

Results and Impact Management System
RIMS

FIRST AND SECOND LEVEL RESULTS
HANDBOOK

February 2011

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Introduction

The Results and Impact Management System (RIMS) is the framework adopted by IFAD for measuring and reporting the results and impact of the projects¹ it finances.

This Handbook has been prepared to assist project managers and staff in the reporting of RIMS first- and second-level results. It clarifies the definitions of indicators, and suggests approaches for their measurement. The clarification of the indicators has resulted in a slightly revised list of indicators - redundancies have been eliminated and a few have been dropped. Most importantly, where suitable, a household-centred formulation of the indicators was introduced to provide a better measure of project outreach.

A rating-based approach for reporting second-level results has been introduced. The ratings should be supported by a flexible mix of evidence, gathered through qualitative and/or quantitative methodologies, including RIMS second level indicators. Projects should therefore choose the most suitable method for measuring second-level results based on local context and characteristics, including that of partner countries' existing monitoring and evaluation systems. The rating-based approach also better aligns RIMS reporting with supervision and evaluation processes.

This Handbook provides methodological and operational suggestions on how to report first- and second-level results. However, it does not aim at guiding the setting up or management of project monitoring and evaluation (M&E) activities. IFAD's *A Guide for Project M&E* can be consulted for this purpose.

The Handbook is organized in five sections:

- Section One describes the *RIMS overall rationale*, the guiding principles, features and concepts.
- Section Two describes how *RIMS indicators should be selected*.
- Section Three provides guidance on each *first-level indicator* including definitions and operational aspects related to reporting. Tips are included at the end of this section to address methodological issues that are common to several indicators.
- Section Four provides guidance in *formulating assessments of second level results* (and includes *RIMS second-level indicators* where appropriate). Tips are also included at the end of this section.
- Section Five describes the *reporting process*, including sample report forms.

1 The term "project" is used to denote loan- and grant-financed investment projects and programmes.

Frequently Asked Questions

Does the list of first-level indicators presented in this Handbook replace the previous one?

Yes. Compared to the previous list, a few indicators have been added and the presentation of indicators has been re-organised. For example, “people trained” has been replaced by a set of indicators under one of the broad categories (i.e. people trained in natural resources management, people trained in infrastructure management) or the training recipient (staff of service providers trained, staff of financial institutions trained). A few indicators have been modified and where possible, a household-centred approach has been introduced (i.e. households receiving animal health services, instead of animals vaccinated).

What if RIMS first-level indicators do not cover all activities and outputs that are relevant for my project?

The list of first-level indicators cannot be comprehensive of all activities and outputs of all projects. Choose only first-level indicators that are relevant to the project characteristics.

Are there any compulsory first-level indicators?

Yes. At least one indicator that shows the number of individuals and households that during the period under review have received project services should be reported.

Do all indicators under a given category need to be reported?

No, the indicators have been categorised for ease of reference. For a given component, relevant indicators may be found in any of the categories used in this Handbook.

Should first level indicators continue to be reported on the RIMS form if they have been dropped?

No, but the data collected may prove useful for the project M&E.

What if there are no planned or appraisal target figures?

If targets are not available, NA should be reported. However, planning for results is necessary for project accountability and is an important element of the M&E system. The Logframe may need to be revised so that indicators and appraisal targets are established.

What happened to the RIMS second-level indicators?

The RIMS second-level indicators can be used as supporting evidence for assessing whether second-level results have been achieved.

Why is achievement of second-level results reported with a rating?

Ratings have been introduced in order to allow projects to report achievement of second-level results in a flexible manner by using project-specific indicators and any other evidence available. Assessments allow information from other sources, in particular national systems, to be used. Ratings also align RIMS with other evaluative instruments such as Project Completion Reports and formal evaluations.

How about the risk that rating may be too subjective?

The rating should reflect a realistic and candid assessment of project results. The rating should be given by as wide a group of stakeholders as possible and may be validated during supervision missions and project reviews.

Who should rate the 2nd level results?

Unless IFAD and the project agree on a different arrangement, the rating of second-level results should be done by the project.

When should second-level results be reported?

Second-level results should be reported after the Mid-Term Review. The rating should then be updated annually on the basis of the new evidence and information available. Second-level results can also be reported earlier if evidence is available. This is likely to occur not before PY 3.

What are the implications of a low rating for a second-level result?

A low rating does not imply that the project management is not committed to achieve the development objectives. Lower-than-expected results should be used to identify corrective actions to address the immediate problems and increase the likelihood that development objectives will be achieved.

What if the M&E system does not include indicators for assessing RIMS second-level results?

This may imply that outcome-level indicators need to be included in the project M&E system. Consider reviewing the project Logframe in the next annual planning phase so that appropriate indicators can be included in the M&E system.

How is the supporting evidence for second level results submitted?

When the RIMS form is submitted (normally an Excel workbook), the supporting evidence used for assessing second-level results should be included in an additional worksheet or separate text document(s). Clear indications of the methodology and source should be provided. The supporting evidence should be in summary form. Where studies or surveys have been carried, it is not necessary to submit the entire study/survey but clearly reference these as source material. The evidence may include RIMS second level indicators which should be reported as evidence under the relevant second level result.

Who is in charge of preparing the RIMS reporting form?

The responsibility to fill out the RIMS form and send it to IFAD rests with the project staff.

When should the RIMS form be sent to IFAD?

The deadline for submission of the RIMS form is 31 March.

To what period do RIMS results refer?

RIMS results refer to the period of the Annual Work Plan and Budget (e.g. January to December or July to June). The calendar period and the project year (PY 1, PY 2, etc.) should be specified in the reporting form.

Overview of RIMS First- and Second-Level Results

| 1 ST LEVEL RESULTS | | 2 ND LEVEL RESULTS | |
|---|---|-------------------------------|--|
| Natural resources (land and water) | | | |
| 1.1.1 | People trained in infrastructure management (*) | 2.1.1 | Likelihood of sustainability of the groups managing infrastructure formed and/or strengthened <ul style="list-style-type: none"> • Number of groups operational/functional |
| 1.1.2 | Groups managing infrastructure formed and/or strengthened | | |
| 1.1.3 | People in groups managing infrastructure (*) | 2.1.2 | Effectiveness of productive infrastructure <ul style="list-style-type: none"> • Percentage of delivered vs. required water • Number of farmers with secure access to water • Incremental hectares of crop grown |
| 1.1.4 | Groups managing infrastructure with women in leadership positions | | |
| 1.1.5 | Land under irrigation schemes constructed or rehabilitated | 2.1.3 | Likelihood of sustainability of productive infrastructure <ul style="list-style-type: none"> • Number of functioning infrastructure • Number of farmers with secure access to water resources • Number of fishers with secure access to resource base • Number of fishing pond operational after three years |
| 1.1.6 | Livestock water points constructed or rehabilitated | | |
| 1.1.7 | Rainwater harvesting systems constructed or rehabilitated | 2.1.4 | Likelihood of sustainability of the NRM groups formed and/or strengthened <ul style="list-style-type: none"> • Number of groups operational/functional |
| 1.1.8 | Fish ponds constructed or rehabilitated | | |
| 1.1.9 | People trained in NRM (*) | 2.1.5 | Effectiveness of NRM and conservation programmes <ul style="list-style-type: none"> • Hectares of land improved through soil/water conservation methods |
| 1.1.10 | Groups involved in NRM formed/strengthened | | |
| 1.1.11 | People in NRM groups (*) | 2.2.1 | Effectiveness: Improved performance of service providers <ul style="list-style-type: none"> • Operational self-sufficiency |
| 1.1.12 | NRM groups with women in leadership positions | | |
| 1.1.13 | Environmental management plan formulated | 2.2.2 | Effectiveness: Improved agricultural and livestock production <ul style="list-style-type: none"> • Number of farmers reporting production/yield increase • Number of farmers adopting recommended technologies • Number of small farmers reporting increased herd size • Number of fishers adopting recommended technologies |
| 1.1.14 | Land under improved management practices | | |
| 1.1.15 | New Other productive infrastructure constructed/rehabilitated | 2.2.3 | New Likelihood of sustainability of the agri/ livestock production groups formed and/or strengthened <ul style="list-style-type: none"> • New Number of groups operational/functional |
| Agricultural technologies and production | | | |
| 1.2.1 | Staff of service providers trained (*) | 2.2.3 | New Likelihood of sustainability of the agri/ livestock production groups formed and/or strengthened <ul style="list-style-type: none"> • New Number of groups operational/functional |
| 1.2.2 | People trained in crop production practices and technologies (*) | | |
| 1.2.3 | People trained in livestock production practices and technologies (*) | 2.3.1 | Likelihood of sustainability of the credit/saving groups formed/strengthened <ul style="list-style-type: none"> • Number of groups operational/functional |
| 1.2.4 | People trained in fish production practices and technologies (*) | | |
| 1.2.5 | People accessing facilitated advisory services (*) | 2.3.2 | Effectiveness: Improved access of the poor to financial services |
| 1.2.6 | Households receiving animals from distribution and/or restocking | | |
| 1.2.7 | Households receiving facilitated animals health services | 2.3.3 | Sustainability: Improved performance of the financial institutions <ul style="list-style-type: none"> • Portfolio at risk • Operational self-sufficiency • Active borrowers/personnel • Operating expenses ratio |
| 1.2.8 | New Crop/livestock production groups formed/strengthened | | |
| 1.2.9 | New People in Crop/ livestock production groups (*) | 2.3.1 | Likelihood of sustainability of the credit/saving groups formed/strengthened <ul style="list-style-type: none"> • Number of groups operational/functional |
| 1.2.10 | New Crop/ livestock production groups with women in leadership positions | | |
| Rural financial services | | | |
| 1.3.1 | Savings and credit groups formed and/or strengthened | 2.3.1 | Likelihood of sustainability of the credit/saving groups formed/strengthened <ul style="list-style-type: none"> • Number of groups operational/functional |
| 1.3.2 | People in savings and credit groups formed/strengthened (*) | | |
| 1.3.3 | Savings and credit groups with women in leadership positions | 2.3.2 | Effectiveness: Improved access of the poor to financial services |
| 1.3.4 | Financial institutions participating in the project | | |
| 1.3.5 | Staff of financial institutions trained (*) | 2.3.3 | Sustainability: Improved performance of the financial institutions <ul style="list-style-type: none"> • Portfolio at risk • Operational self-sufficiency • Active borrowers/personnel • Operating expenses ratio |
| 1.3.6 | Voluntary savers (*) | | |
| 1.3.7 | Value of voluntary savings | 2.3.1 | Likelihood of sustainability of the credit/saving groups formed/strengthened <ul style="list-style-type: none"> • Number of groups operational/functional |
| 1.3.8 | Active borrowers (individuals) (*) | | |
| 1.3.9 | Active borrowers (enterprises) | 2.3.2 | Effectiveness: Improved access of the poor to financial services |
| 1.3.10 | Value of gross loan portfolio (individuals) | | |
| 1.3.11 | Value of gross loan portfolio (enterprises) | 2.3.3 | Sustainability: Improved performance of the financial institutions <ul style="list-style-type: none"> • Portfolio at risk • Operational self-sufficiency • Active borrowers/personnel • Operating expenses ratio |
| 1.3.12 | People trained in financial service (*) | | |

Overview of RIMS First- and Second-Level Results

| Markets | | |
|--|--|---|
| 1.4.1 | People trained in post-production, processing and marketing (*) | 2.4.1 Effectiveness: producers benefiting from improved markets access <ul style="list-style-type: none"> Number of farmers using purchased inputs Number of fishers using purchased inputs |
| 1.4.2 | Roads constructed/rehabilitated | 2.4.2 Likelihood of sustainability of the roads constructed/rehabilitated <ul style="list-style-type: none"> Number of functioning infrastructure |
| 1.4.3 | Market facilities constructed and/or rehabilitated | 2.4.3 Likelihood of sustainability of market, storage, processing facilities <ul style="list-style-type: none"> Number of functioning market, storage, processing facilities |
| 1.4.4 | Marketing groups formed and/or strengthened | 2.4.4 Likelihood of sustainability of the marketing groups formed and/or strengthened <ul style="list-style-type: none"> Number of groups operational/functional |
| 1.4.5 | People in marketing groups (*) | |
| 1.4.6 | Marketing groups with women in leadership positions | |
| 1.4.7 | New Processing facilities constructed and/or rehabilitated | |
| 1.4.8 | New Storage facilities constructed and/or rehabilitated | |
| Enterprise development and employment | | |
| 1.5.1 | People trained in Income Generating Activities (*) | 2.5.1 Effectiveness: creation of employment opportunities <ul style="list-style-type: none"> Number of jobs generated by small and medium enterprises |
| 1.5.2 | People receiving vocational training (*) | |
| 1.5.3 | People trained in business and entrepreneurship (*) | 2.5.2 Likelihood of sustainability of enterprises <ul style="list-style-type: none"> Number of enterprises operating after three years |
| 1.5.4 | Enterprises accessing facilitated non-financial services | |
| 1.5.5 | Enterprises accessing facilitated financial services | |
| Policy and community programming | | |
| 1.6.1 | Government officials/trained (*) | 2.6.1 Effectiveness: promotion of pro-poor policies and institutions <ul style="list-style-type: none"> Number of pro-poor legislation and regulations enforced at the local or central level Number of households with long-term tenure security of natural resources Number of enabling policies promulgated |
| 1.6.2 | People trained in community management topics (*) | 2.6.2 Effectiveness: community development <ul style="list-style-type: none"> Number of community action plans included in local government plans Number of community project implemented |
| 1.6.3 | Community workers and volunteers trained (*) | |
| 1.6.4 | Community groups formed/strengthened | 2.6.3 Likelihood of sustainability of the community groups formed and/or strengthened <ul style="list-style-type: none"> Number of groups operational/functional |
| 1.6.5 | People in community groups formed/strengthen. (*) | |
| 1.6.6 | Community groups with women in leadership positions | |
| 1.6.7 | Village/Community plans formulated | |
| 1.6.8 | People accessing development funds (*) | 2.6.4 Likelihood of sustainability of the apex organisation |
| 1.6.9 | Apex organisations formed/strengthened | |
| Social Infrastructure | | |
| 1.7.1 | Schools constructed/rehabilitated | 2.7.1 Effectiveness of social infrastructure <ul style="list-style-type: none"> Number of households served by wells |
| 1.7.2 | Health centres constructed/rehabilitated | |
| 1.7.3 | Drinking water systems constructed/rehabilitated | 2.7.2 Likelihood of sustainability of social infrastructure <ul style="list-style-type: none"> Number of functioning infrastructure, school, health centres Number of community projects functional |
| 1.7.4 | Other infrastructure/facilities constructed and/or rehabilitated | |
| 1.7.5 | New Groups managing social infrastructure formed and/or strengthened | |
| 1.7.6 | New People in groups managing social infrastructure(*) | 2.7.3 New Likelihood of sustainability of the groups managing social infrastructure formed and/or strengthened <ul style="list-style-type: none"> New Number of groups operational/functional |
| 1.7.7 | New Groups managing social infrastructure with women in leadership positions | |
| Total Outreach | | |
| 1.8.1 | Individuals receiving project services (*) | |
| 1.8.2 | Households receiving project services | |
| 1.8.3 | New Groups receiving project services | |
| 1.8.4 | New Communities receiving project services | |

(*) Indicators reported on a sex-disaggregated basis and, where relevant, differentiation between indigenous/non-indigenous peoples should be introduced

Designations of New indicates changes from the 2007 Handbook.

Section One: Guiding Principles

Background

1.1. During the 2003 Governing Council, IFAD was requested to adopt a system for measuring and reporting the results and impact achieved by the projects it finances. As a response, IFAD developed the Result and Impact Management System (RIMS). The system looks at three level of results:

- First Level Results correspond to the project activities and outputs.
- Second Level Results relate to project outcomes.
- Third Level Results link to project impact. In recognition of IFAD's commitment to the Millennium Development Goals (MDGs), the RIMS framework includes two mandatory indicators -- child malnutrition and household assets -- that can be used to measure IFAD's contribution to the first MDG that is eradicate to "extreme poverty and hunger".

Results-Based Management and RIMS

1.2. Results-based management (RBM) is a management approach applicable to the private and public sectors. It is based on the idea that commitment to achieve intended results should guide the management strategy and the implementation of activities. In order to ensure that results are achieved, performance against stated objectives has to be continuously monitored. Lessons based on experience have to be applied in order to address shortcomings and increase the likelihood that expected results will be achieved.

Box 1: Results Chain Terminology

| | |
|--|--|
|  | <p>Inputs: the financial, human and material resources necessary to produce the intended outputs of a project.</p> <p>Activities: actions taken or work performed in a project to produce a specific output by using inputs such as funds, technical assistance and other types of resources.</p> <p>Outputs: tangible immediate results that are produced through the implementation of activities.</p> <p>Outcomes: short-term and medium-term effects of an intervention's outputs.</p> <p>Impact: long term positive and negative effects produced by a development intervention.</p> |
|--|--|

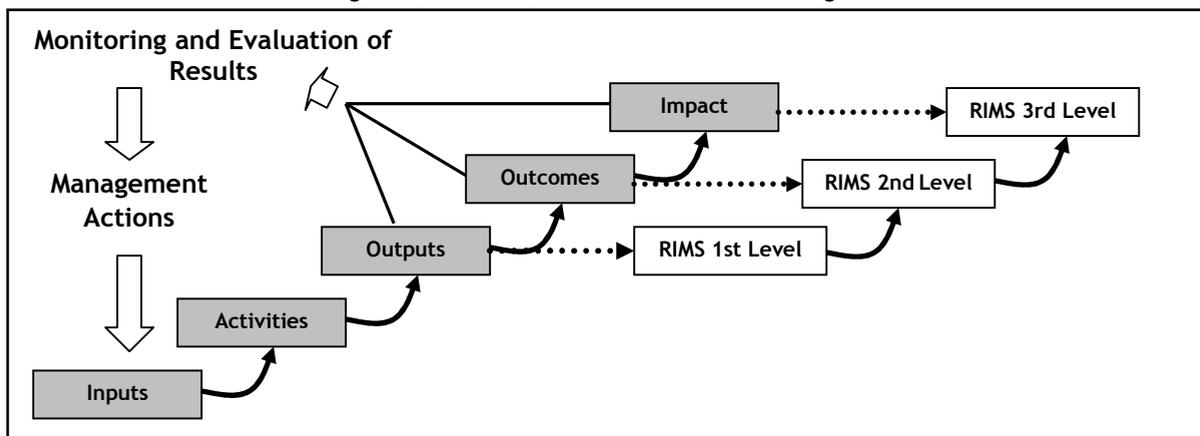
1.3. In the context of development projects, the concept of a results chain is at the core of RBM. The result chain shows the casual relationship among inputs, activities, outputs, outcomes and impact over time (see Figure 1). The rationale behind RBM is that the management strategy focuses on intended impact, outcomes and outputs and then identifies the inputs and activities required to achieve them². Information on project performance towards intended outputs, outcomes and impact should be used to suggest adjustments and improvements at the level of input and activities.

1.4. A monitoring and evaluation (M&E) system must therefore be in place that can assess how the project is performing with respect to expected outputs, outcomes and impact.

1.5. As shown in Figure 1, the RIMS hierarchy of results (first, second and third level) is aligned with the project results chain. This facilitates the integration of RIMS in the project M&E system and its contribution to RBM. Both RBM and RIMS require rigorous planning of targets and objectives as well as regular monitoring and reporting of project results.

2 See CIDA "RBM Handbook on Developing Results Chain <http://www.acdi-cida.gc.ca/CIDAWEB/acdicida.nsf/En/EMA-218132532-PN9>. The Asian Development Bank report "An Introduction to Results Management" explains the principles of RBM in development organisations <http://www.adb.org/documents/guidelines/mfdr/introduction-to-results-management/>

Figure 1: Result Chain and Results Based Management



RIMS Hierarchy of Results

1.6. The words “result” and “indicators” are sometimes used interchangeably; however, **an indicator is not a result**. Indicators are the instruments used to assess whether a result has been achieved (see Box 2). Several indicators may need to be analyzed in order to assess whether a given result has been achieved.

1.7. As shown in Figure 1, **first-level results** correspond to project outputs. These results are generally planned and implemented on an annual basis. Project outputs can be measured through simple quantitative indicators. For example, the indicator “Number of people trained in livestock production” provides the necessary information for assessing the output of a training programme during a given period: namely how many people have been trained. However, this indicator does not provide information on whether the training succeeded in transferring knowledge to the participants on a given topic (animal feeding), or whether it contributed to improved production technologies. These changes correspond to the subsequent step of the result-chain, namely project outcomes.

Box 2: Results and Indicators

| | |
|---|---|
|  | <p>Results are the changes, intended or unintended, positive or negative, of a development intervention. Results may refer to the outputs, outcome or impact level.</p> <p>Indicators are the instruments used for measuring whether a result has been achieved. Two types of indicators can be used.</p> <ul style="list-style-type: none"> ➤ Quantitative indicators have a numerical or percentage value. Examples include: the number of farmers reporting increase in yields, the percentage of female members in an organisation. ➤ Qualitative indicators deal with perceptions, judgements or attitudes and are particularly useful for understanding stakeholders’ views, interests and priorities. Example of qualitative indicators include: degree of women’s ability to manage resources, perceived effectiveness of a training programme. |
|---|---|

1.8. **Second-level results** refer to the project outcomes. These correspond to “*what happen next*” to households, individuals, groups, communities, or institutions after the implementation of project activities and achievement of outputs. Measuring outcomes means analyzing changes in the behaviors of households and individuals, changes in the performance of groups and institutions, etc. These changes are very context specific and depend on the characteristics and objectives of the project. Various methods can be employed for measuring these changes, including studies, participatory approaches, questionnaire-based surveys, focus group discussions, etc.

1.9. Second-level results are included in the RIMS framework in the form of assessments. These look at the extent to which a given project activity was successful in reaching specific outcomes – **assessment of effectiveness** – and at the extent to which the benefits are likely to be sustainable after the end of project support – **assessment of sustainability**.

1.10. RIMS second-level results can be measured by a flexible mix of methods and indicators. These should be chosen by each project on the basis of the country and project context. Any evidence and indicators, either of qualitative or quantitative nature, that is available at project level, can be used.

1.11. RIMS **second-level indicators** can also prove useful to assess whether second-level results are being achieved.

1.12. **Third-Level Results** correspond to project impact. In RIMS, two mandatory indicators for assessing third-level results are used: incidence of child malnutrition and household assets ownership. This Handbook does not deal with third-level results. The suggested methodology for carrying surveys to measure RIMS third-level results can be found in *RIMS Practical Guidance for Impact Surveys*, available at: www.ifad.org/operations/rims.

RIMS and the M&E system

1.13. The M&E system consists of a set of key interrelated processes described in Box 3.³ In a well-functioning M&E system, all these processes need to be in place.

Box 3: Key Processes Related to the M&E System

| | |
|---|---|
| 1. Planning | The process of setting up project objectives, deciding the time needed to achieve them, how, and by whom, is the first necessary element of a project M&E system. |
| 2. Identification of performance questions | This phase specifies what information should be collected in order to respond to the knowledge demand expressed by project stakeholders. This implies specifying what information has to be collected, when, for what reason, how this is expected to be used, etc. |
| 3. Data collection | This phase relates to the collection of data needed to respond to the performance questions formulated by project stakeholders. Data should then be stored and processed in order to be used for analysis. |
| 4. Data analysis | The information is analyzed, clarified and organized in order to assess whether results have been achieved, identifying best/worst practices and pointing out correlations and changes that have occurred over time at the level of individuals, households, communities or institutions. |
| 5. Communication | The results of the analysis are communicated to stakeholders concerned: government, funding agencies, beneficiaries, implementing partners, donors, managers, etc. M&E findings can be reported in various ways: written reports, audio-visual techniques, workshops, brochures. |

1.14. RIMS is a component of the M&E system, aligned with the key processes of a well-functioning M&E system, and *not a substitute for the project M&E system*. RIMS does not attempt to encompass all the information requirements and performance questions associated with a well managed project.

1.15. Project planning relates to two important management instruments: the Logframe and the Annual Work Plan and Budget (AWPB).

1.16. The **Logical Framework** (or Logframe) is a summary presentation of the project objectives at different levels. It sets out the critical assumptions underlying the entire design model and the indicators that will help determine whether the objectives have been met. The Logframe shows the cause-effect relationship between project development objective, outcomes, outputs and activities. RIMS indicators can be used in the Logframe as “verifiable indicators” for measuring progress towards expected results.⁴

1.17. The **AWPB** is the outcome of the annual project planning process. Through annual work planning, the project decides what activities will be carried out over the next 12 months, by whom, the resources and the time needed to complete them. The AWPB is therefore a planning and management tool that specifies what is expected to be done during the year, how and at what cost. In the AWPB, the annual planned RIMS first-level results should be specified.⁵

1.18. The planning phase of M&E is a necessary condition for good management, and in particular RBM. The comparison of actual to planned (or expected) results provides the basis for reflecting on project performance. Based on this figure, project management may undertake corrective actions (e.g. awareness campaigns, training initiatives for enhancing capabilities of service providers) aimed at broadening the outreach of the training programme. The planning of results should be undertaken prior to the implementation of project activities

RIMS, M&E and information collection

1.19. In order to assess whether first-level results have been achieved, a suitable system for gathering and managing information on project outputs needs to be included in the M&E activities. This may require the identification of information exchange systems between the project management and service providers or other stakeholders. For example, in order to access information on the number of

³ IFAD’s *Guide to Project M&E* provides a thorough analysis of each of these phases.

⁴ See section 3.3 of the *Guide to Project M&E*.

⁵ See section 3.5 of the *Guide to Project M&E*.

households receiving the project-sponsored vaccination services, a system of data exchange between project management and the veterinary or animal health centres responsible for the vaccination programme should be established. Data on the number of active borrowers should be collected from the microfinance institutions or the banks participating in the project lending programme.

1.20. In order to assess RIMS second-level results, studies, participatory and/or questionnaire-based data collection methods can be employed. For example, for assessing whether the intended objectives of a training campaign were reached, data can be collected from questionnaires, interviews with beneficiaries, focus group discussions, etc. Information can also be collected from existing sources. For example, in order to assess whether the project has contributed to improve the financial viability of participating microfinance institutions or banks, the reports prepared by these institutions may be used.

Using RIMS and M&E for analysis and decision making

1.21. Using M&E information for analysis means interpreting experience and data to generate insights on project performance. This implies moving beyond information collection to exploring whether changes in the circumstances of beneficiaries are occurring, if so how project initiatives have contributed to these changes, the implication of these changes for beneficiaries, etc. In line with the principles of RBM, the data gathered by the M&E system should be used to critically reflect on the extent to which expected results have been achieved. The findings of the analysis should be used to define corrective actions and make decision on improving the project strategy.

1.22. The information available from RIMS can provide a useful basis for analysis of project performance and contribute to decision-making. Comparing targets of RIMS first-level results with actual achievement may lead to an analysis of factors that positively or negatively affected project implementation. The analysis of RIMS second-level results provides more in-depth information on the changes occurred at the level of beneficiaries, households, communities or institutions. For example, after a training programme on livestock veterinary practices, the small number of trainees adopting the recommended techniques may highlight problems with the training method, use of inappropriate language or inaccessible locations. Taking into consideration these findings, the project management may decide that in the future, training will take a different form or that another training service provider will be recruited.

Section Two: Selecting First and Second Level Results

2.1. In this *Handbook*, the RIMS First and Second level results have been grouped in the following categories:

- Natural resources (land and water)
- Agricultural technologies and production
- Rural financial services
- Markets
- Rural enterprise development and employment
- Policy and community programming
- Social infrastructure
- Total outreach

Selection of First-Level Results

2.2. The selection of first-level indicators is made on the basis of specific project characteristics and does not depend on how the indicators are grouped in this Handbook. ***Only the indicators that are relevant to the project should be reported.***

2.3. The indicators should be grouped according to project components. As many indicators as appropriate should be chosen to describe the outputs achieved by the project during the period under review. For example, if a component includes rehabilitation of rural infrastructure combined with initiatives of social mobilization, useful indicators can be found under the “Natural resources”, “Social development” and “Policy and community development” categories.

2.4. Relevant RIMS first-level indicators are often used in the project Logframe at the level of activities and outputs. Nevertheless, it is recommended that the entire set of indicators be carefully screened in order to determine those relevant to the project.

2.5. Every project is expected to report at least one indicator showing the number of people (1.8.1) or households (1.8.2) that during the period under review received project services. If relevant, the number of groups (1.8.3) or communities (1.8.4) receiving project services can also be reported.

Selection of Second-Level Results

2.6. As for the first-level, RIMS second-level results should be identified on the basis of the project characteristics and only those relevant to the project should be reported.

2.7. Some RIMS second-level results can be traced back to first-level results. For example, if the project reports the number of groups managing infrastructures formed/strengthened (1.1.2), the assessment of the likelihood that these groups will be sustainable (2.1.1) should be provided. Similarly, if the project provides data on the number of people trained in post-production technologies (1.4.1), the outcome in terms of improved access to market opportunities (2.4.1) should be assessed.

2.8. Other results cannot be traced back to a unique first level result. Several first-level results may contribute to one second-level result. For example, the improved performance of financial institutions may be the effect of training initiatives for staff at financial institutions (1.3.5), training of government regulatory staff (1.6.1); and strengthening of savings and credit groups (1.3.2).

2.9. The Logframe can be used to guide the choice of the relevant RIMS second-level results.

Example

2.10. The following example shows how RIMS results can be selected on the basis of project characteristics and intended objectives.

2.11. The goal of a value chain and market access project is to enable the targeted poor men and women to take part in local and national social and economic processes in order to improve their incomes and employment opportunities. The project has three main components: (i) value chain participation through strategic alliances; (ii) Income diversification; and (iii) project management, including alignment of project activities with the objectives of a government institute.

2.12. The project aims to: (i) identify leading actors in selected value chains and help small-scale producers develop alliances with them; (ii) provide financial and non-financial rural and entrepreneurial services for a wide range of initiatives (e.g. production, processing, entrepreneurial activities and

Section Two
 Selecting First and Second-Level Results

management), strengthen organizational capacities and provide support for more vulnerable groups; (iii) improve the rural road network; and (iv) develop the capacities of small-scale producers (including those from the most vulnerable groups) and their organizations.

2.13. Box 4 contains the RIMS first- and second-level results that could be selected by this project.

Box 4: Example of Selected RIMS Results

| Component | First Level Results | Second Level Results |
|---|--|--|
| Component 1. Promote the participation of small scale producers in strategic value chain | <ul style="list-style-type: none"> • 1.5.4 Enterprises accessing facilitated non-financial services • 1.5.5 Enterprises accessing facilitated financial service • 1.2.1 Staff of service providers trained • 1.2.5 People accessing facilitated advisory services • 1.4.1 People trained in post-production, processing and marketing | <ul style="list-style-type: none"> • 2.5.1 Effectiveness: creation of employment opportunities • 2.5.2 Likelihood of sustainability of enterprises • 2.4.2 Effectiveness: Producers benefiting from improved market access |
| | <ul style="list-style-type: none"> • 1.4.4 Marketing groups formed and/or strengthened • 1.4.5 People in marketing groups formed and/or strengthened • 1.4.6 Marketing groups with women in leadership positions | <ul style="list-style-type: none"> • 2.4.4 Likelihood of sustainability of marketing groups formed and/or strengthened |
| Component 2. Contribute to income diversification | <ul style="list-style-type: none"> • 1.5.1 People trained in Income Generating Activities • 1.4.2 Kilometres of road constructed and/or rehabilitated | <ul style="list-style-type: none"> • 2.5.2 Likelihood of sustainability of enterprises • 2.4.2 Likelihood of sustainability of roads constructed and/or rehabilitate • 2.4.2 Effectiveness: Producers benefiting from improved market access |
| | <ul style="list-style-type: none"> • 1.2.1 Groups managing infrastructure formed and/or strengthened • 1.2.2 People in groups managing infrastructure formed and/or strengthened • 1.2.3 Groups managing infrastructure with women in leadership positions | <ul style="list-style-type: none"> • 2.1.1 Likelihood of sustainability of groups managing infrastructure formed and/or strengthened |
| Component 3. Project management and alignment | <ul style="list-style-type: none"> • 1.2.1 Staff of service providers trained • 1.3.4 Financial institutions participating in the programme • 1.3.5 Staff of financial institutions trained | <ul style="list-style-type: none"> • 2.2.1 Effectiveness: Improved performance of service providers • 2.3.3 Sustainability: Improved performance of financial institutions • 2.6.1 Effectiveness: promotion of pro-poor policies and institutions |
| Total Outreach | <ul style="list-style-type: none"> • 1.8.1 Individuals receiving project services • 1.8.2 Households receiving project services • 1.8.3 Groups receiving project services | |

2.14. The selection of the RIMS first level results reflects the activities under the first component related to enterprise development and marketing, as well as training and provision of technical advice. At the second level, assessments of the extent to which these initiatives generated new employment opportunities in commercial value chain (2.5.1), effects on agribusiness enterprises (2.5.2) and market opportunities for rural producers (2.4.2) were chosen. Producer groups are an important aspect of the project, therefore results related to group formation/strengthening (first level) and an assessment of the likelihood of their sustainability (second level) have also been selected.

2.15. Under the second component income diversification will be supported mainly through training and the construction of roads to enhance marketing opportunities. At the first level, results will be measured through the number of people trained in income generating activities (1.5.1) and the kilometres of tertiary roads upgraded (1.4.2). Since the roads will be constructed with the full participation of the community, first level results related to groups involved in managing the infrastructure have also been selected (1.2.1- 1.2.3). At the second-level, assessments will be made of whether these initiatives contributed to establishing sustainable micro-enterprises (2.5.2) and promoting access to markets (2.4.2). An assessment will also be made on the extent to which roads (2.4.2) and groups involved in infrastructure maintenance (2.1.1) are likely to be sustainable.

2.16. Under the third component, the project will facilitate the sustainable provision of financial services to the target group, therefore first level results related to participation by financial institutions and capacity building (training) have been selected. The second-level results assess whether capacity building of service providers (financial institutions) has been effective in terms of improved performance (2.2.1) and the sustainability of these institutions (2.3.3). Since the project has a number of policy related objectives, performance will also be assessed in terms of promotion of pro-poor policies (2.6.1)

2.17. Project outreach is measured in terms of number of individuals (1.8.1), households (1.8.2) and groups (1.8.3) receiving project services.

2.18. The RIMS reporting form for this project is shown in Table 7(page 69)

Section Three: Measuring and Reporting First Level Results

- 3.1. This section provides guidance on each of the first-level indicators included under RIMS.
- The definitions aim at ensuring a common understanding of the indicator.
 - The operational hints indicate possible ways of collecting or analyzing project results that could be considered by project M&E system.
 - The examples show how first results can be calculated and reported.
 - The ‘related results’ listed under each first-level indicators refer to results associated with the indicator under review that may also be relevant. The list of ‘related results’ does not aim to include all effects or relationships that exist among project activities, but have been included to provide guidance on potential synergies.
- 3.2. A list of tips is included at the end of this Section to address common methodological issues in measuring:
- 5.1. Infrastructure constructed/rehabilitated
 - 5.2. People trained
 - 5.3. Groups formed/strengthened
 - 5.4. People accessing services facilitated by the project

NATURAL RESOURCES (LAND AND WATER)

| 1ST LEVEL RESULTS | | 2ND LEVEL RESULTS | |
|-------------------|---|-------------------|---|
| 1.1.1 | People trained in infrastructure management (*) | | |
| 1.1.2 | Groups managing infrastructure formed and or strengthened | 2.1.1 | Likelihood of sustainability of the groups managing infrastructure formed and/or strengthened |
| 1.1.3 | People in groups managing infrastructure (*) | | |
| 1.1.4 | Groups managing infrastructure with women in leadership positions | | |
| 1.1.5 | Land under irrigation schemes constructed/rehabilitated | 2.1.2 | Effectiveness of productive infrastructure |
| 1.1.6 | Livestock water points constructed/rehabilitated | 2.1.3 | Likelihood of sustainability of productive infrastructure |
| 1.1.7 | Rainwater harvesting systems constructed or rehabilitated | | |
| 1.1.8 | Fish ponds constructed/rehabilitated | | |
| 1.1.9 | People trained in natural resources management (NRM) (*) | 2.1.4 | Likelihood of sustainability of the NRM groups formed and/or strengthened |
| 1.1.10 | Groups involved in NRM formed/strengthened | | |
| 1.1.11 | People in NRM groups formed/strengthened (*) | | |
| 1.1.12 | NRM groups formed/strengthened with women in leadership positions | | |
| 1.1.13 | Environmental management plan formulated | 2.1.5 | Effectiveness of NRM and conservation programmes |
| 1.1.14 | Land under improved management practices | | |
| 1.1.15 | Other productive infrastructure constructed/rehabilitated | (2.1.2) | Specify the type of infrastructure |
| | | (2.1.3) | Specify the type of infrastructure |

(*) *These indicators should be reported on a sex-disaggregated basis and, where relevant, differentiation between indigenous/non-indigenous peoples should be introduced.*

| 1.1.1 | People trained in infrastructure management | Measured in Males/Females |
|-------|---|---------------------------|
|-------|---|---------------------------|

Definition This is the number of males/females that participated in training events held during the period under review. It refers to the number of people trained in techniques for management and/or maintenance of rural infrastructure.

Operational hints See Tip 2

Example Only 10 people (all females) were trained this year as against an AWPB target of 100. Fifty people (again all female) had been trained in the two previous years, making a cumulative total of 110 females trained. The number of males trained is zero for the year under review and cumulatively.

| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
|---|-------------|--------|-----------|------------------|------------|----------------|
| People trained in infrastructure management | 100 | 10 | 10% | 500 | 110 | 22% |
| Total | | | | | | |
| Females | 50 | 10 | 20% | 250 | 110 | 44% |
| Males | 50 | 0 | 0% | 250 | 0 | 0 |

Related Results

| | | | |
|-------|--|-------|---|
| 1.1.5 | Land under irrigation systems constr./rehab. | 2.1.2 | Effectiveness of productive infrastructure |
| 1.1.6 | Livestock water points constr./rehab. | 2.1.3 | Sustainability of productive infrastructure |
| 1.1.7 | Rainwater harvesting systems constr./rehab. | | |
| 1.1.8 | Fish ponds constructed/rehabilitated | | |

| | | |
|-------------------------|--|--|
| 1.1.2 1.1.3 1.1.4 | Groups managing infrastructure formed/strengthened People in groups managing infrastructure formed/strengthened Groups managing infrastructure with women in leadership positions | Measured in Number Males/Females Number |
|-------------------------|--|--|

Definition These indicators refer to the activities implemented by the project for creating or strengthening groups in charge of maintaining infrastructure, collecting user fees, governing access to the facility, contributing to conflict resolution, etc.

Indicator 1.1.2 is the number of groups (formally registered or not) formed or strengthened by the project to manage infrastructure during the period under review. If a group involved in the management of infrastructure (e.g., a fishers' cooperative managing a fish pond) receives project support, it should be counted irrespective of whether the fish pond was constructed/ rehabilitated by the project.

Indicator 1.1.3 is the number of people belonging to these groups, reported on a sex disaggregated basis.

Indicator 1.1.4 is the number of the groups managing infrastructure reported in 1.1.2 that are headed by a woman or are characterised by women in leadership positions (such as the management board) at least proportional to the number of female members.

Operational hints See **Tip 2**

Example During PY2, the number of groups formed/strengthened exceeded the AWPB estimate. Twenty groups were formed in PY1, making a cumulative of 22 groups formed/strengthened. However, project results in terms of participation of women are below expectations: only 1 of the 20 groups formed/strengthened during this period has women in leadership positions.

| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
|--|-------------------|--------|--------------|---------------------|------------|-------------------|
| Groups managing infrastructure formed/strengthened | 15 | 20 | 133% | 80 | 22 | 27.5% |
| People in groups managing infrastructure form./strengthen. | <i>Total</i> 150 | 200 | 133% | 800 | 220 | 27.5% |
| | <i>Male</i> 50 | 40 | 80% | NA | | |
| | <i>Female</i> 100 | 10 | 10% | NA | | |
| Groups managing infrast. formed/strengthened. with women in leadership positions | 7 | 1 | 14% | NA | 1 | |

Related Results

| | | | |
|-------|---|-------|--|
| 1.1.1 | People trained in infrastructure management | 2.1.1 | Sustainability of groups managing infrastructure |
| 1.1.5 | Land under irrigation scheme const./rehab. | 2.1.3 | Sustainability of productive infrastructure |
| 1.1.7 | Rainwater harvesting systems const./rehab. | | |
| 1.1.6 | Livestock water points const./rehab. | | |
| 1.1.8 | Fishponds constructed/rehabilitated | | |
| 1.6.9 | Apex organisations formed/strengthened | | |

| | | |
|-------|--|---------------------------------|
| 1.1.5 | Land under irrigation schemes constructed/rehabilitated | Measured in Hectares |
|-------|--|---------------------------------|

Definition This is the area of land under irrigation systems that has been fully rehabilitated or constructed by the project during the period under review. Irrigation is the process by which water is diverted from a water source or pumped from a well and used for purpose of agricultural production.

Operational hints The land area should be measured in hectares. All other measurement units (such as *feddan*, *manzana* or *dunum*) should be converted to hectares. The length of canals (in km) lined or rehabilitated should not be reported, but the area served by these canals. Schemes that were not fully constructed or rehabilitated during the period under review should not be counted. See **Tip 1**

Example Irrigation rehabilitation of 350 ha was part of the AWPB. Three contracts for irrigation rehabilitation were awarded and work commenced during the period under review. The land area per contract is 100, 200 and 50 ha. Rehabilitation works were finished and the scheme signed over to the beneficiaries for the first and third contracts. The project therefore reports that 150 ha have been constructed/rehabilitated this year. In this example, 90 ha were rehabilitated in the previous year.

| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
|---|----------------|--------|--------------|---------------------|------------|-------------------|
| Land under irrigation schemes constructed or rehabilitated (ha) | 350 | 150 | 42% | 500 | 240 | 48% |

Related Results

| | | | |
|-------|---|-------|---|
| 1.1.1 | People trained in infrastructure management | 2.1.2 | Effectiveness of productive infrastructure |
| 1.1.2 | Groups managing infrastructure formed and/or strengthened | 2.1.3 | Sustainability of productive infrastructure |

| 1.1.8 | Fish ponds constructed or rehabilitated | Measured in Units | | | | | | | | | | | | | | |
|---|---|---|--------------|---------------------|------------|-------------------|---------------------|------------|-------------------|---|---|---|----|---|---|----|
| <i>Definition</i> | <p>This is the number of fish ponds that have been fully constructed or rehabilitated by the project during the period under review. A fish pond is a man made body of water, stocked with fish so that fishing activities can be undertaken.</p> <p>The fishponds that are not fully constructed or rehabilitated should not be counted. No further information is needed in terms of their size, water capacity, etc. No differentiation should be presented according to the type of fish-pond or management arrangement. If the fish pond is linked to irrigation schemes, the fish pond and the land under irrigation system (1.1.5) should be reported separately.</p> | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | See Tip 1 | | | | | | | | | | | | | | | |
| <i>Example</i> | During the period under review, construction of five fish ponds was planned but by the end of the year, no works had commenced in this year or any other. | | | | | | | | | | | | | | | |
| | <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 10%; text-align: center;">AWPB Target</th> <th style="width: 10%; text-align: center;">Actual</th> <th style="width: 10%; text-align: center;">% of AWPB</th> <th style="width: 10%; text-align: center;">Appraisal Target</th> <th style="width: 10%; text-align: center;">Cumulative</th> <th style="width: 10%; text-align: center;">% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Fish ponds constructed or rehabilitated</td> <td style="text-align: center;">5</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0%</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Fish ponds constructed or rehabilitated | 5 | 0 | 0% | 0 | 0 | 0% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Fish ponds constructed or rehabilitated | 5 | 0 | 0% | 0 | 0 | 0% | | | | | | | | | | |
| <i>Related Results</i> | 1.1.1 People trained in infrastructure management 1.1.2 Groups managing infrastructure and/or strengthened | 2.1.2 Effectiveness of productive infrastructure 2.1.3 Sustainability of productive infrastructure | | | | | | | | | | | | | | |

| 1.1.9 | People trained in natural resources management | Measured in Males/Females |
|--------------------------|--|--|
| <i>Definition</i> | <p>This is the number of males and females that participated in the training initiatives held during the period aimed at improving the knowledge of participants on techniques and practices of natural resources management (NRM).</p> <p>Training topics may include: land protection, levelling and draining, water conservation, utilisation of sustainable forms of energy, practices for the conservation or better management of forestry, pastures, water sources, natural reserves, practices for combating soil erosion, land degradation, desertification and deforestation, etc.</p> | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.1.1 Environmental management plans developed 1.1.14 Land under improved management practices | 2.1.5 Effectiveness of NRM and conservation programmes |

| 1.1.10 1.1.11 1.1.12 | NRM groups formed/strengthened People in NRM groups formed/strengthened NRM groups with women in leadership positions | Measured in Number Males/Females Number |
|----------------------------|--|--|
| <i>Definition</i> | <p>This group of indicators refers to the activities implemented by the project for creating or strengthening groups (formally registered or not) involved in the management of rangeland, common property resources, forests, pastures. NRM groups also include associations involved in the promotion of technologies for environmental protection, combating deforestation and desertification, promoting initiatives for soil/water conservation, etc.</p> <p>Indicator 1.1.10 is the number of natural resources management groups that have been formed or strengthened by the project during the period under review.</p> <p>Indicator 1.1.11 is the number of people belonging to these groups, reported on a sex disaggregated basis.</p> <p>Indicator 1.1.12 is the number of NRM groups reported in 1.1.10 headed by a woman or characterised by women in leadership positions (such as the management board) at least proportional to the number of female members.</p> | |
| <i>Operational hints</i> | See Tip 3 | |
| <i>Example</i> | See 1.1.2 | |
| <i>Related</i> | 1.1.9 People trained in NRM; | 2.1.5 Effectiveness of NRM/conservation programmes |

Section Three
Measuring and Reporting First- Level Results

| | | | | |
|---------|--------|---|-------|------------------------------|
| Results | 1.1.13 | Environmental management plans formulated | 2.2.1 | Sustainability of NRM groups |
| | 1.1.14 | Land under improved management practices | | |
| | 1.6.9 | Apex Organisations formed/strengthened | | |

| 1.1.13 | Environmental management plans formulated | | | Measured in Number | | |
|--------------------------|--|--|--------|---|---------------------|-------------------------|
| Definition | This is the number of environmental resources management plans formulated under the guidance and support of the project during the period under review. The focus of this indicator is on the plans aimed at ensuring the long term sustainability of natural resource (pastures, forests, lakes, rivers), enhancing biodiversity, protecting the environment, enforcing measure to control the use of chemicals and promote soil and water conservation, etc. The plan may consist of several integrated initiatives (policies, micro-level interventions, etc.), operating at different levels (individuals, communities) and in different agro-ecological contexts (forestry, water, land). | | | | | |
| Operational hints | The indicator does not require any distinction in terms of scope and implementation arrangement of the plan. Similarly, no differentiation should be made between plans focused on communities or on broader national or regional settings. The indicator should only report plans ‘formulated’. A plan can be regarded as <i>formulated</i> when it is submitted to authorities or when the phases of consultation and design are completed. Where applicable, concluding events (for example the presentation of the plan to authorities) can be considered as the formal closure of the preparation phase. In this indicator, the plans under formulation should not be counted. | | | | | |
| Example | Three plans had been expected to be finalised during the period under review. Facilitation services provided by an NGO have begun but the consultative process is still ongoing for all three. Therefore, the project reports that no environmental management plans were formulated during the period under review, or so far during implementation. | | | | | |
| | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative Appraisal |
| | Environmental management plans formulated | 3 | 0 | 0% | 15 | 0 |
| Related Results | 1.1.9 | People trained in NRM | 2.1.5 | Effectiveness of NRM/ conservation programmes | | |
| | 1.1.10 | Groups involved in NRM formed/strengthened | | | | |
| | 1.1.14 | Land under improved management practices | | | | |

| 1.1.14 | Land under improved management practices | | | Measured in Hectares | | |
|--------------------------|--|--|--------|--|---------------------|-------------------------|
| Definition | This is the area of land (measured in hectares) under improved management practices promoted by the project as at a certain time. This indicator provides a snapshot (e.g., at the 31 December) of the area of land on which improved management practices have been applied. This indicator includes any type of initiatives aimed at promoting a sustainable management of natural resources, e.g., promoting environmental friendly technologies, sustainable watershed management, preservation of biodiversity and agro-ecological equilibrium, re-vegetation plans, construction of terraces, construction of drainage channels, erosion control, application of grazing restrictions, planting of new forests and so on. | | | | | |
| Operational hints | The land under improved management should be measured in hectares; other measurement units (such as <i>feddan</i> , acres or <i>dunum</i>) should be converted in hectares. This indicator should not differentiate between private and common property land under improved management practices. | | | | | |
| Example | This project reached 60% the planned result for the year under review. Adding the previous year’s result of 20 ha, the cumulative (80) corresponds to 2 percent of the appraisal target. | | | | | |
| | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative Appraisal |
| | Land under improved management practices | 100 | 60 | 60% | 5000 | 80 |
| Related Results | 1.1.9 | People trained in NRM | 2.1.5 | Effectiveness of NRM/conservation programmes | | |
| | 1.1.10 | Groups involved in NRM formed/strengthened | | | | |
| | 1.1.13 | Environmental management plans formulated | | | | |

| 1.1.15 | Other productive infrastructure constructed/ rehabilitated | Measured in Number | | | | | | | | | | | | | | |
|---|--|---|-----------|------------------|------------|----------------|------------------|------------|----------------|---|-----|----|-----|------|----|----|
| <i>Definition</i> | <p>This is the measure of other productive infrastructure that has been constructed or rehabilitated by the project during the period under review. This indicator provides a snapshot (e.g. as at 31 December of the reporting year) of the number of productive infrastructure systems that have been constructed/ rehabilitated. Only those systems that have been completely constructed/ rehabilitated during the period under review should be counted.</p> <p>This indicator should include productive infrastructure that have not been included in the indicators above, such as dams, culverts, livestock dip tanks, bridges etc. Specify the type of infrastructure.</p> | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | See Tip 3 | | | | | | | | | | | | | | | |
| <i>Example</i> | <p>This project reached 60% of the planned result for the year under review. Adding the previous year's result of 20 systems, the cumulative (80) corresponds to 2 percent of the appraisal target.</p> <table border="1" style="width: 100%; border-collapse: collapse; border-style: dashed;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 10%; text-align: center;">AWPB Target</th> <th style="width: 10%; text-align: center;">Actual</th> <th style="width: 10%; text-align: center;">% of AWPB</th> <th style="width: 10%; text-align: center;">Appraisal Target</th> <th style="width: 10%; text-align: center;">Cumulative</th> <th style="width: 10%; text-align: center;">% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Other productive infrastructure constructed/ rehabilitated (culverts)</td> <td style="text-align: center;">100</td> <td style="text-align: center;">60</td> <td style="text-align: center;">60%</td> <td style="text-align: center;">5000</td> <td style="text-align: center;">80</td> <td style="text-align: center;">2%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Other productive infrastructure constructed/ rehabilitated (culverts) | 100 | 60 | 60% | 5000 | 80 | 2% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Other productive infrastructure constructed/ rehabilitated (culverts) | 100 | 60 | 60% | 5000 | 80 | 2% | | | | | | | | | | |
| <i>Related Results</i> | 1.1.1 People trained in infrastructure management 1.1.2 Groups managing infrastructure formed and/or strengthened | 2.1.2 Effectiveness of productive infrastructure 2.1.3 Sustainability of productive infrastructure | | | | | | | | | | | | | | |

AGRICULTURAL TECHNOLOGIES AND PRODUCTION

| 1ST LEVEL RESULTS | | 2ND LEVEL RESULTS | |
|-------------------|---|-------------------|---|
| 1.2.1 | Staff of service providers trained (*) | 2.2.1 | Effectiveness: Improved performance of service providers |
| 1.2.2 | People trained in crop production practices and technologies (*) | 2.2.2 | Effectiveness: Improved agricultural and livestock production |
| 1.2.3 | People trained in livestock practices and technologies (*) | | |
| 1.2.4 | People trained in fish production practices and technologies (*) | | |
| 1.2.5 | People accessing facilitated advisory services (*) | | |
| 1.2.6 | Households receiving animals from distribution/ restocking | | |
| 1.2.7 | Households receiving facilitated animal health services | | |
| 1.2.8 | Crop/livestock production groups formed/ strengthened | 2.2.3 | Likelihood of sustainability of the Crop/livestock production groups formed/ strengthened |
| 1.2.9 | People in Crop/livestock production groups formed/ strengthened | | |
| 1.2.10 | Crop/livestock production groups with women in leadership positions | | |

(*) *These indicators should be reported on a sex-disaggregated basis and, where relevant, differentiation between indigenous/non-indigenous peoples should be introduced*

| 1.2.1 | Staff of service providers trained | Measured in Males/Females |
|--------------------------|--|---|
| <i>Definition</i> | This is the total number of male and female staff of service providers that have been trained by the project during the period under review; numbers should be sex disaggregated. Service providers may include: agricultural extension (either governmental or private), livestock and animal health centre staff, private technical advisors, etc. This indicator does not look at the topics of the training but at the recipient (staff of service providers). | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.2.2 People trained in crop production/technologies 1.2.3 People trained in livestock production/ technologies 1.2.4 People trained in fish production/technologies 1.2.5 People accessing facilitated advisory services 1.2.7 Households receiving facilitated animal health services | 2.2.1 Effectiveness: Improved performance of service providers 2.2.2 Effectiveness: Improved agricultural and livestock production 2.4.1 Effectiveness: Producers benefiting from improved market access 2.5.2 Likelihood of sustainability of enterprises |

Section Three
Measuring and Reporting First- Level Results

| 1.2.6 | Households receiving animals from restocking/redistribution | | Measured in Number | | | | |
|--------------------------|---|--|--------------------|---|---------------------|------------|-------------------|
| <i>Definition</i> | This is the number of households that received at least one animal from restocking/ redistribution carried out by the project during the period under review. Animal restocking is a process aimed at reconstructing the herds of households affected by droughts, conflicts or any other impoverishment process. NB Change from original indicator of number of animals to the outreach oriented indicator of households. | | | | | | |
| <i>Operational hints</i> | Only households that actually received the animal during the year under review should be counted, not applicants. The indicator focuses on the number of the households receiving animals, not the number of animals distributed. A ‘household’ is defined as persons or collection of persons, whether related or not, that habitually live in the same private dwelling and that tend to their life needs together. In contexts characterised by nomadic communities or where the restocking process is not based on households, proxy measures of outreach should be used. For example, if a restocking process involves a community of 30 herders, it can be hypothesised that each herder corresponds to one household. Data on the recipients of animal redistribution and restocking activity should be available through documents or reports from the agency (contractor) responsible for animal distribution. To the extent possible, the second-round beneficiaries (those receiving for example the first offspring of the animal distributed) should be included. This figure can be more difficult to access and may require direct contact with the beneficiaries of the process. | | | | | | |
| <i>Example</i> | During the period, 180 households received animals during the restocking process. This corresponds to 90% of the AWPB target. During previous years, 220 households benefited from animal distribution. Therefore, a total of 400 households (cumulative) benefited from the animal restocking process. This is 80% of the target established at appraisal. | | | | | | |
| | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
| | Households receiving animals from distribution/restocking | 200 | 180 | 90% | 500 | 400 | 80% |
| <i>Related Results</i> | 1.2.3 | People trained in livestock and veterinary practices | 2.2.2 | Effectiveness: Improved agricultural and livestock production | | | |
| | 1.2.7 | Households receiving animal health services | | | | | |

| 1.2.7 | Households receiving facilitated animal health services | | Measured in Number | | | | |
|--------------------------|---|--|--------------------|---|---------------------|------------|-------------------|
| <i>Definition</i> | This is the number of households that received animal health services facilitated by the project. Animal health services may include vaccinations, insemination, veterinary services, equipments, drugs. Animal health services may be provided directly by project institutions, public livestock development departments, private animal health service providers, etc. | | | | | | |
| <i>Operational hints</i> | “Facilitated” implies that some arrangements are in place that allow access to these services. For example, the project may co-finance the cost of veterinary health services extended by others. First of all, the animal health services ‘facilitated’ by the project should be identified; then, the households receiving such services/equipment are counted. To gather data on the households accessing the animal health services, a system of information exchange should be established between the project and extension agents and/or animal health service providers. For example, the service providers and the project M&E unit can agree on a simple reporting format to be submitted periodically that shows the number of people accessing the services financed by the project. | | | | | | |
| <i>Example</i> | The AWPB did not include the target number of households expected to receive the animal health services facilitated by the project. Total appraisal target of 10 000 is available in the Logframe. According to the data collected during this period, 3 000 households received vaccination services facilitated by the project. This figure can be used as reference target for next AWP&B. | | | | | | |
| | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
| | Households receiving animal health services, inputs and equipment | - | 3000 | - | 10000 | 3000 | 30% |
| <i>Related Results</i> | 1.2.1 | Staff of service providers trained | 2.2.2 | Effectiveness: Improved agricultural and livestock production | | | |
| | 1.2.3 | People trained in livestock veterinary practices | | | | | |

| | | |
|--------------------------|---|--|
| 1.2.8 1.2.9 1.2.10 | Crop/livestock production groups formed/ strengthened People in crop/livestock production groups formed/ strengthened Crop/livestock production groups with women in leadership positions | Measured in Number Males/Females Number |
|--------------------------|---|--|

Definition These indicators refer to the activities implemented by the project for creating or strengthening groups in charge of enhancing the quantity/quality of Crop/livestock production. These groups should be distinguished from groups managing infrastructure that are counted under 1.1.2, NRM groups that are counted under 1.1.10 and community groups that are counted under 1.6.4.

Indicator 1.2.8 is the number of groups (formally registered or not) formed or strengthened by the project to enhance agricultural and livestock production during the period under review. If a group involved in these activities receives project support, it should be counted. Specify whether the group relates to crop (rainfed or irrigated) or livestock.

Indicator 1.2.9 is the number of people belonging to these groups, reported on a sex disaggregated basis.

Indicator 1.2.10 is the number of the crop/livestock production groups reported in 1.2.8 that are headed by a woman or are characterised by women in leadership positions (such as the management board) at least proportional to the number of female members.

Operational hints See Tip 3

Example During PY2, the number of groups formed/strengthened exceeded the AWPB estimate. Two groups were formed in PY1, making a cumulative of 22 groups formed/strengthened in PY2. However, project results in terms of participation of women are below expectations: only 1 of the 20 groups formed/strengthened during this period has women in leadership positions.

| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
|---|-------------|--------|-----------|------------------|------------|----------------|
| Crop/livestock production groups formed/strengthened | 15 | 20 | 133% | 80 | 22 | 27.5% |
| People in crop/livestock production groups formed/strengthened | | | | | | |
| <i>Total</i> | 150 | 200 | 133% | 800 | 220 | 27.5% |
| <i>Male</i> | 50 | 40 | 80% | NA | | |
| <i>Female</i> | 100 | 10 | 10% | NA | | |
| Crop/livestock production groups with women in leadership positions | 7 | 1 | 14% | NA | 1 | |

Related Results

| | | | |
|-------|---|-------|---|
| 1.2.2 | People trained in crop production practices and technologies | 2.2.3 | Sustainability of the crop/livestock production groups formed/ strengthened |
| 1.2.3 | People trained in livestock production practices and technologies | | |
| 1.2.4 | People trained in fish production practices and technologies | | |
| 1.6.9 | Apex organisations formed/strengthened | | |

RURAL FINANCIAL SERVICES

| 1ST LEVEL RESULTS | | 2ND LEVEL RESULTS | |
|-------------------|--|-------------------|---|
| 1.3.1 | Savings and credit groups formed and/or strengthened | 2.3.1 | Likelihood of sustainability of the savings and credit groups formed/strengthened |
| 1.3.2 | People in savings and credit groups formed and/or strengthened (*) | | |
| 1.3.3 | Savings and credit groups with women in leadership positions | | |
| 1.3.4 | Financial institutions participating in the programme | 2.3.2 | Effectiveness: Improved access of the poor to financial services |
| 1.3.5 | Staff of financial institutions trained (*) | 2.3.3 | Sustainability: Improved performance of the financial institutions |
| 1.3.6 | Voluntary savers (*) | | |
| 1.3.7 | Value of voluntary savings | | |
| 1.3.8 | Active borrowers (*) | | |
| 1.3.9 | Active borrowers (enterprises) | | |
| 1.3.10 | Value of gross loan portfolio (individuals) | | |
| 1.3.11 | Value of gross loan portfolio (enterprises) | | |
| 1.3.12 | People trained in financial services (*) | | |

(*) These indicators should be reported on a sex-disaggregated basis and, where relevant, differentiation between indigenous/non-indigenous peoples should be introduced

| 1.3.1 | Savings and credit groups formed/strengthened | Measured in Number |
|-------|--|--------------------|
| 1.3.2 | People in savings and credit groups formed/strengthened | Males/Females |
| 1.3.3 | Savings and credit groups with women in leadership positions | Number |

Definition This group of indicators refers to the activities implemented by the project to create or strengthen savings and credit groups.

Indicator 1.3.1 is the number of groups (formally registered or not) that have been formed or strengthened by the project during the period under review. These include village savings associations, financial services associations, savings/credit clubs, etc.

Indicator 1.3.2 is the number of people belonging to these groups, reported on a sex disaggregated basis. Where relevant, data on indigenous and non-indigenous participants should be separately reported.

Indicator 1.3.3 is the number of the savings and credit groups reported in 1.3.1 that are headed by a woman or are characterised by women in leadership positions (such as the management board) at least proportional to the number of female members.

Operational hints See **Tip 3**

Example See 1.1.2

| | | | | |
|------------------------|-------|--|-------|--|
| Related Results | 1.3.6 | Voluntary savers | 2.3.2 | Effectiveness: Improved access of the poor to financial services |
| | 1.3.7 | Value of voluntary savings | 2.3.3 | Sustainability: Improved performance of financial institutions |
| | 1.3.8 | Active borrowers | | |
| | 1.3.9 | Value of the gross loan portfolio | | |
| | 1.6.9 | Apex organisations formed/strengthened | | |

| 1.3.4 | Financial institutions participating in the project | Measured in Number | | | | | | | | | | | | | | |
|---|---|--|--------------|---------------------|------------|-------------------|---------------------|------------|-------------------|---|---|---|------|---|---|-----|
| <i>Definition</i> | This is the number of formal credit and financial institutions that participate in the project, and includes commercial banks and registered micro-finance institutions. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | Various forms of ‘participation’ in the project should be considered: <ul style="list-style-type: none"> • Participation in the revolving/discount funds established by the project; • Access to equity support for improving their financial operations; • Participation to the initiatives of networking (e.g. apex organisations of rural financial institutions, see also indicator 1.6.9); • Access to training and capacity building programmes (see also indicator 1.3.5) | | | | | | | | | | | | | | | |
| <i>Example</i> | Four financial institutions were expected to participate in the projects through subsidiary loan agreements. During the period under review, two subsidiary agreements were signed. Another agreement had been signed in the previous year, making a cumulative total of three. | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 10%; text-align: center;">AWPB Target</th> <th style="width: 10%; text-align: center;">Actual</th> <th style="width: 10%; text-align: center;">% of AWPB</th> <th style="width: 10%; text-align: center;">Appraisal Target</th> <th style="width: 10%; text-align: center;">Cumulative</th> <th style="width: 10%; text-align: center;">% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Financial institutions participating in the project</td> <td style="text-align: center;">2</td> <td style="text-align: center;">2</td> <td style="text-align: center;">100%</td> <td style="text-align: center;">4</td> <td style="text-align: center;">3</td> <td style="text-align: center;">75%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Financial institutions participating in the project | 2 | 2 | 100% | 4 | 3 | 75% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Financial institutions participating in the project | 2 | 2 | 100% | 4 | 3 | 75% | | | | | | | | | | |
| <i>Related Results</i> | 1.3.5 Staff of financial institutions trained 1.3.6 Voluntary savers 1.3.7 Value of voluntary savings 1.3.8 Active borrowers 1.3.9 Value of the gross loan portfolio 1.6.9 Apex organisations formed/strengthened | 2.3.2 Effectiveness: Improved access of the poor to financial services 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | |

| 1.3.5 | Staff of financial institutions trained | Measured in Males/Females |
|--------------------------|---|--|
| <i>Definition</i> | This is the number of female and male staff of financial institutions that have been trained by the project during the period under review. It includes staff working for any type of financial institutions (commercial banks, microfinance institutions, saving houses, etc). Differently from other RIMS indicators, this indicator does not look at the topic of the training but at the recipient (the staff of financial institutions). No differentiation should be provided between staff trained on technical aspects (loan management or software applications) or other topics such as agriculture cycles. | |
| | The scope of the indicator is on people. Hence, if a bank participates in the training programmes, the number of people of this bank participating in the training initiatives sponsored by the project should be reported. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.3.6 Voluntary savers 1.3.7 Value of voluntary savings 1.3.8 Active borrowers 1.3.9 Value of gross loan portfolio 1.3.1 Savings and credit groups formed/strengthen. 1.5.5 Enterprises accessing facilitated financial services | 2.3.2 Effectiveness: Improved access of the poor to financial services 2.3.3 Sustainability: Improved performance of financial institutions |

Section Three
Measuring and Reporting First- Level Results

| 1.3.6 | Voluntary savers | | Measured in Males/Females | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------------|---|--|------------------------------|--------------|---------------------|------------|-------------------|--------|--------------|---------------------|------------|-------------------|------------------|-------|------|------|------|------|------|------|--|-------|-----|-----|------|------|------|------|--|---------|-----|------|------|------|------|------|
| <i>Definition</i> | This is the total number of males/females who voluntarily have funds on deposit with an IFAD-supported financial institution on a specific date (e.g., 31 December). | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | Savers are considered “voluntary” when they choose to deposit funds; “forced” savers must open savings accounts as collateral to access loans, etc. Voluntary savers include individuals with deposits that are held by the reporting financial institution. Further information about the saving deposit is not required, (e.g., short term, long term, etc.). If several financial institutions participate in the project, the reported result does not need to differentiate among savers of saving clubs, MFIs or commercial banks, etc. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | If the saving deposit is registered to a representative of a savings and credit group, it may be difficult to access information on the number of savers within each group. If necessary, the group can be counted as an individual saver. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | The number of voluntary savers is measured at a specific date of the reporting year, and thus can not be used for cumulative targets or actual figures. The M&E system may include other indicators such as the total number of saving accounts opened during all project years, but at present these are not included in the RIMS framework. See also Tip 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Example</i> | 1 000 people were expected to have a positive savings balance at 31 December. The actual figure of 2 000 is above expectations especially for females | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th></th> <th></th> <th>AWPB Target</th> <th>Actual</th> <th>% of AWPB</th> <th>Appraisal Target</th> <th>Cumulative</th> <th>% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Voluntary Savers</td> <td>Total</td> <td>1000</td> <td>2000</td> <td>200%</td> <td>n.a.</td> <td>n.a.</td> <td>n.a.</td> </tr> <tr> <td></td> <td>Males</td> <td>500</td> <td>500</td> <td>100%</td> <td>n.a.</td> <td>n.a.</td> <td>n.a.</td> </tr> <tr> <td></td> <td>Females</td> <td>500</td> <td>1500</td> <td>300%</td> <td>n.a.</td> <td>n.a.</td> <td>n.a.</td> </tr> </tbody> </table> | | | | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Voluntary Savers | Total | 1000 | 2000 | 200% | n.a. | n.a. | n.a. | | Males | 500 | 500 | 100% | n.a. | n.a. | n.a. | | Females | 500 | 1500 | 300% | n.a. | n.a. | n.a. |
| | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Voluntary Savers | Total | 1000 | 2000 | 200% | n.a. | n.a. | n.a. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Males | 500 | 500 | 100% | n.a. | n.a. | n.a. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Females | 500 | 1500 | 300% | n.a. | n.a. | n.a. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Related Results</i> | 1.3.1 Savings and credit groups formed/strength. | 2.3.2 Effectiveness: Improved access of the poor to financial services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 1.3.5 Staff of financial institutions trained | 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 1.3.7 Value of voluntary savings | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 1.3.7 | Value of voluntary savings | | Measured in: US Dollars ‘000 | | | | | | | | | | | | | | | |
|--|---|--|---------------------------------|---------------------|------------|-------------------|--------|--------------|---------------------|------------|-------------------|--|-----|-----|-----|------|------|------|
| <i>Definition</i> | This is the total amount of voluntary savings on deposit with an IFAD-supported financial institution on a specific date (for example, 31 December). The savings are reported in thousands of US dollars (US\$ ‘000). Local currency should be converted to US\$ using exchange rates applicable to the reporting date. | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | Voluntary savings does not include funds held by the institution in return for access to other financial services. In addition, voluntary savings only includes deposits that are held by the reporting institution. (See 1.3.6). The reported result does not need to differentiate in terms of saving size, purpose, etc. If several financial institutions participate in the project, distinction between savers in saving houses, commercial banks, etc. is not necessary. | | | | | | | | | | | | | | | | | |
| | The amount of savings reported should be compared with the number of savers reported to verify that the amount of savings reported per person is reasonable. | | | | | | | | | | | | | | | | | |
| | The value of voluntary savings is measured at a specific date of the reporting year, and like the number of active savers, it can not be used for cumulative targets or actual figures. The AWP&B and Logframe may therefore use other indicators such as the total value of voluntary savings, at present not included in the RIMS framework. See also Tip 4 | | | | | | | | | | | | | | | | | |
| <i>Example</i> | In this example, US\$ 150,000 was mobilised (local currency of 1 605 million using rate of LCY 10.70 = US\$ 1.00) Based on the number of savers reported in 1.3.6 (e.g., 2000), about US\$ 75 was mobilised per saver, which is considered reasonable. | | | | | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th></th> <th>AWPB Target</th> <th>Actual</th> <th>% of AWPB</th> <th>Appraisal Target</th> <th>Cumulative</th> <th>% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Value of savings mobilised (US\$ ‘000)</td> <td>500</td> <td>150</td> <td>30%</td> <td>n.a.</td> <td>n.a.</td> <td>n.a.</td> </tr> </tbody> </table> | | | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Value of savings mobilised (US\$ ‘000) | 500 | 150 | 30% | n.a. | n.a. | n.a. |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | | | |
| Value of savings mobilised (US\$ ‘000) | 500 | 150 | 30% | n.a. | n.a. | n.a. | | | | | | | | | | | | |
| <i>Related Results</i> | 1.3.1 Savings and credit groups formed/strengthen. | 2.3.2 Effectiveness: Improved access of the poor to financial services | | | | | | | | | | | | | | | | |
| | 1.3.5 Staff of financial institutions trained | 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | | | |
| | 1.3.7 Voluntary savers | | | | | | | | | | | | | | | | | |

| 1.3.8 | Active borrowers (individuals) | Measured in: Males/Females | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------------|---|--|------------------|---------------------|------------|----------------|---------------------|------------|----------------|-------|---|-----|--|------|------|------|-------|---|-----|--|------|------|------|---------|---|-----|--|------|------|------|
| <i>Definition</i> | This is the total number of male and female borrowers with an outstanding balance in an IFAD-supported financial institution at a specific date in the reporting year (e.g., 31 December). An outstanding balance means that the loan has not yet been fully repaid and, for this reason, the borrower is considered 'active'. The indicator does not differentiate in terms of loan size, purpose, etc. If several financial institutions participate in the project, the reported result does not need to differentiate by type of institutions, e.g., borrowers of MFIs, commercial banks, etc. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>Active borrowers are individually identifiable borrowers who are liable for at least one current outstanding loan. Multiple loans to the same borrower are considered as one borrower. If the credit is registered to a representative of a savings and credit group, it may be difficult to access information on the number of the number of borrowers within each group. If necessary, the group can be counted as an individual borrower.</p> <p>The number of active borrowers is measured at a specific date of the reporting year. For this reason, this indicator cannot be used for cumulative targets or actual figures. The M&E system may track other indicators such as the total number of people taking loans in participating financial institutions or the total number of loans extended during all project years, but at present these indicators are not included in the RIMS framework. See also Tip 4</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Example</i> | This year, the AWP&B does not provide the target number of people expected to have an active portfolio as at the 31 December. Actual figures shows that at this date, 500 people are active borrowers, mostly males. These figures can be used as the reference for next year planning phase. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Active Borrowers</th> <th style="text-align: center;">AWPB Target</th> <th style="text-align: center;">Actual</th> <th style="text-align: center;">% AWPB</th> <th style="text-align: center;">Appraisal Target</th> <th style="text-align: center;">Cumulative</th> <th style="text-align: center;">% Appraisal</th> </tr> </thead> <tbody> <tr> <td style="text-align: right;">Total</td> <td style="text-align: center;">-</td> <td style="text-align: center;">500</td> <td></td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> </tr> <tr> <td style="text-align: right;">Males</td> <td style="text-align: center;">-</td> <td style="text-align: center;">400</td> <td></td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> </tr> <tr> <td style="text-align: right;">Females</td> <td style="text-align: center;">-</td> <td style="text-align: center;">100</td> <td></td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> </tr> </tbody> </table> | | Active Borrowers | AWPB Target | Actual | % AWPB | Appraisal Target | Cumulative | % Appraisal | Total | - | 500 | | n.a. | n.a. | n.a. | Males | - | 400 | | n.a. | n.a. | n.a. | Females | - | 100 | | n.a. | n.a. | n.a. |
| Active Borrowers | AWPB Target | Actual | % AWPB | Appraisal Target | Cumulative | % Appraisal | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | - | 500 | | n.a. | n.a. | n.a. | | | | | | | | | | | | | | | | | | | | | | | | |
| Males | - | 400 | | n.a. | n.a. | n.a. | | | | | | | | | | | | | | | | | | | | | | | | |
| Females | - | 100 | | n.a. | n.a. | n.a. | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Related Results</i> | 1.3.1 Savings and credit groups formed and/or strengthened 1.3.5 Staff of financial institutions trained 1.3.9 Value of gross loan portfolio | 2.3.2 Effectiveness: Improved access of the poor to financial services 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 1.3.9 | Active borrowers (enterprises) | Measured in: Males/Females | | | | | | | | | | | | | | |
|------------------------------|--|--|------------------------------|---------------------|------------|----------------|---------------------|------------|----------------|--|---|----|--|------|------|------|
| <i>Definition</i> | This is the total number of enterprise borrowers with an outstanding balance in an IFAD-supported financial institution at a specific date in the reporting year (e.g., 31 December). An outstanding balance means that the loan has not yet been fully repaid and, for this reason, the borrower is considered 'active'. The indicator does not differentiate in terms of loan size, purpose, etc. If several financial institutions participate in the project, the reported result does not need to differentiate by type of institutions, e.g., borrowers of MFIs, commercial banks, etc. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>Enterprises that should be considered as active borrowers are individually identifiable who are liable for at least one current outstanding loan. Multiple loans to the same enterprise are considered as one borrower.</p> <p>The number of active enterprise borrowers is measured at a specific date of the reporting year. For this reason, this indicator cannot be used for cumulative targets or actual figures. The M&E system may track other indicators such as the total number of people taking loans in participating financial institutions or the total number of loans extended during all project years, but at present these indicators are not included in the RIMS framework. See also Tip 4</p> | | | | | | | | | | | | | | | |
| <i>Example</i> | This year, the AWP&B does not provide the target number of enterprises expected to have an active portfolio as at the 31 December. Actual figures shows that at this date, 10 enterprises are active borrowers. These figures can be used as the reference for next year's planning phase. | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Active Borrowers Enterprises</th> <th style="text-align: center;">AWPB Target</th> <th style="text-align: center;">Actual</th> <th style="text-align: center;">% AWPB</th> <th style="text-align: center;">Appraisal Target</th> <th style="text-align: center;">Cumulative</th> <th style="text-align: center;">% Appraisal</th> </tr> </thead> <tbody> <tr> <td></td> <td style="text-align: center;">-</td> <td style="text-align: center;">10</td> <td></td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> </tr> </tbody> </table> | | Active Borrowers Enterprises | AWPB Target | Actual | % AWPB | Appraisal Target | Cumulative | % Appraisal | | - | 10 | | n.a. | n.a. | n.a. |
| Active Borrowers Enterprises | AWPB Target | Actual | % AWPB | Appraisal Target | Cumulative | % Appraisal | | | | | | | | | | |
| | - | 10 | | n.a. | n.a. | n.a. | | | | | | | | | | |
| <i>Related Results</i> | 1.3.5 Staff of financial institutions trained 1.3.11 Value of gross loan portfolio (enterprises) 1.5.5 Enterprises accessing facilitated financial services | 2.3.2 Effectiveness: Improved access of the poor to financial services 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | |

Section Three
Measuring and Reporting First- Level Results

| 1.3.10 | Value of the gross loan portfolio (individuals) | Measured in: US Dollars '000 | | | | | | | | | | | | | | |
|--|--|--|--------------|---------------------|------------|-------------------|---------------------|------------|-------------------|--|-----|-----|------|------|------|------|
| <i>Definition</i> | This is the total value of the outstanding balance of all outstanding loans at a specific date (e.g. 31 Dec). The value of the gross loan portfolio is reported in thousands of US dollars (US\$ '000). The local currency should be converted into US\$ '000 using exchange rates applicable to the reporting date. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>On a given date (31 Dec), the value of the gross loan portfolio corresponds to the total amount of the outstanding loan balance. The gross loan portfolio includes loans that are current, delinquent and renegotiated, but it does not include loans that have been written off or interest receivable. The value of loans extended to individuals should be distinguished from the value of loans extended to legal entities (see 1.3.11). If several financial institutions participate in the project, the indicator should not distinguish borrowers from savings clubs, MFIs, commercial banks, etc.</p> <p>The value of the gross loan portfolio reported by each participating financial institution should be compared with the number of active borrowers reported to verify that the amount per loan reported per person is reasonable.</p> <p>The value of the gross loan portfolio is measured at a specific date of the reporting year. For this reason, this indicator cannot be used for cumulative targets or actual figures. The AWP&B and Logframe may therefore use other indicators such as the total value of loans disbursed during all project years. See also Tip 4</p> | | | | | | | | | | | | | | | |
| <i>Example</i> | In this example, the actual value of the loan portfolio at 31 Dec 2006 was local currency 60 million; the exchange rate on 31 Dec (the reporting day) was LCY 0.05 to US\$ 1.00 which is equivalent to US\$ 300,000. Active borrowers were reported as 500, making an average loan size of US\$ 600. | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">AWPB Target</th> <th style="text-align: center;">Actual</th> <th style="text-align: center;">% of AWPB</th> <th style="text-align: center;">Appraisal Target</th> <th style="text-align: center;">Cumulative</th> <th style="text-align: center;">% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Value of the gross loan portfolio individuals (US \$ '000)</td> <td style="text-align: center;">500</td> <td style="text-align: center;">600</td> <td style="text-align: center;">120%</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Value of the gross loan portfolio individuals (US \$ '000) | 500 | 600 | 120% | n.a. | n.a. | n.a. |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Value of the gross loan portfolio individuals (US \$ '000) | 500 | 600 | 120% | n.a. | n.a. | n.a. | | | | | | | | | | |
| <i>Related Results</i> | 1.3.1 Savings and credit groups formed and/or strengthened 1.3.5 Staff of financial institutions trained 1.3.8 Active borrowers | 2.3.2 Effectiveness: Improved access of the poor to financial services 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | |

| 1.3.11 | Value of the gross loan portfolio (enterprises) | Measured in: US Dollars '000 | | | | | | | | | | | | | | |
|--|--|--|--------------|---------------------|------------|-------------------|---------------------|------------|-------------------|--|---|-----|------|------|------|------|
| <i>Definition</i> | This is the total value of the outstanding balance of all outstanding loans to enterprises at a specific date (e.g. 31 Dec). The value of the gross loan portfolio for enterprises is reported in thousands of US dollars (US\$ '000). The local currency should be converted into US\$ '000 using exchange rates applicable to the reporting date. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>On a given date (31 Dec), the value of the gross loan portfolio corresponds to the total amount of the outstanding loan balance made to enterprises. The gross loan portfolio includes loans that are current, delinquent and renegotiated, but it does not include loans that have been written off or interest receivable. If several financial institutions participate in the project, the indicator should not distinguish borrowers from savings clubs, MFIs, commercial banks, etc.</p> <p>The value of the gross loan portfolio reported by each participating financial institution should be compared with the number of enterprises reported to verify that the amount per loan per enterprise is reasonable.</p> <p>The value of the gross loan portfolio is measured at a specific date of the reporting year. For this reason, this indicator cannot be used for cumulative targets or actual figures. The AWP&B and Logframe may therefore use other indicators such as the total value of loans disbursed during all project years. See also Tip 4</p> | | | | | | | | | | | | | | | |
| <i>Example</i> | The actual value of the loan portfolio at 31 Dec 2006 was local currency 60 million; the exchange rate on 31 Dec (the reporting day) was LCY 0.05 to US\$ 1.00 which is equivalent to US\$ 300,000. Active enterprises borrowing were reported as ten, making an average loan size of US\$ 30 000. | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">AWPB Target</th> <th style="text-align: center;">Actual</th> <th style="text-align: center;">% of AWPB</th> <th style="text-align: center;">Appraisal Target</th> <th style="text-align: center;">Cumulative</th> <th style="text-align: center;">% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Value of the gross loan portfolio enterprises (US \$ '000)</td> <td style="text-align: center;">0</td> <td style="text-align: center;">300</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> <td style="text-align: center;">n.a.</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Value of the gross loan portfolio enterprises (US \$ '000) | 0 | 300 | n.a. | n.a. | n.a. | n.a. |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Value of the gross loan portfolio enterprises (US \$ '000) | 0 | 300 | n.a. | n.a. | n.a. | n.a. | | | | | | | | | | |
| <i>Related Results</i> | 1.3.5 Staff of financial institutions trained 1.3.8 Active borrowers (enterprises) 1.5.5 Enterprises accessing facilitated | 2.3.2 Effectiveness: Improved access of the poor to financial services 2.3.3 Sustainability: Improved performance of financial institutions | | | | | | | | | | | | | | |

financial services

| 1.3.12 | People trained in financial services | Measured in: Males/Females |
|--------------------------|--|--|
| <i>Definition</i> | This is the number of men and women trained in financial services during the review period. This could include training on accessing formal financial services (bank accounts/savings deposits/ accessing credit from banks or rural financial institutions), management and organisation of self-help groups (accounting financial management) or in other aspects of rural financial services. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.3.6 Voluntary savers 1.3.8 Active borrowers 1.3.1 Savings and credit groups formed/strengthen. | 2.3.3 Sustainability: Improved performance of the financial institutions |

MARKETS

| 1ST LEVEL RESULTS | | 2ND LEVEL RESULTS | |
|-------------------|---|--|--|
| 1.4.1 | People trained in post-production, processing and marketing (*) | 2.4.1 | Effectiveness: producers benefiting from improved markets access |
| 1.4.2 | Roads constructed/rehabilitated | 2.4.2 | Likelihood of sustainability of the roads constructed/rehabilitated |
| 1.4.3 | Market facilities constructed/rehabilitated | 2.4.3 | Likelihood of sustainability of market, storage, processing facilities |
| 1.4.4 | Marketing groups formed/strengthened | 2.4.4 | Likelihood of sustainability of marketing groups formed/strengthened |
| 1.4.5 | People in marketing groups formed and/or strengthened (*) | | |
| 1.4.6 | Marketing group with women in leadership positions | | |
| 1.4.7 | Processing facilities constructed/ rehabilitated | (2.4.3) Specify the type of infrastructure | |
| 1.4.8 | Storage facilities constructed/ rehabilitated | | |

(*) These indicators should be reported on a sex-disaggregated basis and, where relevant, differentiation between indigenous/non-indigenous peoples should be introduced

| 1.4.1 | People trained in post-production, processing and marketing | Measured in: Males/Females |
|--------------------------|---|---|
| <i>Definition</i> | This is the number of males and females that during the period under review have been trained in topics related to post-production, processing and marketing. The topics relevant for this indicator include: procedures for conservation of agricultural products, processing techniques of agricultural products, procedures for handling in compliance with phyto-sanitary and other quality requirements, packaging techniques, market information and procedures, etc. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.4.3 Marketing/storage/processing facilities constructed/rehabilitated 1.4.4 Marketing groups formed/strengthened | 2.4.1 Effectiveness: Producers benefiting from improved access to markets |

| 1.4.2 | Roads constructed | Measured in: Kilometres | | | | | | | | | | | | | | |
|--------------------------------------|--|---|-----------|------------------|------------|----------------|------------------|------------|----------------|--------------------------------------|-----|----|-----|-----|----|-----|
| <i>Definition</i> | This is the total kilometres (km) of roads that have been fully constructed or rehabilitated (up-graded) by the project during the period under review. All typologies of roads should be included, e.g., village access roads, paved roads, primary, secondary, tertiary etc. Roads where construction/rehabilitation works have not been completed should not be reported. To facilitate reporting and avoid duplication, reporting can be done on a contract basis, i.e., reported when the entire contract is completed. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | See Tip 1 | | | | | | | | | | | | | | | |
| <i>Example</i> | Two contracts for road works were tendered at the beginning of PY 1. One company won the tender for one contract of 65 km. A second company won the tender for a contract of 35 km. The second contractor completed the roads work, but the first contractor only partially completed the works. The project therefore reports the 35 km as completed. If the work is completed by end of next year, the other 65 km will be reported as completed in PY2. | | | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th></th> <th>AWPB Target</th> <th>Actual</th> <th>% of AWPB</th> <th>Appraisal Target</th> <th>Cumulative</th> <th>% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Roads constructed/rehabilitated (km)</td> <td>100</td> <td>35</td> <td>35%</td> <td>250</td> <td>35</td> <td>14%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Roads constructed/rehabilitated (km) | 100 | 35 | 35% | 250 | 35 | 14% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Roads constructed/rehabilitated (km) | 100 | 35 | 35% | 250 | 35 | 14% | | | | | | | | | | |
| <i>Related Results</i> | 1.1.2 Groups managing infrastructure formed and/or strengthened 1.1.3 People in groups managing infrastructure 1.1.4 Groups managing infrastructure with women in leadership positions | 2.4.1 Effectiveness: Producers benefiting from improved access to markets 2.4.3 Sustainability of the roads constructed and/or rehabilitated | | | | | | | | | | | | | | |

| 1.4.3 | Marketing facilities constructed/rehabilitated | Measured in: Number | | | | | | | | | | | | | | |
|---|--|---|--------------|---------------------|------------|-------------------|---------------------|------------|-------------------|---|----|---|-----|----|----|-----|
| <i>Definition</i> | This is the number of market facilities that have been fully constructed or rehabilitated by the project during the period under review. Market facilities are the structures adopted for the sale of products such as marketplaces, shading structures, sanitary systems. Facilities associated to marketplace include: trays, scales, donkey carts, water supply, etc. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | See Tip 1 | | | | | | | | | | | | | | | |
| <i>Example</i> | 3 of 10 planned market facilities were completed. The 3 market facilities constructed in the current year are added to those completed in previous periods (7) for a total of 10 market facilities constructed, which corresponds to 40% of the total appraisal target. | | | | | | | | | | | | | | | |
| | <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;"></th> <th style="text-align: center;">AWPB Target</th> <th style="text-align: center;">Actual</th> <th style="text-align: center;">% of AWPB</th> <th style="text-align: center;">Appraisal Target</th> <th style="text-align: center;">Cumulative</th> <th style="text-align: center;">% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Marketing facilities constructed and/or rehabilitated</td> <td style="text-align: center;">10</td> <td style="text-align: center;">3</td> <td style="text-align: center;">30%</td> <td style="text-align: center;">25</td> <td style="text-align: center;">10</td> <td style="text-align: center;">40%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Marketing facilities constructed and/or rehabilitated | 10 | 3 | 30% | 25 | 10 | 40% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Marketing facilities constructed and/or rehabilitated | 10 | 3 | 30% | 25 | 10 | 40% | | | | | | | | | | |
| <i>Related Results</i> | 1.1.2 Groups managing infrastructure formed and/or strengthened 1.4.1 People trained in post-production, processing and marketing 1.4.4 Marketing groups formed/strengthened | 2.4.1 Effectiveness: Producers benefiting from improved access to markets 2.4.3 Sustainability of the marketing/ processing/storage facilities | | | | | | | | | | | | | | |

| 1.4.4 1.4.5 1.4.6 | Marketing groups formed/strengthened People in marketing groups formed/strengthened Marketing groups with women in leadership positions | Measured in Number Males/Females Number |
|--------------------------|---|--|
| <i>Definition</i> | This group of indicators refers to the activities implemented by the project to create or strengthen groups, including cooperatives of producers aimed at: sharing information on market prices, identifying market opportunities, undertaking collective actions, accessing inputs and outputs markets, negotiating collectively with traders and intermediaries, etc. Indicator 1.4.4 is the number of producers groups (formally registered or not) formed or strengthened by the project during the period under review. Indicator 1.4.5 is the number of people belonging to these groups, reported on a sex disaggregated basis. Where relevant, data on indigenous and non-indigenous group participants should be separately reported. Indicator 1.4.6 is the number of the groups reported in 1.4.4 that are headed by a woman or are characterised by women in leadership positions (such as the management board) at least proportional to the number of female members. | |
| <i>Operational hints</i> | See Tip 3 | |
| <i>Example</i> | See 1.1.2 | |
| <i>Related Results</i> | 1.6.9 Apex organisations formed/strengthened | 2.4.1 Effectiveness: Producers benefiting from improved access to market 2.4.4 Likelihood of sustainability of the marketing groups formed/strengthened |

| 1.4.7 | Processing facilities constructed/rehabilitated | Measured in: Number |
|--------------------------|---|---|
| <i>Definition</i> | This is the number of processing facilities that have been fully constructed or rehabilitated by the project during the period under review. Processing facilities include equipment and machinery that is used for the transformation of agricultural produce, such as mills, hullers, shellers, extractors. | |
| <i>Operational hints</i> | See Tip 1 | |
| <i>Example</i> | See 1.4.3 | |
| <i>Related Results</i> | 1.1.2 Groups managing infrastructure formed and/or strengthened 1.4.1 People trained in post-production, processing and marketing 1.4.4 Marketing groups formed/strengthened | 2.4.1 Effectiveness: Producers benefiting from improved access to markets 2.4.3 Sustainability of the marketing/ processing/storage facilities |

Section Three
 Measuring and Reporting First- Level Results

| 1.4.8 | Storage facilities constructed/rehabilitated | | Measured in: Number |
|--------------------------|---|---|------------------------|
| <i>Definition</i> | This is the number of storage facilities that have been fully constructed or rehabilitated by the project during the period under review. Storage facilities include structures used for longer-term storage or preservation of agricultural produce. The facilities may be on-farm storage structures such as containers and small silos, or village/community facilities such as warehouses, granaries and large silos. | | |
| <i>Operational hints</i> | See Tip 1 | | |
| <i>Example</i> | See 1.4.3 | | |
| <i>Related Results</i> | 1.1.2 Groups managing infrastructure formed and/or strengthened | 2.4.1 Effectiveness: Producers benefiting from improved access to markets | |
| | 1.4.1 People trained in post-production, processing and marketing | 2.4.3 Sustainability of the marketing/ processing/storage facilities | |
| | 1.4.4 Marketing groups formed/strengthened | | |

RURAL ENTERPRISE DEVELOPMENT AND EMPLOYMENT

| 1ST LEVEL RESULTS | | 2ND LEVEL RESULTS | |
|-------------------|---|-------------------|---|
| 1.5.1 | People trained in Income generating activities (IGAs) (*) | | |
| 1.5.2 | People receiving vocational training (*) | | |
| 1.5.3 | People trained in business and entrepreneurship (*) | 2.5.1 | Effectiveness: creation of employment opportunities |
| 1.5.4 | Enterprises accessing facilitated non-financial services | 2.5.2 | Likelihood of sustainability of enterprises |
| 1.5.5 | Enterprises accessing facilitated financial services | | |

(*) These indicators should be reported on a sex-disaggregated basis and, where relevant, the indigenous/non-indigenous differentiation should be introduced

| 1.5.1 | People trained in income generating activities (IGAs) | Measured in: Males/Females |
|--------------------------|---|--|
| <i>Definition</i> | This is the number of men and women trained in income generating activities (IGAs) during the review period. IGAs include: cheese-making, small-scale processing of fruits, meats and other milk products, hand-crafts, weaving, embroidery, knitting, tailoring, wool-spinning, etc. Trainings usually focus on the skills and basic know-useful for starting such activities or improving existing ones. Training in IGAs focus on skills. Therefore it differs from training in business and entrepreneurship (1.5.3) which instead deals with management, accounting and marketing aspects. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.3.8 Active borrowers | 2.5.1 Effectiveness: Creation of employment opportunities 2.5.2 Likelihood of sustainability of enterprises |

| 1.5.2 | People receiving vocational training | Measured in: Males/Females |
|--------------------------|--|--|
| <i>Definition</i> | This is the number of men and women trained in trades or technologies/techniques associated with trades. Vocational training prepares learners for careers that are based on manual or practical activities, related to a specific trade, occupation or vocation. Vocational education has a strong technical connotation. It includes activities such as: blacksmithing, carpentry, masonry, welding, etc. Training programmes may include periods of apprenticeship and on-the-job training. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.3.8 Active borrowers 1.5.4 Enterprises accessing facilitated non-financial services | 2.5.1 Effectiveness: Creation of employment opportunities 2.5.2 Likelihood of sustainability of enterprises |

| 1.5.3 | People trained in business and entrepreneurship skills | Measured in: Males/Females |
|--------------------------|--|--|
| <i>Definition</i> | This is the number of men and women trained in business and entrepreneurship skills during the period under review. The training topics include: accounting and bookkeeping, cash flow management, marketing, etc. Training initiatives differ from the advisory or any other non-financial support extended by service providers to enterprises (indicator 1.5.4). The number of people should be reported sex disaggregated. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.3.8 Active borrowers | 2.5.1 Effectiveness: Creation of employment opportunities 2.5.2 Likelihood of sustainability of enterprises |

Section Three
Measuring and Reporting First- Level Results

| 1.5.4 | Enterprises accessing non-financial services facilitated by the project | Measured in: Number | | | | | | | | | | | | | | |
|---|---|--|-----------|------------------|------------|----------------|------------------|------------|----------------|---|-----|-----|------|-----|-----|-----|
| <i>Definition</i> | This is the number of enterprises that have accessed non-financial services promoted by the project during the period under review. Enterprises are structured businesses, having a well defined physical location, normally with legal status, bank account, employees, etc. ‘Non-financial’ services include: business planning, technical advisory, supply chain management, market investigation, facilitation of linkages with traders, banks, product and process quality control, etc. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | These services can be provided by government or private agencies, business development centres, etc. Being <i>facilitated</i> by the project implies that the project may co-finance the fee for service provision, support the service provider (1.2.1) or act as intermediary between the service providers and project clients. After the service providers or the services facilitated by the project are identified, the enterprises that during the period under review received such services are counted. Service providers working with the project should be required to provide these figures. See Tip 4 . Enterprises accessing non-financial services facilitated by the project are different from individuals (or groups) accessing facilitated advisory services (indicator 1.2.8). Similarly, the provision of non-financial services to enterprises has a broader scope compared to the training initiatives extended to entrepreneurs (1.5.3). | | | | | | | | | | | | | | | |
| <i>Example</i> | During the period, the project worked with three service providers in business planning/development services (BDS), and with one service provider in supply chain management. The three BDS service providers reported that 100 enterprises accessed their services during the year; in addition, the supply chain service provider provided services to 15 enterprises (some of which also received BDS advice). The total of 115 enterprises exceeded the AWPB target. In previous years, 335 enterprises had accessed such services, bringing the cumulative to 450 (335 + 115), which is 75% of the target established at appraisal. | | | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th></th> <th>AWPB Target</th> <th>Actual</th> <th>% of AWPB</th> <th>Appraisal Target</th> <th>Cumulative</th> <th>% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Enterprises accessing non-financial services facilitated by the project</td> <td>100</td> <td>115</td> <td>115%</td> <td>600</td> <td>450</td> <td>75%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Enterprises accessing non-financial services facilitated by the project | 100 | 115 | 115% | 600 | 450 | 75% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Enterprises accessing non-financial services facilitated by the project | 100 | 115 | 115% | 600 | 450 | 75% | | | | | | | | | | |
| <i>Related Results</i> | 1.2.1 Staff of service providers trained | 2.5.1 Effectiveness: Creation of employment opportunities 2.5.2 Likelihood of sustainability of enterprises | | | | | | | | | | | | | | |

| 1.5.5 | Enterprises accessing financial services facilitated by the project | Measured in: Number | | | | | | | | | | | | | | |
|---|--|--|-----------|------------------|------------|----------------|------------------|------------|----------------|---|----|----|-----|-----|----|-----|
| <i>Definition</i> | This is the number of enterprises that have accessed the financial services facilitated by the project during the period under review. Enterprises are structured businesses, possibly registered as legal entities, operating in well defined physical locations. The ‘financial’ services relevant for this indicator include more than just credit that should be reported under 1.3.9 and 1.3.11, but also covers equity support, start-up financing, venture capital, insurance mechanisms, etc. | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | These services are normally provided by the private sector, usually ,but not only banks. Being <i>facilitated</i> by the project implies that the project supports the service provider (1.2.1) or acts as intermediary between the service providers and project clients. After the service providers or the financial services facilitated by the project are identified, the enterprises that used these services during the period are counted. The financial service provider(s) working with the project can provide these figures. See Tip 4 | | | | | | | | | | | | | | | |
| <i>Example</i> | The number of enterprises accessing the financial services facilitated by the project is slightly below expected target (25 against AWPB target of 30). This figure is added to the 5 enterprises that accessed the service in the previous years. On a cumulative basis, 30 enterprises accessed financial services, which is 30% of the target established at appraisal. | | | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th></th> <th>AWPB Target</th> <th>Actual</th> <th>% of AWPB</th> <th>Appraisal Target</th> <th>Cumulative</th> <th>% of Appraisal</th> </tr> </thead> <tbody> <tr> <td>Enterprises accessing financial services facilitated by the project</td> <td>30</td> <td>25</td> <td>83%</td> <td>100</td> <td>30</td> <td>30%</td> </tr> </tbody> </table> | | | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | Enterprises accessing financial services facilitated by the project | 30 | 25 | 83% | 100 | 30 | 30% |
| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal | | | | | | | | | | |
| Enterprises accessing financial services facilitated by the project | 30 | 25 | 83% | 100 | 30 | 30% | | | | | | | | | | |
| <i>Related Results</i> | 1.2.1 Staff of credit/financial institutions trained 1.3.9 Number of active borrowers (enterprises) 1.3.11 Value of the gross loan portfolio (enterprises) | 2.5.1 Effectiveness: Creation of employment opportunities 2.5.2 Likelihood of sustainability of enterprises | | | | | | | | | | | | | | |

POLICY AND COMMUNITY PROGRAMMING

| 1ST LEVEL RESULTS | | | 2ND LEVEL RESULTS | |
|-------------------|---|-----|-------------------|---|
| 1.6.1 | Government officials and staff trained | (*) | 2.6.1 | Effectiveness: promotion of pro-poor policies and institutions |
| 1.6.2 | People trained in community management topics | (*) | 2.6.2 | Effectiveness: community development |
| 1.6.3 | Community workers and volunteers trained | (*) | | |
| 1.6.4 | Community groups formed/strengthened | | 2.6.3 | Likelihood of sustainability of the community groups formed and/or strengthened |
| 1.6.5 | People in community groups formed/strengthened | (*) | | |
| 1.6.6 | Community groups with women in leadership positions | | | |
| 1.6.7 | Village/community plans formulated | | | |
| 1.6.8 | People accessing development funds | (*) | 2.6.4 | Likelihood of sustainability of the apex organisation |
| 1.6.9 | Apex organisations formed/strengthened | | | |

(*) *These indicators should be reported on a sex-disaggregated basis and, where relevant, the indigenous/non-indigenous differentiation should be introduced*

| 1.6.1 | Government officials and staff trained | Measured in: Males/Females |
|--------------------------|--|-------------------------------|
| <i>Definition</i> | This is the number of female and male staff working in governmental bodies that have been trained by the project during the period under review. All categories of government bodies, should be considered (ministries, certification institutes, etc.) operating at national or local level. Differently from other RIMS indicators, this indicator does not look at the topic of the training but at the recipient, namely the staff of governmental bodies. | |
| | The measurement focus of this indicator is on people. Hence, if the training has been extended to a unit of the Ministry of Agriculture, the number of people participating in these events should be reported. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 2.6.1 Effectiveness: Promotion of pro-poor government policies and institutions | |

| 1.6.2 | People trained in community management topics | Measured in: Males/Females |
|--------------------------|---|--|
| <i>Definition</i> | This is the number of men and women that during the period under review have been trained in topics related to community-level decision making and management processes. The topics relevant for this indicator include: participatory methods, group facilitation, participatory planning and management, monitoring and evaluation, financial management and accounting, etc. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.6.3 Community workers and volunteers trained 1.6.4 Community groups formed/strengthened 1.6.7 Village/Community plans formulated 1.6.8 People accessing development funds | 2.6.2 Effectiveness: Community development |

Section Three
Measuring and Reporting First- Level Results

| 1.6.3 | Community workers and volunteers trained | Measured in: Males/Females |
|--------------------------|---|-------------------------------|
| <i>Definition</i> | This is the number of men and women community workers or volunteers that have been trained by the project during the period under review. Training topics relevant for this indicator include: maintenance of community resources, monitoring of social infrastructure, dissemination of farming practices, veterinary services, social and health services (midwives, community health workers), etc. Differently from other indicators (such as 1.1.1, 1.2.3, etc.), this indicator does not look at the subject of the training but to its recipient, namely community workers and volunteers. | |
| <i>Operational hints</i> | See Tip 2 | |
| <i>Example</i> | See 1.1.1 | |
| <i>Related Results</i> | 1.6.2 People trained in community management topics 2.6.2 Effectiveness: Community development 1.6.4 Community groups formed/strengthened | |

| 1.6.4 | Community groups formed/strengthened | Measured in: Number |
|--------------------------|--|------------------------|
| 1.6.5 | People in community groups formed/strengthened | Males/Females |
| 1.6.6 | Community groups with women in leadership positions | Number |
| <i>Definition</i> | This group of indicators refers to the activities implemented by the project for creating or strengthening groups serving as basis for various types of community-based initiatives (planning, priority-setting, cultural groups, self-help groups, etc). These groups should be distinguished from groups managing infrastructure that are counted under 1.1.2 and groups that are involved in crop/livestock production that are counted under 1.2.8. Indicator 1.6.4 is the number of community groups (formally registered or not) that have been formed or strengthened by the project during the period under review. Indicator 1.6.5 is the number of people belonging to these groups, reported on a sex disaggregated basis. Indicator 1.6.6 shows how many of the community groups reported in 1.6.4 are headed by a women or are characterised by women in leadership positions (such as the management board) at least proportional to the number of female members. | |
| <i>Operational hints</i> | See Tip 3 | |
| <i>Example</i> | See 1.1.2 | |
| <i>Related Results</i> | 1.6.2 People trained in community management topics 2.6.2 Effectiveness: Community development 1.6.8 People accessing development funds 1.6.9 Apex organisations formed/strengthened | |

| 1.6.7 | Village/community plans formulated | Measured in: Number |
|--------------------------|---|------------------------|
| <i>Definition</i> | This is the number of village/community plans that have been completed under the guidance and support of the project during the period under review. A village/community plan is a framework of initiatives dealing with various aspect of village/community life aimed at improving social, cultural and economic development. A plan may include initiatives for strengthening village/community economic features (e.g. market facilities, roads, tourism development) as well as social features (e.g., training or infrastructure for sanitation) or the promotion of local culture and identity, etc. | |
| <i>Operational hints</i> | See 1.1.13 | |
| <i>Example</i> | See 1.1.13 | |
| <i>Related Results</i> | 1.6.2 People trained in community management topics 2.6.2 Effectiveness: Community development 1.6.3 Community workers/volunteers trained 1.6.4 Community groups formed/strengthened 1.6.8 People accessing development funds | |

SOCIAL INFRASTRUCTURE

| 1ST LEVEL RESULTS | | 2ND LEVEL RESULTS | |
|-------------------|--|-------------------|--|
| 1.7.1 | Drinking water systems constructed/rehabilitated | | |
| 1.7.2 | Health centres constructed/rehabilitated | | |
| 1.7.3 | Schools constructed/rehabilitated | | |
| 1.7.4 | Other social infrastructure constructed/rehabilitated | | |
| 1.7.5 | Groups managing social infrastructure formed and or strengthened | 2.7.3 | Likelihood of sustainability of the groups managing social infrastructure formed and/or strengthened |
| 1.7.6 | People in groups managing social infrastructure (*) | | |
| 1.7.7 | Groups managing social infrastructure with women in leadership positions | | |

| | | |
|-------|---|---------------------------|
| 1.7.1 | Drinking water systems constructed/rehabilitated | Measured in: Units |
| 1.7.2 | Health centres constructed/rehabilitated | |
| 1.7.3 | Schools constructed/rehabilitated | |
| 1.7.4 | Other social infrastructure constructed/rehabilitated | |

Definition Social infrastructure will in some cases be financed directly by the project, often by one of IFAD's co-financiers. Social infrastructure may also be financed through development funds. These facilities should be counted if they have been fully constructed and/or rehabilitated by project during the period under review. Each of these indicators refers to a particular type of social infrastructure and should be reported separately:

Indicator 1.7.1 Drinking water systems without any differentiation in terms of typology of system, type of water source, method of water distribution, etc.

Indicator 1.7.2 Health centres and or any other facility where health-related services are extended (ambulatory, clinics, ambulance points, hospitals, etc.)

Indicator 1.7.3 Schools, including kindergarten and any other type of facilities where educational and training activities is performed.

Indicator 1.7.4 refers to all other social infrastructure such as community and social centre, playing fields, multi-purpose centres, bridges, culverts, etc.

Operational hints See **Tip 1**

Example This project succeeded to meet the planned result in terms of number of schools fully constructed/rehabilitated. Significant delays are found in the case of health centres: construction works were completed in 1 health centre was rehabilitated out of the 5 planned in the AWPB.

| | AWPB Target | Actual | % of AWPB | Appraisal Target | Cumulative | % of Appraisal |
|--|-------------|--------|-----------|------------------|------------|----------------|
| Schools constructed/rehabilitated | 4 | 4 | 100% | 20 | 4 | 20% |
| Health centres constructed/rehabilitated | 5 | 1 | 20% | 20 | 1 | 5% |

Related Results

| | | | |
|-------|---|-------|---|
| 1.6.2 | People trained in community management topics | 2.7.1 | Effectiveness of social infrastructure |
| 1.6.4 | Community groups formed/strengthened | | |
| 1.6.5 | People in community groups e | 2.7.2 | Sustainability of social infrastructure |
| 1.6.6 | Community groups with women in leadership positions | | |

| | | |
|-------------------------|---|--|
| 1.7.5 1.7.6 1.7.7 | Groups managing social infrastructure formed/strengthened People in groups managing social infrastructure formed/strengthened Groups managing social infrastructure with women in leadership positions | Measured in Number Males/Females Number |
|-------------------------|---|--|

Definition These indicators refer to the activities implemented by the project for creating or strengthening groups in charge of maintaining social infrastructure, collecting user fees, governing access to the facility, contributing to conflict resolution, etc.

Indicator 1.7.5 is the number of groups (formally registered or not) formed or strengthened by the project to manage social infrastructure during the period under review. If a group involved in the management of social infrastructure (e.g., a parent teacher association managing a school) receives project support, it should be counted irrespective of whether the school was constructed/rehabilitated by the project.

Indicator 1.7.6 is the number of people belonging to these groups, reported on a sex disaggregated basis.

Indicator 1.7.7 is the number of the groups managing social infrastructure reported in 1.7.5 that are headed by a woman or are characterised by women in leadership positions (such as the management board) at least proportional to the number of female members.

Operational hints See **Tip 2**

Example During PY2, the number of groups formed/strengthened exceeded the AWPB estimate. Twenty groups were formed in PY1, making a cumulative of 22 groups formed/strengthened. However, project results in terms of participation of women are below expectations: only 1 of the 20 groups formed/strengthened during this period has women in leadership positions.

| | AWPB <u>Target</u> | <u>Actual</u> | % of <u>AWPB</u> | Appraisal <u>Target</u> | <u>Cumulative</u> | % of <u>Appraisal</u> |
|--|-----------------------|---------------|---------------------|----------------------------|-------------------|--------------------------|
| Groups managing social infrastructure formed/strengthened | 15 | 20 | 133% | 80 | 22 | 27.5% |
| People in groups managing social infrastructure form./strength. | 150 | 200 | 133% | 800 | 220 | 27.5% |
| <i>Total</i> | 50 | 40 | 80% | NA | | |
| <i>Male</i> | 100 | 10 | 10% | NA | | |
| Groups managing social infrast. formed/ strengthened. with women in leadership positions | 7 | 1 | 14% | NA | 1 | |

Related Results

| | | | |
|-------|--|-------|---|
| 1.7.1 | Drinking water systems constructed/ rehabilitated | 2.7.1 | Effectiveness of social infrastructure |
| 1.7.2 | Health centres constructed/ rehabilitated | 2.7.2 | Sustainability of social infrastructure |
| 1.7.3 | Schools constructed/ rehabilitated | 2.7.3 | Sustainability of groups managing social infrastructure |
| 1.7.4 | Other social infrastructure constructed/ rehabilitated | | |
| 1.6.9 | Apex organisations formed/strengthened | | |

TOTAL OUTREACH

| 1.8.1 | People receiving project services | Measured in: Number |
|-------|--|----------------------------|
| 1.8.2 | Households receiving project services | |
| 1.8.3 | Groups receiving project services | |
| 1.8.4 | Communities receiving project services | |

Definition These are the total number of 1.8.1 people (sex disaggregated), 1.8.2 households, 1.8.3 groups or 1.8.4 communities that during the period under review have received services or benefited from the activities implemented by the project.

Operational hints Every project is expected to report at least one indicator showing the number of people (1.8.1) or households (1.8.2) that during the period under review received project services.

Indicator 1.8.1 is the number of men and women that have been direct beneficiaries of project services during the period. This number includes: the people trained, those in groups formed/strengthened, borrowers and savers, those operating stalls in newly formed markets, etc.

Indicator 1.8.2 is the number of households that have been direct beneficiaries of project services. A household-based indicator can be more appropriate when the outreach of infrastructure is measured, For example, the number of households that have access to the drinking water system rehabilitated by the project.

It is suggested to only look at the people/households within the very immediate reach of project activities and services.

For example, in a farmers' training programme, only those who actually participated in the training events should be counted as 'individuals receiving project services'. This indicator would exclude other people that may benefit from the enhanced capacity of farmers such as suppliers and purchasers of farm produce.

These indicators can be calculated on the basis of the data reported under the other first-level indicators reported during the period. The values of these indicators can be aggregated so that the number of people/households/groups/communities that have received project services can be calculated. For example, the total number of groups accessing project services may correspond to the sum of the values reported under 1.1.10, 1.2.7, etc. Similarly, the total number of individuals receiving project services may correspond to the sum of the people accessing advisory services during the period under review (1.2.5) and the people trained in livestock production (1.2.3).

However, adding up the outreach of several project initiatives may generate an overestimated assessment of project outreach. This is because the same person/household/group/community may receive various types of project services. It is therefore necessary to look at the entity receiving project services (person, household, group or community). Each entity should be counted once. For example, if the same household is served by the irrigation scheme and drinking water system rehabilitated by the project, this should be counted as one.

Indicator 1.8.3 and 1.8.4 may be relevant measure of project outreach for the projects working with groups and communities.

Where possible, projects should also measure the total number of **households with improved food security**. Food security refers to the availability of food and a household's access to it. Food security exists when all members of the household, at all times, have physical, social and economic access to sufficient, safe and nutritious food to meet their dietary needs for an active and healthy life. Improved food security can be measured through the number of households with decreased hungry seasons. The hungry season means the number of months that a household does not have enough food because the household's own stores or stocks are depleted and the household does not have enough money to buy food. Periods when the household has been forced to borrow money or take credit from a shop in order to purchase food should be considered as periods of food insecurity.

Tips

Tip 1 Rehabilitation of infrastructure and facilities

Indicators The RIMS first-level indicators look at the following types of infrastructure: Irrigation schemes (1.1.5), livestock water points (1.1.6), rainwater harvesting systems (1.1.7), Fishponds (1.1.8), marketing, processing and storage facilities (1.4.3) , roads (1.4.2), drinking water systems (1.7.1), health centres (1.7.2), schools (1.7.3), other (1.7.4).

Measurement Except for 1.1.5 (hectares of land under irrigation systems) and 1.4.2 (kilometres of road), all indicators listed above are based on the simple counting of the number of infrastructure/facilities that have been constructed and/or rehabilitated by the project during the period under review. The number should be calculated on the basis of the infrastructure/facilities where construction/rehabilitation works have been fully completed during the period under review.

Methods Initiatives where construction works are ongoing at the time of reporting should not be considered. Every construction/rehabilitation initiative should be reported in the period when it is concluded. Also, AWPB target should refer to the number of initiatives expected to be concluded during the period under review.

The example in Table 1 shows a project that aims at constructing 5 livestock water points (appraisal target 5). In PY1, the AWPB provides financing for 3 watering points expected to be completed during PY1. Only 1 of these was actually completed (initiative A). Accordingly, only 1 initiative actually completed out of the 3 planned should be reported. In PY 1, the cumulative figure coincides with the actual value.

Table 1: Infrastructure Reporting

| TIME | PY1 | | PY2 | | PY3 | |
|-------------------|-----------|-----|-----------|-----|-----------|-----|
| | Beginning | End | Beginning | End | Beginning | End |
| Initiative A | ● | ● | | | | |
| Initiative B | | | | | ● | ● |
| Initiative C | | ● | ● | ● | | |
| Initiative D | | | ● | ● | | |
| Initiative E | ● | | | | ● | |
| AWPB Target | 3 | | 3 | | 2 | |
| Actual | 1 | | 2 | | 2 | |
| Appraisal Target | 5 | | 5 | | 5 | |
| Cumulative Actual | 1 | | 3 | | 5 | |

In PY2, 3 livestock water points were planned to be completed: two that commenced in PY1 and a new one. At the end of PY2, 2 of the 3 planned are completed (initiatives C and D). Initiative E is still ongoing at the time of reporting. On a cumulative level, 3 livestock water points have been completed (1 in PY1 and 2 of PY2).

In PY3, the AWPB includes financing for 2 livestock water points. The target is fully met. The cumulative number of livestock water points constructed is 5.

Data collection Beneficiaries and local authorities can be consulted for collecting updated information on the actual status of construction/rehabilitation works. Useful data can also be gathered from the technical documents related to the construction or rehabilitation process. Information contained in the payments and financial records of the Project Management Unit should also be used.

Tip 2 Training

- Indicators** RIMS first-level indicators provide information on the number of people trained by topic: infrastructure management (1.1.1), natural resources management (1.1.9), crop production practices and technologies (1.2.2), livestock practices and technologies (1.2.3), fish production practices and technologies (1.2.4), post-production, processing and marketing (1.4.1), business and entrepreneurship (1.5.3), non-agricultural IGAs (1.5.1), vocational training (1.5.2), community management (1.6.2). The following indicators do not look at the topic of the training but at the training recipients: staff of service providers (1.2.1), staff of financial institutions (1.3.5), government staff (1.6.1), community workers and volunteers (1.6.3).
- Methods** The number of people trained should be calculated regardless how the training was extended. Hence, the number of people trained through study tours during a given period should be added to those trained in farmers' field schools and seminars during the same period.
- If training is extended to the same person over (say) two years, the person participating in the training should be counted in both years. The cumulative figure should however show that only one person was trained although the project extended its capacity building efforts over a longer period of time.
- Planning** Planning target values of these indicators implies estimating the number of people expected to participate in a given training events. Target figures should be estimated when budget decisions are taken. For example, the amount allocated for a training event may be established on the basis of the expected number of training participants. Hence, if 200 people are expected to participate at a cost of USD 5 per person, a budget of LCY 1000 is allocated for the training. The figure of 200 people should be used as AWPB target.
- The comparison of expected and actual number of training participants allows assessing the relevance of the training topics. For example, if only 5 people participated in a training event out of 50 people expected, this may indicate low interest towards the training topic.
- Classification** The number of people trained should be reported on the basis of the classification and definition provided in each of the above indicators. Therefore, people trained in crop production should be reported in 1.2.2, those trained in community management in 1.6.2 and so on. For example, 100 people participated in a training campaign on farming practices that covered both crops and livestock. This initiative should be reported under either 1.2.2 or 1.2.3, but not both. Select the indicator based on the time spent per subject during the training.
- A similar problem can be faced when the same group of people participate in different training initiatives. For example, during a given period, the same 100 farmers participated in two training initiatives: one on livestock practice (1.2.3) and the other on crop technologies (1.2.2). In this case, project results should be reported separately as two training events took place.. The project in fact actually trained 100 farmers on crop production and 100 on livestock practices. However, when the total number of 'individuals receiving project services (1.8.1) is calculated, the figure of 100 farmers should be used.
- Data Collection** The choice of the most suitable method for collecting data on the number of people trained depends on how the training is implemented. If the training is executed by an NGO or a training institute, a system for information exchange should be established. For example, a short report may be prepared by the training institute at the end of each training session. This may provide information on the number of participants (sex disaggregated), and any other socio-economic characteristics required by the M&E system.

Tip 3 Group formation/strengthening

- Indicators** RIMS first-level indicators look at the number of groups formed/strengthened by the project. The following types of groups are considered: groups in charge of infrastructure management (1.1.2); groups involved in natural resources management (1.1.10); savings and credit groups (1.3.1); marketing groups (1.4.4); community groups (1.6.4).
- Groups can receive support in different ways: technical, managerial or financial assistance can be provided. Activities for strengthening the managerial and operational capacity of groups include: direct on-the-job training, mobilisation of technical assistance, distribution of materials, participation in study tours, organisation of seminar and training events, etc.
- For each type of group formed/strengthened, the number of people in these groups (sex disaggregated) and the number of these groups with women in leadership positions should

be reported. The number of groups with women in leadership positions should not be higher than the total number of groups formed/strengthened during a given period.

Planning Annual target results often only deal with the number of groups expected to receive project support. Planning the number of people (sex disaggregated) in these groups and the proportion of groups with women in leadership positions can be more difficult. By using the an average figure for group membership (number of people) and an estimate of the average male/female ratio per group, figures on group membership (sex disaggregated) can be extrapolated. For example, savings and credit groups are formed on average by 10 members, 75% of whom are women. However, experience in also shows that few groups would have women in leadership positions (only about 20%). If project activities for PY2 expect to involve 100 savings and credit groups, planned figures for number of people in these groups would be: 1 000 total people (100 groups x 10 members per group) or 750 female and 250 male members. Twenty savings and credit groups (20% of 100) are expected to have women in leadership positions.

Methods If project support to a group is extended over more than one year, the group should be counted in all years for which it receives support. The cumulative figures should show, however, that only one group has been strengthened, even though support was extended over a longer period of time. Groups newly formed or strengthened by the project should be counted from the first year of project support.

Difficulties can be faced when the number of people ‘participating’ in the group is calculated. For example, a farmers group can have a restricted number of members but its activities involve a much broader number of people. A narrow definition of participation is suggested. Hence, only the members of the group should be counted.

Monitoring the participation of people in the groups formed/strengthened is relevant for assessing the likelihood that the groups would be sustainable at the end of project support (see Tip 6). Meeting with female members can help to identify factors that determine (in a positive or negative way) their involvement in project activities.

Tip 4 Access to services

Indicators The RIMS first-level indicators include various indicators aimed at providing information on how many people, groups or enterprises access the services facilitated by the project. These are: People accessing facilitated advisory services (1.2.5); enterprises accessing facilitated non-financial services (1.5.4); enterprises accessing facilitated financial services (1.5.5); People accessing development funds (1.6.8). If access to financial services is considered: Active borrowers (1.3.8); Voluntary savers (1.3.6).

Planning Planning target results implies estimating the demand for a given service within a given period of time. In the case of the rural finance indicators, ‘active borrowers’ and ‘voluntary savers’ offer a snapshot of the value of gross loan portfolio as at a certain date. For this reason, these are not applicable during the project planning phase (AWPB or appraisal). Indicators such as the number of loans expected to be disbursed during a given project implementation period are more appropriate when expected results are planned.

Data Collection In order to access data on the number of people, groups or enterprises accessing the services, a system of information exchange should be established between project management and the institution, agency or enterprise that actually provides the service. For example, the service provider and the project management may agree on a reporting form that should be submitted in a regular manner showing the number of people accessing the service (sex disaggregated) and any other socio-economic characteristics required by the project M&E system.

In many cases, the information needed by project M&E system will be routinely collected by the service provider for its own purposes. Additional information required by the project may prove useful for the service provider. For example, the information collected through project M&E system may be useful to the service provider to better understand the characteristics of its clients, their satisfaction with respect to the service received, etc. If data are already routinely collected by the service providers, these should be used.

Section Four: Measuring and Reporting Second Level Results

4.1. The RIMS second-level results correspond to the short- and medium-term changes (outcomes) that have been achieved by the project. The RIMS second-level results look at the extent to which project activities were successful in reaching their expected results – assessment of effectiveness – and at the extent to which the benefits of project initiatives are likely to be sustainable after the end of project support – assessment of sustainability. For example, assessing the effectiveness of irrigation rehabilitation or construction entails examining whether an adequate supply of water to beneficiaries is provided, whether expected changes in cropping patterns and increases in yield were achieved, etc. Assessing the sustainability of infrastructure implies looking at whether farmers are likely to receive the benefits from constructed/rehabilitated schemes after the end of project support. This is related to the quality of construction materials and design, the capacity of beneficiaries and management groups to operate and maintain the scheme, etc.

Measurement Method

4.2. A new measurement approach for second-level results has been introduced. The achievement of second-level results is measured by a rating scale. A score of 1 corresponds to highly unsatisfactory effectiveness or very weak sustainability. By contrast, a score of 6 corresponds to highly satisfactory effectiveness or very strong sustainability.

4.3. The following rating scale should be applied.

Table 2: Rating Scale for Second-Level Results

| Score | Effectiveness Assessment | Sustainability Assessment |
|-------|--|--|
| 1 | Highly Unsatisfactory. The intended results are highly unlikely to be achieved. No further resources should be committed until a new approach is devised. Consideration should be given to cancelling component/output. | Very Weak. None of the supporting factors are in place. Sustainability is very unlikely. |
| 2 | Unsatisfactory. The intended results have not been achieved. Major corrections need to be introduced. | Weak. Hardly any of the supporting factors are in place. Sustainability is unlikely. |
| 3 | Moderately Unsatisfactory. The intended results have been achieved to a limited extent. Corrections need to be introduced to improve performance. | Modest. Some of the supporting factors are in place but they are not sufficient to ensure sustainability. Sustainability is unlikely. |
| 4 | Moderately Satisfactory. The intended results have been partly achieved. Modifications should be introduced to improve performance. | Moderate. Some supporting factors are in place but additional support is needed to ensure sustainability. |
| 5 | Satisfactory. The intended results have been achieved. | Strong. The most important supporting factors are in place. Sustainability is likely. |
| 6 | Highly Satisfactory. Intended results have been surpassed. The implementation approach can be considered as a best practice. | Very Strong. All supporting factors are in place that will ensure sustainability. Sustainability is very likely. |

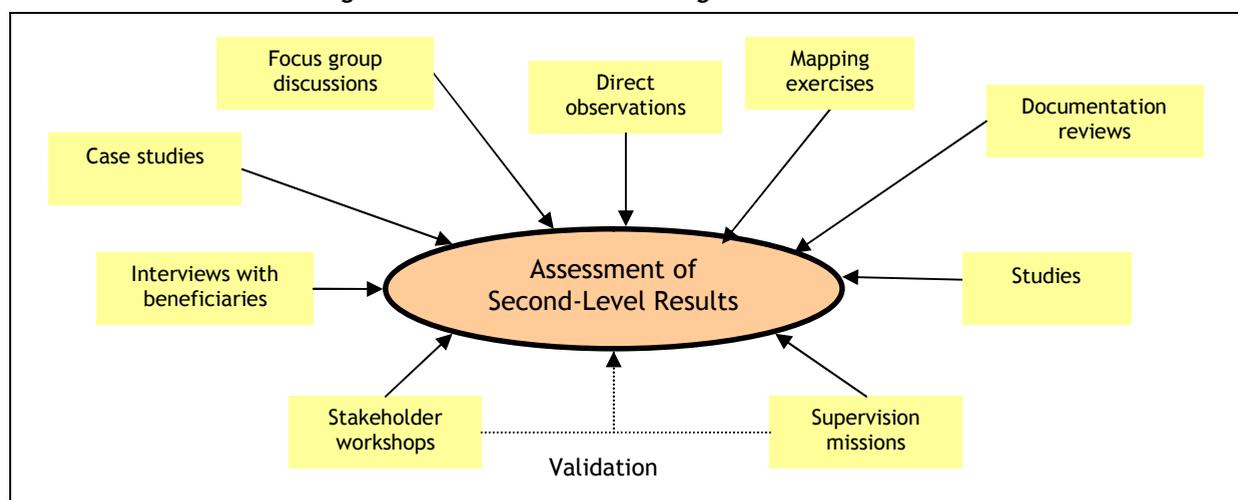
4.4. The rating should be made on the basis of the project-specific data and information. Projects choose the methods for measuring second-level results that is most suitable to the local context and project circumstances. The methodology for assessing second-level results is therefore flexible and may consist of a mix of qualitative and quantitative methodologies.⁶

4.5. The project M&E system is the primary source of the information used to determine the rating. RIMS second-level indicators provide useful data in making the assessment. Survey and other quantitative methods can be used as well as qualitative methodologies such as direct observation, focus group interviews, mapping exercises or case histories. Official statistics and reports prepared by government, donors or NGOs can also be used as evidence.

⁶ The method for measuring the results in terms of financial viability of microfinance institutions constitutes an exception. IFAD continues to require partner microfinance institutions to fulfil the information requirement of the MIX Market. The financial viability of microfinance institutions participating in the programmes should be measured on the basis of the four indicators listed in Chart 2.3.1

4.6. The annual stakeholders' workshop may be a valuable opportunity to gather different points of view on project performance; ratings may be established or validated at such events. Each stakeholder brings different interpretations that can ultimately enrich critical reflection. A wide and participatory assessment would contribute to learning and enhance the overall reliability of the assessments.

Figure 2: Information for assessing second-level results



Reporting

4.7. RIMS second-level results should be provided at the time of Mid-term Review (MTR). The rating should then be updated annually on the basis of new evidence/information available. In some cases, relevant data for assessing second-level results can be available earlier than mid-term. If so, RIMS second-level results are reported as soon as evidence is available. This is likely to occur not before PY 3. For example, changes in the financial viability of participating financial institutions can be monitored yearly. Other changes (such as the effects on environment) require more time to become visible.

4.8. IFAD encourages projects to honestly assess second-level results taking into consideration all available information. A low score does not mean that the project management is not committed to achieve development objectives. Negative results should be used to identify corrective actions and therefore increase the likelihood that development objectives will be achieved. Box 5 provides two examples of assessment of RIMS second-level results.

Box 5: Example of Reporting Second-Level Results

EXAMPLE 1 - IRRIGATION. In this project, three indicators were used to assess whether the irrigation rehabilitation initiatives were effective in reaching the objective of improving production: (i) *plant density* of maize, (ii) *share of land cultivated with cash crops*, and (iii) *% of required water delivered* (RIMS second-level indicator). For all these indicators, baseline data had been collected⁷.

In PY3, new quantitative data were collected. A set of focus group discussions with beneficiaries was also undertaken in order to gather perceptions of the usefulness and satisfaction with the infrastructure. The RIMS second level indicator *% of required water delivered* was estimated at 45%. This is an increase compared to the baseline situation but still below the expected target. The project is contributing to improved plant density and cultivation of cash crop. However the results are below the expected targets. Based on this evidence, the effectiveness of the irrigation rehabilitation activities is rated **Unsatisfactory (2)**. This judgment was validated during the focus group discussions with beneficiaries where dissatisfaction was high and steps to improve water delivery were identified.

| Assessment of second level result | | PY3 | PY4 | PY5 | |
|---|-----------------|---------------|------------|------------|------------|
| Effectiveness of productive infrastructure - Irrigation | | 2 | 3 | 4 | |
| Supporting indicators | <u>Baseline</u> | <u>Target</u> | <u>PY3</u> | <u>PY4</u> | <u>PY5</u> |
| RIMS - % required water delivered | 35% | 90% | 45% | - | 75% |
| Plant density (maize) | 2000 | 70000 | 35000 | - | 50000 |
| Share of land cultivated with cash crops | 20% | 50% | 33% | - | 33% |

In PY4, no quantitative data were collected. As part of the routine M&E activities, meetings with beneficiaries and field visits showed that conditions improved compared to previous years. The rating increased to **Moderately Unsatisfactory (3)**. In PY5, new quantitative data was collected that showed an improvement in all performance indicators although results are still below expected targets. The assessment of the effectiveness of productive infrastructure for PY5 is **Moderately Satisfactory (4)**.

⁷ N.B., It is recommended that second-level indicators are not incorporated into the RIMS impact survey questionnaire which is designed for measuring project third-level results in terms of changes in households' assets and child malnutrition.

EXAMPLE 2 - COMMUNITY DEVELOPMENT. In PY3, project management made a preliminary assessment of the effectiveness of a Community Development Fund. By PY3 disbursement was already at 35% which was ahead of the target. Furthermore, almost three quarters of the participants were women and youths, which was also ahead of target. They reported effectiveness as **Satisfactory (5)**. In PY4, disbursement continued ahead of projections as was the participation of women and youths. From with groups of women actively participating in the CDF activities, it was clear that most considered the activities to be effective, with typical responses such as: “The project is helping us make more money for our families” and “Nobody has offered us this type of help and training before.” When the team asked groups of women who had not been participating why they were not involved, the most typical response was: “We cannot. Those women are all wives of the village big men.” This pattern held in villages across the project area. These findings led project management to lower the effectiveness rating for PY4 to **Moderately Unsatisfactory (3)** and to develop a series of recommendations on improving project social targeting.

| | | | |
|--|---------------|------------|------------|
| Assessment of second level result | | <u>PY3</u> | <u>PY4</u> |
| Effectiveness: Community Development | | 5 | 3 |
| Supporting indicators | <u>Target</u> | <u>PY3</u> | <u>PY4</u> |
| Percentage of the Community Development Fund disbursed | 100% | 35% | 55% |

4.9. **How to read the chart.** The definitions aim at ensuring a common understanding of the result. The operational hints indicate possible methods for assessing project results, not recommendations to project M&E system. RIMS second level indicators appear in boxes within the sections on operational hints. The examples serve as an indication of how second-level results can be assessed.

4.10. Tips for assessing the sustainability of infrastructure (Tip 5) and groups (Tip 6) are available at the end of this Section.

NATURAL RESOURCES (LAND AND WATER)

| 2.1.1 | Likelihood of sustainability of groups managing infrastructure formed/strengthened | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|-----------------------------------|------------|-----|-----|--|---|---|---|------------------------------|-----------------|---------------|------------|--------------------------------------|---|----|----|-----------------|-----|----|------|---|---|----|---|--|--|--|------------|--|--|--|----|--|--|--|----|--|--|--|---|--|--|--|------------|--|--|--|----|--|--|--|----|--|--|--|---|
| <i>Definition</i> | This is the assessment of the extent to which the groups managing infrastructure that have been formed or strengthened by the project (reported in indicator 1.1.2) are likely to be functional after the end of project financial, technical or institutional support. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>The rating of the likelihood of sustainability of the groups managing infrastructure formed/strengthened can be based on the RIMS indicator “<i>Number of groups operational/functional</i>”. Tip 6 provides a framework of performance questions that can be used to assess whether a given group is likely to be sustainable.</p> <p>Under the best circumstances, 100% of the groups formed/strengthened should be sustainable at project end; however, this is often not the case. A high number of groups operating combined with the presence of main supporting factors would be regarded as an indication of strong likelihood of long-term sustainability.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Example</i> | In this example, the likelihood of sustainability of groups managing infrastructure formed/strengthened is rated as Moderate (4) . A total of 65 out of 80 groups formed/strengthened are functional in PY5. The exit rate from the groups has remained at a stable 2% whereas 5 groups have registered during this period as legal entities. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Assessment of second level result</th> <th>PY3</th> <th>PY4</th> <th>PY5</th> </tr> </thead> <tbody> <tr> <td>Likelihood of sustainability of groups managing infrastructure formed/strengthened</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> </tr> <tr> <td>Supporting indicators</td> <td>Baseline</td> <td>Target</td> <td>PY3</td> </tr> <tr> <td>RIMS - Groups operational/functional</td> <td style="text-align: center;">-</td> <td style="text-align: center;">80</td> <td style="text-align: center;">70</td> </tr> <tr> <td>Group exit rate</td> <td style="text-align: center;">15%</td> <td style="text-align: center;">5%</td> <td style="text-align: center;">n.a.</td> </tr> <tr> <td>Number of groups registered as legal entities</td> <td style="text-align: center;">0</td> <td style="text-align: center;">40</td> <td style="text-align: center;">0</td> </tr> <tr> <td></td> <td></td> <td></td> <td>PY4</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">70</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">2%</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">0</td> </tr> <tr> <td></td> <td></td> <td></td> <td>PY5</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">65</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">2%</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">5</td> </tr> </tbody> </table> | Assessment of second level result | PY3 | PY4 | PY5 | Likelihood of sustainability of groups managing infrastructure formed/strengthened | 4 | 4 | 4 | Supporting indicators | Baseline | Target | PY3 | RIMS - Groups operational/functional | - | 80 | 70 | Group exit rate | 15% | 5% | n.a. | Number of groups registered as legal entities | 0 | 40 | 0 | | | | PY4 | | | | 70 | | | | 2% | | | | 0 | | | | PY5 | | | | 65 | | | | 2% | | | | 5 |
| Assessment of second level result | PY3 | PY4 | PY5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Likelihood of sustainability of groups managing infrastructure formed/strengthened | 4 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Supporting indicators | Baseline | Target | PY3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| RIMS - Groups operational/functional | - | 80 | 70 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Group exit rate | 15% | 5% | n.a. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of groups registered as legal entities | 0 | 40 | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | PY4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | 70 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | 2% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | 0 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | PY5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | 65 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | 2% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 2.1.2 | Effectiveness of productive infrastructure [by type] |
|---------------------------|---|
| <i>Definition</i> | This is the assessment of the extent to which the initiatives of construction/rehabilitation of productive infrastructure succeeded in reaching their intended results. Productive infrastructure includes the infrastructure described in 1.1.5, 1.1.7, 1.1.6 and 1.1.8. A separate assessment should be made for each type of facility (e.g., “Effectiveness of productive infrastructure - <i>irrigation schemes</i> ”). |
| <i>Operational hints</i> | <p>The results of productive infrastructure may relate to technical, economic and social dimensions. Technical results of irrigation schemes include the increased intake of canals, provision of adequate water to each field, etc. Economic results relate to increases in yields, changes in cropping patterns (to more high value crops) or employment opportunities at the farm level. Finally, social results relate to the improvement in the quality of life of farmers served by irrigation schemes.</p> <p>Quantitative data can be collected in relation to economic or technical features. Secondary data sources, in particular regularly collected government data (e.g., annual agricultural censuses) may prove useful. Participatory methods can be employed for exploring whether social changes have been achieved.</p> |
| <i>Irrigation Schemes</i> | <p>The RIMS indicator “<i>Percentage amount of delivered vs. required water</i>” can be used for measuring whether the project is providing farmers with adequate access to water.</p> <div style="border: 1px dashed gray; padding: 5px; margin: 10px 0;"> <p>Percentage amount of delivered vs. required water. This indicator looks at the extent to which an irrigation scheme or other facility provides the amount of water required by beneficiaries. A 100% value of this indicator implies that requirements are fully met. This indicator can be calculated in a technical and/or a participatory manner. A technical approach requires the input of water engineers and technical experts. The participatory manner implies assessing the adequateness of the water delivered through focus group discussion and interviews with beneficiaries. Information useful for computing this indicator may be gathered from the institutions responsible for managing the scheme.</p> </div> <p>Other indicators useful for assessing the economic results of irrigation rehabilitation initiatives include:</p> <ul style="list-style-type: none"> • <i>Land productivity per unit of irrigated area</i> • <i>Plants per hectare</i> • <i>Changes in cropping patterns</i> |

Section Four
Measuring and Reporting Second Level Results

- *Number of growing season*

Incremental hectares of crop grown. This is the hectares of additional land cultivated by project beneficiaries compared to the situation before the project intervention. Since this indicator deals with the *incremental* size of land cultivated, a baseline needs to be established. Data on the additional hectares of cultivated land may be available from government sources. Data can also be collected during participatory M&E initiatives or using community data and village maps

Livestock Water Points The main objective of livestock water point construction/rehabilitation activities is providing livestock with a better access to water to increase productivity and reduce the incidence of water-borne diseases. This may in turn affect the size and composition of animal herds. The following indicators can be considered:

- *Number of farmers reporting increased herd size (RIMS)* (see page 46)
- *Number of farmers introducing new breed varieties*
- *Number of farmers reporting production increase (RIMS)* (see page 46)
- *Number of farmers reporting decreased incidence of water-borne diseases*

Rainwater Harvesting Systems The RIMS second-level indicator “*Percentage amount of delivered vs. required water*” (see page 45) can be used for assessing whether project initiatives succeeded in providing target beneficiaries with an adequate access to water sources for agriculture.

Fish Ponds The effectiveness of fishpond construction/rehabilitation initiatives can be analysed by looking at the following indicators:

- *Fish catching rate*
- *Number of new fish species introduced in the fish ponds*
- *Number of fish sanctuaries established*
- *Number of fishers adopting recommended technologies (RIMS)* (see page 46)

If the expected results of productive infrastructure construction/rehabilitation activities are quantified in the Logframe or other project documents, the rating can be based on the comparison of the actual achievements with the expected results. Positive progress towards the expected results would be regarded as an indication of satisfactory effectiveness.

Example In this project, three indicators were used to assess whether the irrigation rehabilitation initiatives were effective in reaching the objective of improving production: (i) *plant density* of maize, (ii) *share of land cultivated with cash crops*, and (iii) *% of required water delivered* (RIMS second-level indicator). For all these indicators, baseline data had been collected. In PY3, the RIMS indicator *% of required water delivered* was estimated at 45%. This is an increase compared to the baseline situation but still below to the expected target. The project is contributing to improved plant density and cultivation of cash crop; however below the expected targets. Based on this evidence, the effectiveness of the irrigation rehabilitation activities is rated **Unsatisfactory (2)**. This judgment was validated during the focus group discussions with beneficiaries where the dissatisfaction was high and steps to improve water delivery were identified. (see also 42)

| Assessment of second level result | | PY3 | PY4 | PY5 | | |
|---|--|-----------------|---------------|------------|------------|------------|
| Effectiveness of productive infrastructure: Irrigation rehabilitations | | 2 | 3 | 4 | | |
| Supporting indicators | | Baseline | Target | PY3 | PY4 | PY5 |
| RIMS - % required water delivered | | 35% | 90% | 45% | - | 75% |
| Plant density (maize) | | 2000 | 70000 | 35000 | | 50000 |
| Share of land cultivated with cash crops | | 20% | 50% | 33% | - | 33% |

2.1.3 Likelihood of sustainability of productive infrastructure [by type]

Definition This is the assessment of the extent to which the benefits from accessing newly constructed/rehabilitated infrastructure are likely to continue after the end of the financial, technical, institutional or other support provided by the project. A separate assessment should be made for each type of facility (e.g. likelihood of sustainability of irrigation schemes, animal water points, etc.)

Operational hints After the end of project support, several factors may constrain the continuation of delivery of benefits from the infrastructure. These include:

- Inadequate managerial skills of users/management organisations (see 1.1.2)
- Low financial viability of the entity or association managing the infrastructure/facility, including payment of user fees and provision of labour for maintenance
- Low commitment of support from institutions and authorities
- High frequency of conflict among the users or groups managing the scheme/facility
- Inadequate maintenance and supervision by institutions or beneficiaries
- Utilisation of low quality construction materials
- Negative impact on the environment caused by construction/rehabilitation or the effects of climate change.

The sustainability of the groups in charge of infrastructure management (2.1.1) is an important supporting condition for the sustainability of the infrastructure constructed/ rehabilitated by the project.

In order to assess whether the constructed/rehabilitated infrastructure/facilities are likely to provide sustainable benefits, technical aspects (such as the degree of water contamination, incidence of water losses, security of water intakes, etc.) should be analysed in combination with institutional, social and financial supporting factors. **Tip 5** provides a framework that can be used to classify and analyse the factors that contribute to the sustainability of infrastructure and facilities.

The RIMS second-level indicator *Number of functioning infrastructure* can be employed⁸. Under the best circumstances, 100% of supported infrastructure should be sustainable at project end; however, this is often not the case. A large number of well-functioning infrastructures, combined with the presence of main supporting factors would be regarded as an indication of high likelihood of sustainability.

Number of fishponds/ irrigation schemes operating after three years. This is the number of fishponds/ irrigation schemes constructed/rehabilitated by the project that are operational three years after the end of project technical financial or institutional support. In order to report this indicator, a judgement should be formulated on whether a given fishpond/ irrigation scheme can be considered as operational. The performance questions under Tip 5 can be used as guiding framework to determine whether a fishpond/ irrigation scheme is fully operational.

Example In PY5, only 65% of the supported infrastructure is fully operational and a sharp increase in the incidence of water losses has occurred. During the field visits to the project areas, beneficiaries highlighted the low commitment of authorities in ensuring adequate funds for maintenance of the rehabilitated infrastructure. The likely sustainability of constructed/rehabilitated irrigation is **Modest (3)**.

| Assessment of second level result | | PY3 | PY4 | PY5 | |
|--|-----------------|---------------|------------|------------|------------|
| Likelihood of sustainability of productive infrastructure <i>Irrigation Schemes</i> | | 5 | 4 | 3 | |
| Supporting indicators | <u>Baseline</u> | <u>Target</u> | <u>PY3</u> | <u>PY4</u> | <u>PY5</u> |
| RIMS - Number of functioning infrastructure <i>Irrigation schemes</i> | - | 100 | 90 | 80 | 65 |
| Incidence of water losses | 20% | 5% | 5% | n.a. | 20% |

⁸ The number of functioning infrastructure must be less than or equal to the number of infrastructure constructed/rehabilitated by the project (1.1.5, 1.1.7, 1.1.6 or 1.1.8).

| | |
|--------------------------|--|
| 2.1.4 | Likelihood of sustainability of NRM groups formed/strengthened |
| <i>Definition</i> | This is the assessment of the extent to which the natural resources management groups that have been formed or strengthened by the project (as reported in indicator 1.1.10) are likely to be functional after the end of project financial, technical or institutional support. |
| <i>Operational hints</i> | See Tip 6 |
| <i>Example</i> | See 2.1.1 |

| | |
|--------------|--|
| 2.1.5 | Effectiveness of natural resources management and conservation programmes |
|--------------|--|

Definition This is the assessment of the extent to which the project initiatives aimed at protecting or improving natural resources (land, water, soil, forests, etc.) have reached their intended objectives. These include: transformation of degraded land, reduced deforestation, improved biodiversity, enhanced integrity of eco-system, increased adoption of environmental friendly practices and utilisation of alternative energy sources.

Operational hints In order to assess the results of natural resources management and conservation programmes, the project may rely on the findings of special studies, mapping exercises, environmental monitoring systems (such as the GIS), before and after photographs, etc. The sustainability of the natural resources management groups is a supporting condition for the achievement of natural resources management initiatives (for example, the protection of watershed or forests).

Site visits may highlight the most visible changes that occurred after the implementation of project initiatives. Furthermore, beneficiaries and local authorities can provide useful information on the changes that occurred in the agro-ecological environment as a result of project initiatives.

If the objectives of NRM activities are quantified in the Logframe or in other project documents, the rating may be based on the comparison of the actual achievement with this stated target. For example, the Logframe may contain the target hectares of land expected to benefit from a reduced soil erosion rate. It is however important to keep in mind that results of some natural resources management initiatives may become visible only in the long run. If so, the “likely” effectiveness of project natural initiatives should be considered.

The RIMS second-level indicator “*Hectares of land improved through soil and water conservation methods*” may be useful for assessing the effectiveness of natural resources management activities.

Hectares of land improved through soil and water conservation methods. This is the amount of land (measured in hectares) where results are visible in terms of reduced deforestation, improved integrity of eco-systems, reduced erosion and degradation, improved water retention, etc. Technical studies by government or specialised agencies, satellite maps and before and after photographic evidence can be used to estimate the area of improved land. Baseline data will be necessary to estimate the change. Partnership arrangements with specialised agencies may be established for collecting the data needed to assess changes in soil and water conservation.

Households with security of tenure over natural resources could be used. For example, Farmers with secure access to water resources and Fishers with secure access to resource base. This is the number of farmers/fishers that have access to sustainable water infrastructure and resources. This indicator can be calculated by first identifying the infrastructure likely to be operational after the end of project support and then counting the farmers/fishers that are served by these facilities.

The effectiveness of a training programme aimed at replacing practices of shifting cultivation or “slash-and-burn” can be measured by looking at the number of trainees that have adopted the techniques recommended during the training. The RIMS second-level indicator *Farmers adopting recommended technologies* (see page 49) can be adopted to monitor these results.

Example Although the deforestation rate remains high at approximately 2%, in PY5 an increasing number of farmers have adopted environmentally friendly practices. The total land improved after the adoption of these practices is still below the initial target (800 ha out of the planned 2000). The effectiveness of natural resource and environmental protection initiatives is rated as **Moderately Satisfactory (4)**.

| | | | | | | |
|--|--|-----------------|---------------|------------|------------|------------|
| Assessment of second level result | | PY3 | PY4 | PY5 | | |
| Effectiveness of NRM and conservation programmes | | 3 | 3 | 4 | | |
| Supporting indicators | | Baseline | Target | PY3 | PY4 | PY5 |
| RIMS - Farmers adopting recommended technologies | | - | 2000 | 1000 | 1000 | 1200 |
| RIMS - Ha of land improved | | - | 2000 | 500 | 600 | 800 |
| Average deforestation rate | | 5% | 0.5% | 2% | n.a. | 2 |

AGRICULTURAL TECHNOLOGIES AND PRODUCTION

2.2.1 Effectiveness: Improved performance of the service providers

Definition This is the assessment of the extent to which project initiatives contributed to the ability of service providers to make durable, high quality and effective services available to farmers, enterprises and poor rural women and men.

Operational hints The following aspects may be considered:

- **Financial viability.** The improved performance of a service provider may be visible in terms of improved capacity to generate revenue or to increase operational self-sufficiency. The RIMS second-level indicator “Operational self-sufficiency” can be used. This is calculated by dividing the total financial revenue during a period by the total financial and operating expenses. A higher operational self-sufficiency corresponds to higher financial viability (see chart 2.3.3).
- **Responsiveness to client needs.** Improved performance of a service provider may increase its capacity to respond to the needs of their clients. This may imply an increased range of services delivered or an improved quality of existing services. These results can be verified through client satisfaction surveys or focus group interviews.
- **Effectiveness.** The performance of a service provider depends on the extent to which it delivers services that contribute to the realisation of changes at the level of clients, for example, in the case of extension services, whether the improved technology resulted in increased production.

Example According to the client satisfaction survey conducted in collaboration with the service provider, only 20% of the surveyed clients gave a satisfactory assessment of the services received. During the period, the revenue generated through collection of service fees decreased and the service provider demonstrated little interest in partnering with farmers’ organisations. The project effectiveness with respect to the objective of improving the performance of the service providers is **Unsatisfactory (2)**.

| Assessment of second level result | | PY3 | PY4 | | |
|--|--|----------|--------|-------|-------|
| Effectiveness: Improved performance of the service providers | | 4 | 3 | | |
| Supporting indicators | | Baseline | Target | PY3 | PY4 |
| % of farmers satisfied of the service delivered | | - | 85% | 60% | 20% |
| Revenue collected through service fees | | 10000 | 30000 | 20000 | 10000 |
| Partnership established with farmers organisations | | - | n.a. | 1 | - |

2.2.2 Effectiveness: Improved agricultural, livestock and fishery production

Definition This is the assessment of the extent to which the project succeeded in improving agricultural, livestock and fishery production. Various activities can contribute to this result: dissemination of technologies, provision of extension services, training, livestock distribution/restocking, etc. The long term sustainability of producers groups formed/strengthened by the project (2.2.3) may be regarded as a supporting condition.

Operational hints Crop/livestock/fishery development initiatives may aim at different objectives. For this reason, ratings have to be provided for each activity, group of activities or project component. For example, one rating may relate to effectiveness of the training; another to the effectiveness of livestock distribution initiatives, etc.

In order to generate the rating, the intended results of project initiatives need to be considered. For example: what type of ‘farming practices’ are expected to be adopted by trained beneficiaries? What changes in agricultural productivity are expected after the promotion of a new technology? In order to analyse these changes direct contact with beneficiaries is required, and can be gathered during field visits, focus group discussion with beneficiaries, questionnaire-based assessment exercises, etc.

If the target results are quantified in the Logframe or in other project documents, the rating may be based on the comparison of the actual achievement with this stated target. Where relevant, the potential negative impacts on the environment should be considered in assessing the effectiveness of financed initiatives.

Section Four
Measuring and Reporting Second Level Results

Agriculture For the initiatives aimed at promoting new farming technologies and increased land productivity, the following RIMS second-level indicators can be considered:

Farmers reporting production or yields increase. This is the number of farmers that increased agricultural yields or livestock production (milk, meat, etc.) compared with the situation before project intervention; baseline data on pre-project yields need to be established (often available from government agriculture departments). If government agencies regularly (and credibly) collect data on this indicator, disaggregated to the project area, this data can be used, supplemented by project sponsored survey-based or participatory data collection methods.

Farmers/fishers adopting recommended practices and technologies. This is the number of farmers that apply the technologies or practices recommended during the training events or demonstrations. If someone participates in a demonstration, this does not mean that s/he adopts the recommended technology. Only a limited number of the people trained may be able to immediately apply the new technology. Application of new practices can be hindered by physical, financial or knowledge factors. Qualitative and participatory methods (such as semi-structured interviews or focus group discussions with beneficiaries that have participated in the training) can be employed.

Additional indicators can prove useful in assessing changes occurred at the level of agricultural production. These include:

- *Incremental hectares of crops grown* (see page 42)
- *Value of produce at the farm-gate - farm gate price*
- *Plants per hectare*
- *Change in cropping pattern.*

Livestock The RIMS second-level indicators “*Farmers with increased herd size*” may be helpful in judging the effectiveness of initiatives aimed at the livestock sector.

Farmers with increased herd sizes. This is the number of farmers that increased the size of their herds as a result of project activities. The measurement should take into account the relative importance of the animal species. An additional cow makes a more significant difference to household livelihoods than an additional chicken. Approaches that can be used to make a meaningful assessment include: (i) identifying the animal (e.g. cow) most relevant to target group’s livelihood and measure increased/decreased herd size of only that animal, (ii) converting all animals to ‘livestock units’ based on conversion scales available through statistical and research institutes

Other indicators that can be used for measuring the effectiveness of livestock development initiatives include:

- *Incidence of animal disease in the herd/flock*
- *Mortality or abortion rate*
- *Farmers reporting production or yield increases (RIMS)*
- *Length of the lactation period*
- *Farm-gate price for livestock products (milk, meat)*

Fisheries If project objectives include aspects related to fishery development, the following indicators can be adopted for measuring project effectiveness:

- *Fishers adopting recommended practices and technologies (RIMS)*
- *Number of new fish species introduced*
- *Number of fishers with increase fish catching rate*

Example This example shows a project with two groups of activities: training on crop production and animal health. A rating of effectiveness is provided for each group. In PY4, the effectiveness of training initiatives for crop production is **Satisfactory (5)**: 800 farmers reported an increase in yields which is very close to the appraisal target of 1000. During the year, 60% of the land was cultivated with cash crops.

Project vaccination programmes contributed to an increase in average lactation and reduction in abortion rates, and the number of livestock owners reporting productivity increases increased. The rating of effectiveness of animal health increased to **Moderately Satisfactory (4)**.

| Assessment of second level result | | | PY2 | PY3 | PY4 |
|---|------------------------------------|---------------|------------|------------|------------|
| Effectiveness: Improved agricultural and livestock production | | | | | |
| | <i>Training on crop production</i> | | 4 | 4 | 5 |
| | <i>Animal health</i> | | - | 3 | 4 |
| Supporting indicators | Baseline | Target | PY2 | PY3 | PY4 |
| RIMS - Farmers reporting yield increase | - | 1000 | 500 | 800 | 800 |
| Share of land cultivated with cash crops | 30% | 80% | - | 40% | 60% |
| Average abortion rate | 8% | 1% | - | 5% | 3.5% |
| Average lactation (total litres per year) | 2500 | 4000 | - | n.a. | 3000 |
| Number of farmers reporting production/yield increase | | 500 | - | 150 | 200 |

| 2.2.3 | Likelihood of sustainability of crop/ /livestock production groups formed/strengthened |
|--------------------------|--|
| <i>Definition</i> | This is the assessment of the extent to which the Crop/livestock production groups that have been formed or strengthened by the project (as reported in indicator 1.2.8) are likely to be functional after the end of project financial, technical or institutional support. |
| <i>Operational hints</i> | See Tip 6 |
| <i>Example</i> | See 2.1.1 |

RURAL FINANCIAL SERVICES

2.3.1 Likelihood of sustainability of saving and credit groups formed/strengthened

Definition This is the assessment of the extent to which savings and credit groups that have been formed or strengthened by the project (as reported in indicator 1.3.1) are likely to be operational or functional after the end of the project.

Operational hints See Tip 6

Example See 2.1.1

2.3.2 Effectiveness: Improved access of the poor to financial services

Definition This is the assessment of the extent to which the project contributed to improving the outreach of the financial institutions toward rural poor women and men.

Operational hints An improved poverty outreach of financial institutions implies increasing the share or number of loans disbursed to resource poor smallholders, female-headed households or specific population groups (indigenous people, ethnic minorities).

The distribution of bank branches across the project area may be an indication of improved access. Opening new branches in the project area or providing mobile banking services may be an indication of increased interest in lending to rural poor women and men.

Other factors to be considered include development of financial products targeted to the needs of rural poor women and men, improved capacity of staff, sound institutional governance and management, and clear procedures for accessing savings and credit services. Ensuring the long term sustainability of savings and credit groups (2.3.3) is also an important condition for ensuring access to financial services by the rural poor.

A common proxy indicator for the poverty level of loan or savings clients is the 'average outstanding balance'. This is calculated by dividing the gross amount of loans (or savings) outstanding by the total number of active clients or accounts. Better-off clients tend to be uninterested in smaller loans, thus a low average outstanding balance may indicate a 'poorer' clientele. However, the correlation between loan balance and poverty is not precise and requires more in-depth analysis of the client group (e.g., a few clients with high outstanding balances may skew the average upwards.) Average outstanding balance does not provide any indication of outreach (or number of clients served), or how long clients have been actively saving or borrowing.

Example By PY3, participating financial institutions opened five new branches in rural areas, bringing the total to 30. The average outstanding balance is low relative to the local economy, but the number of loans made to indigenous people (project target group) is below the target. Although a number of new branches were opened and the average outstanding balance for loans indicates a good poverty focus, the outreach indicator (500 loans extended) is disappointing. Overall, the rating of project effectiveness with respect to the objectives of improving access of indigenous people to financial service is **Moderately Unsatisfactory (3)**.

| | | |
|--|----------|--------|
| Assessment of second level result | | PY3 |
| Effectiveness: Improved access of the poor to financial services | | 3 |
| Supporting indicators | Baseline | Target |
| Number of branches operating in rural areas | 25 | 30 |
| Average outstanding balance (LCY) | | 100 |
| Number of loans extended to indigenous people | | 3 000 |
| | | 500 |

2.3.3 Sustainability: Improved performance of financial institutions

Definition This is the assessment of the extent to which the project contributed to improve the financial viability and the overall performance of the participating financial institutions.

Operational hints In order to assess whether changes have occurred in the financial viability or performance of participating financial institutions, the following RIMS second-level indicators should be monitored and reported as supporting evidence of the rating:

Portfolio at Risk. The portfolio at risk ratio is the most widely accepted measure of portfolio quality. It is the proportion of the portfolio that is in arrears after a certain number of days (typically 30) and therefore at risk of not being repaid. Portfolio at risk is calculated by dividing the outstanding balance of all loans with arrears over 30 days by the outstanding gross portfolio as of a certain date. Generally speaking, institutions should aim to keep PAR>30 below 5%. Any PAR>30 over 10% should be cause for serious concern (Microrate, 2003).

Operational Self-Sufficiency. This is calculated by dividing the total financial revenue by the sum of the total financial expense, operating expense, and the loan loss provision expense. The higher the percentage, the more sustainable the institution.

Active Borrowers/Personnel. This is a measure of the productivity of an institution. This is calculated by dividing the total number of active borrowers by the total number of staff members. Total staff members is the number of people that work full-time in the institution, including contract staff such as consultants, as long as they work full time. If there are a significant number of part-time employees, then their number is adjusted to be equivalent to full-time employees. For example, two people who work half-time would be equivalent to one full-time employee. The higher the ratio, the more productive the institution.

Operating Expenses Ratio. The operating expense ratio is the most commonly used efficiency indicator for microfinance institutions. It compares the institutional cost of providing loans to the total loan portfolio. The lower the ratio, the higher the efficiency of an institution. The ratio is calculated by dividing operating expenses by the period average gross loan portfolio. Interest and provision expenses as well as extraordinary expenses are usually not included (Microrate, 2003).

The reports of financial institutions participating in the programme are the main information source for collecting these indicators. The indicators should be monitored regularly. If more than one financial institution participates in the project, the rating should take into consideration the relative importance of the institutions in outreach to the target group.

Example This project works with two Microfinance Institutions (A and B). MFI A shows a high Portfolio at risk >30 days, but the share is still below the industry average in the country and represents a decrease with respect to the situation before the project. It is operating at a very high level of staff productivity that increased from 150 to 450.

For the MFI B, Portfolio at risk has decreased and there is a slight increase in staff productivity. Overall, the MFIs have improved their performance and financial viability but there is scope for further improvement, the effectiveness should be rated as **Moderately Satisfactory (4)**.

| Assessment of second level result | | | PY3 | |
|--|------------------------------|----------|--------|------|
| Sustainability: Improved performance of financial institutions | | | 4 | |
| Supporting indicators | | Baseline | Target | PY3 |
| MFI A | Portfolio at Risk > 30 days | 10% | 5% | 8% |
| | Active borrowers / personnel | 150 | 500 | 450 |
| MFI B | Portfolio at Risk > 30 days | 10% | 5% | 6.5% |
| | Active borrowers / personnel | 250 | 500 | 300 |

MARKETS

2.4.1 Effectiveness: Producers benefiting from improved access to markets

Definition This is the assessment of the extent to which the project contributed to improve access to markets for rural producers

Operational hints The indicators for measuring changes in market access of producers should be chosen according to the type of support provided by the project. For example, the construction of roads is likely to generate an immediate effect on the time and costs of transportation. Training in post-harvest technologies may generate effects in terms of increased value of production, etc. The range of indicators that can be employed for formulating this assessment includes:

- Number of farmers benefiting from reduced travel distance to/from market place
- Volume/value of marketed produce by beneficiaries
- Quantity of produce available in market places
- Number of farmers with decreased storage losses
- Number of farmers signing contract with buyers

In order to measure the extent to which the project is contributing to improve farmers' access to input markets, the RIMS second-level indicator *Number of fishers/farmers using purchased inputs* can be adopted.

Number of farmers/fishers using purchased inputs. This is the number of fishers and farmers that utilise input (such as chemical fertilisers, pesticides, etc.) purchased in the market rather than produced on-farm. If inputs are purchased on a collective basis (for example through a group or association), the total number of members in the group should be used for estimating the total number of fishers/farmers using purchased inputs.

Focus group and other participatory methods can be used for assessing farmer perceptions of changes in market access including, in particular for non quantifiable dimensions (e.g. perception of bargaining power vis-à-vis traders). Ranking methods may be used for identifying changes in the factors affecting market access.

Performance indicators can be monitored regularly to gain insights into changes over time. This requires collecting baseline data on key performance indicators (for example, the amount of produce sold commercially). Subsequent changes can be compared to the baseline to assess effectiveness. Alternatively, the current situation can be taken as the starting point and people asked to describe the situation before project support.

If expected results are quantified in the Logframe or in other project documents, the rating may be based on the comparison of the actual achievement with this stated target. For example, the Logframe may provide the target number of marketing contracts expected to be signed between farmers and agro-processing enterprises.

Example This project aims at improving access to markets for 150 farmers by strengthening their linkages with an agro-processing company. The proportion of farmers with contracts is below the expected target. However, project initiatives had an effect on the number of farmers reporting an increased amount of marketed produce. Project effectiveness is rated as **Moderately Satisfactory (4)**.

| | | | |
|---|----------|--------|-----|
| Assessment of second level result | | | PY3 |
| Effectiveness: Producers benefiting from improved access to markets | | | 4 |
| Supporting indicators | | | |
| | Baseline | Target | PY3 |
| Number of farmers having sale contracts with buyers | 25 | 150 | 30 |
| Number of farmers with increased amount of marketed produce | | 150 | 100 |

2.4.2 Likelihood of sustainability of roads constructed/rehabilitated

Definition This is the assessment of the extent to which the benefits from newly constructed/rehabilitated roads are likely to continue after the end of project financial, technical, institutional or other support.

Operational hints See 2.4.3 and Tip 5

Example See 2.4.3

2.4.3 Likelihood of sustainability of processing, marketing or storage facilities

Definition This is the assessment of the extent to which constructed/rehabilitated processing, marketing or storage facilities are likely to be sustainable after the end of the financial, technical, institutional and any other support provided by the project. A separate assessment should be made for each type of facility.

Operational hints In order to assess the sustainability of the facilities constructed/rehabilitated by the project, technical aspects (related for example to the quality of design or construction materials) should be combined with broader considerations related to the managerial capacity of beneficiaries and others involved in the management of the infrastructure, the level of support from local institutions, etc. **Tip 5** provides a framework of performance questions that can be used to analyse the sustainability of infrastructure and facilities.

The RIMS second-level indicator *Number of market, storage or processing facilities functional/operational* corresponds to this assessment⁹. Under the best circumstances, 100% of supported facilities should be sustainable at project end; however, this is often not the case. A high number of functioning infrastructures combined with the presence of main supporting factors would be indicate strong likelihood of long-term sustainability and would therefore imply a higher rating.

Number of functioning market storage or processing facilities. This is the number of market storage processing facilities constructed/rehabilitated by the project that are functional three years after the end of project technical financial or institutional support. In order to report this indicator a judgement should be formulated on whether a given market/processing/storage facility can be considered as functioning.

Example In PY5, 4 out of 10 storage facilities constructed by the project are operational. Beneficiaries and local stakeholders highlighted the low commitment of authorities in ensuring adequate funds for proper functioning of the rehabilitated facilities. Only 3 are likely to be sustainable. The likelihood of sustainability of the storage facilities is rated as **Weak (2)**.

Six of 10 marketing facilities rehabilitated by the project are currently functioning. The interest of beneficiaries is very high and the institutions in charge of maintenance are equipped with the necessary knowledge and resources to carry out maintenance. Four facilities are not considered functioning. An overall assessment of **Moderate (4)** likelihood of sustainability is given.

| Assessment of second level result | | PY3 | PY4 | PY5 |
|--|---------------|------------|------------|------------|
| Likelihood of sustainability of storage facilities | | 5 | 4 | 2 |
| Likelihood of sustainability of market facilities | | - | 3 | 4 |
| Supporting indicators | Target | PY3 | PY4 | PY5 |
| RIMS - Number of functioning storage facilities | 10 | 9 | 8 | 4 |
| Storage facilities likely to be sustainable | 10 | 9 | 6 | 3 |
| RIMS - Number of functioning market facilities | 10 | - | 5 | 6 |
| Marketing facilities likely to be sustainable | 10 | - | 5 | 6 |

2.4.4 Likelihood of sustainability of the marketing groups formed/strengthened

Definition This is the assessment of the extent to which the marketing groups that were formed or strengthened by the project (as reported in indicator 1.4.4) are likely to be operational or functional after the end of project assistance.

Operational hints See **Tip 6**

Example See 2.1.1

⁹ The number of functioning facilities must be less than or equal to the number of facilities constructed/rehabilitated by the project. See 1.4.3.

RURAL ENTERPRISE DEVELOPMENT AND EMPLOYMENT

| 2.5.1 | Effectiveness: creation of employment opportunities | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|------------|------------|------------|-----------------------------------|-----|-----|-----|---|---|--|--|------------------------------|---------------|------------|------------|------------|---|------|-----|--|--|---|------|-----|--|--|
| <i>Definition</i> | This is the assessment of the extent to which the project contributed to the creation of new employment opportunities in the enterprises benefiting from project financial or non-financial support. | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | This assessment can be based on the RIMS second-level indicator “ <i>number of new jobs generated by small and medium enterprises</i> ”. | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <p>Number of jobs generated by small and medium enterprises. This is the number of new jobs (permanent or seasonal) that were created by the small and medium enterprises that received project financial or non-financial support. In order to assess job creation, regular monitoring of the number of people employed in the enterprises supported by the project can be undertaken. Baseline data will provide the number of people employed in the enterprises before project support. Subsequent rounds of data collection will show whether changes have occurred. Another approach would be retrospective, i.e., to collect the information after project support has been provided (e.g. two years a loan was extended). Staff at companies participating in the project can be interviewed in order to identify the changes that occurred at the enterprise, including changes in the number of people employed.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | If the target number of jobs expected to be created due to project support is established in the project Logframe or in other documents, the rating can be based on the comparison of the actual achievement with this target. Employment data should be disaggregated by gender. Additional features can be considered such as the difference between seasonal or permanent jobs. | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Example</i> | By PY3, a total of 400 new jobs, mostly for women, were created in the enterprises benefiting from project initiatives. This is in line with the target established in the Logframe. The effectiveness of project in terms of generation of employment opportunities is rated as Satisfactory (5) . | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th data-bbox="300 1014 1018 1037">Assessment of second level result</th> <th data-bbox="1018 1014 1114 1037">PY3</th> <th data-bbox="1114 1014 1209 1037">PY4</th> <th data-bbox="1209 1014 1305 1037">PY5</th> </tr> </thead> <tbody> <tr> <td data-bbox="300 1037 1018 1059">Effectiveness: Creation of employment opportunities</td> <td data-bbox="1018 1037 1114 1059">5</td> <td data-bbox="1114 1037 1209 1059"></td> <td data-bbox="1209 1037 1305 1059"></td> </tr> <tr> <td data-bbox="300 1081 898 1104">Supporting indicators</td> <td data-bbox="898 1081 1018 1104"><u>Target</u></td> <td data-bbox="1018 1081 1114 1104"><u>PY3</u></td> <td data-bbox="1114 1081 1209 1104"><u>PY4</u></td> <td data-bbox="1209 1081 1305 1104"><u>PY5</u></td> </tr> <tr> <td data-bbox="300 1104 898 1126">RIMS - Number of new jobs created - males</td> <td data-bbox="898 1104 1018 1126">1000</td> <td data-bbox="1018 1104 1114 1126">100</td> <td data-bbox="1114 1104 1209 1126"></td> <td data-bbox="1209 1104 1305 1126"></td> </tr> <tr> <td data-bbox="300 1126 898 1149">RIMS - Number of new jobs created - females</td> <td data-bbox="898 1126 1018 1149">1500</td> <td data-bbox="1018 1126 1114 1149">300</td> <td data-bbox="1114 1126 1209 1149"></td> <td data-bbox="1209 1126 1305 1149"></td> </tr> </tbody> </table> | | | | Assessment of second level result | PY3 | PY4 | PY5 | Effectiveness: Creation of employment opportunities | 5 | | | Supporting indicators | <u>Target</u> | <u>PY3</u> | <u>PY4</u> | <u>PY5</u> | RIMS - Number of new jobs created - males | 1000 | 100 | | | RIMS - Number of new jobs created - females | 1500 | 300 | | |
| Assessment of second level result | PY3 | PY4 | PY5 | | | | | | | | | | | | | | | | | | | | | | | | |
| Effectiveness: Creation of employment opportunities | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Supporting indicators | <u>Target</u> | <u>PY3</u> | <u>PY4</u> | <u>PY5</u> | | | | | | | | | | | | | | | | | | | | | | | |
| RIMS - Number of new jobs created - males | 1000 | 100 | | | | | | | | | | | | | | | | | | | | | | | | | |
| RIMS - Number of new jobs created - females | 1500 | 300 | | | | | | | | | | | | | | | | | | | | | | | | | |

| 2.5.2 | Likelihood of sustainability of enterprises | | | |
|--------------------------|--|--|--|--|
| <i>Definition</i> | This is the assessment of the extent to which the project contributed to the development of sustainable rural enterprises. This can be the result of the provision of financial (1.5.5) or non financial support (1.5.4) to enterprises, increased capabilities of entrepreneurs (1.5.3) and technical staff (1.5.2). Rehabilitation of infrastructure also contributes to this objective | | | |
| <i>Operational hints</i> | <p>An enterprise is sustainable when it operates in a financially viable manner hence it is able to generate profits and to provide adequate returns to labourers, entrepreneurs, shareholders, etc.</p> <p>The sustainability of an enterprise can be assessed by looking at its profitability and production features. Profitability indicators look at the changes that occurred in the enterprise’s capacity to generate a profit. Common indicators include: return on assets, gross profit and return on equity. Production-level indicators include: value of production, number of product lines, percentage of plant utilisation capacity, etc. These indicators can be monitored regularly, so that trends in the enterprise performance can be assessed. Alternatively, they can be used retrospectively. This would imply taking the current situation as the starting point and using the indicators to determine changes that have occurred after project support.</p> <p>Official reports of the enterprise, balance sheets, annual reports, profit and loss account statements, can provide the data needed to formulate this assessment. The RIMS second-level indicator <i>Number of enterprises operating after three years</i> can be used to count the number of enterprises operating in a sustainable manner three years after the provision of project financial or non-financial support.</p> | | | |

Number of enterprises operating after three years. This is the number of enterprises supported by the project that are still operating three years after the initial support was provided. They will often show a pattern of sustainable growth and business development. On-site visits to enterprises supported can be used. This indicator is only applicable three years after that the enterprises have received the project support.

Example

In PY5, more than half of enterprises strengthened by the project are operational: 60 out of 90. In view of the country's business failure rate for start-ups of 40%, effectiveness of project initiatives with respect to the objective of enterprise development is considered **Strong (5)**.

| Assessment of second level result | | <u>PY5</u> | <u>PY6</u> | <u>PY7</u> |
|--|--|---------------|------------|------------|
| Likelihood of sustainability of enterprises | | 5 | | |
| Supporting indicators | | <u>Target</u> | <u>PY5</u> | <u>PY6</u> |
| RIMS - Number of enterprises operational after three years | | 90 | 60 | |

POLICY AND COMMUNITY PROGRAMMING

| 2.6.1 | Effectiveness: Promotion of pro-poor policies and institutions | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|-----------------------------------|-----|-----|-----|--|---|---|--|------------------------------|--|--|--|--|--------|-----|-----|---|---|---|---|-----------------------------------|---|---|----|--|---|---|---|
| <i>Definition</i> | This is the assessment of the extent to which project activities have contributed to policies favouring the poor and to improve the performance of institutions in better serving rural poor men and women. | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>In some cases, the effects of project initiatives can be monitored through quantitative indicators. For example, a decrease in the number of days needed to complete the approval of an agricultural market trading licences may be regarded as a proxy of the improved responsiveness of institutions to the needs of rural population. Qualitative assessments and in-depth studies may be required to assess whether changes have occurred in terms of responsiveness, awareness and participation of institutions to the needs of the rural poor. Where relevant, focus group discussions can be held with different groups of people (women, youth, ethnic minorities and entrepreneurs) in order to assess changes in their perception of institutions or policies.</p> <p>If the project effects on policies are considered, the RIMS second-level indicators <i>Number of enabling policies promulgated</i> and <i>Number of pro-poor legislations or regulations enforced at the local or central level</i> can be considered.</p> <div style="border: 1px dashed gray; padding: 5px; margin: 5px 0;"> <p>Number of pro-poor legislations and regulations enforced at the local or central level. This indicator looks at the extent to which project activities affected regulations or legislations at local or national level in favour of the rural poor. This indicator requires assessing whether a legislation or regulation can be regarded as <i>pro-poor</i>. Areas in which IFAD projects can contribute include: utilisation and leasing rights, land titles, credit legislation, interest rate regulations, market regulations, cooperatives laws, user association regulations, etc. This indicator looks at the number of legislation or regulations that have been enforced thanks to project influence at local or national level. A regulation or legislation can be considered as enforced when it is approved (by parliament or councils, etc.) and conditions are in place that it will be implemented.</p> </div> <p>If the project promotes changes at the level of land tenure arrangement, the RIMS second-level indicator <i>Number of households provided with long term tenure/security of natural resources</i> may be used.</p> <div style="border: 1px dashed gray; padding: 5px; margin: 5px 0;"> <p>Number of households provided with long term tenure/security of natural resources. This is the number of households that benefited from changes in land use rights, new procedures for registration, access, property and control over natural resources. These changes can be promoted through policy dialogue initiatives for land reforms, land distribution, negotiation initiatives in villages and communities. Aspects that should be considered in assessing whether a household is provided with tenure security over natural resource include tenure duration, titles and land use options such as the possibility to invest on land, etc. the perceived security of the household resulting from informal agreement with authorities, arrangements with village headmen/chiefs, etc. should also be considered</p> </div> | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Example</i> | <p>The project has facilitated the participation of representatives of the poor in 20 policy meetings compared to 5 in the previous year. However, no results have been realised in terms of changes to pro-poor policies. In PY4, project effectiveness in terms of influence on policies and institutions is Moderately Unsatisfactory (3).</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: left;">Assessment of second level result</th> <th style="text-align: center;">PY3</th> <th style="text-align: center;">PY4</th> <th style="text-align: center;">PY5</th> </tr> </thead> <tbody> <tr> <td>Effectiveness: Promotion of pro-poor policies and institutions</td> <td style="text-align: center;">3</td> <td style="text-align: center;">3</td> <td></td> </tr> <tr> <td colspan="4">Supporting indicators</td> </tr> <tr> <td></td> <th style="text-align: center;">Target</th> <th style="text-align: center;">PY3</th> <th style="text-align: center;">PY4</th> </tr> <tr> <td>RIMS - Number of pro-poor policies enforced</td> <td style="text-align: center;">2</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> </tr> <tr> <td>Number of policy meeting attended</td> <td style="text-align: center;">-</td> <td style="text-align: center;">5</td> <td style="text-align: center;">20</td> </tr> <tr> <td>Rural development policies incorporating pro-poor concepts</td> <td style="text-align: center;">2</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> </tr> </tbody> </table> | Assessment of second level result | PY3 | PY4 | PY5 | Effectiveness: Promotion of pro-poor policies and institutions | 3 | 3 | | Supporting indicators | | | | | Target | PY3 | PY4 | RIMS - Number of pro-poor policies enforced | 2 | - | - | Number of policy meeting attended | - | 5 | 20 | Rural development policies incorporating pro-poor concepts | 2 | - | - |
| Assessment of second level result | PY3 | PY4 | PY5 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Effectiveness: Promotion of pro-poor policies and institutions | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Supporting indicators | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Target | PY3 | PY4 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| RIMS - Number of pro-poor policies enforced | 2 | - | - | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of policy meeting attended | - | 5 | 20 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Rural development policies incorporating pro-poor concepts | 2 | - | - | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 2.6.2 | Effectiveness: Community development |
|-------|--------------------------------------|
|-------|--------------------------------------|

| | |
|--------------------------|---|
| <i>Definition</i> | This is the assessment of the extent to which the project contributed to the social and economic development of rural villages and communities. |
| <i>Operational hints</i> | If a project supports the formulation of village/community development plans, the implementation of the initiatives listed under such plan can be regarded as a project contribution to community development. The RIMS second-level indicator <i>Number of community development plans included in local government plans</i> can be considered. |

Number of village/community action plans included in local government plans. This is the number of village/community action plans (V/CAPs) formulated with project support that have been included for financing in local governmental plans. This indicator starts from the list of V/CAPs that were formulated with project support (1.6.7). Out of the total number of V/CAPs formulated, those that have been formally included in the local government plans should be counted. The number of V/CAP included in local government plans must be less than or equal to the total number of V/CAPs formulated with the project support.

Number of community workers/volunteers operating after 3 years.. This is the number of village/community workers/volunteers trained with the support of the project who are still active after 3 years. This could include volunteers/ workers engaged in activities related to health, sanitation, nutrition, livestock, crops, literacy and other community management activities.

A high disbursement rate of the development funds (1.6.8) may be a good proxy for measuring project effects on community development. This figure needs to be enriched with information on the type of initiatives that have been financed, the segments of the population that benefited from these initiatives, etc. The long term sustainability of the community groups formed/strengthened by the project (2.6.3) may also be regarded as a supporting condition community development.

Project effects on community development may also be assessed by looking at the changes in the community in terms of:

- Ability to manage natural resources and development funds
- Availability of health and education services in the community
- Capacity to manage procurement and contracting

The above changes can be analysed in a more complex research framework aimed at measuring changes in community capabilities and empowerment. This is the case of the “community capability index” developed for IFPRI and applied to IFAD projects in the Sudan and Tunisia.¹⁰

Example See Example 2 in Box 5.

| 2.6.3 | Likelihood of sustainability of community groups formed/strengthened |
|--------------------------|---|
| <i>Definition</i> | This is the assessment of the extent to which the community groups formed/strengthened by the project are likely to be functional after the end of project financial, technical or institutional support. |
| <i>Operational hints</i> | See Tip 6 |
| <i>Example</i> | See 2.1.1 |

| 2.6.4 | Likelihood of sustainability of apex organisations formed/strengthened | | | | | | | | | | | | | | | | | | | | |
|--|--|-----------------------------------|------------|-----|-----|--|--|---|---|------------------------------|---------------|------------|------------|-------------------------|---|---|---|---|---|---|---|
| <i>Definition</i> | This is the assessment of the extent to which the apex organisations that have been formed or strengthened by the project (reported in 1.6.9) are likely to be operational after the end of project financial, technical or institutional support. | | | | | | | | | | | | | | | | | | | | |
| <i>Operational hints</i> | Ensuring the long term sustainability of the apex organisation is important for the long term representation and advancement of the interests promoted by the member organisations. Various factors may affect the likelihood that the apex organisation will continue to be operational after the end of project assistance. These include: the consensus and interest of groups and members, commitment of authorities and institutions to support initiatives of the apex organisation, operational and financial self-sufficiency of the apex organisation. Some of the performance questions proposed in Tip 6 may be applicable to apex organisations. | | | | | | | | | | | | | | | | | | | | |
| <i>Example</i> | In PY4, no meetings were held by the apex organisation. Local authorities and stakeholders demonstrated little interest in supporting the initiatives of the organisation. The likelihood that the organisation will continue to be operational is Very Weak (1) . | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Assessment of second level result</th> <th></th> <th style="text-align: center;">PY3</th> <th style="text-align: center;">PY4</th> </tr> </thead> <tbody> <tr> <td>Likelihood of sustainability of apex organisations formed/strengthened</td> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">1</td> </tr> <tr> <td>Supporting Indicators</td> <td style="text-align: center;"><u>Target</u></td> <td style="text-align: center;"><u>PY3</u></td> <td style="text-align: center;"><u>PY4</u></td> </tr> <tr> <td>Number of meetings held</td> <td style="text-align: center;">-</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Number of policy fora attended by apex organisation authorities</td> <td style="text-align: center;">-</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> </tbody> </table> | | Assessment of second level result | | PY3 | PY4 | Likelihood of sustainability of apex organisations formed/strengthened | | 1 | 1 | Supporting Indicators | <u>Target</u> | <u>PY3</u> | <u>PY4</u> | Number of meetings held | - | 0 | 0 | Number of policy fora attended by apex organisation authorities | - | 0 | 0 |
| Assessment of second level result | | PY3 | PY4 | | | | | | | | | | | | | | | | | | |
| Likelihood of sustainability of apex organisations formed/strengthened | | 1 | 1 | | | | | | | | | | | | | | | | | | |
| Supporting Indicators | <u>Target</u> | <u>PY3</u> | <u>PY4</u> | | | | | | | | | | | | | | | | | | |
| Number of meetings held | - | 0 | 0 | | | | | | | | | | | | | | | | | | |
| Number of policy fora attended by apex organisation authorities | - | 0 | 0 | | | | | | | | | | | | | | | | | | |

10 See <http://www.ifad.org/events/nrp/case/ifpri.pdf>

SOCIAL INFRASTRUCTURE

| 2.7.1 | Effectiveness of Social Infrastructure [by type] | | | | | | | | | | | | |
|--|--|--|--|------------|--|--|---|------------------------------|---------------|------------|--|------|------|
| <i>Definition</i> | <p>This is the assessment of the extent to which the intended results of social infrastructure construction/rehabilitation initiatives have been achieved. A separate assessment should be made for each type of infrastructure.</p> | | | | | | | | | | | | |
| <i>Operational hints</i> | <p>The effectiveness of social infrastructure should be evaluated on the basis of the specific objectives of each initiative. A general objective relates to the extent to which the constructed/rehabilitated facilities succeeded in ensuring access of the rural population to these services.</p> <p>The general objective of a school reconstruction initiative would be to provide students with better access to educational opportunities. Progress toward this objective may be measured by considering at the following indicators:</p> <ul style="list-style-type: none"> • <i>Number of children with improved learning conditions</i> • <i>Number of households benefiting from reduced distance to schools</i> • <i>Drop-out rate in the rehabilitated school</i> • <i>Number of village children attending school regularly</i> • <i>Number of households served by schools</i> <p>Similarly, the general objective of health centres construction/rehabilitation initiative is to provide villagers with better access to health care opportunities. Project effectiveness can be measured by considering:</p> <ul style="list-style-type: none"> • <i>Households benefiting from reduced time needed to reach a first-aid point</i> • <i>Number of health services provided by the rehabilitated centre</i> • <i>Number of household served by health centres/ participating in health centre disease prevention campaigns.</i> <p>The overall objective of construction/rehabilitation of drinking water facilities is to provide villagers with better access to drinking water. The extent to which this objective is achieved can be measure considering the following indicators:</p> <ul style="list-style-type: none"> • <i>Number of household using constructed/rehabilitated drinking water systems</i> • <i>Number of households with water outages (drinking water not available), days per time period</i> <p>The overall objective of construction/rehabilitation of other social infrastructure systems could be measured by the extent to which households are being served by these infrastructure systems. Project effectiveness can be measured by considering:</p> <ul style="list-style-type: none"> • <i>Number of household served by other social infrastructure</i> • <i>Number of households with access to improved sanitation</i> <div style="border: 1px dashed gray; padding: 5px; margin-top: 10px;"> <p><i>Number of households served by wells.</i> This is the number of households that use wells constructed/rehabilitated by the project. In order to calculate this indicator an operational definition of “households served by wells” has to be adopted. One approach would consider the households living in proximity of the wells (e.g. all the habitants of the village where the well has been constructed/rehabilitated). These data can be collected from available village statistics, and validated through discussions with villagers.</p> </div> | | | | | | | | | | | | |
| <i>Example</i> | <p>In PY3, 1000 households benefited from the drinking water systems rehabilitated by the project. This figure is well below the target of 5000 households established in the project Logframe. Benefiting households have also reported extensive water leakage associated with the works. Project effectiveness is assessed as Unsatisfactory (2).</p> | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 60%;">Assessment of second level result</td> <td style="width: 20%;"></td> <td style="width: 20%; text-align: center;"><u>PY3</u></td> </tr> <tr> <td>Effectiveness of social infrastructure - <i>Drinking water systems</i></td> <td></td> <td style="text-align: center;">2</td> </tr> <tr> <td>Supporting Indicators</td> <td style="text-align: center;"><u>Target</u></td> <td style="text-align: center;"><u>PY3</u></td> </tr> <tr> <td>Households provided with better access to drinking water</td> <td style="text-align: center;">5000</td> <td style="text-align: center;">1500</td> </tr> </tbody> </table> | | Assessment of second level result | | <u>PY3</u> | Effectiveness of social infrastructure - <i>Drinking water systems</i> | | 2 | Supporting Indicators | <u>Target</u> | <u>PY3</u> | Households provided with better access to drinking water | 5000 | 1500 |
| Assessment of second level result | | <u>PY3</u> | | | | | | | | | | | |
| Effectiveness of social infrastructure - <i>Drinking water systems</i> | | 2 | | | | | | | | | | | |
| Supporting Indicators | <u>Target</u> | <u>PY3</u> | | | | | | | | | | | |
| Households provided with better access to drinking water | 5000 | 1500 | | | | | | | | | | | |

2.7.2 Likelihood of Sustainability of Social Infrastructure [by type]

Definition This is the assessment of the extent to which the benefits from accessing newly constructed/rehabilitated social infrastructure (1.3.5, 1.3.6, 1.3.8 and 1.3.9) are likely to continue after the end of the financial, technical, institutional or any other support provided by the project. A separate assessment should be made for each type of infrastructure.

Operational hints As for productive (2.1.3) and market (2.4.3) infrastructure, sustainability depends on technical, institutional, financial and social factors. **Tip 5** provides a set of performance questions that can prove useful in assessing whether a given infrastructure is likely to be sustainable.

For schools, supporting factors relate not only to the building maintenance and quality of construction materials, but also to the availability of teachers and teaching materials. For health centres, the availability of medical staff, drugs, and equipment needs to be considered. For drinking water systems, the managerial capabilities and financial viability of the institutions in charge of water management should be taken into account.

The RIMS second-level indicators *Number of social infrastructure, schools, health centres operating after three years* and *Number of community project functional* corresponds to this assessment. Under the best circumstances, 100% of supported infrastructure should be sustainable at project end; however, this is often not the case. A high number of functioning infrastructures and the presence of main supporting factors would be regarded as an indication of strong likelihood of long-term sustainability.

Example Only 6 of 10 schools constructed by the project have been provided with adequate supplies and teachers and therefore considered operational. In PY5, the likelihood that benefits of the constructed/rehabilitated schools will continue in the long run is **Modest (3)**.

| Assessment of second level result | | PY3 | PY4 | PY5 | |
|---|--|--------|-----|-----|-----|
| Likelihood of sustainability of social infrastructure - Schools | | 5 | 4 | 3 | |
| Supporting Indicators | | Target | PY3 | PY4 | PY5 |
| RIMS - Number of schools operating after three years | | 10 | 9 | 8 | 6 |

2.7.3 Likelihood of sustainability of groups managing social infrastructure formed/strengthened

Definition This is the assessment of the extent to which the groups managing social infrastructure that have been formed or strengthened by the project (as reported in indicator 1.7.5) are likely to be functional after the end of project financial, technical or institutional support.

Operational hints See **Tip 6**

Example See 2.1.1

Tips

Tip 5 Sustainability of Infrastructure

Methods Various factors may hinder the possibility for beneficiaries to access the benefits of infrastructure construction/rehabilitation initiatives implemented by the project. Table 3 provides a list of factors that should be taken into consideration in assessing whether the infrastructure is likely to be sustainable after the end of project support. A list of guiding performance questions is also provided. The list should be expanded to take into account the characteristics and the context in which the project operates. It is important to take into consideration the linkages existing among the various supporting factors, e.g., technical factors (such as maintenance) depend on the financial viability of the groups or organisations in charge of infrastructure management.

Table 3: Assessing sustainability of infrastructure

| Aspect | Factor | Performance Questions and Data |
|--|--|--|
| Financial | | |
| Users association | Ability to collect user fees | Are mechanisms in place? Do members pay regularly? Are funds for maintenance available? |
| National/local authorities | Ability to finance Willingness to finance | Shortfall between actual and budgeted expenditures Likely government priorities. |
| Institutional | | |
| Users association | Sustainability | Frequency of conflicts; exit rate Will the association continue to exist without external project finance? |
| | Capacity | Are the skills required for infrastructure management in place? Are members adequately trained for maintenance? Are equipment for maintenance and management available? |
| National/local authorities | Capacity | Are the skills required for infrastructure management and/or supervision in place? |
| | Existence | Is infrastructure management/supervision under a special unit? Will it continue to exist? |
| Technical | | |
| Design | Soundness | Are the structures sound? Do they have structural problems? Were high-quality materials used for construction? |
| Operation and maintenance Environmental | Ability | Do those responsible have the required skills for operation and maintenance? Are environmental consequences undermining the sustainability of project benefit? Is the location at risk of erosion? |
| Social | | |
| Use Participation | | Are people using the infrastructure? Are beneficiaries involved in maintenance and management? |

Data Collection Data relevant for formulating this assessment can be gathered from various sources: institutions or groups managing the infrastructure can provide important insights on the factors affecting sustainability. It is however important to keep in mind that these may have a vested interest in under (or over) estimating performance figures, threats, risks, etc. The assessment may also be based on studies undertaken by engineers, institutional specialists, etc.

Tip 6 Sustainability of Groups

Methods

In order to assess whether the groups formed/strengthened by the project are likely to be operational after the end of project assistance, a set of indicators providing information on the performance and functioning of the groups (or a sample of them) should be identified.

Indicators may include: number of meeting held, number of participants, number of people exiting from the group, number of intra-group conflicts can be monitored, financial self-sufficiency.

Quantitative indicators can be enriched with qualitative considerations related to management capabilities, support from partner institutions, etc. Baseline data may provide information on the status of the groups before project support. Monitoring of the groups (by project staff or contracted service providers) should show whether changes have occurred and how these changes affect the likelihood that a given group will be sustainable after the end of project assistance. For example, in a given group, a decrease in the number of meetings held may be interpreted as an indication that the members are not interested in the activities of the group. The second approach does not require the regular monitoring of performance indicators. The sustainability of the groups can be assessed during participatory initiatives with group members and stakeholders.

Table 4 provides a framework of factors and guiding performance questions that can be used for formulating this assessment.

Table 4: Assessing sustainability of groups

| Aspect | Factor | Performance Questions and Data |
|----------|-----------------------------------|--|
| Internal | Social support | Number of members that do not renew their membership Number of new members Number of intra-group conflicts Number of meeting held |
| | Financial | Financial self-sufficiency Capacity to collect fees |
| External | Support from partner institutions | Are partner institutions willing to support groups (e.g. banks are willing to continue working with savings and credit groups)? |

Groups that have been formed as a delivery mechanism for project services, e.g., groups managing development funds or formed to prioritise community investments, will generally have weak sustainability. In many cases, it is expected that these groups may cease to exist at the end of the project. In such cases, the supporting evidence accompanying the RIMS form should specify clearly such groups.

Section Five: RIMS Reporting

Reporting RIMS First-Level Results

5.1. First level results are reporting annually. The first RIMS report should be submitted at the end of the calendar year of effectiveness. An Excel workbook has been developed for ease of reporting.

5.2. The reporting of RIMS figures includes two sections as shown in Table 5.

5.3. The first section refers to the annual expected result (reported in the AWPB) for a given indicator, its actual value for the period under review and how this compares with the expected result.

- **AWPB Target.** This is the expected achievement of the first-level result during the period under review: e.g. the number of people expected to participate in project-sponsored training initiatives, the km of roads expected to be fully constructed/rehabilitated during the period, etc. The AWPB is the main information source for this figure.

If AWPB figures are not available, the cell should report “NA”. If the initiatives are implemented on a demand-driven basis, the cell should report “DD”. [Use of NA and DD is however discouraged.]

- **Actual Result.** This corresponds to the results actually achieved during the period under review (during PY1, PY2): e.g. the number of people that participated in the training initiatives implemented within this period of time, the kilometers of fully completed construction/rehabilitation roads, etc.

If an indicator is relevant for the project but no progress has been achieved during the period under review, the RIMS indicator form should show “0” (zero).

All indicators should be reported in the measurement unit listed under the indicator chart (number, kilometers, hectares, male/female, etc.)

- **Per cent of AWPB.** This is calculated by dividing the actual by the planned results in the AWPB.

5.4. The second section looks at the cumulative value of each indicator and how this compares with the expected (target) results reported in the Logframe or in the Appraisal documents.

- **Appraisal Targets.** This is the expected achievement of a given variable throughout all project years (from PY1 to PYn). The appraisal target should be taken from the project appraisal documents, cost tables or from the Logframe.

If target figures are not available in the Logframe or appraisal document, the cell should report “NA”.

Lack of planned figures in the Logframe crucially hinders the possibility to use results information for decision making. For this reason, revision of the Logframe should be considered in order to improve its results-orientation and make it more useful for assessing project performance.

- **Cumulative.** The cumulative value is the sum of the values reported in all the previous years added to the value of current year. For example, in PY1, the project constructed 20 market facilities (Table 5). In PY1, the cumulative and actual values of the indicators are identical. In PY2, the number of market facilities constructed is 10. The cumulative value for PY2 corresponds to the number of market facilities constructed in PY1 plus the number constructed in PY2 (

Section Five
RIMS Reporting

Table 6). The cumulative value for PY3 is the sum of market facilities constructed in PY1, PY2 and PY3, etc. Actual values for previous years are entered on the RIMS form to verify the cumulative value.

- **% Appraisal.** This is calculated by dividing the actual cumulative result by the target established at appraisal.

Table 5: Market facilities constructed/rehabilitated (PY 1)

| Indicator | Unit | PY 1 | | | Cumulative | | |
|---|--------|-------------|--------|--------|------------------|--------|-------------|
| | | AWPB Target | Actual | % AWPB | Appraisal Target | Actual | % Appraisal |
| Market facilities constructed/rehabilitated | number | 30 | 20 | 66% | 50 | 20 | 40% |

=

Tips

Tip 7 Checking for common errors

Over the last few years, a number of errors recur in the course of reporting the annual RIMS data. These are some of the errors commonly encountered:

| | |
|--------------------------|--|
| Currency | Currency figures are often misstated. Especially for <i>value of gross loan portfolio</i> and <i>value of voluntary savings mobilised</i> . Please ensure that the amount reported is in US dollars and in thousands. Please convert all local currencies into USD '000. (On-line currency converter with most of the world's currencies: http://www.oanda.com/currency/converter/ (the date should be set to December 31 of the reporting year). Convert the USD figure into thousands by dividing by 1000. This should also be done while entering target values for the project life and AWPB annual targets. |
| Gender | Wherever possible, beneficiaries should be reported on a gender-disaggregated basis. They should be reported separately under <i>Men</i> and <i>Women</i> . In cases where the project cannot provide gender-disaggregated data and only the total number of beneficiaries, they should be reported under <i>Men/ Women</i>. The Men/Women should not be a sum of men and women. |
| Cumulative totals | The cumulative figures have often varied hugely from previous reporting. Project staff should pay extra attention to reporting the accurate cumulative figure, consistent with previous reporting. In cases where the cumulative total does not sum of the all years reporting, the errors in previous years should be checked and corrected before submitting. |
| Units | The unit of the indicator being reported is often mistaken. Projects should ensure that the data reported is in the correct indicator. For example: <ul style="list-style-type: none"> • land-related indicators (land under irrigation schemes etc) are reported in hectares. Local area-indicators should be converted into hectares before reporting. A number of local land-area-unit conversions are available at http://www.onlineconversion.com/area.htm. • Roads should be reported in kilometres (and converted from miles or other indicators into km before reporting). • Rainwater harvesting systems are reported in numbers, not in terms of the capacity of the system (e.g. litres³). |

Table 7: Example of RIMS Reporting Form

| Country | [Country Name] | Report Date | 21-Dec-07 | | | | | | |
|-------------------------------|--|--------------|------------------------------------|----------------------------|--------|-------------------|-----------|--------|----------------|
| Project | [Project Name] | Project Year | 3 | Fiscal year end: 31-Dec-07 | | | | | |
| Third level results | | | | | | | | | |
| <i>Impact</i> | Households with improved assets ownership | Number | | | | | | 75000 | |
| | Prevalence of child malnutrition | | | | | | | | |
| | Weight for age | % G, % B | 21.8%, 27.9% | | | | | | |
| | Height for age | % G, % B | 12.9%, 12.3% | | | | | | |
| | Weight for height | % G, % B | 2.9%, 3.5% | | | | | | |
| First level results | | | Period Ending December 2007 | | | Cumulative | | | |
| | | Unit | Level | AWPB | Actual | % of AWPB | Appraisal | Actual | % of appraisal |
| <i>Total project</i> | Groups receiving project services | Number | 1st | 45 | 35 | 78% | 500 | 60 | 12% |
| | Households receiving project services | Number | 1st | 10000 | 8800 | 88% | 44000 | 18000 | 41% |
| | People receiving project services - Total | Total | 1st | 7000 | 5180 | 74% | 11000 | 10600 | 96% |
| | People receiving project services - Females | Females | 1st | 3000 | 3000 | 100% | 5000 | 3000 | 60% |
| | People receiving project services - Males | Males | 1st | 4000 | 2180 | 55% | 7000 | 7600 | 109% |
| <i>Value chain</i> | Enterprises accessing facilitated non-financial services | Number | 1st | 100 | 110 | 110% | 500 | 180 | 36% |
| | Enterprises accessing facilitated financial services | Number | 1st | 100 | 90 | 90% | 500 | 370 | 74% |
| | Staff of service providers trained | Number | 1st | 80 | 140 | 175% | 250 | 350 | 140% |
| | People accessing facilitated advisory services | Number | 1st | 3000 | 1400 | 47% | 4500 | 3500 | 78% |
| | Marketing groups formed/strengthened | Number | 1st | 20 | 15 | 75% | 400 | 20 | 5% |
| | People in marketing groups formed/strengthened | Number | 1st | 120 | 200 | 167% | 2500 | 700 | 28% |
| | Marketing groups form./strengthen. with women in lead. positions | Number | 1st | 4 | 1 | 25% | 100 | 3 | 3% |
| <i>Income diversification</i> | People trained in income generating activities | Number | 1st | 4000 | 3500 | 88% | 4500 | 6500 | 144% |
| | Kilometres of road constructed/rehabilitated | KM | 1st | 250 | 220 | 88% | 1100 | 450 | 41% |
| | Groups managing infrastructure formed/strengthened | Number | 1st | 25 | 20 | 80% | 100 | 40 | 40% |
| | People in groups managing infrastructure formed/strengthened | Number | 1st | 78 | 70 | 90% | 300 | 100 | 33% |
| | Groups managing infrastructure with women in lead. positions | Number | 1st | 10 | 4 | 40% | 20 | 10 | 50% |
| <i>Project management</i> | Staff of service providers trained | Number | 1st | 100 | 0 | 0% | 500 | 0 | 0% |
| | Financial institutions participating in the programme | Number | 1st | 30 | 25 | 83% | 50 | 25 | 50% |
| | Staff of financial institutions trained | Number | 1st | 150 | 70 | 47% | 500 | 150 | 30% |

Example of RIMS Reporting Form (Second Level Results)

| | | | | | | | | | |
|-------------------------------|---|------------------------------------|--------------|-------------|-----------------------------------|------------------|------------------|---------------|-----------------------|
| Country | [Country Name] | Report Date | 21-Dec-07 | | | | | | |
| Project | [Project Name] | Project Year | 3 | | Fiscal year end: 31-Dec-07 | | | | |
| Second level results | | Period Ending December 2007 | | | Cumulative | | | | |
| | | Unit | Level | AWPB | Actual | % of AWPB | Appraisal | Actual | % of Appraisal |
| <i>Value Chain</i> | Effectiveness: creation of employment opportunities | Rating | 2nd | | 2 | | | | |
| | Effectiveness: likelihood of sustainability of enterprises | Rating | 2nd | | 4 | | | | |
| | Effectiveness: producers benefiting from improved market access | Rating | 2nd | | 2 | | | | |
| | Likelihood of sustainability of marketing groups | Rating | 2nd | | 3 | | | | |
| <i>Income diversification</i> | Likelihood of sustainability of enterprises | Rating | 2nd | | 5 | | | | |
| | Likelihood of sustainability of roads constructed/rehabilitated | Rating | 2nd | | 5 | | | | |
| | Effectiveness: producers benefiting from improved market access | Rating | 2nd | | 4 | | | | |
| | Likelihood of sustainability of groups managing infrastructure | Rating | 2nd | | 5 | | | | |
| <i>Project management</i> | Effectiveness: improved performance of service providers | Rating | 2nd | | 1 | | | | |
| | Effectiveness: promotion of inclusive policies and institutions | Rating | 2nd | | 3 | | | | |
| | Effectiveness: improved performance of financial institutions | Rating | 2nd | | 3 | | | | |