** for loans and grants, and will therefore not add to the typical average review times for projects. At the **concept and quality enhancement (QE)** stage of the IFAD project cycle, project concept notes and design documents will be reviewed according to ASAP design criteria. All ASAP-supported projects will be submitted to IFAD's **Executive Board** for approval.
- ⇒ Grants **size** will typically be in the range of US\$3-15 million - size will depend on the overall size of the co-financed operation and the nature of the project.
- ⇒ In the first few years of ASAP, **grants to projects in the design phase or climate-specific interventions in existing operations will be considered** to ensure early progress in implementation and disbursement. This is to avoid a spending lag of 1-2 years based on project design times.

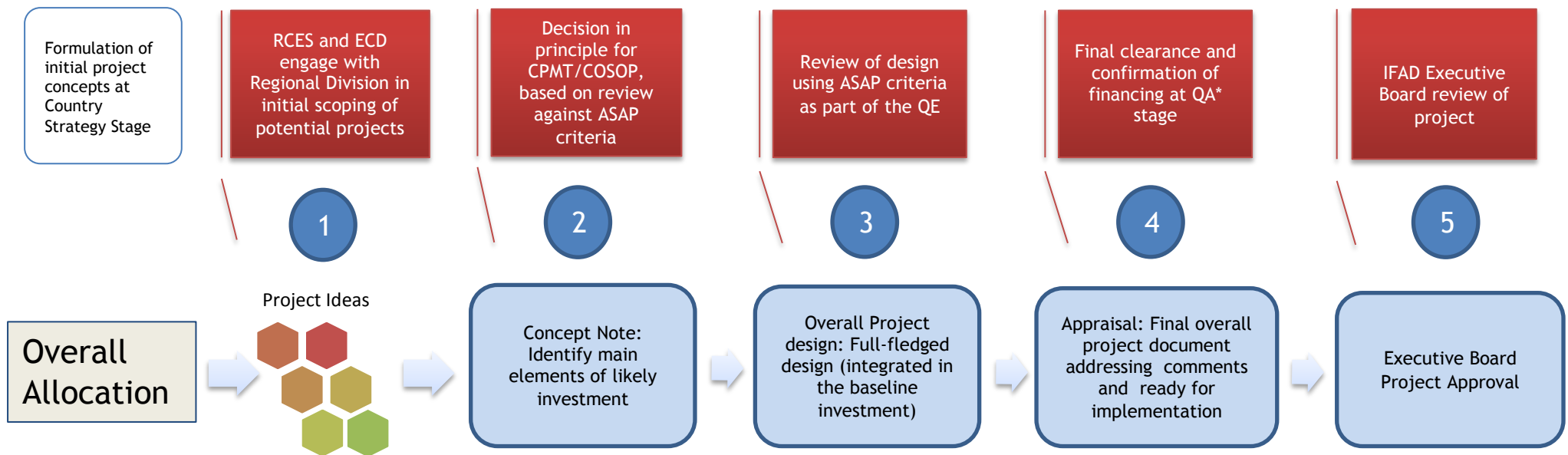
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<sup>43</sup> The concept of incremental cost has been used to make the case for additional finance, but to avoid compartmentalizing climate and non-climate activities it will be avoided at the project level.

**Diagram 1: Integrating ASAP into the IFAD Project Cycle**

# ASAP Financing Design Cycle

## Engagement Points



QE: Quality Enhancement

QA: Quality assurance

CPMT: Country Program Management Team

RBCOSOP: Results-based Country Strategic Opportunities Programme

RCES: Regional Climate and Environment Specialist

D.3. **Impact measurement and knowledge development** will also build on existing government systems and project systems - see Annex 1 for a detailed ASAP logframe with specific and measurable results indicators:

- ⇒ Developed through a wide ranging consultative process involving development partners, think tanks and non-governmental organisations, ASAP has developed an **innovative results framework (see table 1 and more detailed logframe in Annex 1)**. This aims to measure and demonstrate the multiple-benefits of investing in good smallholder adaptation. The 10 ASAP Outcome indicators will enable aggregation of data generated from ASAP projects and draw on existing and improved institution-wide results and portfolio monitoring systems. Each ASAP-supported project will include activities that make contributions to a number (but probably not all) of ASAP's 10 key indicators - this information will be collected as part of the project monitoring process and aggregated to form the global results framework. Projects will include a range of project-specific success indicators that will inevitably go beyond the ASAP top 10 indicators - the logframe includes examples of other indicators that could be used at the project level. In addition, IFAD will harvest information from a wide range of project-specific sub-indicators in order to learn lessons in key areas, such as gender impacts.
- ⇒ ASAP will develop a systematic **knowledge management** process to capture and disseminate lessons learned and demonstrate how investing in smallholder resilience can be done at scale while generating no-regret multiple-benefits. Its philosophy is to value south-south learning, to recognize the heterogeneity of approaches and situations, and to be demand-led from ASAP-supported projects. The key source will be learning from what has worked or not worked at the project level. The primary audience will be smallholder communities including farmer organizations and women's groups - i.e. 'horizontal' scaling up where IFAD can stimulate knowledge sharing between communities. Policymakers in national governments and more broadly in development organisations will also be an important audience. Techniques used include social reporting, learning routes, peer-to-peer learning, and exploiting synergies with existing knowledge partnerships and specialized networks - for example working with the Global Environment Facility (GEF), the Landscapes for People, Food and Nature Initiative, Adaptation learning portals of other UN agencies (such as UNDP's Adaptation Learning Mechanism), the Climate and Development Knowledge Network (CDKN) or the Spate Network. Outputs from ASAP knowledge management activities will continue to feed back into the fine-tuning and optimisation of the ASAP approach, influence ASAP-supported projects and also IFAD's wider portfolio, including projects receiving co-financing from GEF and other sources. Specific outputs will include:
- Earmarked funding in ASAP for **overall knowledge generation and sharing** - including financing a knowledge coordinator (or "central connector"), and active dissemination of ASAP learning inside and outside IFAD. See diagram 2 below.
  - An annual '**programme learning**' exercise will share examples of what has and has not worked with the Executive Board and IFAD partners.
  - An important review point in the establishment of ASAP will be a stocktake of ASAP implementation, which will take place in conjunction with the mid-term review of IFAD 9. After 5 years of ASAP operation, an independent evaluation of ASAP will be undertaken to assess the programme's overall success against logframe objectives. This will be followed by a discussion and review of the future direction of the programme.
  - Clear results measurement and knowledge sharing modules in **ASAP-supported projects**, leveraging knowledge management staff in project teams.
  - Use of experimental design and (e.g. **Randomized Control Trials**) to assess the traction and impact of adaptation approaches in selected ASAP projects
  - A simple internal **web knowledge portal** on climate and environment.

- ASAP projects used as pilots for **impact-evaluations**.

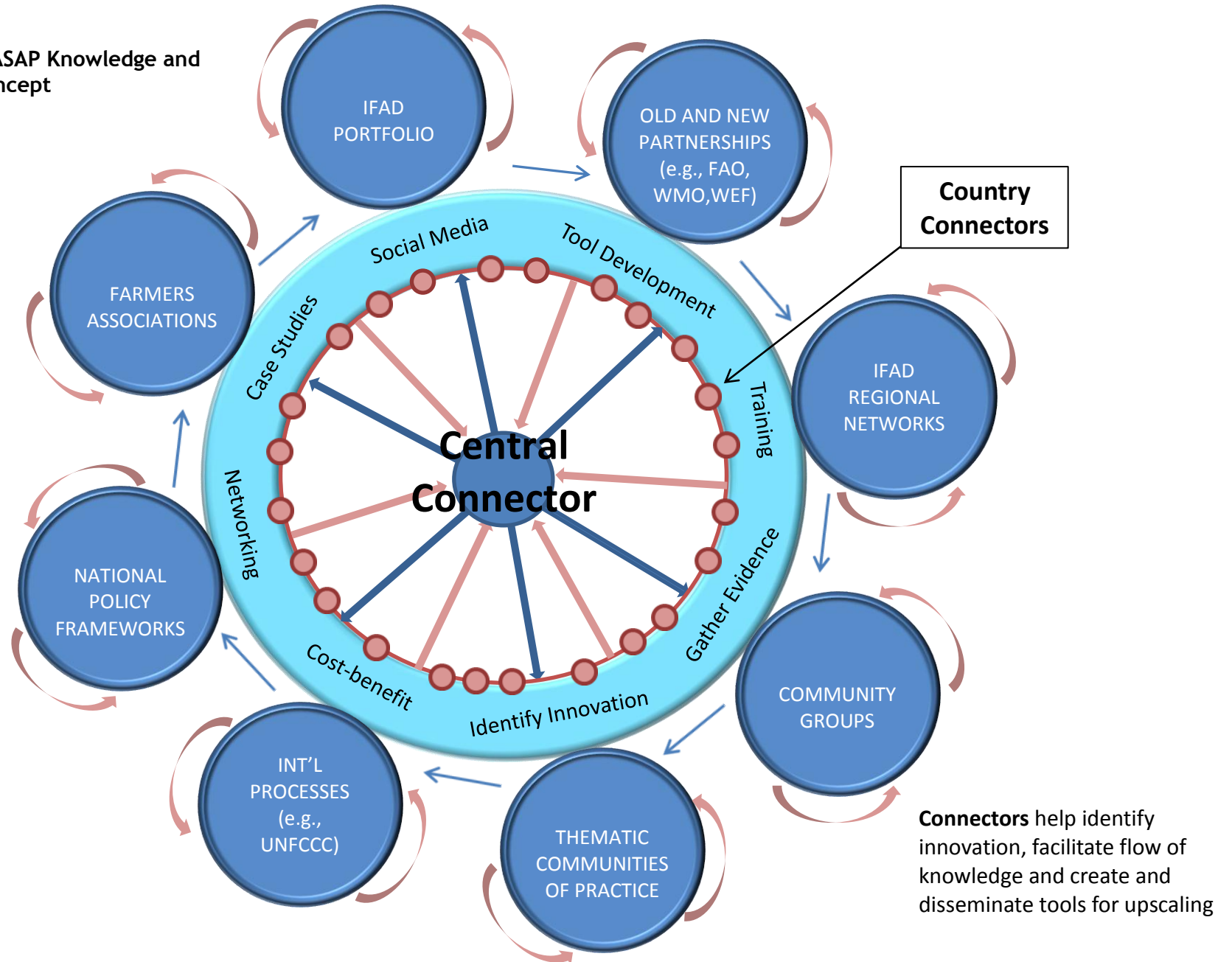
D.4. ASAP will be **focussed on poor smallholder farming communities**, benefiting from IFAD's existing focus on participatory approaches involving the poor, indigenous people and women:

- ⇒ **IFAD promotes the use of participatory approaches** and of local programming processes that respond to the needs, priorities, opportunities and constraints identified by poor rural people. Apart from important empowerment goals, participatory approaches are valuable for improving knowledge of the socio-economic aspects of development. ASAP will emphasize the importance of understanding the underlying causes of vulnerability and of incorporating climate risk information into vulnerability assessments - not just as a one-off exercise during project design but as an overall iterative approach to project management and monitoring and evaluation. Special focus will be given on linkages between agriculture, nutrition, DRR and social protection for adaptation and resilience building.
- ⇒ **Pro-poor targeting** is one of the principles of engagement set out in the current Strategic Framework<sup>44</sup>. Working with IFAD's core mission the programme will have an express mandate to target rural smallholders though tackling poverty reduction and climate change together in an integrated way, with a special focus on vulnerable and marginal people including women, indigenous peoples' communities and pastoralists.

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<sup>44</sup> The Strategic Framework notes: "We target poor, marginalized and vulnerable rural people who have the capacity to take advantage of the economic opportunities offered by IFAD-supported programmes and projects. We give special consideration to gender differences, and focus on women. We recognize the particular needs of indigenous peoples and ethnic minorities, especially in Latin America and Asia."

Diagram 2: ASAP Knowledge and Learning Concept





- ⇒ IFAD has long recognised the importance of **investing in women**, who form the majority of rural poor. Given that climate change risks magnify existing inequalities between women and men and the difference in their capacity to cope, IFAD's significant focus on gender mainstreaming is a valuable platform for responding to climate change.
- ⇒ IFAD's Strategic Framework identifies **Indigenous Peoples** as an important target group because they face economic, social, political and cultural marginalisation in the societies in which they live, resulting in extreme poverty and vulnerability for a disproportionate number of them. To reach this target group, IFAD works through its Policy on Engagement with Indigenous Peoples and the recently established Indigenous Peoples' Forum at IFAD to apply tailored approaches that respect their values and build upon their identity and culture.

D.5. ASAP will be **partnership based** - IFAD can make a difference in acting as a gateway for ideas-sharing and finance to help communities manage their natural resources in a climate resilient way. ASAP partners will be context-specific:

- ⇒ At the **national level**, IFAD will work in partnership with governments, national extension services, a range of national and international research institutes, civil society organisations, as well as communities and Farmers' Organisations (FOs), including women's groups.
- ⇒ Partnerships with **international** knowledge providers will be essential, and will build on IFAD's already strong relationships with organisations such as CGIAR centres, FAO, WFP, UNEP, UNDP, WMO, IFPRI, ICRAF, WOCAT and the World Bank. ASAP-supported projects will also cooperate with other climate finance programmes including the PPCR and LDCF. Partnerships with specialised knowledge networks such as the Global Gender and Climate Alliance (GGCA)<sup>45</sup> will be also established.

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<sup>45</sup> The Global Gender and Climate Alliance was launched at the UN Climate Change Conference in Bali in December 2007, and its primary goal of the Global Gender and Climate Alliance (GGCA) is to ensure that climate change policies, decisionmaking, and initiatives at the global, regional, and national levels are gender responsive. See <http://gender-climate.org/index.php>

## E. What will the money be spent on?

E.1 There is a range of potential activities that partner communities might identify as an investment need. Table 1 provides a brief menu of some of the interventions that are relevant and in some cases already being pursued through IFAD-supported programmes - note that these are provided as examples since communities will be the principle driver of investment options through vulnerability and other community based adaption techniques. They include: tangible investments - for example, climate-proofing of processing facilities, low-carbon technologies, construction of small water-harvesting infrastructure, flood protection measures, rural water supply, water storage facilities (over and underground) and water-use efficient irrigation systems; investments in natural infrastructure such as improved resilience of riparian areas; and, investments in “software” such as the development of knowledge, data and decision support tools on climate change resilient cropping systems, adaptation policies, institution building at relevant levels, establishment of farmer associations, enhanced institutional capacities and accountability systems.

E.2 How do ASAP-financed interventions differ from what IFAD is already doing? ASAP project designs will introduce an additional qualitative and climate resilience dimension to investments in which vulnerability assessments and improved use of climate risk information, modelling and scenarios suggest to alter the balance of activities and the way these are implemented. An array of suitable development interventions are already available. However, considering that they were not conceived with climate change in mind, the challenge now centres on enhancing them to take into consideration climate change scenarios. In many cases this is likely to lead to ASAP scaling-up more rapidly successful approaches that IFAD has already piloted in various ecosystems - such as agroforestry, sustainable land management, watershed management, etc, but in a way that is fully cognisant of potential climate impact scenarios.

**Table 3: What would ASAP finance? Some Examples**

<b>OUTCOME 1 Improved land management and climate resilient <u>agricultural practices and technologies</u></b>
<ul style="list-style-type: none"> <li>• Identify and promote <b>crop varieties</b> that are heat, drought and salt tolerant, including wild varieties with high nutritional value</li> <li>• Optimize <b>land-use systems</b>, e.g. shift to ‘crop-for-drop’ from yield-per-hectare systems</li> <li>• Scale up <b>sustainable land management practices</b> to the landscape level to increase agricultural production through improved hydrogeologic functions, soil nutrient replenishment, habitat heterogeneity, floral and faunal diversity, moderation of microclimate, reduction in pest infestations and soil salinity</li> <li>• Test prototype <b>agricultural production systems</b> that can withstand climate change induced stresses in different agroecological zones, combined with a shift from extensive low nutrition agricultural productive systems to intensive high nutrition ones</li> <li>• Use of <b>Geographic Information System (GIS)</b> to better understand and monitor landscape use</li> <li>• Provide access to improved <b>seed varieties</b> that can withstand flooding, drought and salinity, and in situ conservation of genetic resources including through seed banks</li> <li>• Establish climate-proof community <b>seed, food and forage storage</b></li> <li>• Rehabilitate <b>natural systems</b> to protect agriculture in coastal areas against climate risks such as storm surges through mangrove, coastal wetland and sand dune rehabilitation, and coral reef restoration</li> <li>• Provide training to women as well as men on key adaptation topics, including adjusting cropping patterns based on climate variability, sustainable agricultural systems for nutrition and high-value-added products, sustainable land management, early warning systems and disaster risk reduction</li> <li>• Boost knowledge into gender dimensions of climate resilient <b>agricultural practices and technologies in specific contexts through appropriate support to women and men</b></li> <li>• Increase women’s access to decision-making at community level through initial consultations including with women’s groups</li> <li>• Support south-south networking of women at national policy level to strengthen their capacity to</li> </ul>

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influence gender outcomes

- Identify and promote good practices in gender-sensitive labour saving technology<sup>46</sup>

### OUTCOME 2 Increased availability of water and efficiency of water use for smallholder agriculture production and processing

- Undertake analyses of water use and distribution at the landscape level to design sustainable agricultural production and processing and nutrient, energy and water reuse systems, including rural water supply and sanitation where applicable
- Use of integrated water resource management to maintain and improve healthy functioning of watersheds, and combine watershed management with climate-resilient land-use planning, climate-proof infrastructure, water users' associations, water recycling and grey water use
- Watershed management for comprehensive, climate-proof infrastructure planning
- Adopt a range of water harvesting techniques, e.g. low-cost groundwater recharge methods, efficient irrigation systems and climate-proof medium-sized reservoirs to increase water availability
- Tailor for the required capacity building on these techniques as well as synergetic practices (fertilization and pest management) in order to improve water use efficiency.
- Flood management through catchment source control to reduce peak discharges using mini-dams and levees
- Introduce smart ICT on water and weather forecasting for optimized spatial use of volatile rains and floods, and aquifers
- Increase access to water-related inputs, services, rural organizations, productive infrastructure and technologies by rural women, who often have a higher dependence on rain-fed farming but less access to irrigable land than men.

### OUTCOME 3 Increased human capacity to manage short- and long-term climate risks and reduce losses from weather-related disasters

- Local **institution capacity-building** and adoption of agroecological farming models
- Build **expertise** in climate change-oriented agricultural research, advisory and extension services
- Undertake **gender-differentiated vulnerability and risk assessments** to determine current livelihood systems, and to understand smallholder farmers' own responses for formulating scaled up adaptation management options
- Provide local communities with access to current and future weather and **climate information**, monitor and communicate climate change impacts and predict future trends for agricultural planning purposes, e.g. switching crop varieties and/or planting calendars
- Strengthen community-based **disaster preparedness** (social networks and safety nets), and response and rehabilitation mechanisms, ensuring that good practice in gender-responsive measures is built upon<sup>47</sup>
- Develop a **climate risk management strategy** based on financial assets (i.e. savings, mutualization, insurance) to promote development of climate risk insurance
- Develop user-friendly **data management systems** and inter-sectoral coordination mechanisms for synergistic project development and implementation that have harmonized responses to climate impacts across a range of sectors
- Develop **policy frameworks** resilient to climate change, replete with climate change triggers for activating adaptation response mechanisms
- Strengthen health, food security, nutrition and agriculture and socio-economic **linkages**
- Improve **regulatory systems** to provide incentives for uptake of adaptation responses and climate-smart sustainable land management
- Improve clarity of climate change-related **governance structures** that impact the rural sector and

<sup>46</sup> In line with IFAD Policy on Gender Equality and Women's Empowerment (draft), Annex 3, p26. See also IFAD and Practical Action Publishing Ltd (2010) Lightening the Load: Labour-saving technologies and practices for rural women.

<sup>47</sup> There is now a considerable body of knowledge in which to draw - see for example Gender and Agriculture Sourcebook, Thematic Note 4: Gender and Natural Disasters, p448 <http://siteresources.worldbank.org/INTGENAGRLIVSOUBOOK/Resources/CompleteBook.pdf> and UNISDR, UNDP and IUCN (2009) Making Disaster Risk Reduction Gender-Sensitive: Policy and Practical Guidelines

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<p>establish linkages between local institutions and national climate change government structures</p> <ul style="list-style-type: none"><li>• Develop access to ‘<b>green markets</b>’ and create incentives for climate-resilient products (e.g. rooibos tea)</li><li>• Strengthen capacity of gender ministries, women’s groups and women scientists to analyse gender perspectives and their practical implications for related technologies.</li></ul>
<b>OUTCOME 4 <u>Rural infrastructure made climate-resilient</u></b>
<ul style="list-style-type: none"><li>• Assess climate change impacts on existing key <b>agricultural infrastructure</b> to refine design and engineering specifications</li><li>• Build/retrofit rural infrastructure to cope with <b>climate-related risks</b>, e.g. water shortages and extreme weather events using, for example, dykes, breakwaters and submersible roads</li><li>• Strengthen food security systems by improving <b>storage and marketing facilities</b> with the inputs of rural women and men</li><li>• Prevent pollution of <b>water supplies</b></li><li>• <b>Water infrastructure investment and management as set out under Outcome 2 above.</b></li></ul>
<b>OUTCOME 5 <u>Knowledge on Climate Smart Smallholder Agriculture documented and disseminated</u></b>
<ul style="list-style-type: none"><li>• Document, disseminate and replicate natural resource-based <b>traditional knowledge and farmer-generated innovations</b> to promote adaptation and healthier ecosystems</li><li>• Develop downscaled <b>data gathering</b> and management systems to improve decision-making</li><li>• Enhance use of <b>information communication technologies</b> to disseminate adaptation best practice and mobile phone early warning systems</li><li>• Promote <b>South-South cooperation</b> to exchange knowledge on climate change responses and, where relevant, develop transboundary initiatives that foster uptake of adaptation measures</li><li>• Present lessons learned and project experiences on adaptation in <b>international fora and advocacy initiatives</b></li><li>• Disseminate knowledge on climate-smart agriculture into <b>national planning processes</b> (i.e. poverty reduction strategies, agricultural policies, climate change policies, etc.)</li><li>• Strengthen capacity of gender ministries, women’s groups and women scientists to capture and document gender perspectives and their practical implications.</li><li>• Document and share knowledge with international networks such as the Global Gender and Climate Change Alliance, World Initiative for Sustainable Pastoralism (WISP) so that marginalized groups are targeted and included.</li></ul>

### F. Financing Requirements

ASAP financing requirements and programme size are determined by the availability of funds and IFAD's ability to effectively influence and improve large-scale investment programmes. On the latter, the volume of funding that enables IFAD to effectively shape about one-quarter of IFAD's approximately US\$1 billion per year of new commitments, while indirectly influencing the remaining portfolio and, more importantly, partner government's policies and investment programmes, has been assessed at around US\$150 million per year for the first 3 years of ASAP implementation. As per August 2012, existing commitments for ASAP financing amount to 183.3 million US\$, which enables a first tranche of ASAP projects to influence large-scale investment programmes. The programme is in a position to absorb and deliver additional contributions, including from the private sector, bilateral and multilateral donors. It has a built-in mid-point review and a 5 year independent evaluation to assess ASAP's financial track record and requirements. [Section E]

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### Annex 1: ASAP Results Framework - Logframe and Results Matrix

	Results hierarchy	Indicators	Baseline	Milestones (at date)	Means of verification	Assumptions
Goal	Poor smallholder farmers are more resilient to climate change	1. # of poor smallholder household members whose climate resilience has been increased because of ASAP (disaggregated by sex)	- Zero	End 2014: 1 million End 2015: 3 million End 2020: 8 million	IFAD Project Portfolio Management System (PPMS) data on project beneficiaries  Proxies from RIMS that relate to this indicator include:  <ul style="list-style-type: none"> <li>• % change in household asset ownership</li> <li>• Food security, as measured by number of hungry months of the target population</li> </ul> Project-level aggregation may include the following indicators:  <ul style="list-style-type: none"> <li>• # of smallholder households engaged in vulnerability reduction and climate risk management activities</li> <li>• # of stakeholders served by new or expanded climate information management</li> </ul>	- Average IFAD project cycle 6 years (hence 2020 full target to be reached)  - Adaptation efforts are not undermined by other factors beyond the programmes' control e.g.: market failures  - resource mobilization for ASAP successfully secures substantial funding
Purpose	Multiple-benefit adaptation approaches, for poor smallholder farmers are scaled up	2. % of new investments in ENRM in IFAD 9 <sup>th</sup> Replenishment compared to IFAD 8 <sup>th</sup> Replenishment	- Share of IFAD 8 <sup>th</sup> replenishment portfolio on ENRM	In IFAD 9 by <u>end 2014</u> : increase of 70% of investments in ENRM compared to IFAD 8  In IFAD 9 by <u>end 2015</u> : doubling of the % of new investments in ENRM compared to IFAD 8	IFAD Project Portfolio management System (PPMS). IFAD 8 baseline to be established after completing IFAD 8 period.	- IFAD interventions in ENRM will increase the set of resources available for adaptation (information, technology, economic resources, institutions and so on), as well as the ability or capacity of smallholder farmers to use the resources effectively in pursuit of adaptation  - ASAP financing will influence wider investment in the agriculture sector and adaptation climate finance
		3. Leverage ratio of ASAP grants versus non-ASAP financing	- Zero	Average leverage ratio of 1:3 by end 2014  1:4 achieved by end 2015	From PPMS. Non-ASAP financing defined as: IFAD loans; Government co-financing; Other external financing including the private sector	- Community adaptation and resilience is seen as a core activity for ministries
		4. % increase in number of non-invasive on-farm plant species per smallholder farm supported	- Zero increase	- 15 % average increase by 2015  - 30% increase by 2020	Project reporting - aggregated from those ASAP projects with explicit objective of diversifying production	

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Results hierarchy		Indicators	Baseline	Milestones (at date)	Means of verification	Assumptions
		5. # of tonnes of GHG emissions (CO2e) avoided and/or sequestered	- Zero	4 million tonnes of emissions by 2014  20 million tonnes of emissions by 2015  80 million tonnes of emissions by 2020	Project reporting using best available metrics for emission impacts in CO2 format (using e.g. UNEP/GEF Carbon benefits tool, FAO EX-ACT tool). Includes avoided deforestation and forest degradation.	
Outcome 1	Improved land management and gender-sensitive climate resilient agricultural practices and technologies	6. # increase in hectares of land managed under climate-resilient practices	- Zero increase	270,000 hectares by 2015  1,000,000 hectares by 2020	<p>Baseline data collection at project level</p> <p>Project-level proxies from RIMS that relate to this indicator include:</p> <ul style="list-style-type: none"> <li>• # of hectares managed by farmers who report a positive yield change</li> <li>• # of hectares of land improved through diversified and resilient production methods (including agro-forestry; conservation agriculture; sustainable rangeland management)</li> </ul> <p>Other potential project-level indicators include:</p> <ul style="list-style-type: none"> <li>• #/% men and men with access to and control over climate smart technology inputs and/or land management resources</li> <li>• % change in productive asset ownership, disaggregated by sex</li> <li>• # of farmers adopting heat-, drought-, flood- or salt tolerant crop varieties</li> </ul>	<ul style="list-style-type: none"> <li>- ASAP projects develop/use climate smart agriculture practices that meet farmers' needs, and deliver adaptation and other benefits</li> <li>- Extension systems (public/private/NGOs) are in place and are effective</li> <li>- Farmers adopt new/improved technologies and production systems, and are involved in their development</li> <li>- Farmers have access to markets</li> <li>- Technologies will be appropriate eg gender-sensitive (ie reduce women's labour and accessible to them)</li> </ul>
Outcome 2	Increased availability of water and efficiency of water use for smallholder agriculture production and processing	7. % change in water use efficiency by men and women	Baseline data collection at project level	- 15 % average increase by 2015  - 30 % increase by 2020	<p>Baseline data collection at project level for those projects with a significant water component</p> <p>Project-level proxies from RIMS that relate to this indicator include:</p> <ul style="list-style-type: none"> <li>• # of rainwater harvesting systems constructed or rehabilitated</li> <li>• # of water-use efficient irrigation schemes constructed/rehabilitated</li> <li>• # of water-use efficient agricultural production/processing facilities constructed</li> </ul>	<ul style="list-style-type: none"> <li>- ASAP projects develop/use water management/irrigation practices that meet farmers' needs, and are more efficient and deliver adaptation and other benefits</li> <li>- Extension systems (public/private/NGOs) are in place and are effective</li> <li>- Farmers adopt new/improved technologies and practices</li> </ul>

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Results hierarchy	Indicators	Baseline	Milestones (at date)	Means of verification	Assumptions
				<p>Other potential project-level indicators include:</p> <ul style="list-style-type: none"> <li>• Tonnes of biomass or crop yield produced over a growing season, normalised with the amount of water used up in the process</li> <li>• # of small farming households participating in water saving schemes and demand-side water management measures</li> <li>• % change in water use in areas where demand side water management measures are implemented, compared to the baseline situation or other areas where demand-side management has not been introduced</li> <li>• % change in consumption of centrally-distributed fresh water</li> <li>• #/% women with increased influence/control over decisions on water systems constructed or rehabilitated</li> <li>• % of smallholder farming households changing their approach to water use as a result of ASAP interventions (based on qualitative surveys)</li> <li>• Perceived changes in water availability attributed to ASAP interventions (based on qualitative surveys)</li> <li>• Number and types of new measures adopted to address water scarcity which smallholder farming households directly relate to ASAP interventions (based on qualitative surveys)</li> </ul>	



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	Results hierarchy	Indicators	Baseline	Milestones (at date)	Means of verification	Assumptions
Outcome 3	Increased human capacity to manage short- and long-term climate risks and reduce losses from weather-related disasters	8. # of community groups including women's groups involved in ENRM and/or DRR formed or strengthened	Baseline data collection at project level	200 by end 2014 250 by end 2015 1,200 by 2020	<p>Baseline data collection at project level</p> <p>Project-level proxies from RIMS that relate to this indicator include:</p> <ul style="list-style-type: none"> <li>• # of public and private institutions working on ENRM and/or DRR in partnership with IFAD</li> <li>• # of climate risk management or DRR plans developed at community level</li> <li>• # of community members with access to weather information, seasonal forecasting and/or climate scenarios, disaggregated by sex;</li> <li>• # of communities developing and implementing disaster risk reduction strategies for extreme weather events</li> <li>• # of smallholders insured against negative climate change impacts, disaggregated by sex</li> </ul> <p>Other potential project-level indicators include:</p> <ul style="list-style-type: none"> <li>• # of community members with timely access to climate-related early warning information (e.g. on flooding, drought, storm or wildfire events)</li> <li>• Perceived change in disaster response capacity, in target villages, assessed by disaster planners (based on qualitative surveys)</li> <li>• # of community-level planners trained in climate and risk mitigation and disaster preparedness</li> </ul>	<ul style="list-style-type: none"> <li>- ASAP interventions in support of institutions will generate knowledge to increase capacity to understand and plan for climate change</li> <li>- Households will benefit from institutional capacity building</li> </ul>
Outcome 4	Rural infrastructure made climate-resilient	9. \$ value of new or existing rural infrastructure made climate-resilient	Baseline data collection at project level	\$ 10 million by end 2014 \$ 40 million by end 2015 \$ 80 million by end 2020	<p>Baseline data collection at project level</p> <p>Potential project-level proxies from RIMS that relate to this indicator include:</p> <ul style="list-style-type: none"> <li># of projects that explicitly address climate change impacts on smallholder agricultural infrastructure</li> </ul> <p>Other potential project-level indicators include:</p> <ul style="list-style-type: none"> <li>• % decrease in annual weather-related maintenance costs of rural infrastructure</li> <li>• \$ value of infrastructure-related losses and damages during episodes of extreme weather,</li> </ul>	<ul style="list-style-type: none"> <li>- ASAP intervention will be based on robust decision-making which will take into account the fact that climatic changes will evolve over the next 50 years and newly built infrastructure could have a lifetime of 50 to 100 years</li> <li>- poor men and women including marginalized smallholders will benefit from infrastructure upgrades</li> </ul>

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Results hierarchy	Indicators	Baseline	Milestones (at date)	Means of verification	Assumptions	
				compared to comparable previous episodes or losses and damages in areas without dedicated infrastructure resilience measures		
Outcome 5	Knowledge on Climate Smart Smallholder Agriculture documented and disseminated	10. # of international and country dialogues where IFAD or IFAD-supported partners make an active contribution	Zero	10 by end 2014 15 by end 2015 40 by end 2020	Baseline data collection at project level.  Potential project-level indicators include: <ul style="list-style-type: none"> <li>• # of national policy planning processes (e.g. poverty reduction strategies, agricultural policies, climate change policies, disaster management policies, gender mainstreaming policies etc.) to which ASAP-supported activities have contributed;</li> <li>• # of international processes (e.g. Agenda 21, Millennium Development Goals, CEDAW<sup>48</sup>) to which ASAP-supported knowledge activities have contributed;</li> <li>• # of government departments engaged in ASAP and ASAP follow-up projects;</li> <li>• # of knowledge products created by ASAP initiatives and disseminated, integrating gender and other corporate policy (<i>pari passu</i>);</li> <li>• # of advocacy initiatives undertaken by ASAP, including web-based and social media</li> </ul>	- ASAP interventions will generate ground-truth knowledge to influence national planning in all countries of interventions as well as to contribute to international processes and advocacy initiatives

<sup>48</sup> Convention on the Elimination of All Forms of Discrimination against Women See Article 14 about rural women <http://www2.ohchr.org/english/law/cedaw.htm>

**Annex 2: ASAP Project Selection Criteria**

Based on country demand and identified institutional readiness and capacity to integrate ASAP financing into IFAD and non-IFAD investment programmes, *ex ante* estimates of potential project contributions towards the ten key indicators of ASAP Results Framework will provide the main criteria for project selection, as set out below:

ASAP Project Selection Criteria	Assessment
1. The number of poor smallholder whose climate resilience has been increased because of ASAP, disaggregated by gender.	
2. The size of the overall resulting investment	
3. The project leverage ratio of ASAP versus non-ASAP financing	
4. The tonnes of GHG emissions avoided and/or sequestered	
5. The increase in number of non-invasive on-farm plant species per smallholder farm supported	
6. The increase in hectares of land managed under climate-resilient practices	
7. The percentage change in water use efficiency per tonne/hectare in the project area by men and women	
8. The number of community groups including women’s organizations involved in ENRM and/or DRR formed or strengthened	
9. The value of new or existing rural infrastructure made climate-resilient	
10. The number of international and country dialogues to which the project would make an active contribution	

### Annex 3: Q&A

- ⇒ **Is this a diversion from IFAD's mission?** No, it is central to IFAD's mission. The most vulnerable and marginalised people in rural societies, smallholder farmers are especially exposed to climatic change - many of IFAD's smallholder partners are already reporting climate impacts on key ecosystems and biodiversity that sustain agricultural production, rural infrastructure, market opportunities and their rural livelihoods. Climate change is making smallholder development more expensive while smallholders currently have limited access to climate finance. IFAD has extensive experience in building more resilient rural livelihoods, but the capacity to do a lot more to help smallholder farmers become significant beneficiaries of climate finance on adaptation. ASAP would give greater assurance that core replenishment funds are climate smart because it is designed to co-finance and therefore shape the overall use of core replenishment resources.
- ⇒ **Is this funding 'business as usual' - what's really different here?** A more rapid scaling up of climate-resilient investment programmes is not business as usual. Many of the activities and approaches that will be scaled up in ASAP are ones which IFAD has successfully supported in the past (e.g., agroforestry), with the objective of rapidly increasing the amount of IFAD's operations that support such resilience-building natural resource management. There may be some activities where IFAD has less experience where it aims to do more, such as climate and weather information systems. Part of the justification for ASAP is that climate change is adding to the existing costs of development - hence when ASAP co-finances IFAD-supported projects it will supplement loans or grants with additional grant support to help offset the extra costs of climate resilient development. Despite being increasingly convinced of the importance of adapting to climate change, many partner Governments request a significant grant component to a project to cover the extra cost of making it more climate-resilient (i.e. to cover the more intensive design work, to go beyond least-cost infrastructure specifications, and to cover the more knowledge-intensive and longer-run natural resource management required). On the ground, ASAP will also help increase the numbers and organization of smallholder farmers adopting sustainable techniques - this will be an important constituency for future policy change.
- ⇒ **Would using earmarked funds for climate change mean that core operations can ignore it?** Not at all - as a fully integrated co-financing programme it is designed to shape the wider IFAD portfolio of replenishment-funded operations. ASAP aims to tackle a common perception that adaptation in agriculture is a separate activity and a "bolt-on" component to development projects and policies. Thus, the design and implementation of ASAP project grants will be fully integrated into core projects including their review in IFAD's quality enhancement and assurance systems. Further, those IFAD projects not receiving ASAP funds will still be expected in the Quality Enhancement process to meet the standards set out in IFAD's 2010 Climate Change Strategy in terms of maximizing climate resilience.
- ⇒ **Will ASAP be providing loans for adaptation and will IFAD borrowing be a precondition for access to ASAP funds?** No on both. ASAP will be a grant-based facility. It will use these grants to co-finance rural development investments made by IFAD and/or other partners, including national governments. IFAD financing is provided in the form of highly concessional loans or grants, or a mix of the two. Part of the justification for ASAP is that climate change is adding to the existing costs of development - hence when ASAP co-finances IFAD-supported projects it will supplement our loans or grants with additional grant support to help offset the extra costs of climate resilient development.
- ⇒ **Why not use IFAD's country allocation system (PBAS) to allocate ASAP funds?** Because using PBAS would i) remove the incentive effect of awarding ASAP co-financing only to projects that meet ASAP criteria, ii) spread ASAP financing too thinly for it to make an incentives difference, iii) not necessarily focus the funds on those communities or

countries most vulnerable to climate change. A range of largely quantitative criteria will be used to guide merit-based project selection. The main selection objective is to ensure that ASAP grants add clear and demonstrable value to IFAD or other project investments. The key qualitative criterion is whether ASAP-supported project is given strong support from the beneficiary Government and the relevant IFAD Regional Division country team. *Ex ante* quantitative estimates of potential project contributions towards the ten key indicators of ASAP Results Framework will provide the main criteria for project selection.

- ⇒ **What is the comparative advantage of ASAP *vis-a-vis* international funds such as the Climate Investment Funds (the CIFs), the Global Environment Facility (the GEF) or the Adaptation Fund?** These are not mutually exclusive - IFAD will continue playing an active role in deploying funding from multilateral sources, particularly for stand-alone activities or where global public good benefits dominate. ASAP is designed as a tailored instrument to support change in IFAD and its partners. Part of this change will facilitate our future engagement with such global funds - for example, ASAP could help IFAD invest in support of PPCR policy and analytical frameworks (possibly in countries such as Bangladesh, Cambodia, Zambia or Mozambique), and the knowledge management work catalysed by ASAP will support our use of multilateral funds and engagement in the country-level work they are supporting. IFAD is also exploring supporting government requests for Adaptation Fund investments in smallholder agriculture, which would complement ASAP.
- ⇒ **How is ASAP related to the development of the Green Climate Fund (GCF)?** ASAP's success is expected to illustrate and strengthen the case for Governments to allocate GCF financing to smallholders. ASAP experiences will provide lessons to the GCF on i) how existing institutions and processes can channel climate financing to the poorest of the poor, and ii) how best to achieve multiple benefits, food security and climate resilience and, when applicable, low carbon development for these vulnerable groups.
- ⇒ **Does IFAD have the capacity to programme and deliver these funds?** IFAD can demonstrate that a respected and trusted UN organisation can play a role in deploying climate finance at scale. IFAD received a *good* rating in DFID's 2011 Multilateral Aid Assessment. In a 2010 study by the Brookings Institute, IFAD was ranked number 4 of the 31 main aid agencies on aid efficiency and top in reducing the administrative burden on clients. The positive 2010 MOPAN review rated IFAD as very strong on its focus on results and financial accountability (IFAD has also achieved GEF Financial Minimum Standards accreditation). IFAD is popular and trusted by developing country governments - its governance structure is politically representative with a tradition of consensus-based decision-making. IFAD's Programme Management Department (PMD) will lead programme implementation within IFAD. ASAP will be coordinated by PMD's new Environment and Climate Division (ECD), with extensive technical support from a new internal network of Environment and Climate Specialists co-located in IFAD's Regional Divisions.
- ⇒ **How does ASAP align with IFAD's Policy on cross-cutting issues such as Gender Equality and Women's Empowerment?** As mentioned, the project-level screening will ensure that projects align fully with all IFAD corporate policy. See Annex c for an example in the case of gender equality.

**Annex 4: ASAP and alignment with IFAD draft Gender Equality and Women’s Empowerment Policy (2012)**

The table below describes alignments between ASAP and the Gender Equality and Women’s Empowerment Policy (2012). Note that this mapping does not capture the full range and detail of gender-sensitive provisions - these are described in more detail in the ASAP logframe.

Gender Policy Output	Gender Policy Indicators	Relevant ASAP component
1. Gender equality and women’s empowerment issues addressed systematically in IFAD-supported country programmes and projects	1.1 Increase in the proportion of loans and grants with gender-specific objectives supported by clear budget allocations	<b>Outcome 1</b>
	1.2 Improvement in gender ratings for loan and grant design	<b>All Outcomes influence this</b>
2. IFAD’s advocacy, partnerships and knowledge management on gender equality improved	2.1 Increase in IFAD inputs on gender issues in international forums and publications	<ul style="list-style-type: none"> <li>• # of national policy planning processes (i.e. poverty reduction strategies, agricultural policies, climate change policies, gender mainstreaming policies etc.) to which ASAP-supported knowledge activities contributed;</li> <li>• # of international processes (e.g. Agenda 21, Millennium Development Goals, CEDAW<sup>49</sup> etc) to which ASAP-supported knowledge activities contributed;</li> <li>• # of gender-sensitive knowledge products created and disseminated;</li> <li>• # of advocacy initiatives undertaken including web-based and social media</li> </ul> <b>Outcome 10</b>
	2.2 Inclusion in key IFAD policy documents and knowledge products of references to gender equality and women’s empowerment	As above
	2.3 Increase in focus on gender issues in policy dialogue and scaling up	As above
	2.4 Increase in joint initiatives on gender-related activities with other development agencies	<b>Outcome 10</b>
3. Capacity of partners in addressing gender issues in agricultural and rural development strengthened	3.1 Improvement in gender ratings for loan and grant portfolio at completion	<b>All Outcomes influence this</b>
	3.2 Increase in the number and quality of initiatives to support gender equality and women’s empowerment undertaken by government institutions	See all above

<sup>49</sup> Convention on the Elimination of All Forms of Discrimination against Women See Article 14 about rural women <http://www2.ohchr.org/english/law/cedaw.htm>

⇒ **What are the main risks and strategic opportunities for ASAP with regard to gender?**

The main risks are:

- ASAP can counter a climate-induced exacerbation of gender inequalities in terms of distributional benefits (e.g. women’s increasing workload due to time spent searching for water, fuel and accessing markets)
- ASAP is addressing a lack of opportunities to tap the knowledge of women as well as men to support climate smart outcomes in smallholder agriculture.

ASAP outcomes address key challenges identified in IFAD’s Policy on Gender and Women’s Empowerment:

1. **Climate change is a ‘threat multiplier’** and increases a range of livelihood threats and vulnerabilities - including to existing gender gaps resulting from underlying gender inequalities. Poor rural women, who are often the primary food producers, but have fewer assets and less decision-making power, are even more exposed than men.
2. **Rural women are overburdened by their daily workload.** Rural women often spend many hours collecting water and harvesting firewood for household needs - tasks that are becoming more onerous as a result of climate stress, more frequent or intense disaster hazards, depleted forest resources, and water scarcity.
3. **Rural women generally have more limited access than men to inputs, services, rural organizations, productive infrastructure and technologies** Because women have a higher dependence on rain-fed farming and the natural environment, and less access than men to irrigable land, markets and secure incomes, their livelihoods are more vulnerable to external shocks, such as the impact of climate change and soaring food prices.

The main opportunities for ASAP include:

- Dramatically reduce gender inequalities and empower women - the financing model offers a unique opportunity to improve gender equality outcomes of existing projects, which is often very difficult
- Build on knowledge of women and men to support climate resilient agriculture
- Increase institutional capacity to understand, communicate and address the gender dimensions of climate change in specific country contexts, working with national gender institutions, research institutions and relevant line ministries

Logframe component	Opportunity for impact
Goal: Poor smallholder farmers are more resilient to climate change	Equal numbers of women and men are more resilient to climate change as a result of ASAP
Purpose: Multiple-benefit adaptation approaches, for poor smallholder farmers are scaled up	Deeply entrenched gender inequalities are addressed

## Adaptation for Smallholder Agriculture Programme - Programme Description

<p>Outcome 1: Improved land management and gender-sensitive climate resilient <b>agricultural practices and technologies</b></p>	<p>Ensure that women as well as men can access these productive resources and are involved in the respective decision-making regarding, thus reducing workload to allow them to increase and draw on their productive and human capacity<sup>50</sup>.</p>
<p>Outcome 2: Increased <b>availability of water and efficiency of water use</b> for smallholder agriculture production and processing</p>	<p>This is an area that women in many countries are responsible for, and increasing women's access to and control over this resource can significantly increase their adaptive capacity.</p>
<p>Outcome 3: Increased <b>human capacity</b> to manage short- and long-term climate risks and reduce losses from weather-related disasters</p>	<p>Increase women's access to information and decision-making processes according to international good practice</p>
<p>Outcome 5: <b>Knowledge</b> on Climate Smart Smallholder Agriculture documented and disseminated</p>	<p>Substantially contribute to field-based knowledge in the area of gender and climate change - an area, in which there has been limited understanding of how men and women adapt to climate variability and change to maintain food security in agricultural systems<sup>51</sup></p>

IFAD's Policy on Gender Equality and Women's Empowerment also recognizes women as agents of change given their roles as managers and users of natural resources and the part they play in agricultural production, biodiversity conservation and environmental sustainability, and thus climate change adaptation.<sup>52</sup> <sup>53</sup>A rapid 'gender opportunities analysis' of the logical framework highlights significant potential of ASAP with regard to the above.

<sup>50</sup> According to the FAO (2011), the State of Food and Agriculture 2010-2011, Executive Summary, p3 'if women had the same access to productive resources as men, they could increase yields on their farms by 20-30 percent. This could raise total agricultural output in developing countries by 2.5-4 percent.'

<sup>51</sup> See <http://ccaafs.cgiar.org/our-work/research-themes/integration-decision-making/linking-knowledge-action/gender-grants>

<sup>52</sup> The three Rio Conventions – the Convention on Biological Diversity, the United Nations Convention to Combat Desertification and the United Nations Framework Convention on Climate Change – are working together with the Global Environment Facility to harmonize their approaches to gender mainstreaming for improved global environmental governance. This has been discussed in detail at the Rio+20 Summit in 2012.

<sup>53</sup> IFAD Policy on Gender Equality and Women's Empowerment (draft), B.8, p3



**Annex 5: ASAP and alignment with IFAD Policy on Engagement with Indigenous Peoples (2009)**

While it is difficult to capture in a checklist the holistic approach to be used in designing projects with indigenous peoples, this checklist should be used during project design to capture at least the minimum standard a project should respond to in order to be in compliance with IFAD Policy on Engagement with Indigenous Peoples. It is essential that design and implementation teams actively listen to indigenous people on the ground when designing projects, to ensure that projects respond to their perspectives and needs. This will help designing sustainable projects and increase IFAD’s effectiveness with indigenous peoples’ communities.

**Checklist on Indigenous Peoples’ Issues**

**Country - Project (acronym)**

<p>1. The project design report is in line with IFAD Policy on Engagement with Indigenous Peoples and takes into account the socio economic and cultural specificities of the indigenous peoples’ communities living in the project area. It provides information on their demographic, social, cultural, and political characteristics; the land and territories that they have traditionally owned or customarily used or occupied; and the natural resources they manage or depend upon.</p>	
<p>2. The project design report includes disaggregated data by indigenous group and geographical location</p>	
<p>3. The project design report identifies, interventions which respond to the needs and priorities as expressed by the targeted indigenous peoples’ communities and which build on their knowledge, cultural systems, and institutions.</p>	
<p>4. The design document describes - and the project/programme implements - operational measures to ensure IPs equitable participation in, and benefit from, project activities. These will generally include:</p> <ul style="list-style-type: none"> <li>4.1. Ensuring that representatives of the indigenous peoples’ communities, partners of the project, are present at all stages of the project cycle and that a consultation plan leading to their Free, Prior and Informed Consent (FPIC) is embedded in the project design and the consultation and participation process is documented.</li> <li>4.2. Ensuring that project/programme activities are co-created and co-managed by the indigenous peoples communities.</li> <li>4.3. Ensuring the service-providers and extension workers used by the project (public or private) have the capacity and are trained to reach out to indigenous peoples.</li> <li>4.4. Ensuring that the project design report includes measures to strengthen: a) the social, legal and technical capacity of the government institutions to address IPs’ issues in the project area; b) indigenous peoples’ institutions and organizations in the project area.</li> </ul>	

4.5. Ensuring that information disclosure on the project is in accordance with prevailing indigenous peoples' customs and traditions and printed material is written in the indigenous peoples' language.	
5. M&E mechanisms are participatory and adapted to capture indigenous peoples' perceptions and perspectives. M&E systems include specific indicators to measure the well-being, poverty and sustainability in a way that is relevant to indigenous peoples.	

#### PROPOSAL ON SPECIFIC INDICATORS ON THE WELL-BEING OF INDIGENOUS PEOPLES

A desk review conducted on 53 projects financed through the IFAD Indigenous Peoples Assistance Facility<sup>54</sup> in 2007 and 2008 highlighted that during the analysis of outputs and outcomes, it was evident that there was a RIMS measurement gap in capturing the specificities of indigenous peoples. Indigenous peoples' perception of poverty is not based merely on concepts grounded in economic and technical assumptions, but is often related to their holistic worldview. The indigenous development paradigm differs from the conventional one, since it puts people and their culture at the centre, questioning the pre-eminence of economic growth. Their cultural heritage provides indigenous peoples with a solid basis for generating culturally and environmentally appropriate development strategies. The indigenous approach to development is self-driven and, as such, is multifaceted, with social, cultural, economic and environmental benefits.

RIMS indicators are centred on aspects more or less linked to rural production, regardless of whether those aspects are associated with the intangible aspects of indigenous identity and culture that are necessary to create an enabling environment for food security and livelihood sustainability. The changes and results that are difficult to capture by using RIMS indicators pertain to: (a) access to land and security of tenure; (b) use and recovery of traditional agricultural and handcrafting techniques; (c) use and recovery of infrastructure with specific cultural functions (e.g. ancestral paths, sacred sites); (d) awareness-raising about indigenous peoples' rights and the enhancement of leadership skills; and (e) consultation and participation of the indigenous community in project design, implementation, management and evaluation.

To address these difficulties, it was recommended that:

- Results pertaining to traditional agricultural and handcrafting techniques be measured through the RIMS categories "agricultural technologies and production," "enterprise development and employment" and "markets" using indicators to mark the difference between conventional and traditional techniques;
- The results achieved in the extension and enforcement of land rights, the awareness-raising of indigenous peoples' rights and the enhancement of leadership skills be measured by integrating new indicators within the "policy and community programming" category; and
- A new category be created to measure the results pertaining to the consultation and participation of indigenous communities in project design and implementation.

<sup>54</sup> IPAF small projects desk review: Analysis of the performance of the small projects financed in 2007 and 2008 through the Indigenous Peoples Assistance Facility.  
[http://www.ifad.org/english/indigenous/grants/projects/desk\\_review.pdf](http://www.ifad.org/english/indigenous/grants/projects/desk_review.pdf)

The table below illustrates the recommended expansion of the RIMS framework to incorporate sensitivity to the specificities of indigenous peoples that may be taken into consideration in designing ASAP projects:

<b>1<sup>ST</sup> LEVEL</b>	<b>2<sup>ND</sup> LEVEL</b>
<b>Agricultural technologies and production</b>	
<ul style="list-style-type: none"> <li>• Training on traditional varieties, local breed and traditional agricultural techniques</li> <li>• People receiving facilitated animal-health services based on ethnoveterinary practices</li> <li>• Seed banks keeping autochthon seed varieties established</li> </ul>	<p><i>Effectiveness</i></p> <ul style="list-style-type: none"> <li>• Number of indigenous people adopting traditional techniques</li> </ul> <p><i>Effectiveness</i></p> <ul style="list-style-type: none"> <li>• Number of herbal gardens established that are devoted to the cultivation of veterinary plants</li> </ul> <p><i>Effectiveness</i></p> <ul style="list-style-type: none"> <li>• Number of indigenous people served by the banks keeping autochthon seed varieties established</li> </ul> <p><i>Likelihood of sustainability of seed banks</i></p> <ul style="list-style-type: none"> <li>• Number of functioning seed banks</li> </ul>
<b>Enterprises development</b>	
<ul style="list-style-type: none"> <li>• People trained on traditional income-generating activities</li> <li>• People receiving vocational training on traditional techniques</li> </ul>	<p><i>Effectiveness</i></p> <ul style="list-style-type: none"> <li>• Number of traditional jobs generated by small- and medium-size indigenous peoples' enterprises</li> </ul> <p><i>Likelihood of sustainability of enterprises</i></p> <ul style="list-style-type: none"> <li>• Number of indigenous peoples' enterprises operating after three years</li> </ul>
<b>Policy and community programming</b>	
<ul style="list-style-type: none"> <li>• People trained in indigenous peoples' rights</li> <li>• Community workers trained in indigenous peoples' rights</li> <li>• Hectares of land mapped and demarcated</li> </ul>	<p><i>Effectiveness</i></p> <ul style="list-style-type: none"> <li>• Legal advocacy services established</li> <li>• Amount of legislation enforced at regional or national levels recognizing the land rights of indigenous and tribal communities</li> <li>• Hectares of land entitled and legally registered</li> </ul>

### Social infrastructure

- |   |  |
|---|--|
| <ul style="list-style-type: none"><li>• Sites of cultural interest rehabilitated</li><br/><li>• Hectares of land devoted to medicinal herbal gardens established/ rehabilitated</li></ul> | <ul style="list-style-type: none"><li>• The second-level indicators correspond to those identified by 2007 RIMS first- and second-level results handbook</li></ul> |
|---|--|

### New category: Community consultation

- |   |  |
|---|--|
| <ul style="list-style-type: none"><li>• Indigenous people informed about the project goals, objectives and concrete implementation strategies</li><li>• Indigenous people participating in COSOP and project design</li><li>• Project implementation respects the rights of community and/or territorial assemblies to monitor and evaluate project activities that affect their well-being</li></ul> | <p><i>Effectiveness</i></p> <ul style="list-style-type: none"><li>• Number of indigenous peoples' communities consulted that provided free, prior and informed consent to the proposed project</li></ul> <p><i>Effectiveness</i></p> <ul style="list-style-type: none"><li>• Number of indigenous peoples' representatives included in the country programme management teams</li><li>• Suggestions and innovations proposed by the target communities included in project implementation</li><li>• Number of indigenous peoples' representatives involved in project management/district units</li><li>• Number of indigenous peoples' representatives involved in supervision and evaluation missions.</li></ul> |
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## **Annex 6: Relevance of Indicators developed by the Convention of Biological Diversity (CBD)**

During the review of the ASAP concept note, it was suggested that ASAP projects take into account indicators developed by the Convention of Biological Diversity

<http://www.cbd.int/2010-target/framework/indicators.shtml>

The Conference of the Parties (COP) agreed on a provisional list of global headline indicators, to assess progress at the global level towards the 2010 target ([decision VII/30](#)), and to effectively communicate trends in biodiversity related to the three objectives of the Convention.

In [decision VIII/15](#), the COP distinguished between:

- indicators considered ready for immediate testing and use (**green**),
- indicators confirmed as requiring more work (**red**)

### Provisional Indicators for Assessing Progress towards the 2010 Biodiversity Target

#### **A: Focal Area**

Status and trends of the components of biological diversity	Trends in extent of selected biomes, ecosystems, and habitats Trends in abundance and distribution of selected species Coverage of protected areas Change in status of threatened species Trends in genetic diversity of domesticated animals, cultivated plants, and fish species of major socioeconomic importance
Sustainable use	Area of forest, agricultural and aquaculture ecosystems under sustainable management <b>Proportion of products derived from sustainable sources</b> <b>Ecological footprint and related concepts</b>
Threats to biodiversity	Nitrogen deposition Trends in invasive alien species
Ecosystem integrity and ecosystem goods and services	Marine Trophic Index Water quality of freshwater ecosystems <b>Trophic integrity of other ecosystems</b> Connectivity / fragmentation of ecosystems <b>Incidence of human-induced ecosystem failure</b> <b>Health and well-being of communities who depend directly on local ecosystem goods and services</b> <b>Biodiversity for food and medicine</b>
Status of traditional knowledge, innovations and Practices	Status and trends of linguistic diversity and numbers of speakers of indigenous languages <b>Other indicator of the status of indigenous and traditional knowledge</b>
Status of access and benefit-sharing	<b>Indicator of access and benefit-sharing</b>
Status of resource transfers	Official development assistance provided in support of the Convention <b>Indicator of technology transfer</b>

The second edition of Global Biodiversity Outlook makes use of the indicators and provides a clear presentation of the trends of biodiversity loss.