

**Republic of Mozambique**  
**Country Strategy and Programme Evaluation**  
**Approach paper**

# Contents

<b>Currency equivalent, weights and measures</b>	<b>ii</b>
<b>Abbreviations and acronyms</b>	<b>ii</b>
<b>Map of IFAD-supported operations: on-going</b>	<b>iii</b>
<b>Map of IFAD-supported operations: closed</b>	<b>iv</b>
<b>I. Introduction</b>	<b>1</b>
<b>II. Country context</b>	<b>1</b>
<b>III. Overview of IFAD-funded operations and evolution of the country strategy</b>	<b>4</b>
<b>IV. Evaluation Objectives, Methodology and Process</b>	<b>8</b>
IV.a Portfolio of projects	10
IV.b Non-Lending Activities	13
IV.c Performance of the partners in managing the country programme	16
IV.d Synthesis of the performance assessment of the country programme strategy	17
<b>V. The evaluation process</b>	<b>19</b>
 <b>Annexes</b>	
1. Evaluation framework	24
2. List of IFAD Projects approved in Mozambique since 1979	28
3. List of regional and global IFAD-funded grants with activities in Mozambique since 2010	30
4. Simplified mapping of the logical chain of the 2011 Mozambique COSOP	32
5. Achievements on Millennium Development Goals – Mozambique	33
6. Bibliography and references	34

# Currency equivalent, weights and measures

## Currency equivalent

Monetary Unit = Mozambican Metical, MZN

1 US\$= 56 (July 2016)

## Weights and measures

1 kilometre (km) = 0.62 miles

1 metre (m) = 1.09 yards

1 hectare (Ha) = 10.000 m<sup>2</sup> (0.01km<sup>2</sup>)

1 hectare (Ha) = 2.47 acres

1 acre (ac) = 0.405 hectares (ha)

1 kilogram (kg) = 2.204 pounds

## Abbreviations and acronyms

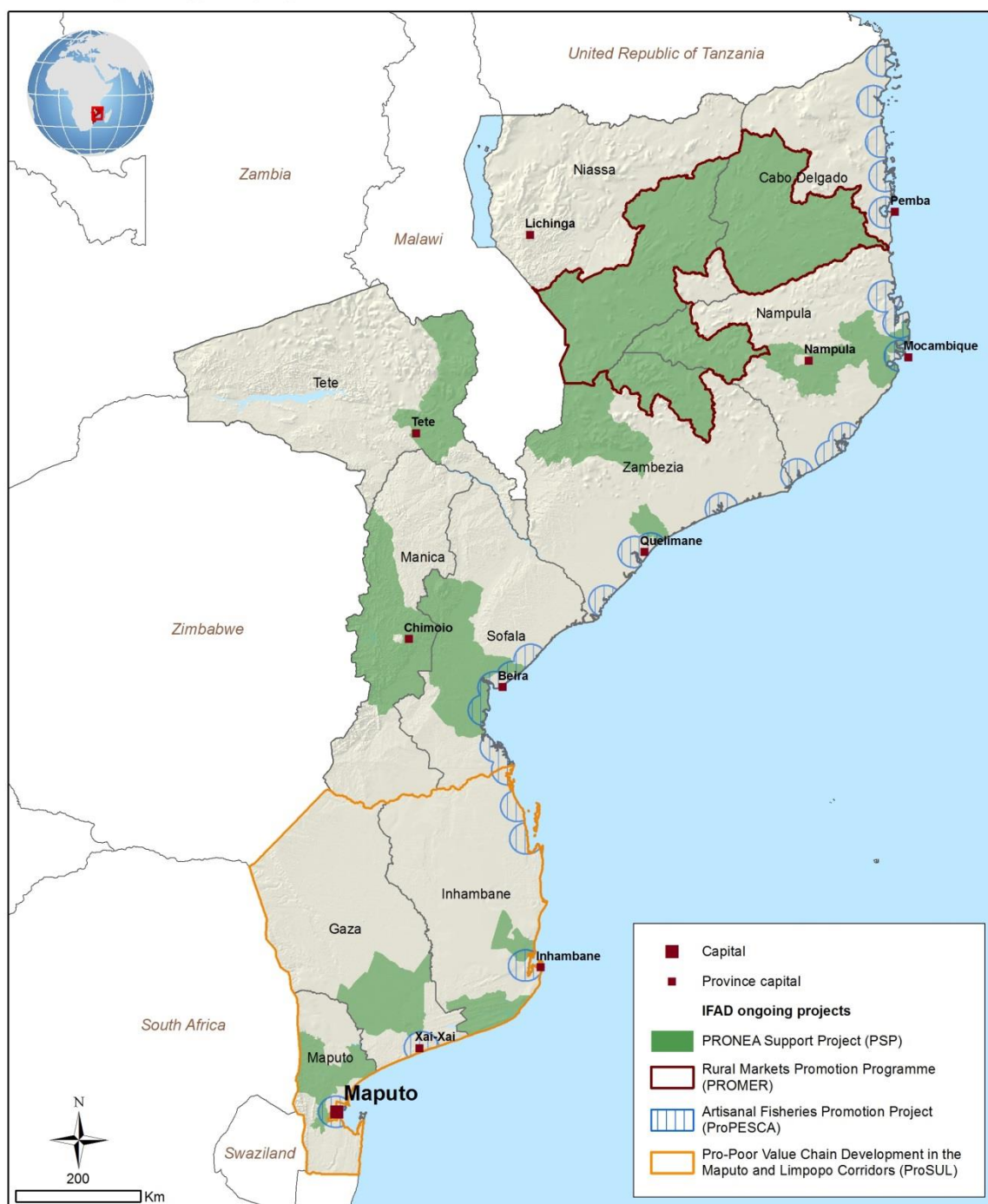
ACP	Agreement at Completion Point
ESA	IFAD Regional Division for East and Southern Africa
CLP	Core Learning Partnership
COSOP	Country Strategic Opportunity Programme
CPA	Country Programmable Aid
CPE	Country Programme Evaluation
CSPE	Country Strategy and Programme Evaluation
CPM	Country Programme Manager
EU	European Union
ENDE	National Strategy for Development
IDA	International Development Agency
IMF	International Monetary Fund
IOE	Independent Office of Evaluation
MDG	Millennium Development Goals
NGO	Non-Governmental Organization
OECD	Organization for Economic Cooperation and Development
OECD-DAC	OECD Development Assistance Committee
PAFIR	Rural Finance Support Programme
PEDSA	Strategic Plan for the Development of the Agricultural Sector
PPP	Purchasing Power Parity
PROMER	Rural Markets Promotion Programme
PRONEA	Agricultural Support Programme
ProPesca	Artisanal Fisheries Promotion Project
PROSUL	Pro-Poor Value Chain Development in the Maputo and Limpopo Corridors
SBAFP	Sofala Bank Artisanal Fisheries Project

# Map of IFAD-supported operations: on-going

## Mozambique

IFAD - funded ongoing operations

Contry strategy and programme evaluation



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

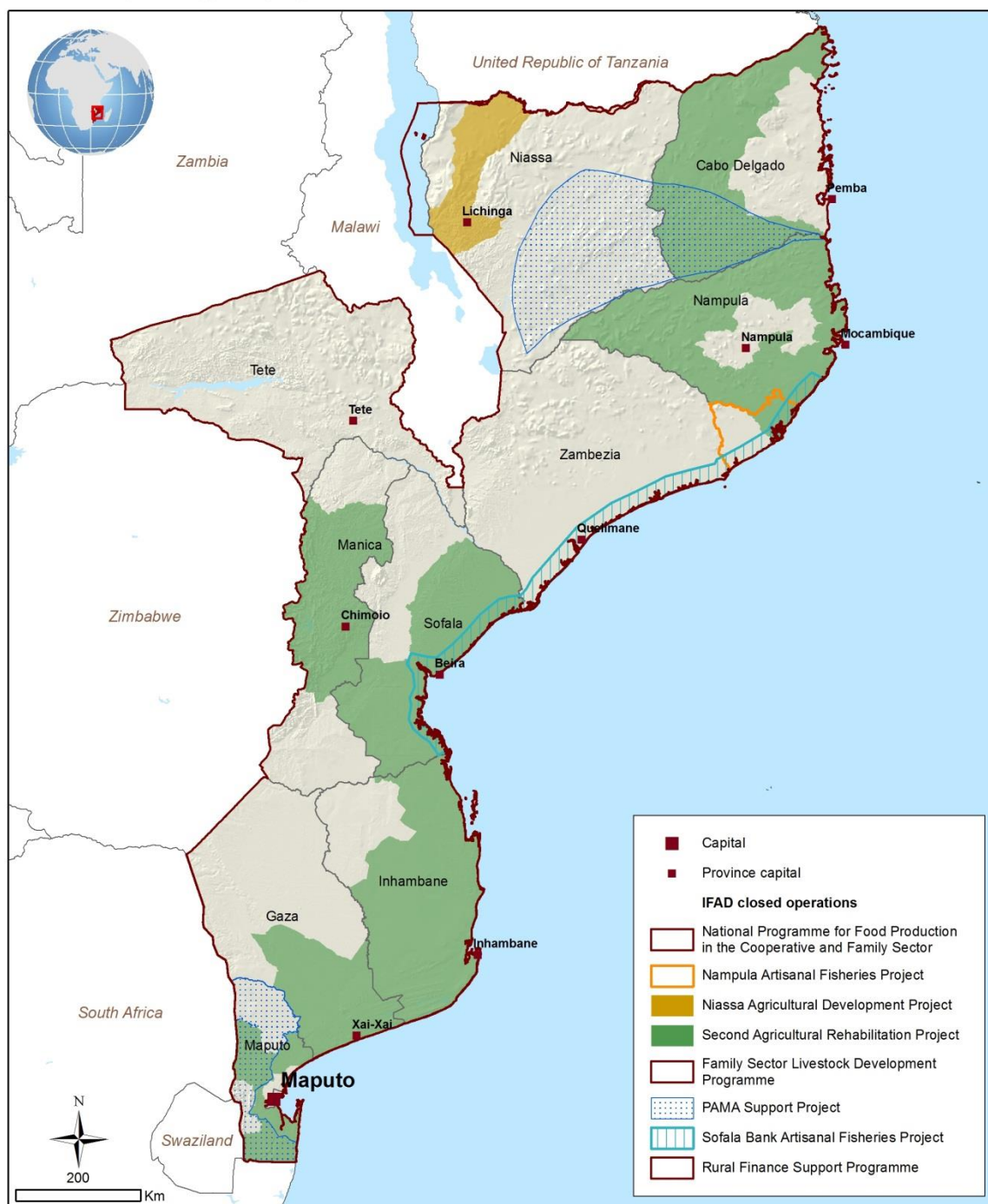
Map compiled by IFAD | 09-12-2015

# Map of IFAD-supported operations: closed

## Mozambique

IFAD - funded closed operations

Country strategy and programme evaluation



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

Map compiled by IFAD | 09-12-2015

## **I. Introduction**

1. As decided by the Executive Board in its 116th session (December 2015), the Independent Office of Evaluation (IOE) of IFAD will undertake in 2016 a Country Strategy and Programme Evaluation (CSPE) in Mozambique.<sup>1</sup> This will be the second conducted by IOE in this country: the previous one (then called "Country Programme Evaluation") was conducted in 2009 and published in 2010. The present CSPE will cover the period 2010-2016.

Recommendations from this CSPE will guide the preparation of the next results-based Country Strategy and Opportunities Programme (COSOP) for Mozambique, to be prepared by the Government and IFAD. The CSPE will be conducted within the provisions of the IFAD Evaluation Policy and will follow IOE's methodology and processes for CSPEs, (IOE Evaluation Manual – second edition).

## **II. Country context**

2. Mozambique is a country in Southeast Africa bordered by the Indian Ocean to the east, Tanzania to the north, Malawi and Zambia to the northwest, Zimbabwe to the west, and Swaziland and South Africa to the southwest. It has a land area of 0.79 million square kms and a population of 25.04 million<sup>2</sup> with an annual population growth rate of 2.8 per cent in the period of 2006-14.<sup>3</sup> Mozambique became independent in June 1975. The country witnessed protracted civil war between 1977 and 1992 between the ruling government of Front for the Liberation of Mozambique (FRELIMO) and the rebels from Mozambican National Resistance (RENAMO).
3. Mozambique remains a largely rural society with 68.1 per cent of its population living in rural areas as of 2014.<sup>4</sup> Since the end of the civil war, Mozambique has witnessed significant economic growth. In the period of 1992-2012 Mozambique's GDP grew by an average of 7.4 per cent annually. Real per capita income (in current US\$) has also witnessed a steady rise from US\$ 365 in 2005 to US\$ 585 in 2014 but the country is still classified as low-income. The new coal mining and gas extraction projects are expected to spur further economic growth.
4. Despite growth rates experienced in the past two decades, poverty prevalence remains high. The latest estimates (2010) show national poverty headcount at 54.7 per cent and 56.9 in rural areas, with practically no change since 2002 (54.1 per cent). However, geographic disaggregation shows diverse dynamics: poverty prevalence decreased in the Northern and Southern regions of between 2003 and 2009 but increased in the central region (Table 1). Many of the social development indicators of the Millennium Development Goals do not display strong improvements, with the exception of female literacy and maternal mortality. Stunting rates among children below five are high at 44 per cent, lower than the levels recorded in 2002 but higher than in 1997 (Table 1 Annex 5).

---

<sup>1</sup> Country Strategy and Programme Evaluation, or CSPE, is the new terminology adopted in the second edition of the Evaluation Manual. Previously, this type of evaluation was called Country Programme Evaluation or CPE

<sup>2</sup> Mozambique in Figures, 2014, Instituto Nacional de Estatística

<sup>3</sup> World Bank Databank, as accessed on 6th January 2016

<sup>4</sup> World Bank Databank, as accessed on 6th January 2016

Table 1  
Poverty distribution by province

Region	Province	Poverty headcount at national poverty line (1996-97)	Poverty headcount at national poverty line (2002-03)	Poverty headcount at national poverty line (2008-09)
Northern Region	Cabo Delgado	57.4%	63.2%	37.4%
	Niassa	70.6%	52.1%	31.9%
	Nampula	68.9%	52.6%	54.7%
Central Region	Zambezia	68.1%	44.6%	70.5%
	Tete	82.3%	59.8%	42%
	Sofala	87.9%	36.1%	58%
	Manica	62.6%	43.6%	55.1%
Southern Region	Inhambane	82.6%	80.7%	57.9%
	Gaza	64.6%	60.1%	62.5%
	Maputo	65.6%	69.3%	67.5%
	Maputo city	47.8%	53.6%	36.2%
National		69.4%	54.1%	54.7%

Source: Poverty and Well Being in Mozambique: Third National Poverty Assessment 2010

5. **Agriculture.** The agriculture sector in Mozambique provides employment to about 81 per cent of the country's working population but makes up only about 25.2 per cent of the GDP (in value added terms).<sup>5</sup> The sector is characterized by a predominance of smallholders in production of food and non-food crops with landholdings averaging about 1.43 ha per household among smallholders. The growth of the agricultural sector between 2003 and 2009 averaged between 7.4 per cent a year. Much of this growth is attributed to expansion of the cultivated area, particularly for food crops such as maize, rice, and cassava, and estate agriculture such as sugarcane and bananas.<sup>6</sup> However, productivity has increased little and remains substantially below the comparable figures in other countries in southern Africa.
6. In the National Agricultural Investment Plan (2014-18) of Mozambique, it is estimated that only 11 per cent of the farming households have access to extension services. In addition, the agriculture census of 2010 estimates that only 2.5 per cent and 3.7 of the farming households have access to pesticides and fertilizers respectively. Only about 5 per cent of the households are said to have access to irrigation with the rest depending on rain-fed agriculture.<sup>7</sup> Mozambique has a potential for about 3 million hectares of irrigable land but only 1 per cent of this is irrigated towards food production and concentrated in sugarcane planting.<sup>8</sup>

<sup>5</sup> World Bank Databank accessed on 24<sup>th</sup> December 2015

<sup>6</sup> Mozambique: Agricultural Sector Risk Assessment, World Bank:

<sup>7</sup> Censo Agro – Pecuário 2009 – 2010:

[http://www.fao.org/fileadmin/templates/ess/ess\\_test\\_folder/World\\_Census\\_Agriculture/Country\\_info\\_2010/Reports/Mozambique\\_2010CAP\\_VF.pdf](http://www.fao.org/fileadmin/templates/ess/ess_test_folder/World_Census_Agriculture/Country_info_2010/Reports/Mozambique_2010CAP_VF.pdf)

<sup>8</sup> Mozambique Rising, IMF 2014



Majority of the produce in Mozambique is meant for own consumption with a small proportion for market. Only 21 per cent of smallholders that produce maize were involved in the maize market. Similarly, only 16 per cent of rice, 29 per cent of groundnut, and less than 5 per cent of sorghum and millet producers marketed any of their harvest.<sup>9</sup>

7. All land in Mozambique was nationalized after independence in 1975 and belongs to the state. The law recognizes as “existing rights” the occupation of land by local communities or individuals, according to customary norms and practices and occupation in good faith by individuals for a period of at least 10 years. However, an inventory that was made based on cadastral information revealed that, by early 2009, less than 10 per cent of rural communities, covering less than 10 per cent of the national territory had been delimited.<sup>10</sup>
8. The **fisheries sector** holds an important role in providing livelihood and food security in Mozambique. Fisheries sector contributes only about 4 per cent to the GDP, but about 20 per cent of the population relies on fisheries for at least part of their income. In 2012, artisanal fisheries represented about 91 per cent to the total catches of marine products, with the rest being made up of semi-industrial and industrial vessels.<sup>11</sup> Over 80 per cent of the artisanal fish production is taken to markets on foot, predominantly by women.<sup>12</sup> Significant loss of catch during handling (20-30 per cent) is caused by poor conditions at landing centres, storage at landing sites and handling procedures.<sup>13</sup>
9. **Development Framework Policies and Strategies.** Mozambique’s long term goals are expressed in the Agenda 2025 which is acted upon through an Action Plan for Reducing Poverty. A new long term National Strategy for Development (ENDE) for the 2015-35 period was approved. The ENDE places particular emphasis on industrialization and the key priority areas of agriculture, fisheries, industrial diversification, infrastructure, the extractive industries and tourism. In addition, Five-Year Plans, for 2010-14 and 2015-19, establish the medium-term development objectives for all governmental activity.
10. The Poverty Reduction Action Plan 2011-2014 is the most recent medium-term strategy of the Government of Mozambique for operationalizing the Five-Year Government Program. It has three major objectives which are to boost production and productivity in agriculture and fisheries, promote employment, human and social development with three priority areas under each objective. In addition, supporting pillars of macroeconomic stability and good governance are elaborated upon in the action plan. The priorities for the agriculture sector are set out in the Strategic Plan for the Development of the Agricultural Sector (PEDSA), which is to orient the actions of the agricultural sector during the period 2011-2020. The strategy elaborates five specific objectives of improving – (i) Agricultural production and productivity and its competitiveness; (ii) Infrastructures and services for markets and marketing, (iii) Use of land, water, forest and wildlife resources; (iv) Legal framework and policies; (v) Agricultural institutions.
11. The policy direction in the fisheries sector is provided by the Fisheries Master Plan (2010-19) wherein increasing food security, improving the living conditions of the communities living through fishing and small-scale aquaculture, greater fundraising from commercial fisheries for poverty alleviation and a growing contribution to the

<sup>9</sup> Assessing Progress Made toward Shared Agricultural Transformation Objectives in Mozambique, 2014:

<http://ebrary.ifpri.org/utils/getfile/collection/p15738coll2/id/128268/file/128479.pdf>

<sup>10</sup> Tenure security and Agricultural Investment of Smallholder Farmers in Mozambique, IFPRI:

<http://ebrary.ifpri.org/utils/getfile/collection/p15738coll2/id/127381/file/127592.pdf>

<sup>11</sup> Artisanal Fisheries and Climate Change Project Process Framework, Ministerio das Pescas 2014: [http://www-wds.worldbank.org/external/default/WDSCContentServer/WDSP/IB/2015/02/23/000442464\\_20150223101846/Rendered/PDF/RP17560AFR0PF00Box385441B00PUBLIC0.pdf](http://www-wds.worldbank.org/external/default/WDSCContentServer/WDSP/IB/2015/02/23/000442464_20150223101846/Rendered/PDF/RP17560AFR0PF00Box385441B00PUBLIC0.pdf)

<sup>12</sup> South West Indian Ocean Fisheries Governance and Shared Growth in Mozambique – Process Framework, Ministerio das Pescas 2014

<sup>13</sup> FAO, Fishery Country Profile, 2007: [ftp://ftp.fao.org/FI/DOCUMENT/fcp/en/FI\\_CP\\_MZ.pdf](ftp://ftp.fao.org/FI/DOCUMENT/fcp/en/FI_CP_MZ.pdf)



balance of the payments is envisaged. Specific to artisanal fishermen, the Strategic Plan for the Artisanal Fisheries Sector (Plano Estratégico para o Sector de Pesca Artisanal, 2006-2015) provides a vision for progressively upgrading from subsistence to commercial artisanal fishing.

12. **Official Development Assistance.** Between 2009 and 2014 Mozambique received about US\$ 8.5 billion.<sup>14</sup> As of 2014, Mozambique was the seventh largest recipient of official development assistance (ODA) in Sub-Saharan Africa.<sup>15</sup> In 2012 and 2013 the sector of health and population received about 29 per cent of the total official development assistance (ODA) followed by economic infrastructure and services (20 per cent) and other social infrastructure (12).<sup>16</sup> The average inflow of official development assistance (ODA) into agriculture and rural development in 2012-13 was US\$ 133 million thus making up about 6 per cent of the total ODA inflow.<sup>17</sup> Official development assistance in Mozambique is characterized by strong attempts by Mozambique to harmonize donor and government's efforts, with some of the first attempts of donor alignment in sector strategies being in health, agriculture and education in the late 1990s.
13. Historically, ODA has financed a substantial proportion of the government's budget albeit witnessing a declining trend in the recent past. In 2008, almost 56 per cent of the government's budget was financed through ODA, while corresponding figure came down to 42 in 2011 and 31 in 2014. In spite of the government's preference for budget or sector support, a majority of the funding still flows through project modality with almost two thirds of the ODA being in such form in 2013 (including non-PAP members).<sup>18</sup>

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

14. Since the start of its operations in Mozambique in 1982, the International Fund for Agricultural Development (IFAD) has approved 13 loans and debt sustainability framework grants<sup>19</sup> for a total of US\$ 244 million (including ASAP funding), which represented 62 per cent of the total portfolio cost (US 392 million). The contribution of the Government has been US\$ 40.8 million or 10.4 per cent of the estimated portfolio cost; funding from external cofinanciers (mainly the OPEC Fund for International Development, the European Union, the African Development Bank and the Spanish Trust Fund) corresponded to US\$ 91.4 million or 25 per cent of the portfolio costs. Finally, the estimated beneficiaries' contribution was US\$ 7.5 million (2 per cent of the portfolio costs).
15. Mozambique is the seventh largest portfolio of IFAD-supported operations in the East and Southern Africa Region (ESA). IFAD established a country office in Mozambique since 2003, now staffed with an out-posted country programme manager (since mid-2015), two professional and a general service staff-members.
16. In addition to the loans, since 2010, IFAD has also approved seventeen grants for an amount of US\$ 14.4 million, of which fifteen under the global/regional window, with selected activities in Mozambique (Annex 3) and five country-specific (see further below in this paper).

<sup>14</sup> OECD Stat, as accessed on 8<sup>th</sup> January 2016:

[https://public.tableau.com/views/AidAtAGlance\\_Recipients/Recipients?:embed=n&showTabs=y&display\\_count=no?&showVizHome=no#1](https://public.tableau.com/views/AidAtAGlance_Recipients/Recipients?:embed=n&showTabs=y&display_count=no?&showVizHome=no#1)

<sup>15</sup> OECD Stat, as accessed on 8<sup>th</sup> January 2016:

<sup>16</sup> Ibid

[https://public.tableau.com/views/AidAtAGlance\\_Recipients/Recipients?:embed=n&showTabs=y&display\\_count=no?&showVizHome=no#1](https://public.tableau.com/views/AidAtAGlance_Recipients/Recipients?:embed=n&showTabs=y&display_count=no?&showVizHome=no#1)

<sup>17</sup> Aid to Agriculture and Rural Development, OECD:

<http://www.oecd.org/dac/stats/documentupload/Aid%20to%20agriculture%20and%20rural%20development%20data.pdf>

<sup>18</sup> Aid coordination and effectiveness in Mozambique, Ministry of Planning and Development 2013

<sup>19</sup> At present, Mozambique is classified as a "yellow" country, thus IFAD's financing comes as half highly concessional loan and half DSF grant.

17. **Evolving strategy.** IFAD produced its first Country Strategic Opportunities Programme (COSOP)<sup>20</sup> for Mozambique in 1997, the second in 2000, the third in 2004 and the fourth and latest in 2011. IOE conducted a country programme evaluation in 2009, with a report published in 2010 which covered ten years of cooperation with the Government. The overall loan portfolio achievements were assessed as “moderately satisfactory but mixed”. While most project evaluation criteria were assessed as moderately satisfactory, three criteria or sub-criteria were assessed as moderately unsatisfactory: (i) the impact on social capital and empowerment (beneficiaries’ associations had received no legal recognition and communication was found weak between project authorities, service providers and communities); (ii) impact on natural resources and the environment (due to limited progress in reforestation, continuation on environmentally damaging fishing practices among beneficiaries and unclear evidence on fish stock recovery); and (iii) sustainability (due to the absence of permanent institutions providing key services to the poor rural clients or regulatory guidance).
18. In terms of non-lending activities, the assessment was moderately satisfactory overall. Non-lending activities had taken place in the context of the loan-funded projects which sometimes included a sub-component on policy dialogue. Similarly, the position of Country Officer created in 2003, had been instrumental in developing partnerships with the National Farmers’ Union, as well as with FAO and WFP in the context of UN Delivery as One, in particular through the development and implementation of the joint programme “Building Commodity Value Chains and Market Linkages for Farmers”. However, the evaluation found a gap in knowledge management (rated as moderately unsatisfactory), mainly because there was very little “scouting” of good practices promoted by other development agencies in the country, even when promising.
19. The performance of the country programme (COSOP) was also assessed as moderately satisfactory. Relevance of the COSOP was found very high in relation to the country rural development needs. However, two less convincing aspects were highlighted: (i) the strategy had not adapted rapidly enough to changes that had taken place in the country’s policy directions; (ii) past strategies tended to underplay the importance of inequalities, almost assuming that “all rural households were poor”, while available studies pointed to emerging differentiations. In particular, while the programme had focused on the northern part of the country, poverty prevalence had grown significantly in some of the southern regions.
20. The 2010 CPE evaluation’s recommendations can be summarised as follows:
- Support development programmes, both under the traditional “project modality” and through national frameworks (sector-wide approaches), if the latter receive continued support by the Government and donors;
  - Maintain the current sub-sectoral-thrusts (increasing surplus production and its value, developing agribusiness small and medium enterprises and market linkages, enhancing access to financial products for smallholders and enterprises) but with an increased effort to coordinate activities under these thrusts;
  - In terms of geographic focus, give more attention to the southern provinces;
  - Develop and implement innovation agenda, particularly in the area of rural finance services, support to grassroots organizations, pioneering strategic partnerships with private sector organizations;
  - Strengthen the country presence of IFAD (including the option of out-posting the country programme manager) in order to engage more in non-lending activities.

---

<sup>20</sup> Until 2006, COSOP stood for Country Strategic Opportunities Paper. Since 2006 it has stood for Country Strategic Opportunities *Programme*

21. The 2011 COSOP was informed by the 2010 CPE and took stock of the policy discussions in the country. In particular, the disillusionment with the first phase of the National Programme for Agricultural Development (PROAGRI), a sector-wide approach programme, which had been effective at the administrative level but less so in boosting the performance of the agricultural sector and raising the income of smallholder farmers. The COSOP also acknowledged the national Poverty Reduction Action Plan (2011-2014) and sectoral strategies such as the Strategic Plan for the Development of the Agricultural Sector (2010-19), the Strategic Plan for Artisanal Fisheries Sector (2006-15) and the Rural Finance Strategy (2011).
22. The COSOP 2011 main strategic objectives (Table 2) show continuity with well-established strategic thrusts of IFAD in the country (as also recommended by the 2010 CPE). This COSOP did not include a detailed discussion of geographic priorities but the annexed project-level concept note did in fact envisage financing a project in the southern part of the country.
23. In terms of socio-economic group targeting, on the one hand the 2011 COSOP asserts that the main target was the "economically active poor", although it alludes to the fact the programme would seek to reach the most disadvantaged categories. This is not further elaborated upon in the main document which mandates future project design to elaborate a "strategy for inclusion".
24. The sub-sectoral area of focus remained the same as in the previous COSOP. The opportunities for innovation were the same as in the CPE recommendations. On the domain of gender equality, the COSOP does not provide general prescriptions but requires individual projects to elaborate a gender strategy.
25. Finally, regarding programme management, the COSOP insists on: (i) the importance of strategy-level M&E to be done by aggregating data from individual project-level M&E; (ii) the role of the county programme team for periodic strategic review.

Table 2

**Main Elements of the 2011 COSOPs (and 2004 COSOP for comparison)**

	<b>2004 COSOP</b>	<b>2011 COSOP</b>
<i>Strategic Objectives<sup>21</sup></i>	<ol style="list-style-type: none"> <li>1. Increase the income of the rural poor               <ol style="list-style-type: none"> <li>(i) high value cash crops and fish</li> <li>(ii) public private partnerships</li> <li>(iii) help smallholder and fishers retain a higher share of the value added</li> </ol> </li> <li>2. Empower the rural poor               <ol style="list-style-type: none"> <li>(i) promote small-scale producers' organizations</li> <li>(ii) support decentralization and local partnership for development</li> </ol> </li> <li>3. Mainstream gender equity and HIV/AIDS prevention and mitigation               <ol style="list-style-type: none"> <li>(i) promote HIV prevention and awareness</li> <li>(ii) mitigate the economic impact of HIV/AIDS</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1. Increase the access of smallholders and artisanal fishers to production factors, technologies and resources.</li> <li>2. Increase access to markets for smallholders and artisanal fishers in a way that brings them equitable shares of profit.</li> <li>3. Increase access to appropriate and sustainable financial services in rural areas.</li> </ol>
<i>Geographic Priority</i>	No specific geographic emphasis, interest in supporting national programmes.	There is no detailed discussion on geographic priorities. However, the COSOP contains a concept note for a future project highlighting the importance of investing in agribusiness in the Southern provinces of the country.
<i>Sub sector/thematic</i>	<ul style="list-style-type: none"> <li>- agriculture production support services</li> <li>- artisanal fisheries</li> </ul>	<ul style="list-style-type: none"> <li>- smallholder farming</li> <li>- artisanal fisheries</li> </ul>

<sup>21</sup> Note that the 2005 COSOP did not have strategic objectives (these were introduced in 2006 with the new standardised COSOP format). It had "major strategic thrusts".

	2004 COSOP	2011 COSOP
<i>focus</i>	<ul style="list-style-type: none"> <li>- rural market linkages</li> <li>- rural financial services development</li> <li>➤ In the above traditional IFAD areas of intervention, emphasis on developing linkages with the private sector for input supply and marketing</li> </ul>	<ul style="list-style-type: none"> <li>- agricultural value chains</li> <li>- rural financial services</li> </ul>
<i>Opportunities for innovation</i>	Not highlighted, to some extent because this was not required in the pre-2006 COSOP format.	Financial products, sustainable networks of agri-dealers, public/private partnerships for extension service delivery, inclusive business partnerships.
<i>Target groups and targeting approach</i>	Not highlighted, to some extent because this was not required in the pre-2006 COSOP format.	<p>The COSOP states that the programme will target the “economically active poor”.</p> <p>Basic principles: (i) inclusive (facilitating participation of disadvantaged categories); (ii) dynamic, based on close monitoring.</p> <p>Mechanisms: (i) selection of priority value chains that are more accessible to the target group; (ii) assistance to small and medium companies that can employ poor women and men; (iii) develop financial and non-financial services accessible to the poorest strata; (iv) ensuring representation of disadvantaged groups in farmers’ organizations; (v) including literacy in capacity-building programmes.</p> <p>Projects will be required to elaborate an inclusion strategy.</p>
<i>Gender Dimension<sup>22</sup></i>	The COSOP established two goals: (i) increase gender equality in access to productive resources and earning opportunities; (ii) promote greater women’s participation in decision-making processes.	<p>Every project will be required to prepare a gender strategy.</p> <p>Gender-disaggregated M&amp;E indicators</p>
<i>Country programme management</i>	The COSOP mentions regular annual COSOP reviews and mid-term reviews.	<p>COSOP management: founded on project M&amp;E system, will consist of annual reviews with the country programme team. Mid-term review to be conducted in 2013. Final completion review in 2015.</p> <p>Programme management: Emphasis on country programme team (membership not defined in detail). COSOP also mentions a programme support group that would provide support on fiduciary aspects and M&amp;E and knowledge management.</p> <p>More coordination envisaged between projects.</p>

26. **Performance-based allocation system (PBAS) financing framework.** The period covered by the evaluation covers five PBAS cycles. Average annual allocation has been US\$ 11.4 million per year. All loans were provided on ordinary terms.

Table 3

**PBAs Allocation to Mozambique. US\$ millions**

<i>PBAS cycle</i>	2004– 2006	2007 – 2009	2010 – 2012	2013 – 2015	2016 – 2018*
<b>PBAS Allocation</b>	13.17	31.23	38.89	37.62	50.09

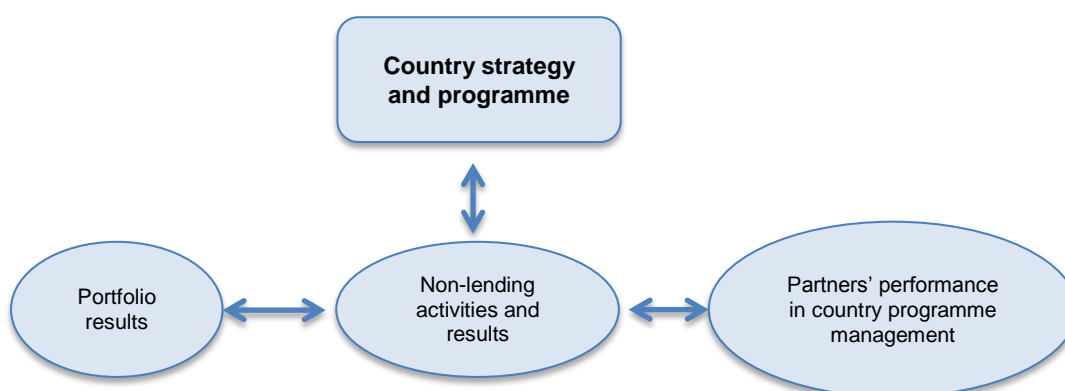
\*2016-2018 allocation is not final (given that the allocation for 2017 and 2018 are indicative)

<sup>22</sup> Note that the main COSOP document does not deal specifically with gender-specific topics but the same are explained in the “key file” in an annex.

## IV. Evaluation Objectives, Methodology and Process

27. A CSPE is an evaluation of the results of partnership between IFAD and the concerned government for reducing rural poverty and promoting rural transformation.<sup>23</sup>
28. **Purpose:** the CSPE will generate an overall appreciation of the partnership between IFAD and the concerned government in reducing rural poverty. It will contribute to both accountability, learning and to strengthen IFAD's development effectiveness.
29. **Objectives:** the CSPE has two main objectives: (i) assess the results and performance of the IFAD-financed strategy and programme; and (ii) generate findings and recommendations for the future partnership between IFAD and the concerned country for enhanced development effectiveness and rural poverty eradication.
30. The CSPE covers the full range of IFAD support to a country, including lending and non-lending activities (knowledge management, partnership-building and policy dialogue), including grants, south-south and triangular cooperation (if applicable) as well as country programme and COSOP management processes. The time frame adopted for this CSPE is 2010-2016, that is after the previous CPE. The implications of this choice are explained further below.
31. The CSPE will provide an assessment at the programme (strategic) level which is informed by analysis at three levels (Figure 1), with ratings<sup>24</sup> to be assigned for each of them, as explained below:
  - (i) Portfolio-level analysis of IFAD-funded past and current projects included in the CSPE scope;
  - (ii) Non-lending activities: policy dialogue, knowledge management, partnership-building. All national grants, and a sample of regional and global ones benefitting the country, as well as south-south and triangular cooperation, if applicable;
  - (iii) The performance of partners (IFAD and the government) in managing the country programme, including process aspects.

Figure 1  
Framework of a CSPE



32. The CSPE will answer, among others, the following selected **key questions**:
  - Given its comparative advantage and specialization, what are the future role and priorities of IFAD in Mozambique?

<sup>23</sup> While other partners such as international organizations, non-governmental and civil society organizations intervene as well, the overall cooperation agreement is established between IFAD and the government.

<sup>24</sup> The standard rating scale adopted by IOE is: 1 = highly unsatisfactory; 2 = unsatisfactory; 3 = moderately unsatisfactory; 4 = moderately satisfactory; 5 = satisfactory; 6 = highly satisfactory.

- What has been the progress of the country programme in the main recommendation areas of the 2010 CPE. To what extent have the recommendations been incorporated in the new COSOP and ensuing operations?
  - Are the geographic and sub-sectoral priorities of the IFAD-funded portfolio in line with country needs and IFAD's corporate mandate, as detailed in its strategic framework?
  - What has been the collaboration at the country level with other international organizations, including UN agencies and International Finance Institutions? Given that other international organizations may be active in the same sub-sectors (e.g. artisanal fisheries), is the IFAD-funded programme active in cooperation with them? Are thematic working groups of international agencies functional and is IFAD participating actively?
  - How has the ICO contributed to development effectiveness and the IFAD-Mozambique partnership in general? Is the country office adequately resourced to undertake: (i) portfolio implementation support activities; and (ii) non-lending activities?
33. In addition, the CSPE will focus on the following key issues that have emerged during the preparatory mission in July 2016, as being of particular importance and relevance to most stakeholders for the whole of IFAD portfolio in Mozambique:
- The performance of IFAD project portfolio in the area of rural finance: since the closure of RFSP/PAFIR, most IFAD's projects had to integrate a Rural Finance component in their mandate, with results that in the view of virtually all stakeholders, have been significantly short of expectations. However, this is a theme of strong interest for the Government, as the lack of sustainable micro-finance institutions supporting small producers in agriculture, livestock and fisheries sectors, represent a strong obstacle to development in rural areas. The CSPE will canvass the lessons learned by IFAD projects in this respect, also in view of the upcoming formulation of a new IFAD-funded initiative in this area of work.
  - Current targeting within IFAD projects appears to take into due account the requirement for gender parity among participants, but does not seem to adequately deal with the specific challenges of poor and marginal groups that have only very limited access to production resources. In particular, there seems to be insufficient attention in IFAD's projects to the large numbers of Persons Living with HIV/AIDS who live in rural areas where they represent in some cases 30% of the adult population, and face specific challenges in agricultural and fisheries production. It is important to note that the Country Programme Evaluation in 2010 had formulated a recommendation on targeting and explicitly mentioned the issue of HIV/AIDS affected persons. The CSPE will make an effort to canvass views and evidence on the overall issue of targeting.
34. An additional challenge raised by all IFAD projects, with the exception of PROMER, is the alignment with the Government electronic financial planning and reporting platform called e-SISTAFE, which has reportedly caused significant delays in the fund-disbursement process and in the overall delivery. Issues seem to mostly consist of: i) lengthy entry process for new projects in the system; ii) the need for detailed planning of activities and related budgets, well ahead of time, in highly uncertain environments; and iii) the lack of formal status of recipients of funds at the end of the disbursement process. At the time of the Preparatory mission, the Ministry of Economy and Finance had already triggered a consultation process with Government ministries and directorate to identify the key bottlenecks and discuss possible solutions. It is expected that at the time of the main mission, this process

will be well advanced and decisions made to facilitate fund disbursement. Furthermore, the topic is highly technical and complex, and would require expertise that is not available among the CSPE team members. Therefore, the CSPE will address the issue by analysing its impact on project delivery so far, but will not make any attempt at providing suggestions nor recommendations.

#### IV. a Portfolio of projects

35. The analysis of the portfolio of loan-funded projects, and related national grants, in the report will be organized following the project-level evaluation criteria, drawn from the second edition of the IFAD Evaluation Manual, which are briefly introduced below.<sup>25</sup>
36. **Relevance** refers to the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, enhancement of equality, institutional priorities and partner and donor policies. Importantly, it also refers to the quality of project design, the coherence and logic in the steps adopted to achieving the desired objectives.
37. **Effectiveness**. This criterion assesses the extent to which the development intervention's immediate objectives were (or are expected to be) achieved, taking into account their relative importance. The assessment will consider changes in the overall context (e.g. policy framework, political situation, institutional set-up, economic shocks, civil unrest) that may have affected project implementation and overall results. Explanatory factors for the results will be identified.
38. **Efficiency** is a measure of how economically a project converts resources/inputs (e.g., funds, expertise, time) into results. In principle, the ex-post economic rate of return would be a valid synthetic indicator. However, it might only be available for closed projects. Therefore, the evaluation may use "proxies" such as comparisons of average project costs per beneficiary with other similar programmes, project management cost ratios, indicators of implementation efficiency and cost overruns and other indicators of managerial efficiency.
39. **Sustainability of benefits** refers to the likelihood of the continuation of net benefits from a development intervention, beyond the phase-out of external funding support. Here again, the analysis will identify factors that support or hinder future streams of benefits and resilience factors, such as ownership by communities and grass-roots organizations, financial and technical viability, existence of permanent agencies that provide essential services (e.g., training, extension, animal health care) and policy and political commitment from the government side.
40. According to the second edition of the Evaluation Manual, the average rating of relevance, effectiveness and efficiency and sustainability will be the composite rating of project performance.<sup>26</sup>
41. **Rural poverty impact** is defined as the changes that have occurred, or are expected to occur, in the lives of the rural poor (whether positive or negative, direct or indirect, intended or unintended) as a result of development interventions. The second edition of the Evaluation Manual contemplates four impact domains: (i) household incomes and assets; (ii) human and social capital and empowerment; (iii) food security and agricultural productivity; and (iv) institutions and policies. Only a single rating for overall impact will be issued.<sup>27</sup> In addressing these

<sup>25</sup> In the second edition of the Evaluation Manual, there is high degree of commonality with the first edition. A few changes have been introduced and are explained in this section.

<sup>26</sup> In the previous version of the Evaluation Manual, the project performance was a composite rating of three criteria only (relevance, effectiveness and efficiency).

<sup>27</sup> Note that, in the second edition of the Evaluation Manual, the impact criterion has only four (not five as in the previous edition) domains. In fact, the domain of natural resource management and adaptation to climate change has



domains, the evaluation will try to gather data on the outreach of impact (number of persons /households covered, preferably disaggregated by gender), size of effects, and distributional aspects (what categories of beneficiaries are benefiting more or less).

42. **Gender equality and empowerment of women:** The extent to which IFAD interventions have contributed to better gender equality and women's empowerment, for example, in terms of women's access to and ownership of assets, resources and services; participation in decision making; workload balance and impact on women's incomes, nutrition and livelihoods. The evaluation will take into account the three pillars of gender equality which were first contemplated in the IFAD's Gender Action Plan 2003 for older projects, and then slightly re-elaborated in the Gender Policy of 2012. The three pillars can be summarised as follows: (i) expand women's access to and control over capital, land, knowledge and technologies; (ii) strengthen women's participation in community affairs and representation in local institutions; and (iii) improve women's well-being and ease their workloads by facilitating access to basic rural services and infrastructures.
43. **Innovation and scaling up** refers to the extent to which projects: (i) have introduced innovative approaches to rural poverty reduction; and (ii) results have been (or are likely to be) scaled up by government authorities, donor organizations, the private sector and others agencies.<sup>2829</sup>
44. **Environment and natural resources management** is the extent to which a project contributes to changes in the protection, rehabilitation or depletion of natural resources and the environment. Core questions to be covered pertain to changes in: (i) the stock of natural resources (e.g., land, water, forest, pasture, fish); (ii) local communities' access to natural resources; (iii) degree of environmental vulnerability changed (e.g. exposure to pollutants, volatility in resources, potential natural disasters); (iv) environmental sustainability issues and environmental norms and practices.
45. **Adaptation to climate change** is understood as the contribution of a project to increase climate resilience and beneficiaries' capacity to manage short- and long-term climate risks. This dimension has only recently become an IFAD priority and hence older projects may not have addressed these aspects.
46. **Coverage of the portfolio performance.** The current CSPE will cover IFAD's country strategy (COSOP) approved in 2011, after the previous Country Programme Evaluation. In terms of projects, the current CSPE will review projects that: (i) were closed after the 2010 CPE; (ii) are ongoing. The above selection rules yield six projects, of which one approved after the 2011 COSOP.
47. Of these six projects, two are closed with independent evaluative reports available for the CSPE review:
  - a. The Rural Finance Support Programme (PAFIR, total cost US\$23.3 million, IFAD loan US\$9.45 million). IOE prepared a Project Completion Report Validation in 2015; nevertheless, considering the importance of this area of

---

now been split into two separate criteria, as explained further below in this section. There will be only a single rating for impact.

<sup>28</sup> See the IFAD Innovation Strategy (2007), findings and recommendations from the Corporate-level Evaluation on innovation and scaling up (2010), and the dedicated document presented to the Tenth Replenishment Consultation of IFAD (2014) on Scaling Up Results. The CSPE will also consider IFAD's "Operational framework for scaling up results" (2015).

<sup>29</sup> The operational framework notes that: (i) the definition adopted by IFAD for scaling up is: "expanding, adapting and supporting successful policies, programmes and knowledge so that they can leverage resources and partners to deliver larger results for a greater number of rural poor in a sustainable way"; and (ii) scaling up results does not mean transforming small IFAD projects into larger projects. Instead, IFAD interventions will focus on how successful local initiatives will sustainably leverage policy changes, additional resources and learning to bring the results to scale.

- work for Mozambique, the CSPE will make efforts to include interactions with RFSP's stakeholders and beneficiaries during its main mission;
- b. The Sofala Bank Artisanal Fisheries Project (SBAFP, total cost US\$33.0 million, IFAD loan US\$18.0 million). IOE prepared a Project Completion Report Validation in 2012 and is currently conducting an impact evaluation of this project which will be available before the main CSPE mission.
48. Four projects are on-going and will be reviewed by the CSPE, including field visits:
- PRONEA Support Project (PSP) is the follow-up project to the IFAD-funded contribution to the National Agriculture Extension Programme (PRONEA) within the PROAGRI framework, that had been approved with a total IFAD loan of US\$25.2 million and the loan signed in 2006, and planned to come to closure in June 2018. The programme suffered an interruption and after an MTR in 2011, it was redesigned in 2012 with a completely new format and implementation mechanism. An amendment for this new stage was signed and started again in 2012.. The current PSP, covers 42 districts in 10 Provinces and is due to come to completion in 2018. Its approved budget amounts to US\$ 26.7, including an IFAD loan of US\$ 19.7 million;
  - Rural Markets Promotion Programme (PROMER), was approved in 2009 with an initial budget of US\$ 40,5 million including an IFAD loan for US\$ 31.1 million; additional funds in 2013 and 2015 have led to a total amount of USD 74.2, of which 75% from IFAD, including 17% in the form of a grant, and 15% from the EU MDG1C in 2015. The project foreseen closure is December 2019. The project builds on a previous IFAD's experience in support to rural markets and is implemented in the northern region of Mozambique, in the bordering districts of the provinces of Cabo Delgado, Nampula, Niassa and Zambézia;
  - Artisanal Fisheries Promotion Project (ProPesca), was approved in 2010 with an initial budget of US\$ 43.5 million, including an IFAD loan of US\$21.1 million. The project received additional grant funds from the EU in 2015 for approximately US\$15 million. The project foreseen closure is September 2018. The project builds on previous IFAD's and other partners' experiences in artisanal fisheries in Mozambique and has a national coverage along the coast.
  - Pro-Poor Value Chain Development in the Maputo and Limpopo Corridors, (PROSUL), was approved with an initial budget of US\$44.9 million, including an IFAD loan of US\$22.7 million, and an ASAP grant of US\$ 4,9 million. The project was approved in 2012, and its foreseen closure is June 2020. The MTR is planned for November 2016.
49. As a follow-up to the Rural Finance Support Programme, which closed in September 2013, IFAD is also considering the preparation of a follow-up initiative in the area of rural finance, planned to start after the completion of the current CSPE and to be submitted to the EB in 2017.
50. At this stage, it is expected that PRONEA, PROMER and ProPesca can be assessed according to the majority of the evaluation criteria (some might be only partly applicable given the slow implementation space as signaled by the low IFAD loan disbursement rates (Table 4). The reason is that these projects have been implemented for a number of years and the loan disbursement rates suggest that a significant part of the activities have been implemented. Insofar the Pro-Poor Value Chain Development in the Maputo and Limpopo Corridors Project is concerned, after a few field visits to project sites during the CSPE preparatory mission, it has been decided that the CSPE will assess project implementation only partly and against some of the standard criteria, as per Table 4 below. Quantitative scoring of its assessment will be provided only with respect to relevance, as the MTR will take place after the CSPE.

Table 4

#### Expected evaluability of projects

Cohort	Closed projects		On-going projects			
Projects	SBAFP	PAFIR	PRONEA	PROMER	ProPESCA	PROSUL
Beginning of implementation	Already evaluated by IOE		2007	2009	2011	2012
IFAD Loan disbursement level (Jan 2016)			54%	68%	45%	14%
Criteria						
Relevance	Yes	Yes	Yes	Yes	Yes	Yes
Effectiveness	Yes	Yes	Partly	Partly	Partly	Partly
Efficiency	Yes	Yes	Yes	Yes	Partly	Partly
Sustainability	Yes	Yes	Partly	Partly	Partly	No
Rural poverty impact	Yes	Yes	Partly	Partly	Partly	No
Innovation, replication & scaling up	Yes	Yes	Yes	Yes	Yes	No
Natural Resources and Environment	Yes	Yes	Yes	Yes	Partly	No
Adaptation to climate change	Yes	Yes	Yes	Yes	Partly	Partly
Gender equality	Yes	Yes	Yes	Yes	Yes	Partly
Performance of partners	Yes	Yes	Yes	Yes	Yes	Partly

51. **Thematic Issues within the portfolio.** In Mozambique, IFAD has funded sub-sector specific loans in fisheries (SBAFP, ProPESCA), and in rural finance (PAFIR). The CSPE will give special attention to the contribution of these projects to policy and regulatory issues at the sectoral level and to the promotion of recognised good practices. Some of the issues for consideration that have been identified include: (i) sustainability of the community-based artisanal fishery management model supported by the projects (community-level management committees are responsible for regulating fisheries but they are often not legally recognized nor entitled to funding from the state: will they be able to operate after the project closes?); (ii) capacity of public bodies to enforce fishery regulations. As already mentioned, another important issue is the extent to which projects have included the poorest and most isolated fishing communities. For example, the SBAFP was planned to be implemented in six concentration areas near the main fishing markets and centres. In the early stages of implementation, the approach was revised to make it as inclusive as possible. The Impact Evaluation should provide insights on the extent of coverage actually achieved.

#### IV.b Non-Lending Activities

52. Following a practice commonly adopted in development organizations, this terminology covers activities such as knowledge management, partnership-building and policy dialogue. Non-lending activities can bring additional value to investment operations by helping systematize and disseminate knowledge, forging collaborations with organizations that have specific mandates, expertise and financial resources in a given area, and helping distill the concrete experience from the field into the preparation and implementation of public strategies and programmes. As such, non-lending activities are a responsibility of the main programme partners, not exclusively of IFAD. In spite of their name, sometimes “non-lending” activities are financed through loan-project components. For instance, the 2011 Mozambique COSOP envisaged embedding non-lending components in new projects.
53. The analysis will focus on both the relevance and effectiveness of non-lending activities. The assessment of relevance will explore clarity of objectives, connectivity with the overall cooperation programme, resources earmarked, division of roles and responsibilities with partners, responsiveness to changing needs and priorities. Under effectiveness, the evaluation will ascertain whether activities have taken place (e.g. number, type of consultations, partners involved), to what extent the objectives have been met (e.g. policies approved and implementation status), and whether they have contributed to scaling up of

innovations and results. The assessment will consider to what extent the IFAD policies and strategies on country-level policy dialogue (2013), partnership (2012), knowledge management (2008) have been implemented in the concerned country. Ratings on a six-point scale shall be assigned to non-lending activities. Specific issues will include the following:

- Monitoring systems and Knowledge Management have been repeatedly mentioned by project coordinators as significant challenges although the GoM has established a KML group composed by all M&E and KM officers of IFAD projects. The group worked to develop a National KM plan (Jointly) and project annual KM plan/activities and budget. In this respect, the CSPE will assess to what extent projects' experiences have been analysed and systematised and related knowledge brought to the attention of local or national policy makers and other international partners, the strengths and weaknesses of the KML Group, the gaps in Project Management Teams with regards to these issues and what could be mitigating measures.
- Partnerships: assessment of partnerships with Government institutions, the private sector (crucial for projects promoting fisheries development), international organizations including Rome-based agencies (FAO and WFP) and AfDB, civil society and non-governmental organizations. In this context, the close collaboration between IFAD and the other Rome-Based Agencies with the European Union appears to be a highly interesting initiative, despite the challenges in terms of management and monitoring complexity. The CSPE will focus on the added value of the model, its strengths and weaknesses, also in terms of greater leverage generated in terms of policy dialogue.
- Policy dialogue: efforts made by IFAD and results achieved in promoting sustainable and inclusive policies for rural development. In particular, the CSPE will assess how IFAD through its projects is contributing, also in partnership with other stakeholders, to develop evidence for the GoM to consider integrating in its policies and programmes.

54. As summarised in Table 5, both the 2011 COSOP and its 2004 predecessor had envisaged non-lending activities, mainly to take place within the established consultation mechanisms for the agricultural sector (partnership and policy dialogue) and building upon project-level monitoring and evaluation activities (knowledge management). These foreseen activities will be used as a point of reference, keeping in mind that other activities (initially not planned) might have taken place as well. The CSPE will also assess the resources, incentives and accountability framework for achieving objectives and targets set for NLA in the COSOP.
55. At this preliminary stage, the following general questions on non-lending activities seem pertinent: (i) to what extent has IFAD operational experience informed sectoral strategies (for example in agriculture and artisanal fisheries)?; (ii) has the opening of the country office and out-posting of the programme manager enhanced opportunities for non-lending activities (particularly partnership and policy dialogue); (iii) has IFAD's participation in donors' sectoral working groups raised interest in its work which could lead to upscaling of results?

Table 5

**Non-lending activities in the 2011 COSOP for Mozambique (and 2004 COSOP for comparison)**

	2004 COSOP	2011 COSOP
<b>Partnership building</b>	<p><u>Government:</u> continued partnership with the Ministry of Planning and Finance, Ministry of Agriculture and Rural Development, Ministry of Industry and Trade, and Ministry of Fisheries</p> <p><u>Donors:</u> USAID, Danish International Development Assistance, European Union, World Bank, United Nations Capital Development Fund and Canadian International Development Agency</p> <p><u>NGOs and Private Sector:</u> Mozambican Association for Rural Development (microfinance NGO), GAPI (credit institution), Helvetas (Swiss NGO), other non-governmental organizations to be identified.</p>	<p><u>Government:</u> continue partnership with "key public institutions" (not specified) in the sectors of agriculture, artisanal fisheries and rural finance. IFAD will continue harmonization with the new programme that will replace the <i>Agricultural Sector Investment Programme</i>.</p> <p><u>International organizations:</u> Continue active membership in sectoral working groups (no further specification). Will also partner with UN agencies in the context of the UN Development Assistance Framework.</p> <p><u>Non-governmental organizations:</u> (i) work with producers' organizations, notably at the grassroots and their associations and national federations (e.g. National Farmers' Union); and (ii) private sector operators in the development of value chains.</p>
<b>Policy Dialogue</b>	To take place in the context of the national Agricultural Sector Investment Programme. The COSOP highlights public-private partnerships for advisory services to farmers, market linkages, development of small and medium enterprises, contract farming, and legal framework for rural finance as area that require review of the regulatory framework.	On-going project include policy dialogue components. To be supported by an overall programme knowledge management. Active role of the country programme team. To be focused on issues stemming from project implementation.
<b>Knowledge Management</b>	This was expected to take place in the context of the coordination group of donors supporting the national Agricultural Sector Investment Programme and would benefit from innovative work done by NGOs within IFAD-funded projects.	(i) Develop a programme M&E system to be implemented by a "programme support group" <sup>30</sup> ; (ii) develop knowledge management strategies at the project level;

56. **Review of grants.** A sample of grants will be reviewed as well, covering the main grant thematic areas in the country (e.g. agricultural research, rural finance, gender equality). The CSPE will try to shed light on: (i) the existence of demand by the CPM or one of the main partners in the country for a given grant; (ii) the degree of achievement of the grant's objectives; and (iii) plans or progress made by IFAD or any of its partners to internalize or use the grant's results.
57. In addition to the loans, IFAD has also five national-specific grants, three of which have in the past, or are currently contributing to IFAD-funded loans, and two not directly connected to on-going loans. All will be reviewed by the CSPE, either as part of the respective loans or as independent initiatives, although they will not be scored, as per IEO policy.
- Community Investor Partnership Project (ProParcerias)*, not linked to any IFAD-loan, funded with contributions from Finland and Switzerland for a total amount of USD 250,655, was implemented between August 2010 and December 2013; the project, contributing to a wider national programme, aimed at developing community-investors partnerships, through participatory approaches, to secure investments and improve livelihoods.
  - Coastal HIV/Aids Prevention and Nutrition Improvement Project (CHAPANI)*, funded by IFAD regular grant funding for a total amount of USD 500,000. The

<sup>30</sup> To the knowledge of IOE, this special working group has not been created and some of its functions have been absorbed by the country programme management team.

- project was conducted within the umbrella of ProPesca and implemented between May 2012 and April 2016. It aimed at improving food security and livelihoods of households involved in artisanal fisheries by reducing HIV/AIDS prevalence and malnutrition among fishing communities.
- iii. *Securing Artisanal Fishers' Resource Rights Project (ProDIRPA)*, funded through IFAD by the Belgian Fund for Food Security: this grant supports mapping marine and land natural resource use in coastal areas, under the ProPesca umbrella. The recipient was the Institute for Development of Small-scale Fisheries, 2013-2016 which was recently merged with INAQUA into the new National Institute for Development Fisheries and Aquaculture/IDEPA;
  - iv. *Support to Accelerate Progress towards MDG 1C in Mozambique – IFAD Sub-Programme (MDG1C)*, funded by the EU as a grant to the three Rome-Based Agencies in Mozambique for a total amount of Euro 67 million plus Euro 10 million from the Government of Mozambique. The programme was launched in 2013 and is due to come to completion in 2018. The IFAD sub-component initially amounted to Euro 25.9 million from the EU and Euro 4.4 million from the Government of Mozambique in taxes and duties. The main goal is to expand areas of work of three IFAD projects (PSP, ProPesca and PROMER), and integrate a nutrition component across all. An EU Mid-Term Review in 2015 re-allocated resources across RBAs and components, also drawing from contingencies, and approved an increase of resources for the IFAD Sub-component;
  - v. *Project for Promotion of Small Scale Aquaculture (PROAQUA)*, financed by the European Union for a total amount of USD 3,2 million within the umbrella of MDG1C but not linked to any IFAD-funded loan; currently implemented by the National Institute for the Development of Fisheries and Aquaculture (see above), the project is a pilot to test economically viable approaches to aquaculture for food-security.
58. The selection of regional and global grants to be assessed was based on a preliminary analysis of the typologies of grants with foreseen activities in Mozambique (many have an applied research orientation, while some are to support farmers' organization), on the existing knowledge from past evaluations (some of the grants for knowledge management are of regional scope and have been already reviewed by past evaluation, and on discussions with the ICO. The following grants have been finally retained for review by the CSPE: (i) an applied research grant to ICIPE (1370-“Programme for Scaling up Biological Control of the Diamondback Moth on Crucifers in East Africa to Other African Countries”); (ii) an action research grant to the Centre for Agricultural Bioscience International (1412-Plantwise, a country-based approach to improving farmer livelihoods through reduced crop losses and increased productivity);.

#### **IV.c Performance of the partners in managing the country programme**

59. This will include two dimensions: (i) partners' performance at the project level; and (ii) broader aspects that pertain to the overall country programme management and related processes.
60. At the project level, the CSPE will assess in particular the design of IFAD projects, with respect to: i) articulation and coherence of specific objectives; ii) institutional location of Project Management Units; iii) operational set-up, and iv) realism of implementation plans and models. With respect to the latter, most IFAD projects have struggled with the model of implementation introduced by PROAGRI, of almost full reliance on national and international Service Providers for implementation. Taking into account that alternative implementation models also present challenges, the CSPE will canvass the lessons learned by IFAD projects in this respect.

61. As to the performance of the *Government*, the main question will pertain to: (i) contribution to project design; (ii) compliance with M&E and other reporting requirements; (iii) quality of management, in terms of technical skills, compliance with fiduciary aspects, responsiveness to implementation issues and supervision recommendations; (iv) government's policy backing to the operations.
62. Broader aspects of the country programme management will include a review of the adequacy of resources for proper supervision and implementation support to the COSOP overall, the quality of COSOP management framework (including annual and mid-term reviews) and self-assessment instruments; the type of country presence pursued; and whether adequate support, time and resources were provided to non-lending activities. Particular aspects to be assessed will be the impact of the presence of a resident Country Programme Officer first, and a Country Programme Manager since mid-2015, as well as the frequent turn-over of the CPMs in Mozambique, on the overall COSOP implementation.
63. The government's contribution to country programme strategy and country programme management will also be reviewed. A single rating will be given to IFAD and the government that encompasses performance at the project level and the overall programme.<sup>31</sup>

#### **IV.d Synthesis of the performance assessment of the country programme strategy**

64. Building on previous analysis, the CSPE will assess the relevance and effectiveness at the country strategy level. In terms of relevance of the strategy, the key questions to be asked will pertain to:
  - (i) The setting of objectives (alignment with countries' strategies and policies, IFAD's strategic framework and corporate policies and rural development needs in the sub-sectors of interventions; and learning from past experience);
  - (ii) Articulation of key comparative advantages of IFAD, including sectoral and geographic priorities and socio-economic targeting. The question on geographic targeting will be important in Mozambique given that the 2010 CPE made recommendations in this area (more attention to the southern provinces) and taking into account the recent geographic poverty dynamics;
  - (iii) Identification and analysis of key institutional and policy enabling factors or constraints. A specific question for Mozambique relates to the changing framework for rural development interventions. At the time of the 2010 CPE, there was still some interest from donors on sector-wide approach modalities, although support for these instruments has waned in the latest years.
65. The assessment of effectiveness of the country strategy analyses the extent to which the overall strategic objectives (as per the COSOP) were achieved and whether other significant – but originally not foreseen – results have been attained at the programme level, and whether a credible logical nexus can be established between the partners' as well as IFAD-supported initiatives (lending, non-lending, programme management) and the observed results.
66. The CSPE will map the underlying logical chain in the 2011 COSOP which is expected to lead from interventions to behavioural changes and eventually to the achievement of the COSOP objectives. A simplified scheme is presented in Figure 2 and further developed in Annex 4. This will also help understand: (i) what mechanisms were at play in the pathway towards the achievement of the COSOP's strategic objectives; (ii) how welfare of households and institutional behaviours have changed; (iii) what context changes have influenced or are likely to influence the fulfilment of the strategic objectives.

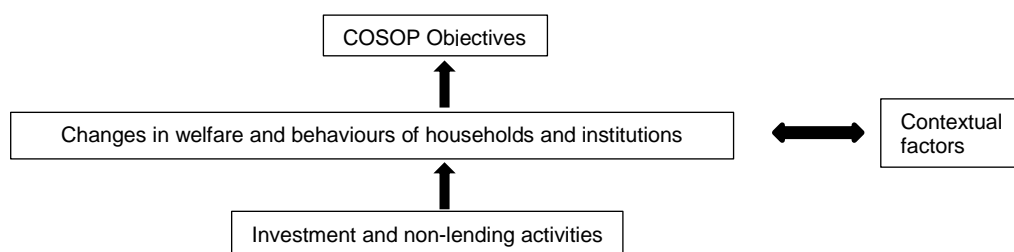
---

<sup>31</sup> This rating will not be an average. Individual project-level ratings will be presented in a table in an Annex.



Figure 2

### Simplified Logical Scheme of the achievement of COSOP Objectives



67. Based on the assessments and ratings of portfolio performance, non-lending activities, and country strategy performance, the CSPEs will generate a composite assessment and rating for IFAD-government partnership in reducing rural poverty, not an arithmetic average of the individual ratings, but based on a holistic consideration of the analysis.
68. **Conclusions and recommendations.** The report will provide conclusions and recommendations. Conclusions present a storyline of the report, logically correlated to findings but adding value by highlighting consequences and implication of findings, further exploring proximate explanation and highlighting a selected number of higher-level issues that readers should take away from the report. Conclusions will lead the way to recommendations, which are forward-looking propositions aiming at building on existing programme strengths, filling strategic or operational gaps and improving the performance and development results of IFAD. The CSPE will keep the recommendations to a manageable number, avoiding redundancy, prioritising them and presenting them in an action-oriented form, so as to facilitate their adoption by IFAD and its partners. Recommendations will take into account the volume of resources available to IFAD, although they may not all be budget-neutral.

### Methods to collect evidence and information

69. **Evidence** for this evaluation will be drawn from the triangulation and analysis of several sources. IOE will conduct a thorough review of the documentation (e.g., COSOPs, design reports, supervision reports, mid-term reviews, completion reports, status reports, and selected IFAD policies), IOE previous evaluations, as well as reports of other international organizations and studies and articles in peer reviewed journals of relevance to the CPE. IOE will also draw from the findings of recent and past client surveys on the IFAD country office.
70. ESA-IFAD and the Government will prepare self-assessments at the portfolio, non-lending and strategic levels, following the same IOE methodology and using a template elaborated by IOE.
71. The CPE team will validate pre-existing information through interviews at IFAD's headquarters, with senior and technical staff responsible for various aspects of the programme in Mozambique, and at the country level. Meetings will be organised with stakeholders at the different levels: i) Governmental institutions at the central, provincial and district level, with senior and technical staff responsible for supervising and collaborating with IFAD projects; ii) Project staff; iii) international partners, including the UN agencies, International Finance Institutions, bilateral cooperations; iv) Service providers working with IFAD projects; v) civil society and non-governmental organizations, national and international, who are stakeholders in the areas of work of IFAD's projects.
72. In addition, the CSPE will conduct in-depth discussions with groups of participants in IFAD's projects, at community level, to canvass views and evidence of projects' results, on participants' livelihoods. Groups will be selected so as to provide insights and views about groups at different levels of progress in the

implementation of project activities. During the discussions at community/group level, particular attention will be devoted to hear the view of women participants, and insofar as possible, also of non-participants for comparison purposes.

73. For the various groups of interviewees, the CSPE team will develop separate checklists of questions and issues to be discussed, based on the questions listed above, that will allow comparison of information across stakeholders.
74. Given time constraints, CPE field visits will have to be focused on understanding the “causal pathway” of the projects’ initiatives (from interventions to results and impacts) and understanding the contextual, institutional and political issues behind implementation.
75. **Addressing attribution issues.** As for all evaluations, it is challenging to attribute a set of observed changes to the interventions supported by a project. For example, data may point to significant increases in household assets but this may be due to exogenous factors and not to the project (e.g., falling prices of certain household assets; a general economic upturn; households receiving remittances). In the past ten years, there has been a revival of interest for evaluations using an experimental and quasi-experimental design (i.e., comparing households or individuals with and without project). For one of the closed projects (SBAPF), IOE will conduct a large-scale impact evaluation (about 3000 households including comparison groups), adopting propensity score matching and the Heckman selection model. For other projects, the CSPE may, instead, address attribution using a theory-based approach,<sup>32</sup> combined with a review of the available statistical data (e.g. at the state level) and some spot-checking to gauge the veracity of claims made in the available project documents:
  - Reviewing the project chain of action and cause-effect and assessing to what extent this is corroborated by the available evidence;
  - Considering rival explanations by probing for alternative factors, and reassessing the plausibility of the imputed causality chain;
  - Reviewing available demographic, health and welfare statistical data (if existing at the appropriate level of disaggregation);
  - Conducting selected interviews with non-beneficiaries that share salient characteristics (e.g., socio-economic status, livelihood, and farming system) that will help understand the “mechanisms” through which the project may have generated changes and what could have happened in its absence (the counterfactual).

## V. The evaluation process

76. IOE will start the evaluation with a *desk review* of project and non-project activities and strategic issues, following the Evaluation Manual. Individual project desk reviews will be summarised in a working paper which will provide guidance to the main mission in terms of evidence available and knowledge gaps to be filled in.
77. A *preparatory mission* will be conducted by IOE to Mozambique in order to meet the main IFAD partners and explain the objectives, methods and process of the CSPE exercise and to elicit their views on specific questions, issues and concerns that should be reflected in the CSPE. Short field visits may be conducted to selected project areas, particularly to assess project evaluability status.

<sup>32</sup> See as references: Mayne, J. (2001), “Addressing attribution through contribution analysis: using performance measures sensibly,” *Canadian Journal of Program Evaluation* 16: 1-24; Pawson, Ray & Nick Tilley (1997). *Realist Evaluation*, London; Scriven, M. (1976), “Maximizing the Power of Causal Investigations: The Modus Operandi Method”, in: G. V. Glass (ed.) *Evaluation Studies Review Annual*, Vol. 1, Sage Publications, Beverly Hills, CA; Weiss, C. H. (1995), “Nothing as practical as good theory: Exploring theory-based evaluation for comprehensive community initiatives for children and families”, in J. Connell, A. Kubisch, L. B. Schorr, & C. H. Weiss (Eds.), *New approaches to evaluating community initiatives*: Volume 1, concepts, methods, and contexts (pp. 65-92). New York, NY: Aspen Institute.

78. IFAD-ESA, the project teams and national government will conduct a *self-assessment* of the portfolio of current projects, of the non-lending activities and of the 2011 COSOP performance. The objective is not to produce a lengthy report but rather to provide IOE with an illustration of the available sources of information and evidence on the three CSPE pillars.
79. The *main evaluation mission* will be fielded for four weeks. It will combine interviews in the capital city as well as visits to the concerned provinces, including public authorities, representatives of international organizations, NGOs, research institutions and think tanks, private sector companies and community-based organizations. The mission will include field visits to selected project sites. The selection of persons to be interviewed will be made by IOE, benefiting from the exchanges with IFAD and national authorities and further interactions in Mozambique, and based on a stakeholder identification and analysis exercise.
80. At the end of the main mission, a wrap up meeting will be organised so that the CSPE team can present (PowerPoint) emerging findings to representatives of the central government in Maputo, with the attendance of the Country Programme Manager and staff from the country office. On the same day, IOE will also organize a seminar on the findings of the *Impact Evaluation of SBAFP*.
81. The CSPE team will hold a half-day internal workshop on report writing, in order to establish common understanding on: (i) the techniques to be used in processing, aggregating and displaying data obtained from different sources to arrive at findings and conclusions; and (ii) how to structure technical working papers, so that information can be more easily extracted for preparing the main report.
82. The report *writing* phase will include the drafting of thematic technical working papers and of the main report. The draft report will be submitted to an internal peer review within IOE that will include both a review of the evidence base and the robustness of the analysis and an assessment of the conclusions and recommendations (linkage with findings, capturing key country context issues and emerging issues, and avoiding redundancies).
83. As per recent practices, a revised report will be shared with IFAD-ESA and the Government simultaneously for their review. The full report will be prepared in English, the official IFAD working language with Mozambique. The draft report will also be shared with co-financiers and other organizations, as required.
84. After comments have been received, the report will be revised independently by IOE and audit trails will be prepared to explain how comments were taken into consideration.<sup>33</sup> The report will then be finalized by IOE and a national round-table workshop will be organized in Maputo to discuss the main findings and recommendations of the CSPE, provide inputs for the preparation of the evaluation's Agreement at Completion Point (ACP), and reflect on key issues for the forthcoming Mozambique COSOP. The ACP will be annexed in the next COSOP. Moreover, following Executive Board practices, when the next COSOP for Mozambique is presented to the Executive Board, IOE will present the evaluation report and written comments on the COSOP.
85. **Core Learning Partnership (CLP).** A standard feature in IFAD evaluations, the CLP will include the main users of the evaluation who will provide inputs, insights and comments at determined stages in the evaluation process. The CLP is important in ensuring ownership of the evaluation results by the main stakeholders and utilization of its recommendations. The CLP will be expected to: (i) provide comments on the approach paper; (ii) provide feedback during the evaluation

---

<sup>33</sup> Written comments from the Government, from IFAD and other partners will be carefully reviewed by IOE. IFAD's Evaluation policy provides that IOE will immediately rectify all factual errors, inaccuracies and information gaps that may be brought to its attention. Disagreements on judgments will be treated case by case and may be presented in the final report as dissenting notes. To ensure transparency, IOE will prepare an audit trail showing how comments have been taken into consideration.

process, notably during the data finding phase; (iii) review and comment on the draft CSPE report; and (iii) participate in the final workshop.

86. In agreement with the Ministry of Economy and Finance, the following persons and institutions will be members of the CLP (Table 6).

Table 6

**Composition of the Core Learning Partnership**

<p><u>Government</u></p> <ul style="list-style-type: none"> <li>- Mr Adriano Ubisse, Director of Treasury, Ministry of Economy and Finance</li> <li>- Ms. Sandra Silva, National Director of Extension, Ministry of Agriculture and Food Security</li> <li>- Mr. Fernando Momade, Director of the Institute for Development of Aquaculture and Fisheries, Ministry of Sea, Interior Waters and Fisheries</li> <li>- Mr. Carlos Mucavele, Director of the Centre for Promotion of Agriculture (CEPAGRI), Ministry of Agriculture and Food Security</li> </ul> <p><u>Projects</u></p> <ul style="list-style-type: none"> <li>- Ms Carla Honwana, Project Coordinator, PROMER</li> <li>- Mr Daniel Mate, Project Coordinator, PROSUL</li> <li>- Mr Rui Falcão, Project Coordinator, PROPESCA</li> <li>- Ms Clementina Machungo, Project Coordinator, PRONEA Support Project</li> <li>- Ms Nélia Domingos, Project Coordinator, PROAQUA</li> <li>- Mr. Amós Chamussa, Project Coordinator, PRODIRPA</li> </ul> <p><u>IFAD Staff</u></p> <p>Mr Périn Saint Ange, Associate Vice President, Programme Management Department</p> <p>Ms Josefina Stubbs, Associate Vice President, Strategy and Knowledge Department</p> <p>Mr Oscar A. Garcia, Director, Independent Office of Evaluation (IOE)</p> <p>Mr Sana Jatta, Director, IFAD Regional Division for East and Southern Africa (ESA)</p> <p>Mr Miguel Torralba, Lead Evaluation Officer, IOE</p> <p>Mr Robson Mutandi, Country Programme Manager, ESA</p> <p>IFAD Country Office in Maputo (Mr Custodio Mucavel), ESA</p>
---

87. According to the IFAD Evaluation Policy, evaluations conclude with an *Agreement at Completion Point*, a document presenting the main findings and recommendations contained in the evaluation report that the Government and IFAD-PMD agree to adopt and implement within a specific timeline. The ACP will be prepared after the round-table workshop, so that it can benefit from the outcomes of the discussion. IOE does not sign the ACP and is only responsible for facilitating the process leading to the preparation of the ACP. After the Government and IFAD-PMD have agreed on the main follow-up actions, the ACP will be shared with IOE for review and comments and thereafter signed by the Government of Mozambique and the IFAD's Associate Vice President for Programmes. The responsibility for the timely completion of the ACP rests ultimately with the IFAD management and the Government. The ACP should be signed within three months of the date of the evaluation learning workshop, included in the final published report and presented to the Evaluation Committee in October 2017 and as an annex in the COSOP when the latter is presented to the Executive Board of IFAD.
88. The Director, IOE will have the overall oversight of the CSPE. The Lead Evaluator, will be in charge of designing the methodology, recruiting specialists, exercising quality control and managing the overall exercise and will be responsible for team leadership and for the preparation of the final report. IOE will be ultimately responsible for the contents of the CSPE report and the overall evaluation process. The Lead Evaluator will be supported by Ms Maria Cristina Spagnolo, Evaluation Assistant.
89. The main field mission will be conducted by a team of independent and external specialists under the responsibility and supervision of IOE. The team will include Ms Tullia Aiazzi, Senior Consultant, who will lead the work at country level, coordinate the work of the whole team, assess the work on gender equality and prepare the draft deliverables; Mr Octavio Damiani, senior consultant in charge of assessing

partners' performance, non-lending activities and strategic aspects; Ms Carmen Lahoz, senior economist and portfolio assessment specialist; Ms Cecile Brugere, senior fisheries and aquaculture expert, who will conduct a desk-review of IFAD's work in this sector; and a national consultant. The team will include expertise in agricultural extension, rural non-agricultural activities (e.g., rural enterprises), fisheries development and gender equality. It will have to keep balance in terms of gender composition. The team will be supported by Mr Prashanth Kotturi and Ms Shijie Yang, consultants, for desk review support. The new conflict of interest rules issued in 2013 for IOE consultants will apply to the team.

90. **Communication and dissemination events and products.** A CSPE round-table learning workshop will be organised in Maputo at the conclusion of the evaluation process. This learning event will allow a broader number of stakeholders, beyond the CLP, to discuss the results and the recommendations of the evaluation and their implications for the future collaboration of IFAD in Mozambique. This will be an important step before the Government of Mozambique and IFAD can sign the ACP.
91. The final report (about 60 pages, main text in English), including the ACP, will be distributed in hard copy to partners in Mozambique, posted on IFAD's public website and other websites maintained by the UN Evaluation Group, the Evaluation Cooperation Group of the Multilateral Development Banks, the OECD-DAC Evaluation Networks, and other relevant websites. IOE will also elaborate shorter (two page) documents that are more reader friendly and cater for a broader audience: (i) an evaluation profile (summarising key findings); and (ii) an evaluation insight (dedicated to a single theme).<sup>34</sup>
92. Other communication products have been tested by IOE in the past and could be used for this CSPE as well: (i) an infographic showing the highlights and the main messages of the evaluation; (ii) an event announcement for the final workshop on the web (in addition to the announcement on IFAD intranet); (iii) a media advisory kit; (iv) a press release, sent to a broad list of media and press contacts; (v) a press conference hosted at the conference center on the day of the final workshop; (vi) social media coverage (e.g., Facebook and Twitter); (vii) a short video on the evaluation findings with interviews to IOE and PMD staff, Government representative and beneficiaries in the project sites.

---

<sup>34</sup> The profile is a 1100 -word brochure capturing the main findings and recommendations. The insight focuses on one key learning issue emerging from an evaluation, with the intention of raising further attention and debate around the topic among development practitioners.

**Tentative Evaluation roadmap**

<i>Activity</i>	<i>Date</i>
Approach paper shared with ESA	26 May 2016
ESA Comments on approach paper	3 June 2016
Revised approach paper shared with Government	27 June 2016
Preparatory mission to Mozambique	11-20 July 2016
<b>Main mission</b>	<b>22 Aug - 14 Sep 2016</b>
CSPE wrap-up meeting- Maputo	14 Sept 2016
Submission to IOE peer review	30 Oct 2016
IOE Peer review	16 Nov 2016
Draft report shared with ESA and Government	22 Nov 2016
Mission to Mozambique to discuss comments with Government and prepare workshop	12-13 December 2016
Comments by ESA and the Government	30 January
CSPE National Roundtable workshop	27-28 February 2017

## Evaluation framework

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



Criterion	Guiding questions	Sources
	<p><u>Human and social capital and empowerment</u>  Observe patterns in changes in social cohesion, functioning of rural poor's organisations  Changes in the way the poor interact with authorities  Changes in the way certain categories (women, orphans, minorities) interact with others?</p> <p><u>Food security and agricultural productivity</u>  Access to food  Evidence on children's nutritional status  Reduction in seasonal fluctuation in food availability</p> <p><u>Institution and policies</u>  Consider changes in issues such as land tenure and security, protection/regulation of savings for rural poor, access to market, price information</p>	
Sustainability	<p>Consider the main benefits generated by the project and consider a scenario where external resources are going to reduce and terminate.</p> <p>Address questions such as the following:</p> <ul style="list-style-type: none"> <li>• What has been foreseen in the project design for this situation?</li> <li>• Is there political support at national/local level?</li> <li>• Will there be need for external technical assistance?</li> <li>• Are economic activities profitable?</li> <li>• Will there be resources for recurrent and maintenance costs?</li> <li>• Are there environmental threats?</li> </ul>	<p><u>Documents</u>  IFAD design, MTR, supervision, completion reports, previous evaluations.</p> <p>IFAD/Gov COSOP Self-assessment</p> <p><u>Interviews</u>: CPM, project staff,</p> <p><u>Field visits</u>: observation, individual interviews</p>
Pro-poor innovation, replication and scaling up	<p>Are there innovations in the programme (new techniques, practices, approaches)?</p> <p>Are innovations working as expected? Are they useful?</p> <p>Is the project helping expand the adoption of the innovation? How?</p> <p>Is there a plan to up-scale the innovations and, more in general, the <u>results</u> of the operations? With what type of funding?</p> <p>Are there any threats or limits to up-scale results?</p>	
Natural resources and the environment	<ul style="list-style-type: none"> <li>- Have environmental impact assessments been conducted ex ante?</li> <li>- Is there any evidence of changes in the stock of natural resources (e.g. fish, vegetation cover, soil nutrients)?</li> <li>- Have projects help reduce harmful practices (most important in the case of fisheries)?</li> <li>- Have projects strengthened the national regulatory systems and institutions in charge of implementing the same?</li> </ul>	
Climate Change	<ul style="list-style-type: none"> <li>- Is climate change proofing a relevant issue to the project context?</li> <li>- If so, did the project address climate change issues?</li> <li>- If so, are they adapted / adaptable to the local context? Are they effective? Was ASAP funding used to introduce climate change adaptation practices?</li> </ul>	
Gender equality	<ul style="list-style-type: none"> <li>- Quality of the gender analysis at design</li> <li>- Did the project addresses the three axes of the Gender Action Plan (2003) and Gender Policy (2012): (i) expand women's access to and control over fundamental assets –</li> </ul>	

Criterion	Guiding questions	Sources
	capital, land, knowledge and technologies; (ii) strengthen women's agencies – their decision-making role in community affairs and representation in local institutions; and (iii) improve women's well-being and ease their workloads by facilitating access to basic rural services and infrastructures. - How was followed up at implementation? - Results in terms of the above three axes	
<b>NON- LENDING</b>		
<b>Partnership building</b>	<u>Relevance</u> - Review objectives set in COSOP 2011 (and COSOP 2004 for comparison) - Are the objectives realistic? Are they set at the level where IFAD's programme can make a substantive contribution - Are there resources? Is there a plan of action? Are partners identified	<u>Documents</u>  COSOP Reviews
<b>Knowledge Management</b>		
<b>Policy Dialogue</b>	<u>Effectiveness</u> - Are activities and results tracked? - What progress has been made? To what extent the objectives have been achieved and why?  In the case of knowledge management, have there been experiences in south-south exchanges?	<u>Interviews</u> : CPM, Senior Government officials, project staff
<b>PERFORMANCE OF PARTNERS</b>		
IFAD  Government	A. Portfolio-level Within the area of responsibility of the two partners, look at specific issues that pertain to the design of projects, project implementation, supervision and support to implementation and self-evaluation, project management, fiduciary aspects, completion report.  B. Overall Programme level IFAD: organization and resources of the country office for programme support and for the monitoring and periodic review and assessment of the COSOP, interactions with the country programme team. <ul style="list-style-type: none"> <li>Did the supervision and implementation support arrangements perform well overall?</li> <li>Is IFAD country presence providing the right type of support to the programme?</li> <li>Did IFAD learn from past evaluations and from past experience?</li> </ul> What type of <u>technical assistance</u> and <u>capacity development</u> support was provided to the national counterpart and was it adequate?  Government: contribution to the review of the COSOP, policy support to the programme	<u>Documents</u> IFAD design, MTR, supervision, project status reports, completion reports, and previous evaluations.  IFAD/Gov COSOP Self-assessment <u>Interviews</u> : CPM, project staff, Senior Government officials
<b>COSOP PERFORMANCE</b>		
<b>Relevance</b>	1. <i>Alignment of strategic objectives in the COSOP</i> 1. Increase the access of smallholders and artisanal fishers to production factors, technologies and resources. 2. Increase access to markets for smallholders and artisanal fishers in a way that brings them equitable shares of profit. 3. Increase access to appropriate and sustainable financial services in rural areas.  <ul style="list-style-type: none"> <li>Is the intervention paradigm drawing from known good practices in Mozambique and in the East and Southern Africa region? And from evaluative evidence and lessons?</li> </ul>	<u>Documents</u> IFAD design, MTR, supervision, completion reports. IFAD/Gov COSOP Self-assessment  <u>Interviews</u> : CPM, Senior Government officials, project staff, group discussion with national sector specialists

Criterion	Guiding questions	Sources
	<ul style="list-style-type: none"> <li>• Is there a real programme in Mozambique: are projects and grants consistent with COSOP and working in synergy?</li> <li>• Are there strategic gaps?</li> <li>• Is COSOP formulation conducive to results-based management?</li> </ul> <p>2. <i>Coherence of the main element of the COSOP</i></p> <ul style="list-style-type: none"> <li>• Issues in geographic focus</li> <li>• Issues in socio-economic targeting</li> <li>• Lending – non-lending synergies within IFAD programme</li> <li>• Relations with other development partners</li> </ul>	
<b>Effectiveness</b>	<p>Achievement of the objectives</p> <p>1. Look at indicators proposed in COSOP and actual indicators in 2016 (discuss issue of attribution if indicators are too "macro")</p> <p>2. Map portfolio as well as non-lending activities that relate to COSOP indicators and summarise key findings</p>	

## List of IFAD Projects approved in Mozambique since 1979

Project ID	Project Name	Project Type <sup>35</sup>	Total Cost (in million USD) <sup>36</sup>	IFAD Fin (in million USD) <sup>37</sup>	Co-financing (in million USD)	Govt. Funding (in million USD) <sup>38</sup>	Beneficiary Contribution	Co-financier	Disbursement Rate (as of 22 Nov, 2015) <sup>39</sup>	Board Approval	Loan Effectiveness	Project Completion	Planned/ Actual Closing Date <sup>40</sup>	Current Status
93	National Programme for Food Production in Cooperative and Family Sector	Programme Loan	25.45	19.8		5.6			100%	31/03/1982	23/02/1983	30/06/1986	31/12/1986	Closed
334	Nampula Artisanal Fisheries Project	Fisheries	11.24	6.02	1.97	3.24		OFID	100%	15/09/1993	04/11/1994	30/06/2002	31/12/2002	Closed
359	Niassa Agricultural Development Project <sup>41</sup>	Rural Development	20.1	12.4	4.1	3.6		OFID	100%	20/04/1994	19/10/1994	31/12/2005	30/06/2006	Closed
440	Second Agricultural Development Project	Programme Loan	16.7	11.4	4	1.25		Netherlands , Africa Fund	100%	10/09/1987	26/04/1988	31/12/1994	31/01/1996	Closed
1005	Family Sector Livestock Development Programme	Livestock	25.67	19.4		4.2	2		100%	04/12/1996	12/02/1998	30/06/2006	31/12/2006	Closed
1109	PAMA Support Project <sup>42</sup>	Storage, processing and marketing	27.6	22.78	1	3.8		Ireland		08/12/1999	07/09/2001	30/06/2008	31/12/2008	Closed
1184	Sofala Bank Artisanal Fisheries	Rural Development	32.97	18	11.6	2.99	0.38	Germany, BSF,		12/09/2001	02/09/2002	31/03/2011	30/09/2011	Closed

<sup>35</sup> As given on IFAD website

<sup>36</sup> These amounts are the current amounts, as provided in the Flexcube system of IFAD as of 8<sup>th</sup> December 2015

<sup>37</sup> IFAD core funding as given in PPMS (now GRIPS) and IFAD website

<sup>38</sup> Both National and Local government funding

<sup>39</sup> Disbursement of funding channelized through IFAD

<sup>40</sup> In case of ongoing projects planned closing dates while in case of closed projects actual closing dates

<sup>41</sup> Financed through the erstwhile Special Fund for Sub Saharan Africa (SPA) facility in IFAD

<sup>42</sup> This is the only project for which the total financing as at the end of the project has been considered instead of the amount at approval. This is because Ireland contributed US\$ 1 million towards the project after the project was approved.

Project ID	Project Name	Project Type <sup>35</sup>	Total Cost (in million USD) <sup>36</sup>	IFAD Fin (in million USD) <sup>37</sup>	Co-financing (in million USD)	Govt. Funding (in million USD) <sup>38</sup>	Beneficiary Contribution	Co-financier	Disbursement Rate (as of 22 Nov, 2015) <sup>39</sup>	Board Approval	Loan Effectiveness	Project Completion	Planned/ Actual Closing Date <sup>40</sup>	Current Status
Project							Norway							
1267	Rural Finance Support Programme	Credit and Financial Services	34.3	9.45	22.6 (incl. domestic co-financing of 0.8 million)	1.9	0.27	AfDB, African Development Fund		17/12/2003	31/08/2005	30/09/2013	31/03/2014	Closed
1326	PRONEA Support Project	Agriculture Development	25.2	19.9	2.5	2.3	0.45	EU, Private Sector	53.9%	20/04/2006	25/11/2007	31/12/2017	30/06/2018	Ongoing
1423	Rural Markets Promotion Programme	Rural Development	74.2	56.1 (incl. 2015 top-up)	18.1	5.1	3.05	EU	67.99%	11/09/2008	26/04/2009	30/06/2019	31/12/2019	Ongoing
1517	Artisanal Fisheries Promotion Project	Agriculture Development	56.4	21.09	30.9	4.4		EU, OFID	45.02%	15/12/2010	24/03/2011	31/03/2018	30/09/2018	Ongoing
1618	Pro-Poor Value Chain Development in the Maputo and Limpopo Corridors	Agriculture Development	44.94	22.72 (including ASAP funding)	18.3	2.4	1.3	Spanish Trust Fund (through IFAD), UNCDF, Local Pvt. Sector	14.08%	21/09/2012	03/10/2012	31/12/2019	30/06/2020	Ongoing

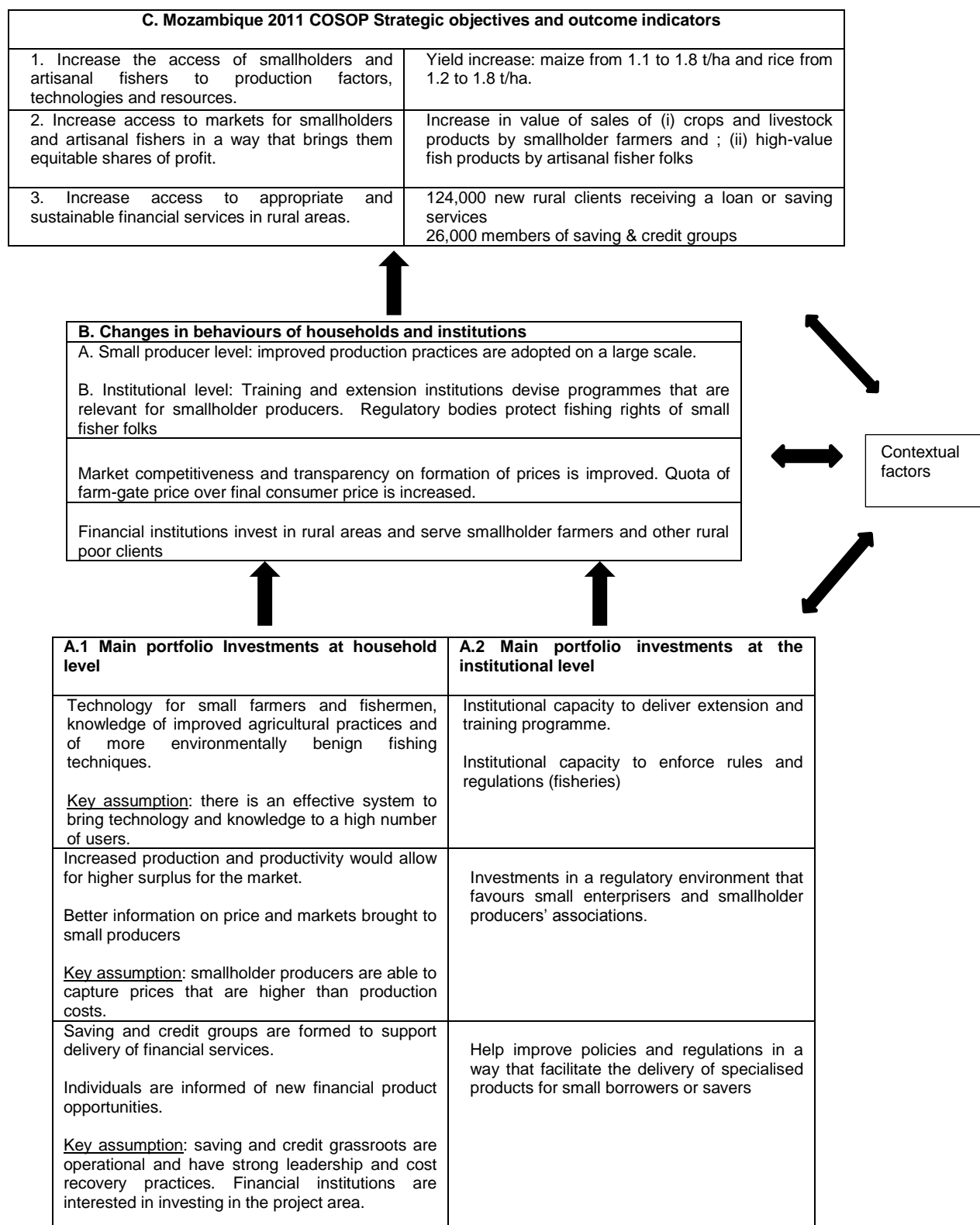
## List of regional and global IFAD-funded grants with activities in Mozambique since 2010

<i>Grant ID</i>	<i>Grant Title</i>	<i>Grant Recipient</i>	<i>Amount</i>	<i>Year of Approval</i>	<i>Focus countries</i>	<i>Completion date</i>	<i>Closing date</i>
1248	Network for Enhanced Market Access by Smallholders (NEMAS)	PICO Knowledge Net Ltd.	1,500,000	2010		30/06/2014	31/12/2014
1309	Understanding the Adoption and Application of Conservation Agriculture in Southern Africa	International Maize and Wheat Improvement Center	750,000	2011	Malawi, Mozambique, Zimbabwe and Zambia	30/06/2014	31/12/2014
1330	Rural finance knowledge management partnership (KMP) - Phase III	African Rural and Agricultural Credit Association	1,500,000	2011	All ESA countries	30/06/2015	31/12/2015
1331	IFADAfrica Regional Knowledge Network - Phase II	PICO Knowledge Net Ltd.	1,800,000	2011	All ESA countries	31/12/2015	30/06/2016
1364	Programme for Technical and Capacity Strengthening for Country-level Strategic Analysis and Knowledge Support Systems (SAKSS) in Selected African Countries	International Food Policy Research Institute	1,600,000	2012	Benin, Cameroon, Democratic Republic of the Congo, Kenya, Mali, Senegal, Uganda; as well as in Ethiopia, Ghana, Mozambique and Rwanda.	31/12/2016	30/06/2017
1370	Programme for Scaling up Biological Control of the Diamondback Moth on Crucifers in East Africa to Other African Countries	International Center of Insect Physiology and Ecology	1,000,000	2012	Malawi and Mozambique	31/03/2016	30/09/2016
1372	Programme for Alleviating Poverty and Protecting Biodiversity	Phytotrade Africa Trust	1,500,000	2012	Botswana, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia and Zimbabwe	30/06/2015	31/12/2015
1395	Strengthening Country level Agricultural Advisory Services in the target countries of Burkina Faso, Malawi, Mozambique, Sierra	African Forum for Agricultural Advisory Services	1,000,000	2012	Burkina Faso, Malawi, Mozambique, Sierra Leone and Uganda	31/12/2014	30/06/2015

<i>Grant ID</i>	<i>Grant Title</i>	<i>Grant Recipient</i>	<i>Amount</i>	<i>Year of Approval</i>	<i>Focus countries</i>	<i>Completion date</i>	<i>Closing date</i>
Leone and Uganda							
1407	Support to Farmers' Organizations in Africa Programme (SFOAP) – Main Phase	Southern African Confederation of Agricultural Unions	500,000	2012		21/12/2017	30/04/2018
1412	Plantwise, a country-based approach to improving farmer livelihoods through reduced crop losses and increased productivity	Centre for Agricultural Bioscience International	1,400,000	2012	Mozambique, Rwanda and Uganda	31/03/2016	30/09/2016
1206	Africa-Brazil Agricultural Innovation Marketplace	Fundação Arthur Bernardes	500,000	2010	Mozambique, Kenya, Togo, Burkina Faso, Tanzania, Ghana, Ethiopia	31/01/2012	22/10/2012
1325	Land and Natural Resource Tenure Security Learning Initiative for East and Southern Africa (TSLI – ESA)	United Nations Human Settlements Programme	200,000	2011	Kenya, Eritrea, Madagascar, Mozambique, Rwanda, Malawi, Swaziland, Tanzania, Ethiopia, Lesotho, South Africa	30/06/2013	31/01/2014
2000000121	Supporting small-scale food producers' organizations in the promotion and implementation of the VGs	Associazione Italiana per l'Agricoltura Biologica	350,000	2013	Mozambique, Argentina, Nicaragua, Nepal.	17/01/2016	17/10/2016
2000000141	A global partnership to promote local sustainable food systems that include small farmers and indigenous organizations	Slow Food International	500,000	2013	Brazil, Bolivia, Sao Tomé, Peru, Colombia, Argentina, Mozambique and Uganda.	03/12/2015	03/04/2016
2000000167	Understanding changing land issues for poor rural people in sub-Saharan Africa	International Institute for Environment and Development	325,000	2013	Ghana, Mali, Mozambique and Uganda.	31/03/2016	30/09/2016



## Simplified mapping of the logical chain of the 2011 Mozambique COSOP



Source: Elaboration of IOE, based on the 2011 Mozambique COSOP document

## Achievements on Millennium Development Goals – Mozambique

Millennium Development Goal	Targets	Indicator	1997	2003	2009
MDG 1 : Eradicate Extreme Poverty and Hunger	Reduce to half, by 2015, the proportion of people living under extreme poverty	Proportion of poor living below the national poverty line	69.4	54.1	54.7
		Poverty gap ratio	29.3	20.5	21.3
	Reduce to half, by 2015, the proportion of people who suffer from hunger	Rate of moderate and severe acute malnutrition/Wasting	7.9%	5%	4%
		Rate of moderate and severe chronic malnutrition/Stunting	35.9%	47.7%	44%
MDG 2: Achieve Universal Primary Education	Ensure that , by 2015, all boys and girls will be able to complete a full course of primary schooling	Adult Literacy Ratio	39.5%	46.4%	46.9%
		Primary Education Completion Rate	22%	38.7%	77.1%
MDG 3: Promote Gender Equality and Empower Women	Eliminate, preferably by 2005, gender disparity in primary and secondary education, and by 2015 in all levels of education	Women Illiteracy Rate	71.4%	68.8%	56%
		Ratio of girls to boys in 1 <sup>st</sup> level primary education	0.71	0.83	0.9
MDG 4: Reduce Child Mortality	Reduce by two thirds, by 2015, the under-five mortality rate	Under-five mortality rate (per 1000 live births)	245.3	154	138
		Rate of infant mortality (0-1 years per thousand births)	143.7	101	93
MDG 5: Improve Maternal Health	Achieve, by 2015, universal access to reproductive health	Proportion of births attended by skilled health personnel	44.2%	47.7%	54.3% (2011)*
	Reduce by three quarters, by 2015, the maternal mortality ratio	Maternal Mortality Rate	692	-	408 (2011)*
MDG 6: Combat HIV/AIDS, Malaria and Other Diseases	Have halted, by 2015, and begun to reverse the spread of HIV/AIDS	Rate of Prevalence of HIV/AIDS among adults	8.6%	9.3%	11.5%
		Prevalence of HIV among pregnant women	11%	12.9%	-
MDG 7: Ensure Environmental Sustainability	Reduce to half, by 2015, the number of people without access to safe drinking water and sanitation	Proportion of population with access to an improved water source	-	35.7%	52.5%*
		Proportion of population with access to an improved sanitation	-	40%	45%

Source: Report on Millennium Development Goals, Ministry of Planning and Development 2010, Inquérito Demográfico e de Saúde, INE 2011

\* Inquérito Demográfico e de Saúde 2011 was used as the source for these figures

## **Bibliography and references**

### **IFAD DOCUMENTATION**

#### **Project related Documentation**

A comprehensive list of project documents for the CPE team to review will be developed by IOE.

#### **IFAD Strategy/Policy**

Evaluation Manual, Second Edition, 2015

Gender equality and women's empowerment Policy – 2012.

IFAD Partnership Strategy – 2012.

Evaluation policy – 2011

Private Sector Policy – 2011.

Environment and natural resource management Policy – 2011.

Strategic Framework, 2007-2010; 2011-2015

Country presence policy and strategy-2011

Climate change strategy- 2010

Rural finance policy – 2000 and 2009 update

Engagement with indigenous peoples- 2009

Improving access to land and tenure security- 2008

Innovation strategy – 2007

Knowledge management strategy –2007

Supervision and Implementation support -2007

Anti-corruption policy – 2005

Rural enterprise policy – 2004

Country Strategy & Opportunities Papers ( COSOPs) Mozambique- 2011

#### **Evaluations Documents, IOE**

IOE (2010), Country Programme Evaluation of Republic of Mozambique, International Fund for Agricultural Development, Rome, Italy

IFAD's Performance with regard to Gender Equality and Women's Empowerment, 2010

Independent External Evaluation of the IFAD, 2005

#### **IFAD Documentation**

Project Documentation for loans included in the CPE, including but not limited to Design Reports, President Reports, Financing Agreements, Mid Term Reviews, Supervision Reports, Progress Reports, Project Completion reports and any studies or papers associated with the programme.

#### **Government of Mozambique policies and strategies**

National Strategy for Development (ENDE) 2015-20135

Poverty Reduction Plan (2011-2014)

Strategic Plan for the Development of the Agricultural Sector (PEDSA),2011-2020

Fisheries Master Plan (2010-2019)

INE (2011), Inquérito Demográfico e de Saúde, Instituto Nacional de Estatística, Maputo, Mozambique

MPD (2013), Aid Coordination and Effectiveness in Mozambique, Ministry of Planning and Development, Maputo, Mozambique

Ministerio das Pescas (2014), Artisanal Fisheries and Climate Change Project Process Framework, Ministerio das Pescas, Maputo, Mozambique

## **OTHER SOURCES**

AEO (2014), African Economic Outlook – Mozambique 2014, African Economic Outlook

FAO (2015), FAOSTAT, Food and Agriculture Organization of the United Nations, Rome, Italy

Finmark Trust (2014), Finscope Consumer Survey Mozambique 2014, Finmark Trust, Johannesburg, South Africa

FSDMo (2015), Opportunities to Improve Financial Inclusion in Mozambique, Financial Sector Deepening Mozambique, Maputo, Mozambique

IFPRI (2012), Tenure (In)security and Agricultural Investment of Smallholder Farmers in Mozambique, International Food Policy Research Institute, Washington D.C, USA

IFPRI (2014), Assessing Progress Made toward Shared Agricultural Transformation Objectives in Mozambique, International Food Policy Research Institute, Washington D.C, USA

IMF (2014), Mozambique Rising, International Monetary Fund, Washington D.C, USA

INE (2010), Censo Agro – Pecuário 2009 – 2010, Instituto Nacional de Estatística, Maputo, Mozambique

OECD (2015), OECDSTAT, Organisation for Economic Co-operation and Development, Paris, France

USAID (2010), Competitiveness of Mozambique's Fisheries Sector USAID, United States Agency for International Development, Washington D.C, USA

World Bank (2014), Generating Sustainable Wealth from Mozambique's Natural Resource Boom, World Bank, Washington D.C, USA

World Bank (2015), World Bank Databank, World Bank, Washington D.C, USA

World Bank (2015), Agricultural Sector Risk Assessment in Mozambique, World Bank, Washington D.C, USA

UNDP (2015), Human Development Report, United Nations Development Programme, New York, USA