Project Mid-term Review Report

Government of Namibia and UNDP

Implementing Partner: Ministry of Environment, Energy and Climate Change

United Nations Development Programme

UNDP GEF PIMS 4711 / GEF Secretariat Project ID 5343

Atlas Award 83204/ Atlas Project ID 91803

Scaling up community resilience to climate variability and climate change in Northern Namibia, with a special focus on women and children

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PIMS 4711: Scaling up community resilience to climate variability and climate change in Northern Namibia, with a special focus on women and children

UNPAF 2014-2018 Outcome(s): **Outcome 8:** By 2018, Namibia has adopted and is implementing effectively and in a coordinated manner, policies and strategies to reduce poverty and vulnerability which are informed by evidence on the causes of poverty and vulnerability. **Outcome 11:** By 2018, Namibia has reviewed, and is implementing, policies and strategies which ensure that severely poor and vulnerable households have access to, and are utilizing, productive resources and services for food and nutrition security in addition to sustainable income generation. **UNDP Strategic Plan Environment and Sustainable Development <u>Primary</u> Outcome 1:** Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded; **Output 1.4.** Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented.
Implementing Entity: Ministry of Environment and Tourism (MET) **Responsible Parties:** Ministry of Agriculture, Water and Forestry (MAWF), Regional Councils, Creative Enterprises Solutions (CES), Namibia National Farmers Union (NNFU), University of Namibia (UNAM)

Programme Period:	2015 – 2019
Atlas Award ID:	83204
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PIMS #:	4711
Start date:	January 2015
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Management Arrangements	NIM
PAC Meeting Date	

Acknowledgements: The evaluator recognizes and thanks the Ministry of Agriculture, Water and Forestry (MAWF), Ministry of Environment and Tourism (MET), the Project Management Unit (PMU) and the UNDP Country Office for the efficient and professional organizational support they provided during this review. The Project Manager (Uazamo Kaura), the Regional Project Coordinators (Aron Hangula, Reinold Reynie Kharuxab, and Mirjam Kaholongo) and the Program Specialist and Head of Environment and Energy Unit at UNDP Namibia (Martha Naanda) deserve a special mention for the professional manner in which they facilitated the MTR process. Thanks also go to the Regional Councils, the communities and other partners involved in the implementation of the project for the information provided during the review. Mr. Abiater Amateta is gratefully acknowledged for the safe transportation across the vast Namibian North.

Executive Summary

SCORE project aims to strengthen the adaptive capacity, reduce vulnerability to droughts and floods, and increase resilience of productive systems and livelihoods in the Northern part of Namibia. The project targets 4,000 households as direct beneficiaries, with 80% of the households being women or orphan- led, and children from 75 schools. The project objective is to reduce vulnerability of rural communities in responding to drought and floods in Northern Namibia, with a special focus on women and children. The objective will be achieved through three inter-related outcomes: *(1) Small-holder adaptive capacity for climate resilient agricultural practices strengthened; (2) Reduce vulnerability to droughts and floods; and (3) Mainstreaming climate change into national agricultural strategy/sectoral policy, including budgetary adjustments for replication and scaling up*. The five-year project has a total budget of USD 23,067,263, out of which the GEF/SCCF contributes USD 3,050,000 (13.2%). UNDP contributes USD 860,000[1] (3.7%) and the Government of Namibia contributes USD 19,157,263 (83%). The project is being implemented in seven northern regions of Namibia namely: Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East. In addition to inherent climate variability, these regions are regularly, and increasingly threatened by extreme weather events such as floods and droughts, which disrupt livelihoods, affect agriculture productivity and cause damage to infrastructure.

The 5 year project is nationally implemented (NIM) by the Ministry of Environment and Tourism (MET), which provides a National Project Director (Environmental Commissioner), and a Project Management Unit (PMU). The PMU is led by a Project Manager supported by the Project Implementation Officer, three Regional Project Coordinators based in Kavango, Ohangwena and Omusati. A Project Board (Project Steering Committee - PSC) provides overall policy guidance. The PSC is chaired by the Environmental Commissioner and has representatives from several Ministries[2], UNDP, Namibia National Farmers Union (NNFU), GIZ, regional coordinators and 2 representatives from academia and a civil society organizations.

The project is at the beginning of the third year of implementation; the Mid Term Evaluation was therefore conducted in accordance with the guidelines and regulations of UNDP and GEF, and, assessed the overall performance against the project objectives as set out in the Project Document and other related documents; project relevance to national priorities, as well as UNDP and GEF strategic objectives, namely; the effectiveness and efficiency of the project; sustainability of the project interventions and consideration of project impacts; implementation and management arrangements of the project, including financial management. The MTR assesed progress towards the achievement of the project objectives and outcomes as specified in the Project Document, assessing early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR also reviewed the project's strategy and its risks to sustainability.

Summary of Findings

The MTR finds that the project addresses four key barriers that hinder stakeholders (in government, civil society, private sector and communities) from adopting practices that address climate risks in baseline programs, thereby weakening adaptive capacity and resilience of the local production systems and livelihoods. These were: i) Insufficient information and know how on new agricultural techniques (for extension, support services and local communities); ii) Limited affordability to purchase inputs for climate-resilient agricultural methods; iii) Inadequate capacity to deal systematically and in the long-term with threats posed by extreme climatic events such as drought and floods; iv) *Re*sistance to prioritize mainstream measures to increase adaptive capacity and resilience by productive sectors.

[1] Although the Prodoc reflects a UNDP co-finance of USD 860,000, the Budget tables show the same to be USD 500,000.
[2] Ministries of Finance, Gender, Poverty, Fisheries, Agriculture, Water and Forestry, Regional Councils,

The project identified an ambitius program of work to address these barriers, that include the three outcomes outlined in para 1, 17 outputs and 53 groups of activities, implemented in 7 regions (Table 3). The MTR finds that although the strategies identified to address the barriers were adequate to address the barriers to creating adaptive capacity and resilient production systems and livelihoods in the North, the actual project as described in the Project Document sought to address too many issues in too many areas with a very small budget. Implementing the strategy outlined in the project for the six original and one additional region (added during inception phase) would require a much larger budget than the US$ 3.5 million allocated.

The inadequate budget was exacerbated by the fact that the stakeholders' participation plan has not been adhered to during the implementation period. The project document outlined an implementation strategy that would involve active participation of the private sector (AMTA), civil society and the two universities, a strategy which increase resources (skills and co-finance) for project implementation. However, there is no meaningful participation of civil society and universities in actual project implementation on the ground, although they remain a part of the PSC. Changing the participation plan without adjusting the project strategy has reduced the resources available for project implementation and resulted in a very limited portion (12.3%) of the project being implemented with 70% of the budget spent (Table 5 presents the summary, Annex 5 the detailed analysis). Project implementation has focused on 5 out of 17 outputs – with most of the work done to date focusing on only two outputs - 1.4 and 1.5 - with a little bit on outputs 1.6, 2.1 and 3.3. This has changed the character of the project from one focused on building adaptive capacity and resilience of the production system and livelihoods, to one demonstrating the role of conservation agriculture in tackling climate variability and climate change.

However, the project has delivered impressive results for the outputs that it prioritized. An assessment of the Logframe shows that the project has exceeded the end of project target for the objective. It has reached 4,759 beneficiaries (instead of 4,000). The project has introduced conservation agriculture to 28 farmers - 2 Lead Farmers per constituency for 2 constituencies per region – supported by six tractors. It has assisted 664 farmers with ripping services (315 females, 229 males) and distributed seeds to 1,051 farmers (627 females and 424 males). It has provided 112 micro-drip irrigation vegetable garden for 120 households (69 female headed, 51 males headed); set up 37 community micro irrigation gardens - mostly women-led benefiting 1,024 individuals (604 females and 420 males); and set up 63 school vegetable gardens (serving about 6,366 female learners and 6,820 male learners). In total, 14,330 individuals (7,291 males and 7,039 females) are benefiting from these micro drip irrigation technologies (Table x). It has provided training on vegetable growing and awareness raising brochures on climate smart agriculture.

The project assisted in the restoration/construction of six hand-dug wells each serving an average of two villages benefiting 627 females and 443 males; one serving 11 villages. In addition, it has desilted three burrow pits benefiting about 10,548 females and 6,010 males. Two of the burrow pits are approximately 40m (length) x 40m (width) x 3m (depth) = 4800 m^3 (480 loads), while the third one is 21000m^3 (2100 loads). Desilting of 2 more pits halted due to flooding in Dec 2016-Jan 2017. The PMU contributed to the review and drafting of the National Strategy for mainstreaming disaster risk reduction and climate change adaptation into development (2016-2020) facilitated by the Office of the Prime Minister and Food and Agriculture Organization. The document has not been finalized as yet as regional consultation is ongoing.

The project also contributes to the Comprehensive Agriculture Programme for Namibia (2015 - 2019) and it's National Conservation Agriculture Forum. It regularly participates in the Ministry of Environment and Tourism Annual Planning Meetings at which the national climate change policy agenda and domestic budgets are decided. It has held awareness raising campaigns on climate change adaptation and mitigation. The project contributed to the formulation of CRAVE project, which has mobilized USD 10m for supporting Conservation Agriculture in Kavango region.

The MTR finds that although focusing on a narrow set of outputs (5 out of 17) enabled the project to deliver impressive results on those outputs, it should have formalized the prioritization by revising the logframe

and obtaining the required approvals. Because this was not done, the MTR is conducted against the original, very ambitius project document without the budget to back up the ambition, and therefore performance seems to be very poor. The MTR therefore finds performance either moderately unsatisfactory or unsatisfactory on most evaluation criteria.

Summary and overall rating

Review Criteria	**Rating**
Project Strategy - Project design Results Framework/ Logframe	Moderately Unsatisfactory
Progress Towards Results	Unsatisfactory
Management Arrangements	Moderately Unsatisfactory
Work Planning	Moderately Unsatisfactory
Finance and co-finance	Unsatisfactory
Project-level Monitoring and Evaluation Systems	Unsatisfactory
Stakeholder Engagement	Moderately Unsatisfactory
Reporting and communication	Moderately Satisfactory
a) Overall Sustainability b) Financial risks to sustainability c) Socio-economic risks to sustainability d) Institutional Framework and Governance risks to sustainability e) Environmental risks to sustainability:	a) Unlikely b) Significant c) Significant d) Significant e) Significant

Recommendations

Recommendation	**Who should act on it**
Recommendation 1: The project should design a participatory M&E plan in order to assess project impacts, support knowledge management, learning and adaptive management.	PMU with support of PSC
Recommendation 2: Given the low percentage implementation rate, and the fact that the project design was very ambitius for the budget, the PSC should facilitate an assessment of the current state of implementation and the realities on the ground and recommend whether the project should start all those neglected activities or drop them entirely.	PSC facilitated by PMU
Recommendation 3: While the implementation arrangement described in the prodoc is satisfactory, so far it has not been adhered to, with negative consequences to the project. The PSC should guide the project to either adhere to the original implementation arrangement or adjust the project to the current implementation arrangement. The departure from the original implementation arrangement means there was less resources available to implement an already very ambitius project strategy.	PSC facilitated by PMU
PMU should consider adopting the GIZ model where the project work plans are generated with the teams at the regional level offices. This provides a higher level of ownership and integration.	PMU with support of PSC
Recommendation 5: PSC should facilitate a thorough review of the project expenditure and justify 70% expenditure at MTR with 12.3% of the logframe implemented.	PMU with support of PSC
Recommendation 6: The MTE recommends dropping of two regions (Kavango East and West) to focus the limited budget remaining to 5 regions. This is because Kavango is covered by the GIZ conservation agriculture project, which has a more comprehensive program and is far better resourced. In addition, CRAVE (part of the Green Climate Fund) will also include Kavango region, and has far more resources.	PSC facilitated by PMU
Recommendation 7: The project should formulate a participatory M&E plan urgently and train Regional Coordinators, MAWF extension staff and the communities on M&E.	PMU

Recommendation 8: The AMAT should be refined to avoid double reporting across indicators using the same targets.	PMU
Recommendation 9: To ensure that project implementation provides an opportunity for practice to inform policy processes, PMU should organise a workshop (or a discussion forum) to assess the implications of project implementation, achievements and challenges on policies and policy formulation process. It should use the lessons generated to craft advocacy messages for policy and decision-makers.	PMU facilitated by PSC
Recommendation 10: Assuming it is not too late to involve academic institutions in serious action research, the PMU should mobilize at the very least MSc or PhD researchers to use the project for research, which will contribute to technical publications. To guide the researchers to provide information that is relevant to the project management and learning, the PMU, with guidance from the PSC should develop a series of questions/topics for which further research is required. These can be developed in the process of generating a participatory M&E systems.	PMU facilitated by PSC
Recommendation 11: PMU should engage its staff and partners to shift focus from simply implementing a disparate set of project activities, to understanding that they are primarily piloting climate smart agriculture as a tool for adapting agriculture to climate variability and climate change. They should therefore adhere more closely to implementing the project in line with the principles of conservation agriculture and the underlying practices as shown in Fig 1. Furthermore, they should implement the project in a "learning mode", so as to contribute to the understanding of what needs to be changed within the agriculture set up, and in which ways this change should be made, if climate smart agriculture (or just conservation agriculture) were to become the common practices. They should in particular interogate which of those changes need to be at what levels (at the local practice or higher policy levels). If the project achieved this, the shift in its character that has happened due to change of implementation arrangement would have been worth it.	PMU facilitated by PSC

MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:
Name of Consultant: _____Veronica Nyawira Muthui _____
Name of Consultancy Organization (where relevant): __N/A_____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *Leverkusen, Germany,* on 2nd Oct 2017 -- Signature: ___ 

I also approve this MTR report

Signed at ____*Leverkusen, Germany*__ on 2nd October 2017 --- Signature: 

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List of Abbreviations

AAP	Africa Adaptation Programme
AMAT	Adaptation Monitoring and Assessment *Tool*
AMTA	*Agro-Marketing Trade Agency*
CA	Conservation Agriculture
CBA	Community Based Adaptation
CES	Creative Entrepreneurs Solution
CCA	Climate Change Adaptation
CCAP	Comprehensive Conservation Agriculture Programme
CDC	Constituency Development Committee
CLUSA	Cooperative League of the USA
CO	Country Office
CONTILL	Conservation Tillage Project
CPP	Country Pilot Programme
	Action in Southern Africa
DARD	Directorate of Agricultural Research and Development
DEA	Department of Environmental Affairs
DAPEES	Directorate of Agricultural production, Extension and Engineering services
DCPP	Dryland Crop Production Programme
DRR	Disaster Risk Reduction
EIF	Environmental Investment Fund
EMOP	Emergency Management Operational Procedures
EMU	Emergency Management Unit
EWS	Early Warning System
FFS	Field Farmers School
FIDES	Financial Systems Development Services
FAO	Food and Agriculture Organisation
GDP	Gross Domestic Product
GEF	Global Environmental Fund
GIZ	Deutsche Gesellschaft fur InternationaleZusammenarbeit
HDI	Human Development Index
HIV	Human Immunodeficiency Virus
IIED	International Institute for Environment and Development
IP	Implementing Partner IPCC International Panel for Climate Change
LDCF	Least Developed Country Fund
MAWF	Ministry of Agriculture, Water and Forestry
MDG	Millennium Development Goal
MET	Ministry of Environment and Tourism
M&E	Monitoring and Evaluation
MFMR	Ministry of Fisheries and Marine Resources
MGECW	Ministry of Gender Equality and Child Welfare
MURD	Ministry of Urban and Rural Development
MITSMED	Ministry of Industrialization, Trade and SME Development
MSYNS	Ministry of Sport, Youth and, National Service
NAB	Namibia Agronomic Board
NAD	Namibian Dollar
NASCO	Namibian Association of Community Based Natural Resource Management Support Organisations
NASSP	Namibia Agriculture Sector Support Programme
NCA	Northern Communal Areas
NCCI	Namibia Chamber of Commerce and Industry
NCR	Northern Communal Regions
NCCSAP	National Climate Change Strategy and Action Plan
NDP	National Development Plan

NDRMP	National Disaster Risk Management Plan
NEEEF	New Equitable Economic Empowerment Framework
NEWFIU	National Early Warning and Food Information Unit
NGOs	Non-governmental Organisations
NHIES	Namibia Household Income & Expenditure Survey
NNFU	Namibia National Farmers Union
NSA	National Statistic Agency
OIKE	OmalunduIimunaKommitiye Elungameno
OPM	Office of the Prime Minister
PIF	Project Identification Form
PIU	Project Implementation Unit
PMU	Project Management Unit
PPG	Project Preparation Grant
PPR	Project Progress Report
NUST	Namibia University of Science and Technology
RC	Regional Councils
RBM	Results-Based Management
RDP	Regional Development Plan
RIP	Regional Implementation Platforms
RP	Responsible Party
RIU	Regional Implementation Units
SCCF	Special Climate Change Fund
SHG	Self Help Groups
SGP	Small Grants Programme
SNC	Second National Communication
SME	Small Medium Enterprise
SPA	Strategic Priority on Adaptation
ToRs	Terms of References
ToT	Training of Trainers
UNAM	University of Namibia
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States Dollar

1 Background

1.1 INTRODUCTION: PURPOSE, SCOPE AND METHODOLOGY

1. The objectives of the MTR are spelled out in the Terms of Reference (ToR - Annex 1). The overall objective is to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability. The MTR was conducted in close coordination with UNDP, Government of Namibia (GoN), and Project Partners. The MTR took place from 10th September to 30th November 2017 [23 working days spread over a period three months]. The Inception Report (Annex 2) contains the methodologies and activity schedule used to conduct the review. It was prepared in consultation with UNDP and the Project Management Unit. The list of persons consulted is given in Annex 3.

1.1.1 Methodology

2. The review followed the methodology described in the sections below.

Desk review of documents

3. The key documents reviewed during the evaluation process are contained in the Inception Report (Annex 2. They include the UNDP Project Document, the Inception Report, the two Project Implementation Reports (PIRs), Minutes of the 5 Project Board Meetings, and the MAWF and UNDP strategic program documents. The review provided a basis for the analysis and enabled the determination of how the project is contributing to national development programs, plans and policies. The review of UNDP documents was necessary to establish linkages of the project with the umbrella programmes, such as United Nations Development Assistance Framework (UNDAF) and Country Programme.

Data collection and analysis

4. The evaluator spent six days visiting the intervention sites (Kavango East, Kavango West, Ohangwena, Omusati and Oshikoto) to assess progress and appreciate the difficulties faced by the project implementers concerning the huge geographic area covered by the project. At each site, the reviewer held structured group discussions with the extension services of the MAWF (of the Directorate of Agricultural production, Extension and Engineering services (DAPEES), staff of the MAWF Agriculture Development Center (ADCs)), beneficiaries of project interventions (micro-drip irrigation, conservation agriculture, hand-dug wells), Regional Councillors (Engela and Oshana), the Governor of the Oshana Region, Hon. Clemens Kashuupulwa, AMTA officials (Rundu and Ongwendiva). The evaluator also held discussions with Project Hope, the GIZ Climate Smart Agriculture Project (Kavango East, Kavango West and Zambezi Regions), Ministry of Industrialization, Trade and SME Development (MITSMED), Ministy of Fisheries and Marine Resources (MFMR) (Inland Fisheries – Aquaculture) and MAWF- Directorate Water Resource Management (Hydrology) and CES. The schedule of field mission and the list of stakeholders consulted is in Annex 3.

Detailed Context

5. In line with the ToR (Annex 1), the MTR reviewed the following aspects of the project design, implementation and delivery of results:

6. **Project Strategy (Project design and Results Framework/Logframe):** The MTR examined the problem addressed by the project and the underlying assumptions; reviewed the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document; reviewed the relevance of the project strategy and assessed whether it provides the most effective route towards expected/intended results; reviewed whether lessons from other relevant projects were properly incorporated into the project design; examined how the project addresses country priorities and reviewed country ownership. The MTR also reviewed decision-making processes to determine if the planning phase took the perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources; and, the extent to which relevant gender issues were raised in the project design.

7. **On Progress Towards Outcomes Analysis:** The MTR guidelines require review of the logframe indicators against progress made towards the end-of-project targets; comparison and analysis of the GEF Tracking Tools at the Baseline with the one completed right before the Midterm Review; identification of remaining barriers to achieving the project objective in the remainder of the project; review of the aspects of the project that have already been successful, identifying ways in which the project can further expand these benefits.

8. **On Management Arrangements:** The MTR requires a review of overall effectiveness of project management as outlined in the Project Document, determining if changes have been made and if they are effective; examine if responsibilities and reporting lines are clear and if decision-making is transparent and undertaken in a timely manner. Further, the quality of execution of the Executing Agency/Implementing Partners was reviewed along with the quality of support provided by the GEF Partner Agency (UNDP).

9. **On project implementation,** the review assessed if there has been delays in project start-up and implementation, identifying the causes and examining if they have been solved; it also examined if work-planning processes are results-based, and if changes have been made to the original logframe and if it is being used as a management tool.

10. **On finance and co-finance** - the review assessed; i) Whether strong financial controls have been established that allow the project management team to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and the payment of satisfactory project deliverables; ii) Variances between planned and actual expenditures; iii) Whether the project demonstrates due diligence in the management of funds, including annual audits; iv) Any changes made to fund allocations as a result of budget revisions and the appropriateness and relevance of such revisions; v) Whether co-finance has been delivered in accordance with expectations laid out in the project document, and if the Project Team has made effort to pursue delivery of co-finance.

11. **On stakeholder engagement**, the review assessed whether the project management team developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders; whether local and national government stakeholders support the objectives of the project and continue to have an active role in project decision-making; whether public awareness has been created to support the project and how stakeholder involvement and public awareness contributes to the progress towards achievement of project objectives.

12. **On reporting and Communication,** the review assessed how adaptive management changes have been reported by the Project Team and shared with the Project Board; how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated Project Implementation Reports (PIRs) and how these have been shared with the Project Board and other key stakeholders; in addition, it assessed how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners and incorporated into project implementation.

13. **On financial risks to sustainability,** the MTR assessed the likelihood of financial and economic resources being available once the GEF assistance ends, examining the opportunities for financial sustainability and additional factors needed to create an enabling environment for continued financing.

14. **On socio-economic risks to sustainability** , the MTR assessed whether there are social or political risks that may jeopardize sustainability of project outcomes; whether there is a risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained; whether lessons learned are being documented continually; and whether successful aspects of the project are being transferred to appropriate parties, potential future beneficiaries, and others who could learn from the project and potentially replicate and/or scale it in the future.

15. **On institutional framework and governance risks to sustainability**, the MTR assessed; whether the country's legal frameworks, policies, governance structures and processes pose risks that may jeopardize project benefits; whether the project has in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project's closure; whether the project has developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date; and how the project identified and involved champions (i.e. individuals in government and civil society) who can promote sustainability of project outcomes; and

whether the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership) – thus can the project strategies effectively be incorporated/mainstreamed into future planning?

16. **On environmental risks to sustainability**, the MTR assessed whether there are environmental factors that could undermine and reverse the project's outcomes and results, including factors that have been identified by project stakeholders.

17. **Conclusions & Recommendations:** The MTR offers evidence-based conclusions, in light of the findings. Recommendations made are succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. Ratings along the objectives will be provided in accordance with the guidelines in Box 1 (below).

Box 1: Progress towards results rating scale

Highly Satisfactory (HS) --- The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".

Satisfactory (S) -- The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.

Moderately Satisfactory (MS) -- The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.

Moderately Unsatisfactory (MU) -- The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.

Unsatisfactory (U) -- The objective/outcome is expected not to achieve most of its end-of-project targets.

Highly Unsatisfactory -- (HU) The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets. C. Project Implementation & Adaptive Management

1.2 PROJECT BACKGROUND AND INFORMATION

1.2.1 Development Context: how the project objectives align with the executing agency/implementing partners' strategies and priorities and UNDP programming priorities

18. The SCORE is a five-year project with an overall GEF/SCCF allocation of USD3, 050,000.00 and co-finance from UNDP USD 860,000 and GRN USD 19,157,263.00. The project is being implemented in seven northern regions of Namibia namely: Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East. In addition to inherent climate variability, these regions are regularly, and increasingly threatened by extreme weather events such as floods and droughts, which disrupt livelihoods, affect agriculture productivity and cause damage to infrastructure. The project aims to strengthen the adaptive capacity of 4,000 households to climate change and reduce their vulnerability to droughts and floods, with 80% of the households being women or orphan- led, and children from 75 schools.

19. The project is relevant to Namibia's national quest to increase food security while simultaneously increasing adaptive capacity and increasing resilience of production systems and livelihoods. These measures fully reflect the priorities of the National Climate Change Action Plan, which are to promote new technologies to address climate change problems for women and children, and develop climate resilient crop farming practices. It is also in line with the National Agriculture Policy (2015) whose objectives are: i) To create a conducive environment for increased and sustained agriculture production and productivity; ii) To accelerate the agriculture sector contribution to National Growth Domestic Product; and, iii) To promote development of national agriculture sector across the value chain. Indeed, it contributes to all the specific objectives of that Policy, namely (amongst others): to increase agricultural production and productivity; to promote investment in agricultural production; to promote skills development in agricultural production; to improve the quality of agriculture products; to maintain and improve animal and plant health; to control and reduce the effect of pests when they occur; to develop and diversify agricultural production; to promote agricultural research and

adaptation of appropriate technology; to support stakeholders in developing their capacity to be able to meet national and export market agriculture standards as well as other technical requirements.

20. The project contributes to UNPAF (2014-2018) outcomes 8 and 11, namely: i) By 2018, Namibia has adopted and is implementing effectively and in a coordinated manner, policies and strategies to reduce poverty and vulnerability which are informed by evidence on the causes of poverty and vulnerability (outcome 8); and ii) By 2018, Namibia has reviewed, and is implementing, policies and strategies which ensure that severely poor and vulnerable households have access to, and are utilizing, productive resources and services for food and nutrition security in addition to sustainable income generation (outcome 11). It is also inline with the UNDP Strategic Plan Environment and Sustainable Development Primary Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded; Output 1.4. Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented.

1.2.2 Problems that the project sought to address: threats and barriers targeted

21. The project addresses four key barriers that hinder stakeholders (in government, civil society, private sector and communities) from adopting practices that address climate risks (in baseline programs, thereby weakening adaptive capacity and resilience of the local production systems and livelihoods. The four barriers, as written in the Prodoc are:

- Barrier 1: Insufficient information and know how on new agricultural techniques (for extension, support services and local communities). Although best practices exist on the ground, most farmers are unaware of climate change, its impacts on livelihoods or the best practices that can tackle the challenges. They lack information on new and innovative practices, and are anyhow reluctant to adopt new and untried practices. This is exacerbated by the fact that the extension service cannot take on-board untested technologies.
- Barrier 2: Limited affordability to purchase inputs for climate-resilient agricultural methods. Poor households have limited resources to invest in technologies for improved agriculture, amid other competing needs. At the same time, subsistence agriculture has limited financial returns which are rarely re-invested in improving practices especially by poor families (women and orphan headed). This is exacerbated by poor access to financial services (loans, savings and credits).
- Barrier 3: Inadequate capacity to deal systematically and in the long-term with threats posed by extreme climatic events such as drought and floods. Although the region is exposed to increasing bouts of drought and floods, managing them is more reactive than proactive. This especially affects availability of water for livestock during dry seasons (droughts), and disrupts livelihoods and damages infrastructure (floods). Despite the new disaster risk reduction policy, poorer households do not integrate localized measures into day to day decision making and practices. This is exacerbated by lack of simple pragmatic measures to tackle both flooding and drought risks simultaneously.
- Barrier 4: *Re*sistance to prioritize mainstream measures to increase adaptive capacity and resilience by productive sectors. Although the government has now adopted conservation agriculture as a tool to tackle climate variability and climate to adapt agriculture to climate change, the lessons generated by the National Program on Sustainable Land Management Capacity Building Partnership Program (CPP) on mainstreaming climate risks into productive sectors policies and on local level adoption of climate smart agriculture are not being adopted rapidly enough to meet the national food security requirements. This is exacerbated by a seeming lack of urgency by productive sector ministries to mainstream climate change considerations, and poor linkages between policy and practice.

1.2.3 The project description and strategy: objective, outcomes, and expected results

22. The project objective is to reduce vulnerability of rural communities in responding to drought and floods in Northern Namibia, with a special focus on women and children. The objective will be achieved through three interrelated outcomes: *(1) Small-holder adaptive capacity for climate resilient agricultural practices strengthened; (2) Reduce vulnerability to droughts and floods; and (3) Mainstreaming climate change into national agricultural strategy/sectoral policy, including budgetary adjustments for replication and scaling up.*

23. The project aims to increase the resilience of baseline programs related to agriculture, water resources management and fisheries, by mainstreaming climate risks into implementation, at the local levels as well as at policy levels. The SCCF project aims to strengthen community engagement as the basis of building resilience,

using several proven community engagement approaches, such as Self-Help Groups (SHG), Farmer Field Schools (FFS) and Savings and Loans Clubs. This is in line with IPCC ARWG5 principle that stresses the importance of working with local people and applying community engagement approaches that truly empower the farmers on the ground to learn about climate change adaptation and build their own adaptive capacities. Indeed, in Namibia, local level impacts can only be reached when working directly and dedicatedly with communities and small holder farmers. The project therefore aims to work closely through the existing support and extension organisations and services, both from the public and private sector, while simultaneously sensitising them to address climate risks and build resilience holistically.

24. Under outcome 1, the project expects to build small-holder adaptive capacity for climate resilient agricultural practices through 9 specific interventions: a) Setting up small-holder advisory and mentorship programme that would promote drought resilient land management and crop production practices to scale up best practice for 4,000 small-holder farmers; b) Establishing community self-help groups to promote implementation and replication of climate smart methods; c) Setting up Farmer Field Schools, training lead farmers and providing them with materials for influencing other farmers in their groups; d) Assisting at least 4,000 small-holder farmers to engage in early planting by helping them with land preparation, access to seeds and weather forecasts in time to catch the early rains; e) advance fresh vegetables' production through soil improvement and micro-drip irrigation, based on an assessment of the challenges and opportunities for the same (practiced by 2,000 households, including 35% orphan-led households); f) increase crop diversification for 75% of households by scaling up sunflower and sorghum production, as well as tree crops (fruits, etc.); g) Test savings and loan schemes among small-holder farmers to finance replication and the scale up of adaptive practices and technologies. This would be achieved by developing and implementing a long-term micro-finance strategy that would build on the model developed by the Creative Enterprises Solutions (CES) to introduce a savings culture in the Self Help Groups (SHG) and link them to micro-loan schemes; h) Establish market linkages for dryland products, by working with the private sector to identify and promote value chains, as well introduce labour saving technologies and train farmers on grading, cleaning and packaging of products to enable them to engage in the value chains profitably; i) document best practices from the above interventions by setting up a local level monitoring system that facilitates farmers' action research, linked to MAWF/DARD agriculture research and other relevant research entities. This would provide evidence-based impacts which would contribute to the discussion on practice-policy linkages (further described under outcome 3).

25. Under outcome 2, the project aims to reduce vulnerability to droughts and floods through the restoration of wells and enhancement of floodwater pools for food security through 3 targeted interventions: a) Flood and drought control measures provided to small-holder farmers in flood-prone areas by first mapping flood and drought prone areas and scoping out flood and drought control measures, then undertaking restoration of traditional wells and enhancement of inland ephemeral floodwater pools, followed by training of communities on the management of harvested water and multipurpose use the water for livestock, irrigation, fresh vegetable production or inland aquaculture; b) Increase the use of climate-smart irrigation in the seven regions by setting up some irrigation systems in project zones; introducing relevant Conservation Agriculture practices to complement irrigation, training farmers on the proper use and maintenance of irrigation systems and setting up a local level resource monitoring programme (linked to monitoring systems of other outcomes and the farmers' action research); c) Support climate-smart fish farming by establishing fish ranching in suitable areas, providing farmers with necessary inputs (e.g. fingerlings for start-ups) and developing a market access strategy for each aquaculture investment.

26. Under outcome 3, the project aims to mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up-scaling through 5 specific interventions: a) ensuring that impact assessment is carried out to inform policy formulation by setting up an overall participatory monitoring system (linking the outcome M&E and action research under all outcomes), preparing and using data collection and analysis and drawing lessons for policy; b) to support upscaling of best practices on the landscape level facilitate stakeholders (led by Regional Councillors) to design and implement Results-based management (RBM) plan for climate-smart agriculture, informed by (or building on) the Regional Conservation Agriculture Forums (FAO-funded, GoN implemented); c) to further support upscaling, design and implement (via NNFU) advocacy campaign promoting best practices demonstrated by the project. Messages should have implications (advice) for both practice and policy, and should be informed by an assessment of cultural practices that hinder widespread uptake of climate smart agricultural practices, identifying behavioural change context that will encourage adoption especially amongst vulnerable groups: d) Regional Councils, line

ministries and other partners (Regional platforms - RIPs or their equivalents - led by RCs) supported to include climate smart agricultural methods, water harvesting, storage and other relevant climate resilience building practices, approaches, techniques and technologies in their annual plans and budgets; e) compile and disseminate lessons from the project that should inform policies and continuously disseminate them to the relevant decision and policy makers.

1.2.4 Project implementation arrangements

27. The management arrangement for the project is described in the prodoc. The 5 year project is nationally implemented (NIM) by the Ministry of Environment and Toursim (MET), which provides a National Project Director (the Commissioner for Environment), and a Project Management Unit (PMU), which also houses the Project Manager, responsible for day to day management of the project. The national PMU is supported by three Regional Project Coordinators based in Kavango, Ohangwena and Omusati.

28. The UNDP CO is responsible for: (i) providing financial and audit services to the project; (ii) assisting with the recruitment of technical experts; (iii) overseeing financial expenditures against project budgets; (iv) appointment of independent financial auditors and evaluators; and (v) ensuring that all activities, including procurement and financial services, are carried out in strict compliance with UNDP and GEF procedures. The Ministry of Agriculture, Water and Forestry (MAWF), is the **Responsible Party** (as defined in POPP), engaged by the Ministryof Environment and Tourism to support implementation on the local level.

29. A Project Steering Committee (PSC) provides policy guidance and overall coordination of the project. The PSC should ensure that the project remains on course to deliver the desired outcomes, maintaining technical quality and building on necessary synergies between the different components of the project with other Government initiatives, including programs funded by the GEF. The PSC is chaired by the Commissioner for Environment and has representatives from the Ministries of Finance, energy, Agriculture, Water and Forestry, UNDP, NNFU, a regional coordinator and 2 representatives from academia and NGOs. GIZ has been added to the PSC on account of their Conservation Agriculture Project being implemented in Kavango (east and West) and Zambezi. The Department of Hydrology (of MAWF) was also added to the PSC to provide technical input into the rehabiltation of water bodies. The PSC should ensure that the project is focused on achieving its outputs and that the project adopts a cost-conscious approach. It therefore provides policy, political and technical support to the project. As such, it ensures the consistency of the project objectives with national policies and initiatives, evaluates and approves work plans and budgets. The PSC meets twice a year to discuss work plans and annual budgets, evaluate ongoing actions, and validate the annual project reports being prepared.

1.2.5 Key Partners Involved in Project Implementation

30. The project was expected to be mostly implemented in support of Namibia's decentralisation efforts, with **Regional Implementation Coordinators (Units - RIUs)** hosted by the various Regional Councils. It was expected that the regional coordinators would coordinate support organisations, through '**Regional Implementation Platforms**' (RIPs), for which MAWF – especially through the various extension services has a strong implementation role. It was expected that the RIPs would update and share information on project progress with RDCC. For the Omusati region the RIP was expected to make use of the previous implementation structure from the CPP (Country Partnership Program on Sustainable Land Management).

31. The project document specifies that civil society would be heavily involved in implementation to secure sustainability through continued partnership between the project and active NGOs and CSOs in the target regions. In particular, the Creative Enterprise Solutions (CES) were expected to implement most of the activities especially under component 1 and 2, based on the ability and experience with similar work. The **private sector and other various organizations** were expected to provide technical assistance, data and other services on an as-needed basis. The Namibia National Farmers Union was supposed to support the Self Help Groups access and manage loans from micro-finance institutions. Universities of Namibia and the Namibia Univeristy of Science Technology (UNAM and NUST respectively) were supposed to spearhead the action research and impact assessment, which would lead to practice generating knowledge to inform policy. Local communities (beneficiaries) were expected to be involved through several groups: as Farmer Field Schools and Self Help Groups. AMTA would provide marketing support services on horticulture products.The National Project Manager would directly manage the agreements to establish service agreements with public organisations (such as NNFU, micro financing institutions, NUST, UNAM, CES, etc.).

1.2.6 Significant socio-economic and environmental changes since the beginning of project implementation and any other major external contributing factors

Table 1: Key Project Dates

Key Project Dates		**Comments at MTR**
PIF Approval Date	Apr 24, 2013	This timeline is on the faster side for GEF projects
CEO Endorsement Date	Jan 28, 2015	
Project Document Signature Date (project start date):	Mar 12, 2015	
Date of Inception Workshop	July 2015	
Expected Date of Mid-term Review	Dec 1, 2017	The MTR started on 10th September 2017
Expected Date of Terminal Evaluation	Dec 1, 2019	Should be earlier if project closure is Dec 2019)
Original Planned Closing Date	Dec 31, 2019	

32. The project has not faced any unusual delays in start up, and is actually on the faster side on milestones for GEF projects. An inception meeting was held in July 2015 at which stakeholders reviewed the Prodoc and its annexes as well as the implementation arrangements (Table 1). The minutes of the PSC show that it approved the following suggested guidelines for implementation at the first PSC meeting, which was held back to back with the Inception Workshop, which had proposed the changes:

a) A request from the leadership of Kunene Region was approved and the project took on an additional region;
b) It was suggested that a baseline target of one (1) hectare per household be used for the ripping services. One (1) hectare was considered the optimum size for farmers to manage in terms of improving harvesting yields.
c) To merge activities 1.1.1 (Design and develop a mentorship programme) with 1.1.3 (Produce mentorship materials).
d) Under output 1.2 (on Self Help Groups), it was suggested to use existing groups. The DAPEES emphasized that the Project should however help support them to reach farmers that it was currently unable to reach and that it should not target beneficiaries of other projects. However, it was reported later that there were no SHG in the villages selected for the piloting of various project initiatives.
e) Activity 1.3.2 (Development of farmer training curricula based on the technologies to be scaled up) to be harmonised with activity 1.1.3 (development of mentorship materials);
f) Under activity 1.4.2, the project was urged to concentrate on improving the production of seeds within Namibia rather than simply importing; Seeds to be made available to Lead Farmers during training in a timely manner; Support the development and finalization of the National Seed Policy.
g) Under activity 1.6 (scale up sorghum production), the project was urged to consider sorghum production for Kunene; and Cactus (omafauwena) and rice production as possibilities for diversification; and that options for diversification should be region specific.
h) Under output 1.7 (savings and loans scheme), the project was urged to explore the rolling out of a system that would give farmers loans for crop production inputs (learning lessons from NNFU); and to consider training of communities on their roles and responsibilities on community banking.
i) On output 1.8 (Market linkages established for dryland products working with the private sector), the project was advised to link up with AMTA before developing supply chains plans as AMTA was responsible for linking rural farmers to the formal market and for sustainability purposes. It was also advised to consider focusing on the income from the marketing of indigenous plants such as eembeke (Ximenia americana) and marula; and to scale-up support to communities to venture into the marketing of local products.
j) On activity 1.1.9 (Set up local level monitoring, farmer's action research and formal evidence-based impact monitoring systems for all project interventions and innovations) the project was urged to ensure that this takes place throughout the project implementation phase.
k) Under activity 2.2.1 (Set up irrigation systems in project zones), the project was advised to closely link activity to 2.1.3 (micro drip irrigation) and make effort to promote drip irrigation from harvested rainwater. It was also advised to identify the sites where irrigation systems will be and the target groups; to consult DAPEES on the established procedures for setting-up irrigation systems; to consider the

introduction of irrigation techniques into the Green Scheme and Dryland Crop Cultivation Programme as an entry point for mainstreaming climate smart agriculture.

l) Under activity 2.3.1 (Establish fish ranching in project zones) the project was advised to work with MFMR and support existing fish farms rather than establish new ones. Alternatively, MFMR should identify the fish farm sites in close consultation with communities. It was also advised to create awareness of aquaculture farming among communities, followed by training for community members.
m) Under activity 3.1.1 (A participatory monitoring and evaluation process is set up), the project was advised to ensure that the participatory M&E takes place throughout the implementation Phase.
n) Under activity 3.2.1. (Regional platforms (RIPs or their equivalents), led by RCs, develop RBM plans with stakeholders in a participatory manner), the project was advised to work through the existing committees such as the Regional Development Coordination Committees, taking into consideration the capacity and budget of regional councils.

33. It is noted that the two cropping seasons covered by the project to date (2015-2016 and 2016-2017) were characterized by lower than normal rains, with 2015-2016 season declared a drought. This has an impact on a project demonstrating conservation agriculture.

2 Findings

2.1 Project Strategy (Project design and Results Framework/Logframe) – Moderately Unsatisfactory

34. The MTR finds that the strategy identified by the project to respond to the four barriers i.e. the three outcomes and program of work described in section 1.1 of this MTR report is relevant to the national quest to increase food security while simultaneously increasing adaptive capacity and increasing resilience of production systems and livelihoods. These measures fully reflect the priorities of the National Climate Change Action Plan, which are to promote new technologies to address climate change problems for women and children, and develop climate resilient crop farming practices. It is also in line with the National Agriculture Policy (2015) whose objectives are: i) To create a conducive environment for increased and sustained agriculture production and productivity; ii) To accelerate the agriculture sector contribution to National Growth Domestic Product; and, iii) To promote development of national agriculture sector across the value chain. Indeed, it contributes to all the specific objectives of that Policy, namely (amongst others): to increase agricultural production and productivity; to promote investment in agricultural production; to promote skills development in agricultural production; to improve the quality of agriculture products; to maintain and improve animal and plant health; to control and reduce the effect of pests when they occur; to develop and diversify agricultural production; to promote agricultural research and adaptation of appropriate technology; to support stakeholders in developing their capacity to be able to meet national and export market agriculture standards as well as other technical requirements.

35. The project was formulated over a one year period, involving a wide spectrum of stakeholders (through a Project Preparatory Grant – PPG). This ensured that the perspectives of all relevant stakeholders informed the project design. The project concept was developed in July 2012, via a three day stakeholder meeting convened by MET, and attended by a broad spectrum of stakeholders from other Ministries, academia, civil society and development partners. This led to the PPG Phase where two planning meetings were held in Oshakati and Ondangwa, in August 2013 and February 2014, respectively. Local level consultations were carried out in 5 of the 7 project zones/regions. Several national level consultations were undertaken over the one year PPG period. The MTR therefore finds that stakeholder viewpoints were incorporated into the project design, and a stakeholder participation plan was agreed upon. The MTR further finds that although these strategies were adequate to address the barriers to creating adaptive capacity and resilient production systems and livelihoods in the North, the actual project as described in the Project Document sought to address too many issues in too many areas with a very small budget. Implementing the strategy outlined in the project for the six original and one additional region (added during inception phase) would require a much larger budget than the US$ 3.5 million allocated. The alternative would have been to limit the geographic spread. The inception period could have been used to focus the project document on a smaller program of work that fit the budget (a case in point is that the project budget cannot finance excavation and building of earthdams or fish ponds).

Lesson 1: It is important to match the ambition of the project with the available budget. The inception period should be utilized to critically review the project against the budget to ensure the best match between the program of work and available budget.

36. The MTR additionally finds that the inadequate budget was exacerbated by the fact that the stakeholders' participation plan has not been adhered to during the implementation period (see section 2.4 – Management arrangements).

37. The project identified 5 assumptions upon which the design of the project was based (Table 2). The MTR finds that the risks and assumption analysis was superficial and the description inadequate. Table 2 provides an assessment of how the assumption played out and its effect on the project implementation. In addition, the MTR finds that the project design assumed that MAWF would retain the capacities they had at the stage of planning, throughout the project implementation period and beyond. The design also assumed that the limiting factor for conservation agriculture was only the tractor drawn ripper, seeds and skills, and that for vegetable production it was water, markets and skills. However, conservation agriculture needs more tools (direct seeders, animal drawn rippers, etc.,) while both conservation agriculture and vegetation production require Good Agronomic Practices, timely implementation, precise operations and efficient use of resources (Fig 1). The project design did not overtly focus on removing the barriers to the effective adoption of climate smart agriculture practices, probably because it addressed a very broad work program (addressing too many things in too many places).

Table 2: Risks and Assumptions and their effects on project implementation and achievements

RISK MITIGATION MEASURE	HOW IT PLAYED OUT	IMPACT ON PROJECT
Environmental: The project will mitigate the risk of droughts and floods by: a) harvesting flood waters using the natural depressions of the Cuvelai Basin (Oshanas), for productive use by households; b) The project will prepare households for dry years by implementing early land preparation and planting, and the planting of early maturing crops in drier than normal years; c) The project will need to make use of existing weather and seasonal forecasting information from the MET Service.	For a) the mitigation suggested implies a careful planning of the landscape, identifying a strategy to capture flood waters for use in dry seasons. The project area had agricultural droughts in 2015 and 2016. However a landscape level strategy for use of flood waters for irrigation in dry years has not happened. It seems that the budget could cater for only a few hand dug wells and desilting of burrow pits. The project cannot afford the cost of constructing earth dams. This was complicated by the apparent understanding/ interpretation of upscaling by project staff – who believe the project must identify existing wells and dams to rehabilitate – and cannot build new ones. For b (early field preparation), the project provided the equipment (6 tractors) for ripping. But the extent to which this happened is mixed (see analysis on progress of implementation section). The project missed the 2015-2016 cropping season (project mobilisation); field preparation for the 2016-2017 cropping cycle was delayed due to inadequate tractor drivers and late delivery of seeds (out of the project hands).	Under a) although the project alleviated agriculture droughts for the beneficiaries of the drip irrigation, this is very small scale and it is not what the assumption referred to. The project has alleviated the impact of droughts on beneficiary households (through the drip irrigation gardens). However, there has not been any impact on alleviating impacts of droughts or floods at the landscape level – due to the fact that the budget could not cater for the earth dams construction. For b – the project needs to find a system that delivers services to farmers more rapidly within the MAWF extension service, so conservation agriculture can be supported in line with the principles outlined in figure 1 (timely implementation and precise operations are critical parts of CA).

Organisational: Low and variable organisational capacities for implementation will be addressed by delegating roles to the NGO and private sector, thus leveraging capacity and resources into the project. An adequate budget will be provisioned for capacity development and project management.	CES, UNAM and NUST are members of the PSC. However, they are not yet engaged in implementation on the ground yet. Private sector (consultants) were used to deliver training in several areas such as horticulture production and rehabilitation of wells and desilting burrow pits.	As described earlier in this section, project implementation has focused on 5 outputs, related to conservation agriculture, provision of micro drip irrigation lines and rehabilitation of wells, and de-siltation of burrow pits. It is the view of the MTR that in addition to budget issues, this selective focus is due to the absence of civil society and academia from active implementation. This has shifted the character of the project from a holistic adaptation, resilience building one to that demonstrating climate smart agriculture as a tool of adaptation.
Social and cultural: Only willing small-holder farmers will be included as project beneficiaries, the selection of the beneficiaries will be done with the inputs from the Regional Councils in the six project zone to avoid an unbiased or conflicts regarding the chosen beneficiaries.	Selection of beneficiaries was indeed done in consultation with the Regional Councillors as stipulated in the project document. The project operates in two constituencies per region, targeting 2 lead farmers per constituency for conservation agriculture; and several individual and group farmers for micro drip irrigation.	The concept of lead farmers demonstrating good practices across a large geographic spread is a good strategy for encouraging upscaling by other farmers. However, for this to be realized, other supporting mechanisms have to be in place. For example the cost of the drip irrigation equipment and tractors and tractor drawn rippers would be difficult for ordinary farmers to replicate, especially without the regional plans that Regional Councillors were expected to make to demonstrate how they would support upscaling.
Social and cultural: Low participation of women, youth and orphans: Women, youth and orphans participation will be targeted as direct beneficiaries. A gender assessment will be carried out in the PPG phase to mitigate against the risk. Experience shows that women are willing to participate in many developmental projects.	This assumption seems to have been retained from the PIF (project information form) stage – where a gender strategy was expected to be undertaken during the project formulation. The PMU has not been able to find the gender strategy, so it is not clear if it was formulated. However, gender issues have been actively integrated into the project implementation and indicators, as well as monitoring data.	Despite the lack of a gender strategy, gender has been mainstreamed.
Political: Roles and responsibilities will be clearly defined through a consultative process. All key stakeholders such as MAWF will be involved in the project	This assumption is most likely to also be a left over from the PIF stage. However, roles and responsibilities were defined and included in the stakeholder participation plan, which has not been used to guide project implementation – as explained in the previous section.	As explained in the previous section, lack of civil society, private sector and academia participation has negatively affected the project implementation by shifting the focus from a holistic adaptation project to a demonstration of using climate smart agriculture as an adaptation tool.
Other assumptions and risks from the Project Resources Framework		

Objective level **Assumption**: - Self Help groups will be establish at inception phase that will function based on self-motivated approaches - Risks of floods and droughts sufficiently mitigated in project zones - Stimulation of local economy	Self-Help Groups were not established during inception Phase; there was no comprehensive assessment of risks and floods (one inherited from a previous project). These two items should not have been assumptions because they were part of the project activities, and the project management was directly responsible for their implementation.	Mentorship on subjects to have been identified during inception period was meant to increase social capital – thereby contributing to increased adaptive capacity of the beneficiaries, along with access to savings and loans. This has not yet happened. There is no evidence that the drought and flood risk map was used to decide the location of rehabilitated water bodies. Thus floods and droughts are alleviated for project beneficiaries but not yet sufficiently mitigated at the landscape level (budget deficiency).
Outcome 1: - 4000 beneficiaries are willing to participate in the project - Farmers field schools and SHG are formed and fully functioning for implementation of activities - Access to micro-finance suitable for targeted vulnerable groups **Risks** - Support services such as land preparation, seed availability, etc. not delivered on a timely basis - Low and variable organisational capacities for the implementation of the activities - Small-holder farmers might be reluctant to be included in the project due lack of knowledge on climate smart agriculture	The PIR reports that the project target of reaching 4,000 farmers has been reached. There is high demand for the project services. Neither Farmer Field Schools nor Self-Help Groups were formed. No attempt has been made to link beneficiaries to micro finance. The project is being implemented through the Ministry of Agriculture for sustainability. Ripping services and seed distribution were delayed for the 2016-2017 cropping season There is evidence of a high demand for being included in the project – more farmers request to be included than the project can accommodate.	The first assumption would have been a killer assumption – the project should have included activities to make sure that many farmers are willing to be included in the project. However, this was not necessary in the end because there is a high demand for the project services. The other two are not assumptions because these issues are within the control of the project. Not implementing them has reduced the impact of the project on building/increasing resilience of livelihoods.
Outcome 2: **Assumptions:** - Adequate equipment and support services are available e.g. food/cash for work programme for flood management and MFMR **Risk** Maladaptive practices e.g. traditional wells are not properly restored and maintained and farmers harvesting fingerlings before maturity	It is not clear where the equipment and support services e.g. food/cash for work programme for flood management and MFMR were to come from. There is no assessment of this fact in project reports. The project has restored 4 traditional wells. However, although it provided 5 farmers with fingerlings, it has not addressed aquaculture at all. It has not established fish farms because it does not have an excavator and neither do the government or the Regional Council Offices. Farmers use ephemeral water pools for fishing but most of them dry within six months, which is not adequate time for fish to mature. Most farmers are therefore still harvesting immature fish.	No work on flood management is taking place. To improve aquaculture, the project needs to acquire an excavator – which was not in the original budget. Without this, the project cannot address the challenge of harvesting immature fish. The farmers interested in improved aquaculture demand that the project improve the size and shape of the fish ponds to allow longer water storage.
Outcome 3: **Assumptions:**	The project had activities planned to mainstream climate change into	The project has not started the action research and impact assessment work,

- Climate change mainstreamed agricultural policies and budgets **Risks** Lack of political will to mainstream climate change into budgets	agriculture policies and budgets – but the activities related to this are yet to be implemented. There is very high support for the project activities but it is not clear if this will translate into political will for mainstreaming climate risk into policies and budgets	which will generate lessons through which action on the ground will influence policy and decision-making processes.

Lesson 2: The project design had been formulated with a specific stakeholder participation plan as the context. This stakeholder participation plan had indeed been negotiated during the project formulation; changing the particpation plan without adjusting the project strategy has reduced the resources available for project implementation (technical skills and co-finance) and resulted in a very limited portion of the project being implemented. It is important to either stick with the project strategy, or adjust the strategy early on to match the ambition of the project to the resources available.

38. The MTR finds that the design of th eproject is weakened by the poor quality of indicators and imprecise baseline values (analysis in Table 3, below).

Table 3: Poor quality indicators and imprecise baseline values weaken project design

Result	**Indicator (AMAT)**	**Baseline**	**Comment on indicator and baseline**
Project Objective[3] To strengthen the adaptive capacity to reduce vulnerability of rural communities in responding to droughts and floods in Northern Namibia, with a special focus on women and children.	1.2.14 Vulnerability and risk perception index (Score) - Disaggregated by gender	- Attempts were made at the PPG phase to select the beneficiary communities within the project zone regions, however this will be done during the inception phase as explained in Outcome 1 - No survey conducted to rate vulnerability, TBD at inception phase	The vulnerability and risk perception assessment has not yet been conducted. There is therefore still no baseline against which to measure the impact of the project.
Outcome 1: Small-holder farmer adaptive capacity for implementation of climate resilient agricultural production practices strengthened.	Indicator 1.2.8 80 % change in projected food production in targeted area given existing and projected climate change Indicator 1.2.1.3 Climate resilient agricultural practices introduced to promote food security (type and level)	- Understanding of communities on climate change is based on ecosystem observations - Communities stagnant on ineffective and traditional agricultural practices - Communities have limited access to agricultural outputs and labour constrains	**Indicator** 1.2.8 – it does not specify which crops would be measured to demonstrate change in productivity. Baseline: Does not state the levels of productivity of any crops at the start of the project. Indeed it has little to do with productivity of the land. Indicator 1.2.1.3 – it does not specify which climate resilient practices, how many or the percentage of beneficiaries expected to adopt them. Indicator 1.3.1 – it does not specify what livelihood assets are, or how many households and communities would be expected to have better livelihood assets.

	Indicator 1.3.1. Households and communities have more secure access to livelihood assets (5 point score) – Disaggregated by gender		The baseline values for both indicators are very general and cannot be used in measuring actual change from the baseline.
Outcome 2: Reduced vulnerability to droughts and floods through restoration of wells and harvesting of floodwater for food security.	Indicator 1.2.11 % of population with access to improved flood and drought management (disaggregated by gender)	- Droughts and floods are experienced more frequently than in previous years - Flood contingency plans in place for 6 regions	Indicator 1.2.11 – does not define what "an improved flood and drought contingency plan" is. Baseline – the two statements are so general that they cannot be used to measure progress towards "an improved flood and drought contingency plan".
Outcome 3: Mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up-scaling.	Indicator 1.1.1 Adaptation actions implemented in national/sub-regional development frameworks (no. and type) 1.1.1.2: Sectoral strategies that include specific budgets for adaptation actions Indicator 3.1.1. % of targeted groups adopting adaptation technologies by technology type (disaggregated by gender)	- Climate change not mainstreamed into national agricultural strategies/sector policies	Indicator 1.1.1 – does not specify what adaptation actions or what national and sub-regional development frameworks. Indicator 1.1.1.2 – does not specify which sectoral strategies would be expected to include specific budgets for adaptation, and which adaptation actions. Indicator 3.1.1 – should have mentioned adaptation technologies by name since the ones the project is advocating are known. Baseline value for all three indicators – it is too general to be of value in measuring progress on any of the indicators.

2.2 PROGRESS TOWARDS OUTCOMES ACHIEVEMENT – UNSATISFACTORY

39. Analysis of the Logframe (Table 4) hows that the project has exceeded the end of project target for the objective. It has reached 4,759 beneficiaries (instead of 4,000). The project has introduced conservation agriculture to 28 farmers - 2 Lead Farmers per constituency for 2 constituencies per region – supported by six tractors. It has assisted 664 farmers with ripping services (315 females, 229 males) and distributed seeds to 1,051 farmers (627 females and 424 males). It has provided 112 micro-drip irrigation vegetable garden for 120 households (69 female headed, 51 males headed); set up 37 community micro irrigation gardens - mostly women-led benefiting 1,024 individuals (604 females and 420 males); and set up 63 school vegetable gardens (serving about 6,366 female learners and 6,820 male learners). In total, 14,330 individuals (7,291 males and 7,039 females) are benefiting from these micro drip irrigation technologies (Table x). It has provided training on vegetable growing and awareness raising brochures on climate smart agriculture.

The project assisted in the restoration/construction of six hand-dug wells each serving an average of two villages benefiting 627 females and 443 males; one serving 11 villages. In addition, it has desilted three burrow pits benefiting about 10,548 females and 6,010 males. Two of the burrow pits are approximately 40m (length) x 40m (width) x 3m (depth) = 4800 m^3 (480 loads), while the third one is 21000m^3 (2100 loads). Desilting of 2

more pits halted due to flooding in Dec 2016-Jan 2017. The PMU contributed to the review and drafting of the National Strategy for mainstreaming disaster risk reduction and climate change adaptation into development (2016-2020) facilitated by the Office of the Prime Minister and Food and Agriculture Organization. The document has not been finalized as yet as regional consultation is ongoing.

40. The project also contributes to the Comprehensive Agriculture Programme for Namibia (2015 - 2019) and it's National Conservation Agriculture Forum. It regularly participates in the Ministry of Environment and Tourism Annual Planning Meetings at which the national climate change policy agenda and domestic budgets are decided. It has held awareness raising campaigns on climate change adaptation and mitigation. The project contributed to the formulation of CRAVE project, which has mobilized USD 10m for supporting Conservation Agriculture in Kavango region.

41. The MTR Guidelines requires an assessment of the progress towards indicators in the Project Resource Framework (Logframe). However, the MTR finds that because this project has very complex issues, it is helpful to provide an indepth analysis of the progress in implementation along the outputs of the logframe (Table 5 with detailed analysis in Annex 5) and to review AMAT indicators (14 of them – Annex 6).

Project Strategy	Indicator	Baseline Level	Level in 1st PIR (self-reported)	End-of-project Target	Midterm Assessment	Achievement Rating	Justification for Rating
Objective:	Vulnerability and risk perception index (Score) - Disaggregated by gender	Prodoc says no baseline vulnerability assessment done; PIR says one was done and baseline value is 1[4].	On-track – no value assigned.	3	U	Red= Not on target to be achieved	Apart from the fact that no baseline vulnerability value has been established and the project has no participatory M&E system to measure impacts, the project has focused implementation on 4 out of 17 outputs. This has changed the character of the project from one building resilience of the production system and livelihoods to one piloting climate smart agriculture. The 13 outputs not being addressed would increase resilience by building social capital.
Outcome 1:	Climate resilient agricultural practices introduced to promote food security and diversified livelihoods	No baseline – see Table 3 above	1. Vegetable production using Micro-drip Irrigation: 14,330 individuals (7,291 males and 7,039 females. 2. CA Seeds: 627 females and 424 males; 3. Land preparation using ripping services: (315 females, 229 males) 4. Awareness raising: 175 females, and 104 males; Total: 8156 females and 8048 males. A total of 16204 individuals.	By the end of the project 4000 hh of small-holders farmers, 80% (3200 hh) of which are women and children have been trained and are applying climate resilient agricultural production practices.	MS	Yellow – may be on target to be achieved but there is no system to measure progress – see comments	The project has exceeded the end of project targets by reaching a larger number of beneficiaries. However, there are serious questions about the extent of benefits that the project should address, outlined below. ➢ Despite the fact that the project has an M&E system, baseline data for productivity under the two key technologies introduced by the project have not been collected – conservation agriculture and drip irrigation, neither for sizes of fish production under the aquaculture system; ➢ Despite the training of the Ministry of Agriculture Teams on project M&E (AMAT), there is no evidence of a participatory M&E plan being formulated or used to guide project implementation, knowledge management and learning. Indeed, the MAWF extension teams reported that there is no effort to mainstream project M&E into the Ministry M&E systems, largely because they don't exist; ➢ Despite the training provided to vegetable growers, there is little evidence of skills transfer; majority of the growers do not practice good agronomic practices (GAPs) on their plots. The training manual is of questionable quality (utility) and some farmers are wasting resources on crops that will not yield a return on investments (the most common are cabbage whose growth point is damaged by pests, yet still being irrigated although they will not form heads, and tomatoes growing wild bushes due to lack of pruning (Fig 2); ➢ Although quite a large number of individuals are reported to have benefitted from the drip irrigation, the extent of beneficiation is questionable. The size of the plots are far too small – 20x50 meters; which is the same for individual farmers as well as for groups. Some groups have up to 20 members, meaning twenty households are counted as having
	Climate resilient agricultural practices introduced to promote food security (type and level)		Dropped from the PIR (merged with indicator 1 above).				
	% of households that have more secure access to livelihood assets (5 point score) – Disaggregated by gender	10 % of households hold assets that can be used to buffer pressure during periods of climate shocks.	The project acquired 6 tractors and provided 112 micro-drip (vegetable garden for 120 households (69 female headed, 51 males headed). Set up 37 community gardens - mostly women-led benefiting 1,024 individuals (604 females and 420 males). Set up 63 school	4000 households have more secured assets and livelihoods diversified away from traditional	MS		

			veg gardens (serving about 6,366 female learners and 6,820 male learners. Provided training on vegetable growing and awareness raising brochures	crop production, promoting food security			benefitted from a drip irrigation shared amongst them, compared to single households. Apart from the challenges of pests and diseases for vegetable growers, the Kavango region has difficulties accessing markets for their produce. Local market/village markets are not able to absorb all the produce offered by beneficiaries. AMTA is unable to assist due to the small scale of production, the wide distances between beneficiaries and the poor quality of the produce. In addition, managing the communal plots is challenged by inadequate committment from some group members. Some of the communal drip irrigation plots have stopped functioning where the irrigation is supplied by NAMWATER, because of failure by some members to contribute to water and fuel (for the petrol pumps) payments. However, the cost benefit analysis of using fuel pumps and treated NAMWATER for drip irrigation on such a small scale has not yet been computed, especially where a large group of members have a small plot. ➢ Ripping services were provided in the 2016-2017 growing season; however, in some places it was not early enough to enable the farmers to catch the early rains. This is because the tractors are under the control of the MAWF and therefore their use is in line with the Ministry procedures. This means they are driven by the Ministry tractor drivers. The Ministry however hires drivers for only three months in a year, from December to February. In addition to the fact that one tractor is shared between two vast constituencies (and five in Kavango), this caused delays in providing ripping, because it had to be scheduled along with the subsidized ploughing and ripping services the Ministry provides to farmers under its drylands crops program. Seed distribution faced similar challenges: the seeds were purchased in 2015, anticipating distribution during the 2015-2016 cropping season. The tractors had however not arrived at the project sites for the 2015-2016 season, so the seeds were distributed in the 2016-2017 cropping season. The seeds were handed to the Agriculture Development Centres (ADCs) for distribution starting from October 2016, although at least ADCs reported

[4] The MTR was unable to obtain a baseline vulnerability assessment report; so cannot determine which position is correct

							receiving them as late as February 2017, too late for the cropping season, and by which time the groundnuts seeds had expired.
Outcome 2:	% of population with access to improved flood and drought management (disaggregated by gender)	Less than 10% of the targeted land area is covered by effective flood management infrastructure.	The project assisted in the restoration/construction of six hand-dug wells each serving an average of two villages benefiting 627 females and 443 males; one serving 11 villages; Three burrow pits have been desilted benefiting about 10,548 females and 6,010 males. Two of the burrow pits are approximately 40m (length) x 40m (width) x 3m (depth) = 4800 m3 (480 loads), while the third one is 21000m3 (2100 loads). Desilting of 2 more pits halted due to flooding in Dec 2016-Jan 2017.	80% of targeted land area is covered by efficient flood management infrastructure	MU	Red= Not on target to be achieved	There are several inconsistencies with the indicator that make it difficult to determine level of achievement. The indicator states percentage of population with access to improved flood and drought management infrastructure; the baseline provides the percentage of the landscape currently with such infrastructure and the progress reported in the PIR talks of number of people being served by the hand dug wells and rehabilitated earth dams (without giving a percentage). However, the budget notes give a target of 8,000 hand dug wells and the project document gives the impression that development of the drought and flood management infrastructure would be based on a strategy developed after an assessment of flood and drought prone areas; and that it would establish flood management water bodies that would then provide water during droughts. Although the project inherited such an assessment, there is no evidence that the rehabilitation of the water bodies is in line with the assessment; it is rather guided by opportunistic events. Furthermore, the MTR finds that no earth dams have been rehabilitated or built; the project has no budget or equipment to build earth dams (per the specifications of earth dams by the government). It has however desilted existing burrow pits (remnants of quarry mining by road construction companies) which have no security measures around them – and are likely to silt up again quite soon (budget issues?).
	Percentage of the population receiving relevant climate risk management information	Climate risk information (1 day through to seasonal forecasts) does not currently reach local populations	The project has provided information on climate smart agriculture but nothing specific drought or flood warning – which is provided by the MET office and the extension service of the Ministry of Agriculture	By the end of the project beneficiaries receive adequate climate risk information and early warning for floods and droughts.	MU	Yellow- on target to be achieved	Implementation of the output to deliver this indicator has not started yet. However, since the indicator, the baseline and end of project target are very poorly defined, almost any information disseminated by the project can be counted as climate risk management information. For example what is relevant climate risk management information? And what is adequate climate risk management information?

3	Number of comprehensive adaptation actions - policies, programmes and budgets – included in development frameworks to support climate resilient agricultural practices (Merged with the above -- Sectoral strategies that include specific budgets for adaptation actions)	Within the agriculture sector climate change adaptation is, to varying degrees, hinted at but not explicitly or comprehensively addressed, and nor are effective budgets allocated	The PMU contributed to the review and drafting of the (C) National Strategy for mainstreaming disaster risk reduction and climate change adaptation into development (2016-2020) facilitated by the Office of the Prime Minister and Food and Agriculture Organization. The document has not been finalized as yet as regional consultation is ongoing; CRAVE project has mobilized USD 10m for supporting CA in Kavango region; The project contributes to the Comprehensive Agriculture Programme for Namibia (2015 - 2019) and it's National Conservation Agriculture Forum; The PMU contributed to the review and drafting of the (C) National Strategy for mainstreaming disaster risk reduction and climate change adaptation into development (2016-2020) facilitated by the Office of the Prime Minister and Food and Agriculture Organization. The document has not been finalized as yet as regional consultation is ongoing ; The project regularly participates in the (D) Ministry of Environment and Tourism Annual Planning Meetings which looks at adaptation and	Sector strategies/ for agriculture are integrating and budgeting adaptation measures such as: conservation agriculture, contingency plans for DRM at regional levels	MS	Yellow= On target to be achieved	The MTR finds that none of the activities meant to deliver results on outcome 3 have been implemented yet. Consequently, the Project reports refer to contribution of project staff to many policy processes, but attribution to the project is tricky in view of the fact that implementation of outcome 3 has not started. For example CRAVE has mobilized USD 10 million but its development is not really linked to the SCORE project (although it is a great achievement for Namibia). The government supports regional Conservation Agriculture Forum; the project participates in the Forum but is not certain how SCORE has utilized the Forum to deepen the practice of conservation agriculture or adaptation.

			mitigation policy actions. These are important events as the national climate change policy agenda and domestic budgets are decided at these meetings, which also covers actions to increase or improve awareness raising campaigns on climate change adaptation and mitigation				
	% of targeted groups adopting adaptation technologies by technology type (disaggregated by gender)	Climate change not mainstreamed into national agricultural strategies/sector policies	This indicator is not monitored in the PIR, however, it could be interesting to track the number of people outside the lead farmers that adopt the technology (would indicate scalability).	None set	U	N/A – since no end of project target is set.	It is unfortunate that this indicator has not been tracked because it can demonstrate replicability of the technologies demonstrated. Discussions with the project beneficiaries indicated that while there is a high demand for the technologies, especially the drip irrigated vegetable gardens, farmers not on the beneficiary list found it difficult to adopt because of the cost of the technologies, and unavailability of the materials locally. It is also unlikely that farmers can afford to replicate tractor drawn rippers. However, there could also be cultural barriers to adopting conservation agriculture, especially substituting ploughing with ripping. Tracking this indicator was expected to be part of the action research to be led by the University of Namibia. Understanding the challenges to uptake of the technologies by those outside the beneficiary list (replication) is critical for sustainability and identifying policy based incentives for replication.

Table 4: Progress Towards Results Matrix (Achievement of outcomes against Mid-term Targets)

2.3 PROJECT IMPLEMENTATION & ADAPTIVE MANAGEMENT - UNSATISFACTORY

42. The MTR finds that overall project implementation (indicated by project delivery) is at 12.3%. Table 5 below shows the estimated level of delivery (implementation) by MTR (detailed analysis in Annex 5).

Table 5: Progress towards outcomes and estimated percentage implementation

Outcome	**Outputs**	% implementation at MTR
OUTCOME 1: Small-holder adaptive capacity for climate resilient agricultural production practices		
Output 1.1: Small-holder advisory and mentorship programme that promotes drought resilient land management and crop production practices established to scale up good practice for 4,000 small-holder farmers	1.1.1. Design and develop a mentorship programme	5%
	1.1.2. Select participants for the advisory and mentorship programme	
	1.1.3. Produce mentorship materials	
	1.1.4. Implement a mentorship programme	
Output 1.2: Community self-help groups formed in the project zones to promote implementation and replication of climate smart methods	1.2.1. Form self-help groups	0%
	1.2.2. Train the most active and suitable include an awareness component so that other farmers who are not	
Output 1.3: At least 300 trained farmers' field school leaders and coordinators in drought resilient land management practices serving 4,000 households	1.3.1. Identify and train farmers' field school leaders	20 %
	1.3.2. Development of farmer training curricula based on the technologies to be scaled up	
Output 1.4: 4,000 small-holders plant their land in time to catch the first rains	1.4.1. Provide access to ploughing services to 600 households per region	50%
	1.4.2. Improve seed distribution	
	1.4.3. Disseminate seasonal forecast and early warning information	
Output 1.5: Fresh vegetables' production through soil improvement and micro-drip irrigation practiced by 2,000 households, including 35% orphan-led households	1.5.1. Create an understanding of the benefits and challenges entailed by the production of fresh vegetables	60%
	1.5.2. Adopt the drip and bucket irrigation system for vegetable gardens	
	1.5.3. Scale up soil improvement interventions that minimize soil erosion and water-related ecosystem services	
Output 1.6: Crop diversification away from traditional crop production for 75% of households	1.6.1. Promote the use of plastic buckets for the watering of newly planted trees	5%
	1.6.2. Scale up sunflower production	
	1.6.3. Scale up sorghum production	
Output 1.7: Savings and loan schemes are tested among small-holder farmers to promote replication and the scale up of adaptive practices and technologies	1.7.1 Engage a microfinance expert to develop a long-term microfinance strategy for the project	0%
	1.7.2 Review and evaluate the existing CES (CLUSA) supported savings groups	
	1.7.3 Introduce a savings approach to SHGs	
	1.7.4 Facilitate access to microloan schemes	
Output 1.8: Market linkages established for dryland products working with the private sector	1.8.1. Develop a project plan that establishes which value chains should be specifically pursued through the SCCF financed intervention	5%
	1.8.2. Facilitate market access and improve marketing expertise	

	1.8.3. Facilitate training in grading, cleaning and packaging of products - Labour-saving technologies should be introduced to enable small-holder farmers to control weeds and improve harvesting methods and post-harvest storage.	
Output 1.9: Documentation of best practices	1.9.1. Set up local level monitoring, farmer's action research and formal evidence-based impact monitoring systems for all project interventions and innovations	5%
	1.9.2. Link to MAWF/DART agriculture research and other relevant research entities	
	1.9.3. Provide for research knowledge to be integrated into relevant policy processes (see Outcome 3).	
OUTCOME 2: Reduced vulnerability to droughts and floods through the restoration of wells and enhancement of floodwater pools for food security		
Output 2.1: Flood and drought control measures provided to small-holder farmers in flood-prone areas	2.1.1. Identify those project zones that are prone to floods and scope out flood and drought control measures	20%
	2.1.2. Restoration of traditional wells and enhancement of inland ephemeral floodwater pools for households in the project zone	
	2.1.3. Trained communities on the management of harvested water and multipurpose use the water for livestock, irrigation, fresh vegetable production or inland aquaculture	
Output 2.2: Climate-smart Irrigation practiced	2.2.1. Set up irrigation systems in project zones	5
	2.2.2. Introduce relevant Conservation Agriculture practices to complement irrigation	
	2.2.3. Train farmers on the proper use and maintenance of irrigation systems	
	2.2.4. Set up a local level resource monitoring programme which applies farmers' action research	
Output 2.3: Climate-smart fish farming practiced	2.3.1. Establish fish ranching in project zones	5%
	2.3.2. Provide farmers with much needed inputs and fingerlings16 for start-ups	
	2.3.3. Develop a market access strategy for each aquaculture investment	
OUTCOME 3: Mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up-scaling		
Output 3.1 Impact assessment carried out	3.1.1. A participatory monitoring and evaluation process is set up (linked to Outputs below)	0%
	3.1.2. Establish treatment groups and control groups	
	3.1.3. A questionnaire is developed	
	3.1.4. The pilot questionnaire is tested	
	3.1.5. Sampling and baseline data collection	
	3.1.6. Preparation of policy implications directly linked to Outputs 3.4 and 3.5	
Output 3.2: Results-based management (RBM) plan for climate-smart agriculture	3.2.1. Regional platforms (RIPs or their equivalents), led by RCs, develop RBM plans with stakeholders in a participatory manner	0%

developed and monitored by the main stakeholder groups and led by the Regional Councils	3.2.2. Plans are being implemented and progress is being tracked	
Output 3.3: NNFU advocacy messages developed and delivered in policy to promote scale-up of climate-smart agricultural methods	3.3.1. Undertake a study to better understand behavioural change context especially amongst vulnerable groups and to develop a targeted advocacy campaign	20%
	3.3.2. Facilitate the developing of advocacy messages and campaigns and their implementation	
Output 3.4: Regional Councils, line ministries and other partners (Regional platforms - RIPs or their equivalents - led by RCs) include climate smart agricultural methods, water harvesting, storage and other relevant climate resilience building practices, approaches, techniques and technologies in their annual plans and budgets	3.4.1. Plan the methods of developing and influencing strategy. This would be based on already established procedures and processes such as in MAWF (see AA above) and regional and national development planning processes	0%
	3.4.2. Facilitate consultations/dialogues	
Output 3.5: Policy recommendations and a replication plan are developed for continuation of good practice, presented at the project closure workshop and integrated into cross-sectoral and national development planning	3.5.1 Identify key policy opportunities for project interventions and integration of lessons learnt	10%
	3.5.2 Integrate lessons from the mid-term evaluation of SCORE project into NDP 5 planning	
	3.5.3 Consider the lessons drawn from the SCORE project for the MAWF programme proposal and for integration into MAWF operations and budget	
	3.5.4 Mainstream learning into other relevant sector instruments, including microfinance, disaster risk management, preparedness and others	
Overall percentage implementation		12.3%

43. Despite the progress reported in the Logframe and AMAT, the MTR finds that implementation is at about 12.3% of the entire project. This raises the fundamental question of "How can so many targets be exceeded with so limited implementation on the ground?" The MTR finds that the discrepancy in the two issues could be due to several factors: i) Many of the project indicators are vague hence any data can be reported as contributing to achievement/progress. This has allowed the progress made under the 5 outputs to be reported across most indicators.

Lesson 3: Project level, participatory M&E is critical for assessing projects impacts and supporting knowledge management, learning and adaptive management

Recommendation 1: The project should design a participatory M&E plan in order to assess project impacts, support knowledge management, learning and adaptive management.

Recommendation 2: Given the low percentage implementation rate, and the fact that the project design was very ambitius for the budget, the PSC should facilitate an assessment of the current state of implementation and the realities on the ground and recommend whether the project should start all those neglected activities or drop them entirely.

2.4 MANAGEMENT ARRANGEMENTS - MODERATELY UNSATISFACTORY

44. While the management arrangement described in the Prodoc rates Satisfactory, the actual arrangement adopted during implementation in moderately unsatisfactory. The project has followed the NIM mode described in the Prodoc and the PSC is composed of representatives of many relevant stakeholders. However, the implementation arrangment described in the project document has not been followed. Civil society was expected

to be in chanrge of implementation of many outputs under outcome 1 and the Universities were expected to lead on many outputs under outcome 3. However, so far, participation of the universities of Namibia and the Namibia Univeristy of Science Technology (UNAM and NUST) has been limited to attachment of interns and young graduates to the project. The minutes of the Project Board meetings show that the participation of the civil society and universities failed to take off as per the stakeholder participation plan because doing so would have meant transfering some of the project budget to these institutions. This is despite the fact that budgetary provisions of budget notes 2, 5, 8, 12 and 15 aloowed such transfer.

45. The lack of adherance to the management arrangement plan has negatively affected the implementation of the project quite severely. As argued in section 2.3, only five of the seventeen project outputs are being implemented currently. Important interventions such as community empowerment through farmer field schools, self help group formation and links to savings and loan schemes, local level results based plans for upscaling demonstrated best practices, etc., have not been initiated yet. Aquaculture, diversification of crops, action research supported by M&E and knowledge management have not been implemented in any substantive manner. This has changed the character of the project from one focused on building adaptive capacity and resilience of the production system and livelihoods, to one demonstrating the role of conservation agriculture in tackling climate variability and climate change.

46. The MTR finds that not complying with the implementation plan negated one of the assumptions upon which the project was designed – that capacity gaps in the government extension service would be mitigated by engaging other stakeholders in the implementation, in particular civil society and academia (see section 2.1 – Design). Consequently, action research, community engagement and empowerment outputs have not been tackled, since the extension service does not have the capacity to undertake such activities. The MTR also finds that the PSC was late to identify this as a risk to the effective delivery of results by the project. Project reports to PSC did not demonstrated adherence to the stakeholder implementation plan or the management arrangements outlined in the project document. The PSC missed an opportunity to catch these departures from the project strategy and to provide overall policy guidance and quality control as per the ToR.

Recommendation 3: While the implementation arrangement described in the prodoc is satisfactory, so far it has not been adhered to, with negative consequences to the project. The PSC should guide the project to either adhere to the original implementation arrangement or adjust the project to the current implementation arrangement. The departure from the original implementation arrangement means there was less resources available to implement an already very ambitius project strategy.

2.5 WORK PLANNING - MODERATELY UNSATISFACTORY

47. The MTR finds that although project implementation is being guided by the Multi-Year work plan complemented by Annual Work plans, implementation has focused on a few activities, leaving out very many unattended (only about 12.3% of implementation is achieved at MTR). The project logframe was discussed at length during the Inception Workshop and guidance was provided, summarised in the Project Description section 1. However, no changes were made to the logframe – except the addition of Kunene region and the suggestion of increasing the total number of beneficiaries to 4,200 (at 600 per region). The MTR finds that the logframe has not been extensively used as a management tool demonstrated in two ways: i) Project implementation achievement of about 12.3% with 70% of budget spent at MTR ought to have raised a greater level of concern among the PMU and the PSC, which was only picked up by PSC in March this year; ii) The MTR established that the MAWF extension teams involved in implementing the project have not read the project document or interacted with the project logframe. This is because project planning is done at the national level, without further localization of regional plans with the regional partners. While workplanning at the national level involves the Ministry of Agriculture (national) and DAPEES, it does not involve the regional extension teams or the extension technicians at the ADCs, who are the contact people with farmers.

Recommendation 4: PMU should consider adopting the GIZ model where the project work plans are generated with the teams at the regional level offices. This provides a higher level of ownership and integration.

2.6 FINANCE AND CO-FINANCE – MODERATELY UNSATISFACTORY

48. The project finances are managed in line with the UNDP and the Ministry of Environment and Tourism (MET) financial guidelines. However, the project has its own account through which day to day financial

management occurs. The Total GEF allocation is US$ 3.05 million; UNDP Trac resources allocation is US$ 0.5 million. Expenditure on GEF and Trac resources is shown in Table 6.

Table 6: Budget versus expenditure to date

Outcome	Budget			Cumulative expenditure			Balance		
	GEF	Trac	Total	GEF	Trac	Total	GEF	Trac	Total
1	1,900,000	180,000	2,080,000	1,122,135	20,059	1,142,194	777,865	159,941	937,806
2	505,000	0	505,000	718,645	41,123	759,768	-213,645	-41,123	-254,768
3	500,000	0	500,000	338,140	137,986	476,126	161,860	-137,986	23,874
4	145,000	320,000	465,000	26,945	970	27,915	118,055	319,030	437,085
NAM Brown Agenda: Extractives	0	0	0	173	81,257	81,430	-173	-81,257	-81,430
Total	**3,050,000**	**500,000**	3,550,000	**2,206,038**	**281,395**	2,487,433	843,962	218,605	1,062,567

49. Although both UNDP and MET have strong financial systems and two audits (dated Feb 2016 and April 2017) were unqualified, the MTR finds the following from the analysis in table 6: i) the NAM Brown Agenda on Extractives was not part of the Prodoc. It has been added without additional resources and there is no reference of it (or approval) in the Minutes of the PSC meetings; ii) Project expenditure at MTR is at 70% of total project budget, with about 12.3% of the logframe implemented; yet this has not been raised as an issue in the PSC meetings or the PMU project reports. The MTR notes that this high expenditure may be due to

Sources of Co-financing	**Name of Co-financer**	**Type of Co-financing**	**Amount Confirmed at CEO endorsement (US$)**	**Actual Amount Contributed at stage of Midterm Review (US$)**	**Actual % of Expected Amount**
GEF Implementing Agency	UNDP	Cash	500,000.00	281,394.57	56.3
GEF Implementing Agency	UNDP	In-Kind	500,000.00	218,605.00	43.7
National Government	MAWF	Parallel Cash	18,757,263.00	3,802,390.93	20.3
National Government	MET	In-Kind	400,000.00	273,863.90	68.5
TOTAL			**20,157,263.00**	**4,576,254.40**	**22.7**
Other sources					
Sources of Co-financing	**Name of Co-financer**	**Type of Co-financing**	**Amount Confirmed at CEO (US$)**	**Actual Amount Contributed at stage of MTR (US$)**	**Actual % of Expected Amount**
Local Government	Regional Councils	In-Kind	0	346,658.66	Exceeds 1000%
National Government	Other Institutions	In-Kind	0	310,998.15	Exceeds 1000%
Other	Misc	In-Kind	0		Exceeds 1000%
TOTAL			**0**	**657,656.81**	Exceeds 1000%

Table 7: Co-financing Summary Table at Mid-Term

50. capital investments in tractors and micro drip irrigation equipment. However, the fact that only 12.3% of the logframe has consumed about 70% of the budget should have raised a red flag; iii) there is over expenditure on outcome 2 where implementation is very limited on the ground; yet the over-expenditure has not been approved by the PSC.

51. Co-finance: The project has mobilized additional co-finance as demonstrated in Table 7.

Recommendation 5: PSC should facilitate a thorough review of the project expenditure and justify 70% expenditure at MTR with 12.3% of the logframe implemented.

Recommendation 6: However, given the finding that the project strategy was ambitius with a small budget, and that the project being implemented currently is one of demonstrating climate smart agriculture as a tool for adaptation and increasing food security, the PSC should seriously consider if it is not too late to revert to the original more holistic adaptation project. The MTR recommends that the project being implemented be aligned with the project described in the prodoc; either by reverting to the original strategy (and fast-tracking the other 12 outputs currently not being implemented), or by refining the project document to capture what is being implemented. The MTR further recommends dropping of two regions (Kavango East and West) to focus the limited budget remaining to 5 regions. This is because Kavango is covered by the GIZ conservation agriculture project, which has a more comprehensive program and is far better resourced. In addition, CRAVE (part of the Green Climate Fund) will also include Kavango region, and has far more resources.

2.7 PROJECT-LEVEL MONITORING & EVALUATION SYSTEMS – UNSATISFACTORY

52. The MTR finds that the quality at entry for the M&E system is problematic for three reasons: i) the project indicators, the baseline values and end of project targets are vague (see analysis in Table 3). In addition, they are largely about numbers, which measure quantity, but not necessarily quality. For example counting the number of farmers who have received the micro drip irrigation ignores the levels of benefits accruing to the beneficiaries, or those that have ceased to function. This point was discussed in section 2.2 (Progress towards outcomes). The MTR however notes that these quantitative indicators are adapted from the GEF Adaptation Projects Indicator Framework. ii) The current project M&E is designed to collect data on the quantitative indicators for reporting in the PIR and the AMAT. However, both the PIR and the AMAT need to be refined to avoid the repeat of the same target groups across different indicators (point discussed in the section on Progress towards Achievements); iii) Despite the call to formulating a participatory M&E system that would allow monitoring of impacts, knowledge management and learning (two activities in the logframe refer to this), no such M&E system has been designed. Baseline data for monitoring impacts of project initiatives have not been collected. The MTR concludes that project M&E has not been mainstreamed into the partner institutions M&E systems and neither has it been used to support adaptive management.

Recommendation 7: The project should formulate a participatory M&E plan urgently and train Regional Coordinators, MAWF extension staff and the communities on M&E.

Recommendation 8: The AMAT and PIR should be refined to avoid double reporting across indicators using the same targets. This should be preceeded by refining of the project indicators.

3 Stakeholder Engagement - Moderately Unsatisfactory

53. As discussed in the section on management arrangement, the MTR finds that the Project Management and the PSC actively sought participation of the regional council, DAPEES and GIZ, and that the Project is linked to the FAO CA Regional Forums. The MTR also finds that great public awareness has been created and the project enjoys immense popularity (especially from the Regional Councils), accompanied by a surge in demand for inclusion in the beneficiaries list. However, CSOs, academia and private sector participation is very limited and the regional partners have limited input into the planning processes of the project.

Lesson 4: For the popular uptake of climate smart technologies by the wider population (not included as project beneficiaries), there is need to provide policy based incentives to encourage local manufacturing and/or affordability of the inputs for the technologies demonstrated; in this case drip irrigation pipes and related gadgets, encourage use of solar pumps rather than petrol pumps, make plastic tanks, rippers, direct seeders and water affordable, etc.

Recommendation 9: To ensure that project implementation provides an opportunity for practice to inform policy processes, PMU should organise a workshop (or a discussion forum) to assess the implications of project implementation, achievements and challenges on policies and policy formulation process. They should use the lessons generated by the discussion to craft messages for policy makers and lobby for policy based incentives to support widespread uptake of climate smart agriculture.

3.1 REPORTING AND COMMUNICATION – MODERATELY SATISFACTORY

54. The MTR finds that the project reporting is in line with UNDP-GEF requirements; the project produced an inception report, two PIRs (2016 and 2017) and several quarterly reports. No technical products have been

generated. The project has however made considerable progress in communicating project intentions and the potential of the three technologies it tackles to the stakeholders, in the following ways: i) Awareness raising and training undertaken via the Farmer Field Days that have focused on sharing climate resilient agricultural practices and principles for conservation agriculture. Such information reached about 175 females, and 104 males; ii) Materials with CCA knowledge were produced, e.g. a leaflet to guide schools on how to establish and sustainably run vegetable gardens under drip irrigation; iii) To promote adoption of climate change adaptation practices at institutional levels, and to ensure that vulnerable children in these institutions are targeted as beneficiaries, 63 schools (serving about 6366 females learners and 6820 males learners) were supported. Establishing school gardens that are managed in accordance with conservation agricultural practices will contribute to (i) fostering a practice and theory agricultural learning culture; (ii) assisting with improving nutritional value of food provided to the vulnerable children in schools as encouraged by the Ministry of Education; iv) Undertaken a number targeted (theme/topical/seasonal) awareness campaigns and provided information at local community meetings, through local radio and national television means.

55. **Gender:** Although a gender strategy is yet to be formulated and the project has difficulty reaching the 80% target of benefitting women and orphan led households, there is evidence of great effort to reach women and vulnerable people as project beneficiaries. The project staff is gender balanced and all indicator data collected is disaggregated by gender.

Recommendation 10: Assuming it is not too late to involve academic institutions in serious action research, the PMU should mobilize at the very least MSc or PhD researchers to use the project for research, which will contribute to technical publications. To guide the researchers to provide information that is relevant to the project management and learning, the PMU, with guidance from the PSC should develop a series of questions/topics for which further research is required. This can be generated in the course of designing an M&E system.

3.2 RISKS TO SUSTAINABILITY

56. **Institutional and Governance Risk to Sustainability**: The MTR finds significant risks to sustainability related to institutional and governance issues due to two key challenges: One, the institutional arrangement proposed to ensure sustainability in the Prodoc (identified during project design) did not materialise. The Prodoc anticipated greater participation of the civil society to form and sustain Self-Help Groups and Farmer Field Schools, and to facilitate the groups to engage in group savings and loans, as well as link them to micro-finance institutions. This was expected to increase household skills and opportunities for increasing incomes, which would build social capital to support resilience. It also expected a greater participation of the academic institutions who would spearhead action research and learning; which would contribute to greater understanding of the conditions necessary for replication of the technologies advocated by the project, in the absence of the project – critical to sustainability. This has not happened, weakening the links between practise and policy. This omission is particularly unfortunate, because it weakens the ability of the project to identify and advocate changes needed to introduce policy based incentives for advancing climate smart agriculture (e.g. policy incentives for making conservation agriculture and drip irrigation materials more affordable and available).

57. Two, the project is being implemented largely through the MAWF extension service, which should secure sustainability. Indeed, the country has adopted conservation agriculture as the national strategy to tackle climate variability and increase food security, and has regional Forums that facilitate discussions on Conservation Agriculture throughout the country. However, it is important to note that effective conservation agriculture is built on the three principles (minimum or no tillage, soil cover or mulching and rotations/crop diversity), underlain by good agronomic practices (GAPs), timely implementation, precise operations and efficient use of inputs (Fig 1). Without these underlying practices, the three CA principles cannot increase land productivity effectively. Sustainability is currently being compromised by the way implementation through the MAWF has been handled, or played out. MTR finds that the project is currently being viewed (and implemented) as a disparate set of activities, without reference to the practice of conservation agriculture, and the necessity of the underlying principles (that make it effective). In addition, the pace of implementation seems to be subject to the regular Ministrial bureaucratic delays. It is not clear if the Regional Coordinators see themselves and the project as agents of change that should motivate the extension service to pay attention (and adjust their regular operations) to the requirements of conservation agriculture, especially the necessity of the underlying factors (GAPs, timely implementation, precise operations and efficient use of inputs).

58. A case in point is land preparation being done early enough to utilize early rains, in accordance with timely operations under conservation agriculture. The project missed the 2015-2016 cropping season because it was still under mobilisation phase/mode. The ripping services and seed distribution for the 2016-2017 cropping season was not uniformly early enough to enable farmers to catch the first rains (because government tractor drivers were busy with regular ploughing and seed distribution was delayed (some farmers getting them in February 2017). If the project closes on December 2019 as currently proposed, the focus of the PMU and PSC during the last three months of 2019 will be on winding down operations, organising the Terminal Evaluation and preparing the final project reports. It is unlikely that the project staff would effectively assist the farmers to undertake land preparation and be ready to catch the first rains of the 2019-2020 cropping season. This means the project has only one cropping cycle to get it right with conservation agriculture (this year's 2017-2018 cropping season). This is in addition to implementing all the rest of the activities whose implementation has not yet started.

59. **Financial and socio-economics risks to sustainability:** The micro drip irrigation has introduced vegetable growing for many households and improved food security by diversifying available foods. Indeed, many of the households view the vegetable growing initiative as business ventures which increase household incomes, providing cash to purchase other household needs, contributing to resilience. However, financial sustainability of the micro drip irrigation is doubtful in the Kavango regions where there is limited market for the produce. Poor GAPs and inefficient use of inputs in all the seven regions need to be addressed via more effective training to avoid wasteful practices (such as ripe vegetables left unharvested (green peppers, cabbage, tomatoes), cabbage and tomatoes allowed to grow into bushes, poor pest management, leading to diseases (Fig 2)). This reduces profitability of the enterprise, further undermining long-term sustainability. This is a serious threat to sustainability especially in the absence of the savings and loans programme that should have been implemented via Self-Helf Groups, and the absence of the Farmer Field Schools which should have sustained skills collectively. Vegetable production under drip irrigation for some groups is already challenged by by group dynamics; where some farmers fail to honour commitments towards payments for water and fuel for water pumps.

60. Upscaling of these gardens to other farmers outside the beneficiary group is currently hampered by the high cost of inputs (buying the drip irrigation, the water tanks, water pumps, seeds) required, relative to disposable incomes in the villages, and the fact that these materials are not easily available in shops. Similarly, replication of the tractor drawn ripper is unlikely due to the high investment capital required. Support for the use of animal drawn rippers, locally manufactured rippers and direct seeders may require policy incentives. Action reaserch and cost benefit analysis are required to fully understand the conditions under which these technologies can be sustained, and what additional policies and programs will be required from the government and other players to increase the probability of sustainability.

61. **Environmental risk to sustainability:** The Northern part of Namibia is subject to high climate variability with increased incidents of drought and flooding. These conditions pose high environmental risk to agriculture based livelihoods. The project proposed to map areas prone to droughts and floods and to design a water management program that would utilize water bodies to store flood waters and make it available during droughts.The provision of drip irrigation, rehabilitation of hand dug wells and rehabilitation of burrow pits has alleviated impacts of droughts to the project beneficiaries. However, the project budget was too limited to allow the project to address the impacts of drought and floods significantly at the landscape level.

Lesson 5: While mainstreaming the project into the Ministry of Agriculture Extension service is important for sustainability, it is also important to balance the need to pilot conservation agriculture in a manner that generates knowledge about what or who needs to change what practices in which ways in order for the concept to become a reality. This may require that the project be managed by senior staff with a more sophisticated understanding of the dynamics of using projects to engineer change and to link practice with policy.

Recommendation 11: PMU should engage its staff and partners to shift focus from simply implementing a disparate set of project activities, to understanding that they are primarily piloting climate smart agriculture as a tool for adapting agriculture to climate variability and climate change. They should therefore adhere more closely to implementing the project inline with the principles of conservation agriculture and the underlying practices as shown in Fig 1. Furthermore, they should implement the project in a "learning mode", so as to contribute to the understanding of what needs to be changed within the agriculture set up and in which ways, if climate smart agriculture (or just conservation agriculture) were to become the common practices. They should

in particular interrogate which of those changes need to be at what levels (at the local practice or higher policy levels). If the project achieved this, the shift in its character that has happened due to change of implementation arrangement would have been worth it.

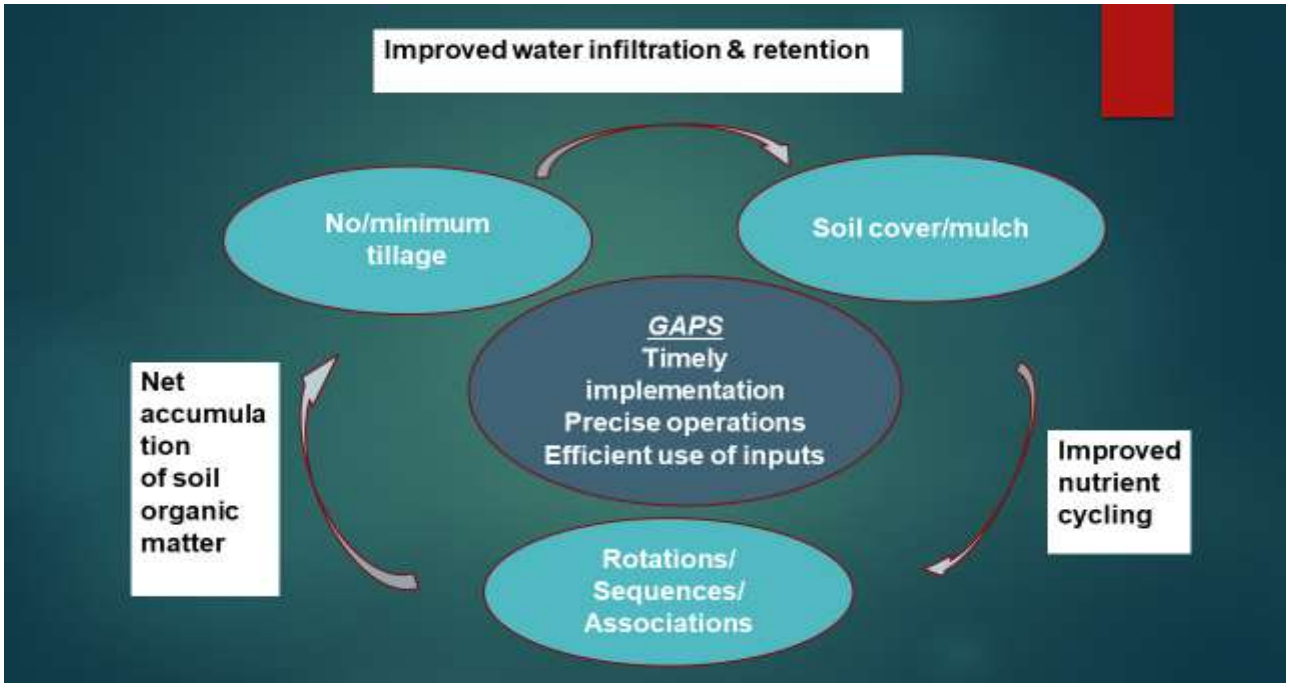

Figure 1: The principles of Conservation Agriculture and Underlying Principles

Figure 2: Lack of Good Agronomic Practices reduces efficient use of inputs

4 Summary of findings and recommendations

4.1 SUMMARY OF FINDINGS

- The project mobilisation was not unduly delayed and is in line with acceptable timelines for GEF projects.
- Project design undertook a thorough analysis of the challenges to building adaptive capacity and resilient production systems and livelihoods in Northern Namibia, identified four key barriers and designed an adequate project strategy to tackle the barriers effectively;
- However, the project strategy adopted in the Prodoc was far too ambitius for the budget provided. The MTR concludes that the project was addressing far too many issues in too wide a geographic area; which it expanded by adding another region, without a corresponding increase in budget. The project

has 3 outcomes, 17 outputs and 53 groups of activities, implemented over 14 constituencies (2 constituencies per region).

- Rather than expand the benficiary regions and stretch the resources even thinner, the project should have focused its work more narrowly, either by prioritized (and hence dropping) some regions or some outputs;
- The MTR finds that the situation above was exacerbated by the fact that the project departed from the implementation arrangement and stakeholder participation negotiated during project formulation, and which was supposed to add to technical resources and co-finance. Civil society, private sector and academic institutions have had very limited role in actual implementation on the ground (although they remain part of the PSC); hence implementation is in the hands of the MAWF extension service, supported by the Regional Coordinators, PMU and the PSC. The consequence of this is that project implementation gravitated around the 5 outputs for which the extension service and the PMU have the comparative advantage; providing ripping services and seeds for conservation agriculture, providing materials for the micro drip irrigation and support to vegetable growing, rehabilitating ephemeral water bodies and hand dug wells, as well as generating awareness raising materials. Other parts of the project have either not been implemented yet, or not implemented effectively. The MTR finds that the project changed its scope (and character) from aiming to advance adaptive capacity and resilient productive systems and livelihoods, to one that is piloting climate smart agriculture technologies for tackling climate variability and climate change while simultaneoulsy increasing land productivity and food security.
- The MTR notes that consolidating the implementation to areas of comparative advantage was probably a good strategy. However, the proper procedure to follow would have been a revision of the Logframe accompanied by approvals by the PSC, UNDP and the GEF. This needs to be addressed urgently;
- However, the project has delivered impressive results for the outputs that it prioritized. An assessment of the Logframe shows that the project has exceeded the end of project target for the objective. It has reached 4,759 beneficiaries (instead of 4,000). The project has introduced conservation agriculture to 28 farmers - 2 Lead Farmers per constituency for 2 constituencies per region – supported by six tractors. It has assisted 664 farmers with ripping services (315 females, 229 males) and distributed seeds to 1,051 farmers (627 females and 424 males). It has provided 112 micro-drip irrigation vegetable garden for 120 households (69 female headed, 51 males headed); set up 37 community micro irrigation gardens - mostly women-led benefiting 1,024 individuals (604 females and 420 males); and set up 63 school vegetable gardens (serving about 6,366 female learners and 6,820 male learners). In total, 14,330 individuals (7,291 males and 7,039 females) are benefiting from these micro drip irrigation technologies (Table x). It has provided training on vegetable growing and awareness raising brochures on climate smart agriculture.
- The project assisted in the restoration/construction of six hand-dug wells each serving an average of two villages benefiting 627 females and 443 males; one serving 11 villages. In addition, it has desilted three burrow pits benefiting about 10,548 females and 6,010 males. Two of the burrow pits are approximately 40m (length) x 40m (width) x 3m (depth) = 4800 m^3 (480 loads), while the third one is 21000m^3 (2100 loads). Desilting of 2 more pits halted due to flooding in Dec 2016-Jan 2017. The PMU contributed to the review and drafting of the National Strategy for mainstreaming disaster risk reduction and climate change adaptation into development (2016-2020) facilitated by the Office of the Prime Minister and Food and Agriculture Organization. The document has not been finalized as yet as regional consultation is ongoing.
- The project also contributes to the Comprehensive Agriculture Programme for Namibia (2015 - 2019) and it's National Conservation Agriculture Forum. It regularly participates in the Ministry of Environment and Tourism Annual Planning Meetings at which the national climate change policy agenda and domestic budgets are decided. It has held awareness raising campaigns on climate change adaptation and mitigation. The project contributed to the formulation of CRAVE project, which has mobilized USD 10m for supporting Conservation Agriculture in Kavango region.
- The MTR finds that although focusing on a narrow set of outputs (5 out of 17) enabled the project to deliver impressive results on those outputs, it should have formalized the prioritization by revising the logframe and obtaining the required approvals. Because this was not done, the MTR is conducted against the original, very ambitius project document without the budget to back up the ambition, and

therefore performance seems to be very poor. The MTR therefore finds performance either moderately unsatisfactory or unsatisfactory on most evaluation criteria.

- Consequently, although 70% of the budget is spent, only about 12.3% of the logframe has been implemented, and expenditures have been recorded for outcomes with almost no implementation. Indeed, outcome 2 registered an over-expenditure while logframe analysis shows very limited implementation of outputs under the outcome. The MTR finds that while there is probably a good reason for this level of expenditure, the PMU and PSC should have caught this anormally and harmonised expenditure with level of implementation, or revised either the prodoc or the budget to line them up.
- The M&E for the project is wanting; currently the M&E is based on the GEF indicators for Adaptation Projects, which are quantitative and cannot measure impacts meaningfully. The project had provisions for establishing a participatory M&E plan, supported by action research, to guide learning, knowledge management, impact assessment and adaptive management. This has not yet happened and has reduced the quality of the project, especially the opportunities for linking practice and policies.
- The sustainability of the achievements of this latter project is however threatened by the fact that implementation has been handled through the extension service of MAWF. While this secures long-term sustainability, there is need for th eproject to become an agent of change, to influence government service delivery systems to comply with the principles that make conservation agriculture effective (as in Fig. 1).
- Despite the sharp focus on conservation agriculture, the project still need to do more work to get conservation agriculture farmers to prepare their fileds early enough to catch the first rains from the last two cropping seasons (2015-2016 and 2016-2017). If the project closes in December 2019, it will only have one season to try and get the farmers under conservation agriculture ready to plant early enough to catch the first rains – 2018-2019. This is because if it closes in Decmber 2019 (in the middle of the 2019-2020 cropping season), project staff will be busy with project winding down procedures to effectively facilitate farmers to effectively engage with conservation agriculture.
- Sustainability of the micro drip irrigation, especially under the group farmers mode is unlikely. Some of the plots have stopped production because some farmers don't honor payments for water (especially where NAMWATER is used) and fuel for the pumps. The cost benefit analysis of the vegetable growing under micro drip irrigation on such small plots (20 x30 meters) needs to be undertaken, especially for groups which get the same small plot as an individual (and in some cases groups of over 20 households are sharing one 20x30 meter plot).
- Although there is very high support for the project and demand for the technologies piloted is very high, overall uptake of the piloted initiatives under both micro drip irrigation and conservation agriculture (ripping, seeds distribution) is further threatened by the high cost of these technologies relative to low levels of disposable incomes, and the absence of policy based incentives to reduce the cost of these technologies while increasing affordability and easy access (availability).

4.2 SUMMARY OF LESSONS

Lesson 1: It is important to match the ambition of the project with the available budget.

Lesson 2: The project design had been formulated with a specific stakeholder participation plan as the context. This stakeholder participation plan had indeed been negotiated during the project formulation; changing the particpation plan without adjusting the project strategy has reduced the resources available for project implementation (technical skills and co-finance) and resulted in a very limited portion of the project being implemented. It is important to either stick with the project strategy, or adjust the strategy early on to match the ambition of the project to the resources available.

Lesson 3: Project level, participatory M&E is critical for assessing projects impacts and supporting knowledge management, learning and adaptive management

Lesson 4: For the popular uptake of climate smart technologies by the wider population (not included as project beneficiaries), there is need to provide policy based incentives to encourage local manufacturing and/or affordability of the inputs for the technologies demonstrated; in this case drip irrigation pipes and related gadets, encourage use of solar pumps rather than petrol pumps, make plastic tanks, rippers, direct seeders and water affordable, etc.

Lesson 5: While mainstreaming the project into the Ministry of Agriculture Extension service is important for sustainability, it is also important to balance the need to pilot conservation agriculture in a manner that generates knowledge about what or who needs to change what practices in which ways in order for the concept to become a reality. This may require that the project be managed by senior staff with a more sophisticated understanding of the dynamics of using projects to engineer change and to link practice with policy.

4.3 SUMMARY OF RECOMMENDATIONS

Recommendation	Who should act on it
Recommendation 1: The project should design a participatory M&E plan in order to assess project impacts, support knowledge management, learning and adaptive management.	PMU with support of PSC
Recommendation 2: Given the low percentage implementation rate, and the fact that the project design was very ambitius for the budget, the PSC should facilitate an assessment of the current state of implementation and the realities on the ground and recommend whether the project should start all those neglected activities or drop them entirely.	PSC facilitated by PMU
Recommendation 3: While the implementation arrangement described in the prodoc is satisfactory, so far it has not been adhered to, with negative consequences to the project. The PSC should guide the project to either adhere to the original implementation arrangement or adjust the project to the current implementation arrangement. The departure from the original implementation arrangement means there was less resources available to implement an already very ambitius project strategy.	PSC facilitated by PMU
Recommendation 4: PMU should consider adopting the GIZ model where the project work plans are generated with the teams at the regional level offices. This provides a higher level of ownership and integration.	PMU with support of PSC
Recommendation 5: PSC should facilitate a thorough review of the project expenditure and justify 70% expenditure at MTR with 12.3% of the logframe implemented.	PMU with support of PSC
Recommendation 6: However, given the finding that the project strategy was ambitius with a small budget, and that the project being implemented currently is one of demonstrating climate smart agriculture as a tool for adaptation and increasing food security, the PSC should seriously consider if it is not too late to revert to the original more holistic adaptation project. The MTR recommends that the project being implemented be aligned with the project described in the prodoc; either by reverting to the original strategy (and fast-tracking the other 12 outputs currently not being implemented), or by refining the project document to capture what is being implemented. The MTE further recommends dropping of two regions (Kavango East and West) to focus the limited budget remaining to 5 regions. This is because Kavango is covered by the GIZ conservation agriculture project, which has a more comprehensive program and is far better resourced. In addition, CRAVE (part of the Green Climate Fund) will also include Kavango region, and has far more resources.	PSC facilitated by PMU
Recommendation 7: The project should formulate a participatory M&E plan urgently and train Regional Coordinators, MAWF extension staff and the communities on M&E.	PMU
Recommendation 8: The AMAT should be refined to avoid double reporting across indicators using the same targets.	PMU
Recommendation 9: To ensure that project implementation provides an opportunity for practice to inform policy processes, PMU should organise a workshop (or a discussion forum) to assess the implications of project implementation, achievements and challenges on policies and policy formulation process. It should use the lessons generated to craft advocacy messages for policy and decision-makers.	PMU facilitated by PSC
Recommendation 10: Assuming it is not too late to involve academic institutions in serious action research, the PMU should mobilize at the very least MSc or PhD researchers to use the project for research, which will contribute to technical publications. To guide the researchers to provide information that is relevant to the	PMU facilitated by PSC

project management and learning, the PMU, with guidance from the PSC should develop a series of questions/topics for which further research is required. These can be developed in the process of generating a participatory M&E systems.	
Recommendation 11: PMU should engage its staff and partners to shift focus from simply implementing a disparate set of project activities, to understanding that they are primarily piloting climate smart agriculture as a tool for adapting agriculture to climate variability and climate change. They should therefore adhere more closely to implementing the project in line with the principles of conservation agriculture and the underlying practices as shown in Fig 1. Furthermore, they should implement the project in a "learning mode", so as to contribute to the understanding of what needs to be changed within the agriculture set up, and in which ways this change should be made, if climate smart agriculture (or just conservation agriculture) were to become the common practices. They should in particular interrogate which of those changes need to be at what levels (at the local practice or higher policy levels). If the project achieved this, the shift in its character that has happened due to change of implementation arrangement would have been worth it.	PMU facilitated by PSC

4.4 SUMMARY AND OVERALL RATING

Review Criteria	**Rating**
Project Strategy - Project design Results Framework/ Logframe	Moderately Unsatisfactory
Progress Towards Results	Unsatisfactory
Management Arrangements	Moderately Unsatisfactory
Work Planning	Moderately Unsatisfactory
Finance and co-finance	Unsatisfactory
Project-level Monitoring and Evaluation Systems	Unsatisfactory
Stakeholder Engagement	Moderately Unsatisfactory
Reporting and communication	Moderately Satisfactory
f) Sustainability g) Financial risks to sustainability h) Socio-economic risks to sustainability i) Institutional Framework and Governance risks to sustainability j) Environmental risks to sustainability:	f) Unlikely g) Significant h) Significant i) Significant j) Significant

5 Annexes

5.1 ANNEX 1: TERMS OF REFERENCE

UNDP-GEF: MIDTERM REVIEW FOR THE SCORE PROJECT

INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled "*Scaling up community resilience to climate variability and climate change in Northern Namibia, with a special focus on women and children"* ***(SCORE Project)*** (PIMS 4711) implemented through the *Ministry of Environment and Tourism (MET) and the Ministry of Agriculture, Water and Forestry (MAWF)*, which is to be undertaken in 2017. The project started in March 2015 and is in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*.

2. PROJECT BACKGROUND INFORMATION

The SCORE Project is a five-year project with an overall GEF/SCCF allocation of USD3, 050,000.00 and co-finance from UNDP USD 860,000 and GRN USD 19,157,263.00. The project is being implemented in seven northern regions of Namibia namely: Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East. These regions are regularly, and increasingly threatened by extreme weather events such as floods which causes damage to infrastructure and agricultural productivity, as well as severe droughts. A combined effect of these natural disasters have detrimental effect on the livelihoods of people including their health status.

The project aims to strengthen the adaptive capacity of 4000 households to climate change and reduce their vulnerability to droughts and floods, with 80% of these households being women- led, and children from 75 schools in Northern Namibia. The project's desired outcomes include: *(1) Smallholder adaptive capacity for climate resilient agricultural practices strengthened; (2) Reduce vulnerability to droughts and floods; and (3) Mainstreaming climate change into national agricultural strategy/sectoral policy, including budgetary adjustments for replication and scaling up.*

3. OBJECTIVES OF THE MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach[5] ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.[6] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to MET, MAWF, Regional Councils, University of Namibia (UNAM), Namibia University of Science and Technology (NUST), Ministry of Fisheries and Marine Resources (MFMR), Agro-Marketing and Trade Association (AMTA), senior officials and task team/

[5] For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.

[6] For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.

component leaders, key experts and consultants in the subject area, Project Steering Committee members, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to northern Namibia, including the following project sites:

Region	**Constituency**
Omusati	Okalongo
	Etayi
Oshana	Okatana
	Okaku
Ohangwena	Ongenga
	Engela
Oshikoto	Omuthiya Gwiipundi
	Onyaanya
Kunene	Epupa
	Khorixas
	Opuwo Urban
Kavango East	Mashare
Kavango West	Ncuncuni
	Musese
	Tondoro
	Mankumpi
TOTAL	

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

1. Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator[7]	Baseline Level[8]	Level in 1st PIR (self-reported)	Midterm Target[9]	End-of-project Target	Midterm Level & Assessment[10]	Achievement Rating[11]	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Output 1.1 ETC								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.

[7] Populate with data from the Logframe and scorecards
[8] Populate with data from the Project Document
[9] If available
[10] Colour code this column only
[11] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:
- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:
- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:
- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:
- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:
- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:
- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received?

Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.[12]

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

[12] Alternatively, MTR conclusions may be integrated into the body of the report.

2. Table. MTR Ratings & Achievement Summary Table for the Scaling up community resilience to climate variability and climate change in Northern Namibia, with a special focus on women and children

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately 30 days over a period of 8 weeks starting immediately after signing the contract, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
19 May 2017	Application closes
1- 13 June 2017	Select MTR Team
14 - 18 June 2017	Prep the MTR Team (handover of Project Documents)
19 - 20 June 2017 (2 days)	Document review and preparing MTR Inception Report
21 - 24 June 2017 (4 days)	Finalization and Validation of MTR Inception Report- latest start of MTR mission
25 June - 9 July 2017 (15 days)	MTR mission: stakeholder meetings, interviews, field visits
10 - 13 July 2017	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
14 - 18 July 2017(5 days)	Preparing draft report
19 - 20 July 2017 (2 days)	Incorporating audit trail from feedback on draft report/Finalization of MTR report
21- 25 July 2017	Preparation & Issue of Management Response
26 July 2017	Expected date of full MTR completion

Options for site visits should be provided in the Inception Report.

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	**MTR Inception Report**	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission: 20 June 2017	MTR team submits to the Commissioning Unit and project management
2	**Presentation**	Initial Findings	End of MTR mission: 9 July 2017	MTR Team presents to project management and the Commissioning Unit
3	**Draft Final Report**	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission: 29 July 2017	Sent to the Commissioning Unit, reviewed by RTA, Project

				Coordinating Unit, GEF OFP
4	**Final Report***	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft: 25 July 2017	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is United Nations Development Programme (UNDP) Namibia Country Office in Windhoek.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within Namibia to the various project sites for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TEAM COMPOSITION

A team of two independent consultants will conduct the MTR - one international consultant with experience and exposure to projects and evaluations in other regions globally, and one national expert. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

- Recent experience with result-based management evaluation methodologies (10 points);
- Experience applying SMART indicators and reconstructing or validating baseline scenarios (10 points);
- Competence in adaptive management, as applied to Climate Change Adaptation (10 points);
- Experience working with the GEF or GEF-evaluations (10 points);
- Experience working in Africa (10 points);
- Work experience in relevant technical areas for at least 10 years (10 points);
- Demonstrated understanding of issues related to gender and Climate Change Adaptation; experience in gender sensitive evaluation and analysis (10 points);
- Excellent English communication skills (5 points);
- Demonstrable analytical skills (5 points);
- Project evaluation/review experiences within United Nations system will be considered an asset (10 points);
- A Master's degree in Biodiversity Management, Climate Change, Environmental Sciences, Natural Resources Management, Agriculture, Land Management, Water Resources Management or other closely related field (10 points).

10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon approval of the final MTR Inception Report
30% upon submission of the draft MTR report
60% upon finalization of the MTR report

11. APPLICATION PROCESS[13]

Recommended Presentation of Proposal:

[13] Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: https://info.undp.org/global/popp/Pages/default.aspx

a) **Letter of Confirmation of Interest and Availability** using the template[14] provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form[15]);
c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted online through UNDP Jobs website and UNDP Procurement website by ***31 May 2017 at 12.00 am GMT.*** Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

5.2 ANNEX 2: INCEPTION REPORT

UNDP GEF Project: Scaling up Community Resilience to Climate Variability and Climate Change in Northern Namibia with a Focus on Women and Children

[14] https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx
[15] http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

Nyawira Muthui (International Consultant)

Submission Date: 2nd September 2017

Email: Nyawira.muthui@gmail .com

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1 Introduction

1.1 Background and Context

62. The SCORE is a five-year project with an overall GEF/SCCF allocation of USD3, 050,000.00 and co-finance from UNDP USD 860,000 and GRN USD 19,157,263.00. The project is being implemented in seven northern regions of Namibia namely: Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East. In addition to inherent climate variability, these regions are regularly, and increasingly threatened by extreme weather events such as floods and droughts, which disrupt livelihoods, affect agriculture productivity and cause damage to infrastructure.

63. The project aims to strengthen the adaptive capacity of 4,000 households to climate change and reduce their vulnerability to droughts and floods, with 80% of the households being women or orphan-led, and children from 75 schools. The project objective is to reduce vulnerability of rural communities in responding to drought and floods in Northern Namibia, with a special focus on women and children. The objective will be achieved through three interelated outcomes: *(1) Smallholder adaptive capacity for climate resilient agricultural practices strengthened; (2) Reduce vulnerability to droughts and floods; and (3) Mainstreaming climate change into national agricultural strategy/sectoral policy, including budgetary adjustments for replication and scaling up.*

64. The project aims to increase the resilience of baseline programs related to agriculture, water resources management and fisheries, by mainstreaming climate risks into implementation, at the local levels as well as at policy levels. The SCCF project aims to strengthen community engagement as the basis of building resilience, using several proven community engagement approaches, such as Self-Help Groups (SHG), Farmer Field Schools (FFS) and Savings and Loans Clubs. This is in line with IPCC ARWG5 principle that stresses the importance of working with local people and applying community engagement approaches that truly empower the farmers on the ground to learn about climate change adaptation and build their own adaptive capacities. Indeed, in Namibia, local level impacts can only be reached when working directly and dedicatedly with communities and small holder farmers. The project therefore aims to work closely through the existing support and extension organisations and services, both from the public and private sector, while simultaneously sensitising them to address climate risks and build resilience holistically.

65. Under outcome 1, the project expects to build smallholder adaptive capacity for climate resilient agricultural practices through 9 specific interventions: a) Setting up smallholder advisory and mentorship programme that would promote drought resilient land management and crop production practices to scale up best practice for 4,000 smallholder farmers; b) Establishing community self-help groups to promote implementation and replication of climate smart methods; c) Setting up Farmer Field Schools, training lead farmers and providing them with materials for influencing other farmers in their groups; d) Assisting at least 4,000 smallholder farmers to engage in early planting by helping them with land preparation, access to seeds and weather forecasts in time to catch the early rains; e) advance fresh vegetables' production through soil improvement and micro-drip irrigation, based on an assessment of the challenges and opportunities for the same (practiced by 2,000 households, including 35% orphan-led households); f) increase crop diversification for 75% of households by scaling up sunflower and sorghum production, as well as tree crops (fruits, etc.); g) Test savings and loan schemes among smallholder farmers to finance replication and the scale up of adaptive practices and technologies. This would be achieved by developing and implmenting a long-term micro-finance strategy that would build on the model developed by the Creative Enterprises Solutions (CES) to introduce a savings culture in the Self Help Groups (SHG) and link them to micro-loan schemes; h) Establish market linkages for dryland products, by working with the private sector to identify and promote value chains, as well introduce labour saving technologies and train farmers on grading, cleaning and packaging of products to enable them to engage in the value chains profitably; i) document best practices from the above interventions by setting up a local level monitoring system that facilitates farmers' action research, linked to MAWF/DART agriculture research and other relevant research entities. This would provide evidence-based impacts which would contribute to the discussion on practice-policy linkages (further described under outcome 3).

66. Under outcome 2, the project aims to reduce vulnerability to droughts and floods through the restoration of wells and enhancement of floodwater pools for food security through 3 targetted interventions: a) Flood and drought control measures provided to smallholder farmers in flood-prone areas by first mapping flood and drought prone areas and scoping out flood and drought control measures, then undertaking restoration of

traditional wells and enhancement of inland ephemeral floodwater pools, followed by training of communities on the management of harvested water and multipurpose use the water for livestock, irrigation, fresh vegetable production or inland aquaculture; b) Increase the use of climate-smart irrigation in the seven regions by setting up some irrigation systems in project zones; introducing relevant Conservation Agriculture practices to complement irrigation, training farmers on the proper use and maintenance of irrigation systems and setting up a local level resource monitoring programme (linked to monitoring systems of other outcomes and the farmers' action research); c) Support climate-smart fish farming by establishing fish ranching in suitable areas, providing farmers with necessary inputs (e.g. fingerlings for start-ups) and developing a market access strategy for each aquaculture investment.

67. Under outcome 3, the project aims to mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up-scaling through 5 specific interventions: a) ensuring that impact assessment is carried out to inform policy formulation by setting up an overall participatory monitoring system (linking the outcome M&E and action research under all outcomes), preparing and using data collection and anaysis and drawing lessons for policy; b) to support upscaling of best practices on the landscape level faciltate stakeholders (led by Regional Councillors) to design and implement Results-based management (RBM) plan for climate-smart agriculture, informed by (or building on) the Regional Conservation Agriculture Forums (FAO-funded, GoN implemented); c) to further support upscaling, design and implement (via NNFU) advocacy campaign promoting best practices demonstrated by the project. Messages should have implications (advice) for both practice and policy, and should be informed by an assessment of cultural practices that hinder widespread uptake of climate smart agricultural practices, identifying behavioural change context that will encourge adoption especially amongst vulnerable groups: d) Regional Councils, line ministries and other partners (Regional platforms - RIPs or their equivalents - led by RCs) supported to include climate smart agricultural methods, water harvesting, storage and other relevant climate resilience building practices, approaches, techniques and technologies in their annual plans and budgets; e) compile and disseminate lessons from the project that should informa policies and continuously disseminate them to the relevant decision and policy makers.

68. The project is at the beginning of the third year of implementation; the Mid Term Evaluation will be conducted in accordance with the guidelines and regulations of UNDP and GEF, and, will assess the overall performance against the project objectives as set out in the Project Document and other related documents; project relevance to national priorities, as well as UNDP and GEF strategic objectives, namely; the effectiveness and efficiency of the project; sustainability of the project interventions and consideration of project impacts; implementation and management arrangements of the project, including financial management. The MTR will assess the progress towards the achievement of the project objectives and outcomes as specified in the Project Document, assessing early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

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1.2 Purpose and Scope of the Evaluation

The purpose of the Mid-Term Review (MTR) are spelled out in the Terms of Reference (Annex 3). The overall objective is to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

2 Methodology

The MTR will be conducted in line with UNDP-GEF Guidelines, as spelled out in the ToR (Annex 3). It will be conducted in close coordination with UNDP, Government of Namibia, Project Implementing Partners (PIPs) and UNDP. The evaluation will therefore cover four areas of the project, mainly- Project Strategy; Results Framework/Log-frame; Progress towards Results and; Project Implementation and Adaptive Management. Evaluation of progress towards achievement of the formal project overall objective, purpose, goals and

component outcomes will be done using the project's own results statements as presented in the Project Document. Thus the evaluation will assess progress towards results, identify lessons learnt as well as early risks to sustainability, and, provide supportive recommendations to ensure that the project meets its stated objectives.

The evaluation will be undertaken through a combination of desktop research, focused group discussions, as well as consultations with GEF operational focal point, UNDP Country Office, project team, steering committee, UNDP GEF Regional Technical Adviser and key stakeholders (particularly, the Ministry of Environment and Tourism (MET), Ministry of Agriculture, Water and Forestry (MAWF), Regional Councils, University of Namibia (UNAM), Namibia University of Science and Technology (NUST), Ministry of Fisheries and Marine Resources (MFMR), Agro-Marketing and Trade Association (AMTA)) as well as other stakeholders from partner institutions, local government, communities and CSOs in order to gather evidence for the mid-term review. Field visits will also be made for consultations with local officials in the project areas of Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East. Stakeholder discussions will be guided by a reconstructed theory of change. The mid-term review will produce recommendations and conclusions based on an analysis of the following project components for relevance, effectiveness, efficiency, impact and sustainability as is the standard practice with UNDP mid-term evaluations. The following section details the methodology further.

Development of work plan/activities & Briefing meeting

An inception meeting will be held to obtain guidance from UNDP and other key stakeholders. During the meeting, the consultant and stakeholders will discuss and agree on the precise scope of the assignment, expectations in terms of deliverables or outcomes. It will also be used to refine the methodology and identify specific sites that will be visited for the field evaluation. An updated inception report with a detailed plan of the mission with an interview schedule that will guide the field visit will be submitted after the meeting.

2.1 EVALUATION QUESTIONS

Evaluation questions will be guided by UNDP evaluation guidelines. They will cover the following areas: Project Strategy; Results Framework/ Logframe; Project Implementation and Adaptive Management; Work Planning; Finance and co-finance; Project level monitoring and review systems; Stakeholder engagement and; Reporting and communication. They will be designed to interrogate the project's stated objective and outcomes and the extent to which they have been achieved at the close of the project.The questions will be distilled into questionnaires that will guide semi-structured interviews conducted with project stakeholders. The full list of questions can be found in Annex 5. Data collection tools will be discussed with UNDP at the inception stage of the evaluation. Survey instruments will be shared with UNDP for comments and review before undertaking field work.

2.2 INDICATORS

The evaluation will compare indicators against progress made towards the end-of-project targets using the Progress towards Results Matrix and following the Guidance for Conducting Midterm Reviews of UNDP-GEF projects. The consultant will colour code progress in a "traffic light system" based on the level of progress achieved, assign a rating on progress for each outcome and make recommendations from the areas marked as "Not on target to be achieved".

These indicators are as follows:

- Indicator 1.1.1: Adaptation action implemented in national/sub-regional development framework
- Indicator 1.1.1.2: Sectoral strategies that include specific budgets for adaptation actions
- Indicator 1.2.8: 80 % change in projected food production in targeted area given existing and projected climate change
- Indicator 1.2.11: % of populations with access to improved flood and drought management
- Indicator 1.2.1.3: Climate resilient agricultural practices introduced to promote food security (type and level)
- Indicator 1.2.14: Vulnerability and risk perception index (Score)-Disaggregated by gender

- Indicator 1.3.1.: Households and communities have more secure access to livelihood assets (5 point score) – Disaggregated by gender
- Indicator 3.1.1.: % of targeted groups adopting adaptation technologies by technology type (disaggregated by gender)

If necessary, new indicators will be developed during the evaluation.

2.3 METHODS OF DATA COLLECTION AND ANALYSIS

The MTR will use key respondent interviews, field visits, analysis of project documentation and a literature review to carry out the evaluation as described below.

Literature Review and Analysis

A review and analysis of project documentation will be undertaken, including:

- **Relevant background documentation** including the UNDP Development Assistance Framework (UNDAF), UNDP Country Programme Document (CPD), UN Partnership Assistance Framework (UNPAF), UNDP Country Programme Action Plan (CPAP), GEF focal area strategic program objectives, national strategic documents including the National Climate Change Policy (2011), National Climate Change Strategy and Action Plan (2013), National Disaster Risk Management Policy (2009), National Agricultural Policy (1995), National Water Supply and Sanitation Policy (2008), Draft Rural Development Policy (2011), National Gender Policy, and the New Equitable Economic Empowerment Framework.
- **Project design documents** including the Project Identification Form, GEF Project Information Form, Project Document, log frame analysis, UNDP Initiation Plan and Project Implementation Plan.
- **Project reporting documents** including project inception report, annual project implementation reports, project budget and financial data, project tracking tool, progress reports form collaboration partners, lessons learnt, meeting minutes, relevant correspondence revisions to the project and any other documents deemed relevant.

Theory of Change Analysis

The evaluation will reconstruct the Theory of Change (ToC) of the project at design and at evaluation, based on a review of project documentation and stakeholder interviews. The ToC will be reconstructed through the verification, amendment and updating of the problem analysis at the origin of the project. It will be used to facilitate discussions with stakeholders in order to ascertain understanding of the project context, the impact pathways, the roles of various stakeholders and the validity of drivers and assumptions described in the ToC. It will also be used to verify alignment of the project with UNDP's Programme of Work, assess the extent to which the project intervention responds to stakeholder priorities and needs, and, support the assessment of sustainability and up-scaling by providing better understanding of the relative importance of outputs, outcomes, drivers and assumptions, along with the role of stakeholders, in sustaining and up-scaling higher level results. The theory of change will be used to guide stakeholder consultations and workshops during data collection. The existing ToC as in the project document can be found in Annex 4.

2.4 SAMPLING

Key Respondent Interviews

The consultant, in close collaboration with the country office and project team will organize and conduct interviews with key stakeholders in the project implementation. This includes, but is not limited to:

- **UNDP** Country Office, GEF operational focal point, project team, and UNDP GEF Technical Adviser based in the region
- **Project implementation partners,** namely the Ministry of Environment and Tourism (MET), Ministry of Agriculture, Water and Forestry (MAWF), Regional Councils, University of Namibia

(UNAM), Namibia University of Science and Technology (NUST), Ministry of Fisheries and Marine Resources (MFMR), Agro-Marketing and Trade Association (AMTA)

- **Local implementing agencies** including local government officials in project areas of Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East.
- Community members, CSOs and other relevant identified stakeholders.

Field Visit

Site visits will be made to project areas of Oshana, Omusati, Ohangwena, Oshikoto, Kunene, Kavango West and Kavango East in order to meet the project responsible parties and conduct site verification. Specific sites will be agreed upon during the inception meeting with UNDP. The field visits will be organized under the guidance of the UNDP office and project team. It will include focused group discussions and interviews with local government officials, stakeholders, including community leaders and communities, development partners, NGOs and CSOs in the project sites. A presentation on initial findings will be made once field visits and stakeholder consultations have been concluded.

The consultant will ensure that all consultations, both in the field and with key stakeholders, will be gender inclusive and participatory.

2.5 DRAFTING OF THE FINAL REPORT

An initial draft of the final report will be submitted for review and comments from UNDP and stakeholders. The report will contain the key sections required by the UNDP guidelines, including the following sections:

- Introduction: Purpose, Scope, and Methodology
- Project Description & Background Context
- Findings: Project Strategy, (B) Progress Towards Results, (C) Project Implementation and Adaptive Management, and (D) Sustainability
- Conclusions and recommendations: Corrective actions for the design, implementation, monitoring and evaluation of the project; actions to follow up or reinforce initial benefits from the project and; proposals for future directions underlining main objectives and mitigating risks to sustainability

The final draft report will be accompanied by an audit trail used to create the revised final mid-term review report for submission to the Commissioning Unit as required by UNDP guidelines. The final report will be presented to stakeholders for review and feedback before final submission to UNDP.

2.6 LIMITATIONS TO THE EVALUATION

The main risks and limitations that the evaluation faces are as follows:

- **Large project area**: the project area is large, and consists of 16 constituencies in 7 regions. It will be expensive and time consuming to visit every single project site during the 15 day country mission. Consequently, the evaluator, in collaboration with UNDP, will select sites that are most representative of the project area.
- **Limited time and resources for evaluation**: 15 days have been set aside for stakeholder consultations and field visits. There is therefore the risk that not all relevant stakeholders will be consulted. The evaluator, in collaboration with UNDP, will schedule meetings and workshops to ensure that consultations are held as widely as possibly. Additional follow up will be carried out through phone calls and emails.

Work plan

The total duration of the MTR will be approximately 30 days over a period of 8 weeks starting immediately after signing the contract, and shall not exceed five months from when the consultant is hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
25/08/2017 – 29/08/2017 (2 days)	Handover of Project Documents to MTR team
30/08/2017 – 01/09/2017 (2 days)	Document review and preparing MTR Inception Report
02/09/2017 – 04/09/2017 (6 days)	Finalization and Validation of MTR Inception Report- latest start of MTR mission
11/ 09/ 2017 – 25/09/2017 (15 days)	MTR mission: stakeholder meetings, interviews, field visits
26/09/2017 – 29/09/2017 (3 days)	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
30/09/2017 – 05/10/21017 (5 days)	Preparing draft report
06/10/2017- 08/10/2017 (2 days)	Incorporating audit trail from feedback on draft report/Finalization of MTR report
09/10/2017 – 13/10/2017 (4 days)	Preparation & Issue of Management Response
14/10/2017	Expected date of full MTR completion

3. Table 8: MTR Timeframe

MTR Deliverables

The table below outlines tentative deliverables as set out in the Terms of Reference.

Deliverable	Description	Timing
MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission: 02/09/2017
Presentation	Initial Findings	End of MTR mission: 29/09/2017
Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission: 06/10/2017
Final Report	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft 14/10/2017

4. Table 9: MTR Deliverables

Logistics and Support

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Namibia Country Office in Windhoek.

The commissioning unit will ensure the timely provision of per diems and travel arrangements within Namibia to the various project sites for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

5.3 ANNEX 3: LIST OF PARTICIPANTS AND SCHEDULE OF THE EVALUATION MISSION

11–22 September 2017

Date	**Time**	**Site**	**Activity**	**Person responsible/ Participants**
11.09.2017		*Windhoek*	*Arrival in Windhoek*	*Veronica Muthui*
11.09.2017	08.00 – 10.00	Windhoek	Inception meeting with PMU/UNDP team	PMU/UNDP
11.09.2017	***10.30 – 16.00***	***Kavango East***	***Travel to Rundu***	Veronica Muthui/ Abiater Amateta
Overnight in Rundu				
12.09.2017	08.00 – 13.00	Rundu	• Interviews with beneficiaries: RPC, MAWF staff***(Mr. Moses Munenge/ Mr. Salomon Aisinti/ Ms. Katrina Moses)***, PSC members***(Ms. Berfine Antinti),*** regional Councilors,etc.)	Veronica Muthui/ Abiater Amateta/ Reinold Reynie Kharuxab/Lucky Kanyanga/ Eric Muyondo
12.09.2017	14.00 – 18.00	Kavango East	• Visit sites ***Ncuncuni*** • ***Mr. Kweleka Ronad (Rundu ADC-AT)*** • ***Sharukwe-*** • ***Sikali-*** ***Mashare*** • ***Monica (Mashare ADC- AT)*** • ***Mururo- Micro-drip garden (two community gardens*** • ***Rundjurara- CA Farmer*** • ***Mabushe village- Micro-drip irrigation.***	Veronica Muthui/ Abiater Amateta/ Reinold Reynie Kharuxab/ Lucky Kanyanga/ Eric Muyondo
Overnight in Rundu				
13.09.2017	08.00 – 12.00	Kavango East	• Visit sites **Musese** • ***Mpuma village- Celia Shikongo- MDI*** • ***Musese village- MathinIhemba- MDI*** • ***Siko village- CA- Ms. Barbina***	Veronica Muthui/ Abiater Amateta/ Reinold Reynie Kharuxab/ Lucky Kanyanga/ Eric Muyondo
13.09.2017	12.00 – 15.00	Kavango West	***Tondoro*** • ***Gertrude (Haingura- Kahenge ADC-AT)*** • ***Nzinze west- Etupuka support group*** • ***Sitipogo School- MDI***	Veronica Muthui/ Abiater Amateta/ Reinold Reynie Kharuxab/ Lucky Kanyanga/ Eric Muyondo

13.09.2017	***15.00 – 18.00***	***Kavango West***	***Travel to Eenhana***	
Overnight in Eenhana				
14.09.2017	08.00 – 13.00	Ohangwena	• Interviews with beneficiaries: RPC, MAWF staff **(Mrs. Ndilimeke, Mrs. Marina Kaambu, Mrs Megameno Amutenya, Mrs Aina Shaanika**, PSC members (**Hon. Jason Ndakunda),** regional Councilors, etc)	Veronica Muthui/ Abiater Amateta/ Aron Hangula
14.09.2017	14.00 – 17.00	Ohangwena	• Visit sites **Engela** • Mr Elikias Iyambo, AT • Mrs Victoria Kavale - CA/MDI • Mrs Leefa Ismael - SHG/CA/ MDI • Mr. Victor Nekundi - CA • Mrs. Teopolina Haule - MDI • Nalumhono earth dam **Ongenga** • Hon. Sackaria Haimudi • Meekulu Rauna - CA • Tate Katau - CA • Okambebe and Ondobey Omughudi traditional wells - tate Nghishitongo • Mrs. Eilla Haipinge - MDI • Oshimbuba JPS	Veronica Muthui/ Abiater Amateta/ Aron Hangula
Overnight in Ondangwa				
15.09.2017	08.00 – 13.00	Oshikoto	• Interviews with beneficiaries: RPC, MAWF staff (Mr Oswald Mwanyangapo, Mrs Lucia Shiimi, Mrs Veronica Nghishidimbwa, PSC members, regional Councilors (Hon. Petrus Kampala, Mrs Helen-Abia, SHG) • Titus Iifo - MDI • Mrs Petrina Nembwaya - CA/MDI	Veronica Muthui/ Abiater Amateta/ Aron Hangula
15.09.2017	14.00 – 18.00	Oshana	• Interview with RPC, MAWF staff, PSC memebers, Regional Councilors	Veronica Muthui/ Abiater Amateta/ Mirjam Kaholongo/Simon Haidula
Overnight in Oshakati				
16.09.2017	08.00 – 13.00	Oshana	Interviews with beneficiaries	Veronica Muthui/ Abiater Amateta/ Mirjam Kaholongo /Simon Haidula
17.09.2017	08.00 – 13.00	Omusati	Interview beneficiaries	Veronica Muthui/ Abiater Amateta/ Mirjam Kaholongo/Simon Haidula
Overnight in Oshakati				

18.09.2017	08.00 – 11.00	Oshana	• Interviews with RPC,MAWF staff, PSC members, regional Councilors, etc	Veronica Muthui/ Abiater Amateta/ Mirjam Kaholongo/Simon Haidula
19.09.2017	14.00 – 16.00	Omusati	• Interview with RPC,MAWF, Regional Councilors and PSC members	Veronica Muthui/ Abiater Amateta/ Mirjam Kaholongo/Simon Haidula
20.09.2017	***Travel back to Windhoek***			
22.10.2017	C.O.B	Windhoek	Debriefing workshop – presentation of Draft Findings to the PSC	Veronica Muthui / PSC

***** Martha Naanda, TeofilusNghitila, Petrus Muteyauli, Ms. Mildred Kambinda, Ms. SophyKasheeta

5.4 ANNEX 6: DETAILED ANALYSIS OF ACHIEVEMENT ALONG AMAT INDICATORS

AMAT indicators and measurement

Indicator	Target at TE	Progress at MTR
Indicator 1: Number of direct beneficiaries	Number of people (4,000) reached by drip irrigation, conservation agriculture and rehabilitated wells and burrow pits	4, 759 – target exceeded
Indicator 2: Type and extent of assets strengthened and/or better managed to withstand the effects of climate change	i) Number of people (4,000) benefiting from flood control measures; ii) Number of people benefitting from hand dug wells (4,000). iii) Number of systems being used (5) iv) ha of land (3,600)	i)16,558 ii)1,070 iii) 220: Application of climate smart agricultural practices introduced to households and 220 Micro-drip Irrigation Systems installed. The gardens are directly benefiting an estimated total of 14330 individuals (7039 females and 7291 males including children) in producing fresh vegetables to diversify their livelihoods: (37 organised groups and/or community gardens of mostly women-led groups and 63 schools, 120 individual farmers) iv) 544 ha. Application of climate smart agricultural practices introduced to households (Practiced Conservation Agriculture through ripping services provided to small-holder farmers to plant their land in time to catch the first rains for the 2016/17 planting season. Total of 544 hectares (229 males and 315 females).
Indicator 3: Population benefiting from the adoption of diversified, climate-resilient livelihood options	i) Number of people benefiting from seed distribution (4,000);	1,051 people got seeds; 544 farmers assisted with ripping services

	ii) No of pple benefitting from conservation agriculture (3,600); iii) No. of people benefitting from drip irrigation (2,000) iv) No. benefitting from aquaculture (300)	14,330: (7039 females and 7291 males including children) Climate-smart fish farming practiced through the improvement of ponds and supply of fingerlings to 16 beneficiaries (5 females and 5 males, and 6 orphans).
Indicator 4: Extent of adoption of climate-resilient technologies/ practices	Number of people benefitting from drip irrigation (4,000)	The project installed micro-drip irrigation systems to supply water directly into the gardens set up for improving food security in all its project implementation regions. Such gardens are directly benefiting an estimated total of 120 individuals (69 females and 51 males) at household levels in producing fresh vegetables to diversify their livelihoods. 63 schools were supported as a target institutions. Establishing school gardens that are managed in accordance with conservation agricultural practices will contribute to foster a culture of agricultural learning; to assist with improving nutritional value of food provided to the vulnerable children in schools as encouraged by the Ministry of Education; . Such gardens are directly benefiting an estimated total of 63 schools (6366 females and 6820 males learners); Flood and drought control measures provided by restoring/constructing six hand-dug wells each serving an average of two villages benefiting 627 females and 443 males; Application of climate smart agricultural practices introduced to households (Practiced Conservation Agriculture through ripping services provided to small-holder farmers to plant their land in time to catch the first rains for the 2016/17 planting season. Total of 544 hectares (229 males and 315 females)
Indicator 5: Public awareness activities carried out and population reached	Number of institutions and journalists provided messages	Media Training: Climate Change Media Training for Namibian Journalists; Namibia National Farmers' Union - Northern Communal Areas Agricultural Stakeholders

		Conference: Climate Change Adaptation Strategies for the Northern Communal Areas
Indicator 6: Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated	Number of relevant knowledge products (4,000)	0 – in progress
Indicator 7: Number of people/ geographical area with access to improved climate information services	Number of people with climate information (80)	Used existing Self-help groups in 7 regions (Community gardens) to share climate smart information and training
Indicator 8: Number of people/ geographical area with access to improved, climate-related early-warning information	Number of people/ geographic regions reached by improved climate information (4,000)	In-progress via radio outreach and regional councillors
Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	Number of people trained (300)	320 people trained. Farmers trained on how to maintain drip irrigation equipment; Monitoring and Evaluation Orientation Course for MAWF regional staff members working on the project
Indicator 10: Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	Not clear – but says number of institutions, no target.	Support the implementation of the existing the MAWF programmes National Conservation Agriculture Forum and at regional levels
Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes	Not clear – but seems to indicate a baseline number of 13?	Contribution reported – via participation in the National Committee on Climate Change, regular contribution to discussions at the Ministry of Environment and Tourism Annual Planning meetings, contribution towards the Ministry of Agriculture, Water and Forestry Annual Planning Meetings, including national and regional meetings; and, holding regular local community meetings to plan particularly on the implementation of the project activities such as SCORE Project stand-alone agenda for Constituency Development Committee (CDC) meetings.
Indicator 12: Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures	Number of policies, plans, processes (1)	Contribution towards development of the National Strategy for mainstreaming disaster risk reduction and climate change adaptation into development (2016-2020)
Indicator 13: Sub-national plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures	Number of policies, plans, processes (1)	Support the implementation of the existing the MAWF programmes, particularly the Comprehensive Agriculture Programme for Namibia (2015 - 2019)

Indicator 14: Countries (regions?) with systems and frameworks for the continuous monitoring, reporting and review of adaptation	Number of regions with M&E tools	The project has tools for measuring progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative); Project outputs delivered per project outcome (annual); Lessons learned/good practice; AWP and other expenditure reports; Risk and adaptive management; and ATLAS QPR.)

5.5 ANNEX 5: DETAILED ANALYSIS OF PROGRESS TOWARDS OUTCOMES AND ESTIMATED PERCENTAGE IMPLEMENTATION

OUTCOME 1: Small-holder adaptive capacity for climate resilient agricultural production practices		Status at MTR	% achievement at MTR
Output 1.1: Small-holder advisory and mentorship programme that promotes drought resilient land management and crop production practices established to scale up good practice for 4,000 small-holder farmers	1.1.1. Design and develop a mentorship programme	A consultancy issued to develop a mentorship program; report took a long time to reach the quality deemed suitable by PMU. Now approved and being translated into local languages.	5%?
	1.1.2. Select participants for the advisory and mentorship programme	Not started	
	1.1.3. Produce mentorship materials		
	1.1.4. Implement a mentorship programme		
Output 1.2: Community self-help groups formed in the project zones to promote implementation and replication of climate smart methods	1.2.1. Form self-help groups		Assessment of this output is merged with assessment of 1.5
	1.2.2. Train the most active and suitable include an awareness component so that other farmers who are not		
Output 1.3: At least 300 trained farmers' field school leaders and coordinators in drought resilient land management practices serving 4,000 households	1.3.1. Identify and train farmers' field school leaders	FFS concept not used; concept of Lead farmer being used. 2 farmers per constituency have been trained (using FAO CSA manual) in conservation agriculture (28 in total); information is disseminated using Farmer Field days, but this is a different concept	0%
	1.3.2. Development of farmer training curricula based on the technologies to be scaled up	None done in line with FFS concept	

Output 1.4: 4,000 small-holders plant their land in time to catch the first rains	1.4.1. Provide access to ploughing services to 600 households per region	Project procured 6 tractors and rippers, deposited with the Ministry of Agriculture in each region; **2015-2016** season – none; **2016-2017** season - Ploughing provided to 28 lead farmers (2 per constituency and 2 constituencies for the 7 regions) farmers in total, but none of it was done before the rains because of lack of tractor drivers; **2017-2018** season – varying preparations across the 7 regions; likely to be late again except for Ohangwena and Oshikoto	40% for equipment - although fields were ploughed and seeds eventually reached farmers, this did not help them to advance the principles of CSA or CA, hence the objective was not achieved . Seed distribution in the community hasn't been improved since no SHGs were formed, and none of those used for drip irrigation are set up as seed multipliers
	1.4.2. Improve seed distribution	The prodoc expected seed distribution to be improved through setting up micro seed distribution banks locally via SHGs where farmers can collect their seed in time for the planting season. However, seed distribution was done through existing government centres. Seeds purchased in 2015 were distributed in 2016/2017 seasons. Although they were handed in to existing govt seed distribution centres in 2016, ETs reported getting them around Feb 2017; groundnuts seeds had expired and the cow pea seeds were viewed as not the 'right' ones;	
	1.4.3. Disseminate seasonal forecast and early warning information	None done by the project	

Output 1.5: Fresh vegetables' production through soil improvement and micro-drip irrigation practiced by 2,000 households, including 35% orphan-led households	1.5.1. Create an understanding of the benefits and challenges entailed by the production of fresh vegetables	Beneficiary identification process was done in 2016 for drip irrigation. For Ohangwena and Oshikoto, the report is titled " Beneficiaries Assessment Report). However, the report only provides names of selected farmers,	0%

		groups and schools, and the coordinates and photos of the farms. Assumption is that all the other reports provide same level of detail. No assessment of the challenges of growing vegetables or baseline socio-economic conditions of the selected farmers is provided.	
	1.5.2. Adopt the drip and bucket irrigation system for vegetable gardens	a) Drip irrigation kits given to 120 individual farmers, 63 schools and 37 groups with 478 farmers . b) vegetation farmers were trained but there is little uptake of GAPs (of skills transfer) – limited GAP; c) Vegetation production varies, faces serious challenges of pests, markets, poor post-harvest processes; d) plots are very small (20x30 meters) and are same size for all groups (one group of 20 people have same size plot as an individual farmer); e) Group plots face challenge of communal ownership – poor maintenance and non-payments for water and fuel for the pumps – several disconnected from NamWater; f) Question of using treated water for irrigation – affordability and sustainability.	50%
	1.5.3. Scale up soil improvement interventions that minimize soil erosion and water-related ecosystem services	Some soil conservation measures such as ripping and some mulching.	20%
	Overall percentage implementation for output 1.5	40%?	
Output 1.6: Crop diversification away from traditional crop production for 75% of households	1.6.1. Promote the use of plastic buckets for the watering of newly planted trees	No tree planting promotion done, and no bucket irrigation either	5%
	1.6.2. Scale up sunflower production	None done yet, but 30 ha planned soon in Kavango	
	1.6.3. Scale up sorghum production	Sorghum seeds distributed to x farmers for the 2016-	

		2017 cropping season. Challenges: i) sorghum seeds reached farmers around Feb, close to the end of cropping season; ii) reported that farmers are reluctant to take up sorghum as there's no culture of using sorghum and no policy based market incentives (such as gazetting under drylands crops).	
Output 1.7: Savings and loan schemes are tested among small-holder farmers to promote replication and the scale up of adaptive practices and technologies	1.7.1 Engage a microfinance expert to develop a long-term microfinance strategy for the project	None done	0%
	1.7.2 Review and evaluate the existing CES (CLUSA) supported savings groups		
	1.7.3 Introduce a savings approach to SHGs		
	1.7.4 Facilitate access to microloan schemes		
Output 1.8: Market linkages established for dryland products working with the private sector	1.8.1. Develop a project plan that establishes which value chains should be specifically pursued through the SCCF financed intervention	None	5%
	1.8.2. Facilitate market access and improve marketing expertise	1) In Kavango where market is a big challenge, AMTA was not involved at the beginning, lately contacted. However, the scale of production and the quality (due to lack of GAPs) make it financially unviable for AMTA partnership with MDI beneficiaries; 2) Rest of the project area has no challenge to market produce locally – and AMTA is a partner, though most produce marketed locally.	
	1.8.3. Facilitate training in grading, cleaning and packaging of products - Labour-saving technologies should be introduced to enable small-holder farmers to control weeds and improve harvesting methods and post-harvest storage.	Not done because value chains not developed; horticulture beneficiaries did not receive this type of training	

Output 1.9: Documentation of best practices	1.9.1. Set up local level monitoring, farmer's action research and formal evidence-based impact monitoring systems for all project interventions and innovations	None	5%
	1.9.2. Link to MAWF/DART agriculture research and other relevant research entities	The project cultivated on a MAWF conservation agriculture demonstration plots allocated to the project at Omahenene Agricultural Research Station (in Omusati region). The demonstration plots are aimed at improving seed production, while testing cowpeas and groundnuts on: seed germination, growth and min/max yield/output (adaptability of the tested seeds to Namibian local environment).	
	1.9.3. Provide for research knowledge to be integrated into relevant policy processes (see Outcome 3).	None	

Outcome 2

OUTCOME 2: Reduced vulnerability to droughts and floods through the restoration of wells and enhancement of floodwater pools for food security		Status at MTR	% achieved at MTR
Output 2.1: Flood and drought control measures provided to small-holder farmers in flood-prone areas	2.1.1. Identify those project zones that are prone to floods and scope out flood and drought control measures	No work done on this. However, project adopted a map of flood and drought prone areas from a previous project	20%?
	2.1.2. Restoration of traditional wells and enhancement of inland ephemeral floodwater pools for households in the project zone	1) 2 hand dug wells in Kavango (one for a single household, one for a community) 2) 2 wells for Ohangwena and Oshikoto (out of a target of 8); one well serves 11 villages 3) 3 burrow pits de-silted in omusati/Oshana regions The project intended to build earth dams but these can only be built in line with the government standards for earth dams, which is expensive. Although the project was provided with	

		additional funds under the UNDP Extractive funds, and funds from UN RR office for earth dams, it is reported that it cannot afford to construct earthdams (need to find out cost of an earthdam).	
	2.1.3. Trained communities on the management of harvested water and multipurpose use the water for livestock, irrigation, fresh vegetable production or inland aquaculture	Of all the water pools rehabilitated, none is suitable for multiple use. Due to the sizes of the rehabilitated pools, the pools cannot be used for multiple purposes. They are largely for cattle watering.	
Output 2.2: Climate-smart Irrigation practiced	2.2.1. Set up irrigation systems in project zones	Project implementation merged this output with 1.4 and 1.5. However, the spirit of the document differentiates the drip irrigation from other small scale irrigation systems, intended for this output. Under 2.2.2, the project supported the MAWF Comprehensive Conservation Agriculture Programme stakeholder conference, and a study tour to Zambia in collaboration with FAO	1?
	2.2.2. Introduce relevant Conservation Agriculture practices to complement irrigation		
	2.2.3. Train farmers on the proper use and maintenance of irrigation systems		
	2.2.4. Set up a local level resource monitoring programme which applies farmers' action research		
Output 2.3: Climate-smart fish farming practiced	2.3.1. Establish fish ranching in project zones	None	5%?
	2.3.2. Provide farmers with much needed inputs and fingerlings16 for start-ups	7 aquaculture practitioners were given fingerlings for one season.	
	2.3.3. Develop a market access strategy for each aquaculture investment	None	

Outcome 3

OUTCOME 3: Mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up-scaling		Progress at MTR	Percentage achieved
Output 3.1 Impact assessment carried out	3.1.1. A participatory monitoring and evaluation process is set up (linked to Outputs below)	None	0%
	3.1.2. Establish treatment groups and control groups		
	3.1.3. A questionnaire is developed		

	3.1.4. The pilot questionnaire is tested		
	3.1.5. Sampling and baseline data collection		
	3.1.6. Preparation of policy implications directly linked to Outputs 3.4 and 3.5		
Output 3.2: Results-based management (RBM) plan for climate-smart agriculture developed and monitored by the main stakeholder groups and led by the Regional Councils	3.2.1. Regional platforms (RIPs or their equivalents), led by RCs, develop RBM plans with stakeholders in a participatory manner	None	0%
	3.2.2. Plans are being implemented and progress is being tracked	None	
Output 3.3: NNFU advocacy messages developed and delivered in policy to promote scale-up of climate-smart agricultural methods	3.3.1. Undertake a study to better understand behavioural change context especially amongst vulnerable groups and to develop a targeted advocacy campaign	None	20%
	3.3.2. Facilitate the developing of advocacy messages and campaigns and their implementation	In Oshana/ Omusati region, some advocacy material developed and aired on local radios and TV	
Output 3.4: Regional Councils, line ministries and other partners (Regional platforms - RIPs or their equivalents - led by RCs) include climate smart agricultural methods, water harvesting, storage and other relevant climate resilience building practices, approaches, techniques and technologies in their annual plans and budgets	3.4.1. Plan the methods of developing and influencing strategy. This would be based on already established procedures and processes such as in MAWF (see AA above) and regional and national development planning processes	No	0%
	3.4.2. Facilitate consultations/dialogues	None	
Output 3.5: Policy recommendations and a replication plan are developed for continuation of good practice, presented at the project closure workshop and integrated into cross-sectoral and national development planning	3.5.1 Identify key policy opportunities for project interventions and integration of lessons learnt	The PMU was involved the drafting of National Strategy for Mainstreaming Disaster Risk Reduction and Climate Change Adaptation into Development	1?
	3.5.2 Integrate lessons from the mid-term evaluation of SCORE project into NDP 5 planning		
	3.5.3 Consider the lessons drawn from the SCORE project for the MAWF programme		

	proposal and for integration into MAWF operations and budget	(2016-2020), which focuses on the nexus between climate, disaster risk, development and poverty reduction in a context of global climate change. The initiative was led by the FAO and the Office of the Prime Minister (OPM).	
	3.5.4 Mainstream learning into other relevant sector instruments, including microfinance, disaster risk management, preparedness and others		
Overall percentage implementation			8.7% (12.3%)

Recommendations Output	**Activities**	**Amendments/ Recommendations**
OUTCOME 1: *Small-holder adaptive capacity for climate resilient agricultural production practices strengthened*		
Output 1.1: Small-holder advisory and mentorship programme that promotes drought resilient land management and crop production practices established to scale up good practice for 4,000 small-holder farmers	1.1.1. Design and develop a mentorship programme	Mentorship programmes to be tailor-made per region as each region is affected by different circumstances and challenges; Combine with Activity 1.1.3
	1.1.2. Select participants for the advisory and mentorship programme	Development of criteria for the selection of beneficiaries (define target group i.e. existing champion farmers, upcoming farmers or first timers) Involve community leaders (TAs, RCs and Farmers Unions) in the selection of beneficiaries. Use existing leadership groups, structures and mechanisms to hit the ground running
	1.1.3. Produce mentorship materials	Involve DAPEES and tertiary institutions in the development of the materials Look at existing materials and compile these into one manual. Combine with Activity 1.1.1
	1.1.4. Implement a mentorship programme	Include an awareness component so that other farmers who are not project beneficiaries would also be reached by the awareness materials
Output 1.2: Community self- help groups formed in the project zones to promote implementation and replication of climate-smart methods	1.2.1. Form self- help groups	Clarify or develop criteria for the selection of SHG Empower existing SHG groups.
	1.2.2. Train the most active and suitable members of each self- help group	
Output 1.3: At least 300 trained farmers' field school leaders and coordinators in drought resilient land management practices serving 4,000 households	1.3.1. Identify and train farmers' field school leaders	Clear criteria for selection of the farmer field school leaders Explore the possibility of the same (all) farmers to be involved in all 3 groups (mentorship programmes, self-help groups and farmer field school).
	1.3.2. Development of farmer training curricula based on the technologies to be scaled up	Harmonize with activity 1.1.3 on the development of mentorship materials. Involve experienced farmers in the development of the curricula, and use a demand-driven bottom-up approach Conduct needs analysis on what training is needed. Develop two training manuals: one for Training-of-Trainers and one for training the farmers.

Output 1.4: 4,000 small-holders plant their land in time to catch the first rains	1.4.1. Provide access to ploughing services to 600 households per region	Clarify the type of ploughing services to be in line with climate smart agriculture and not linked to disc ploughing. Assess implements and tools (including tractors) available to cover 600 households i.e. if they are sufficient; Pursue synergies and collaboration with existing programmes such as the Dryland Crop Production Programme if insufficient equipment is available. Provide training and/or guidelines for private tractor owners on how to operate. Project support staff to work and collaborate closely with other support staff, and learn from NCAP in to efficiently work with 600 households and compromise quality. -Maps should be given to the land preparation facilitators.
	1.4.2. Improve seed distribution	Concentrate on improving the production of seeds within Namibia rather than simply importing; Seeds to be made available to Lead Farmers during training in a timely manner; Support the development and finalization of the National Seed Policy.
	1.4.3. Disseminate seasonal forecast and early warning information	EWS first priority for this output.
Output 1.5: Fresh vegetables' production through soil improvement and micro- drip irrigation practiced by 2,000 households, including 35% orphan- led households	1.5.1. Create an understanding of the benefits and challenges entailed by the production of fresh vegetables	Include some indicators or target measures.
	1.5.2. Adopt the drip and bucket irrigation system for vegetable gardens	Train farmers on how to maintain drip irrigation equipment so that they last longer; Emphases that drip irrigation is not a one size fits all technology and should be applied "where appropriate".
	1.5.3. Scale up soil improvement interventions that minimize soil erosion and water- related ecosystem services	Reorder as it is not strongly linked to the output 1.5, which talks of fresh vegetable production.
Output 1.6: Crop diversification away from traditional crop production for 75% of households	1.6.1. Promote the use of plastic buckets for the watering of newly planted trees	Provide clarity on the type of trees i.e. indigenous trees as this will determine the amount of water needed. Reorder 1.6.1 to 1.5 as it is not dealing with traditional crop production. It may fit better under output
	1.6.2. Scale up sunflower production	
	1.6.3. Scale up sorghum production	Consider sorghum production for Kunene; Consider Cactus (omafauwena) production and rice production as possibilities for diversification Options for diversification should be region specific.
Output 1.7: Savings and loan schemes are tested among small-holder farmers to promote replication and the scale up of adaptive practices and technologies	1.7.1 Engage a micro-finance expert to develop a long- term microfinance strategy for the project	Explore the rolling out a system from where farmers can get loans for crop production inputs (learn lessons from NNFU); Consider training of communities on their roles and responsibilities on community banking.
	1.7.2 Review and evaluate the existing CES (CLUSA) supported savings groups	
	1.7.3 Introduce a savings approach to SHGs	Add link to access to seeds and other inputs not only SHG.
	1.7.4 Facilitate access to microloan schemes	

Output 1.8: Market linkages established for dryland products working with the private sector	1.8.1. Develop a project plan that establishes which value chains should be specifically pursued through the SCCF financed intervention	Link up with AMTA before developing the plan as AMTA was responsible for linking rural farmers to the formal market and for sustainability purposes. Consider focusing on the income from the marketing of indigenous plants such as eembeke (Ximenia americana) and marula; Scale-up support to communities to venture into the marketing of local products.
	1.8.2. Facilitate market access and improve marketing expertise	
	1.8.3. Facilitate training in grading, cleaning and packaging of products	To be done through AMTA
Output 1.9: Documentation of best practices	1.9.1. Set up local level monitoring, farmer's action research and formal evidence- based impact monitoring systems for all project interventions and innovations	To take place throughout the project implementation phase
	1.9.2. Link to MAWF/DART agriculture research and other relevant research entities	
	1.9.3. Provide for research knowledge to be integrated into relevant policy processes (see Outcome 3).	
OUTCOME 2: *Reduced vulnerability to droughts and floods through the restoration of wells and enhancement of floodwater pools for food security*		
Output 2.1: Flood and drought control measures provided to small-holder farmers in flood- prone areas	2.1.1. Identify those project zones that are prone to floods and scope out flood and drought control measures	Study existing baseline surveys if available: Africa Adaptation Project mapping of drought vulnerability in Namibia Consult the survey for the sites, in partnership with the community; Consult a technical group under the MAWF-DWA-Hydrology. If baseline information is not available, hold consultations with: regional councils, constituency councilors, traditional authorities and relevant stakeholders to identify project zones. The identified prone areas should also be verified with local stakeholders.
	2.1.2. Restoration of traditional wells and enhancement of inland ephemeral floodwater pools for households in the project zone	Use local people and indigenous knowledge in the restoration of wells, Food for Work can be an incentive measure to increase participation Enhancement of ephemeral water pools and digging of ponds in flood zones would also bring in fish and provide food for the community during the rainy season; Consider using these areas for crop diversification such as rice. Identification of wells to take into consideration of sanitation, as well as provisions in the Integrated Water Resources Management Plan and revised Sanitation Policy. Use the MCA document that assessed water infrastructure needs as a possible baseline document. Conduct training before restoration / construction is undertaken.
	2.1.3. Trained communities on the management of harvested water and multipurpose use the water for livestock, irrigation, fresh vegetable production or inland aquaculture	

Output 2.2: Climate-smart Irrigation practiced	2.2.1. Set up irrigation systems in project zones	Remove the term "interested" communities from the explanatory note Closely linked to 2.1.3 and efforts should be made to promote drip irrigation from harvested rainwater. Identify the sites where irrigation systems will be and the target groups; Consult DAPEES on the established procedures for setting-up irrigation systems; Consider the introduction of some of these techniques into the Green Scheme and Dryland Crop Cultivation Programme as an entry point for mainstreaming climate smart agriculture.
	2.2.2. Introduce relevant Conservation Agriculture practices to complement irrigation	Support existing MAWF programmes under this activity, particularly the Comprehensive Conservation Agriculture Programme and including in-field rainwater harvesting.
	2.2.3. Train farmers on the proper use and maintenance of irrigation systems	Train farmers on the maintenance of the drip irrigation systems e.g. use of filters Train tractor drivers basic mechanic training Involve students from vocational centers; Engage Agribusdev technology centers on how to repair and maintain equipment as most servicing was currently done in Otjiwarongo.
	2.2.4. Set up a local level resource monitoring programme which applies farmers' action research	Activity can be first introduced and implemented at the training of farmers as the first entry point. Basic applied farmer's research to be carried out with extension services officials and Lead farmers e.g. at on-farm demonstration sites, and at Lead farmer's farms and replicated with other trainees. Clarify types of research being targeted
Output 2.3: Climate-smart fish farming practiced	2.3.1. Establish fish ranching in project zones	Work with MFMR and support existing fish farms rather than establish new ones. Alternatively, MFMR should identify the fish farm sites in close consultation with communities. Create awareness of aquaculture farming among communities, followed by training for community members.
	2.3.2. Provide farmers with much needed inputs and fingerlings16 for start- ups	Remove "and fingerlings" as "Needed inputs" is sufficient.
	2.3.3. Develop a market access strategy for each aquaculture investment	Engage the Namibia Fish Consumption Trust on this activity; Compile document on "lessons learned" on community aquaculture farms
OUTCOME 3: *Mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up- scaling*		
Output 3.1 Impact assessment carried out	3.1.1. A participatory monitoring and evaluation process is set up (linked to Outputs below)	To be undertaken throughout the project.
	3.1.2. Establish treatment groups and control groups	Clarify as to who will do the intervention, and remove "intervention" from the explanatory note
	3.1.3. A questionnaire is developed	Clarify the - who, what on the development of the questionnaire; Change 'Questionnaire' to "Project evaluation material" to encompass all related activities.
	3.1.4. The pilot questionnaire is tested	
	3.1.5. Sampling and baseline data collection	Change total sample population to 600

	3.1.6. Preparation of policy implications directly linked to Outputs 3.4 and 3.5	Replicate through communication and awareness raising for other farmers. Specify policies, line ministries consider policy gaps and duplication
Output 3.2: Results-based management (RBM) plan for climate- smart agriculture developed and monitored by the main stakeholder groups and led by the Regional Councils	3.2.1. Regional platforms (RIPs or their equivalents), led by RCs, develop RBM plans with stakeholders in a participatory manner	Work through the existing committees: Regional Development Coordination Committees, take into consideration the capacity and budget of regional councils
	3.2.2. Plans are being implemented and progress is being tracked	Reporting systems should be pronounced and be specific e.g. How the evaluation will be done – quarterly or annually Importance of information sharing as the absence of feedback to stakeholders is a serious risk to project success.
Output 3.3: NNFU advocacy messages developed and delivered in policy to promote scale- up of climate-smart agricultural methods	3.3.1. Undertake a study to better understand behavioural change context especially amongst vulnerable groups and to develop a targeted advocacy campaign	Clarification on the role of a communication expert. DAPEES was responsible advice and communication of new technologies, the expert should thus liaise closely with DAPEES
	3.3.2. Facilitate the developing of advocacy messages and campaigns and their implementation	Replication through communication and awareness raising for other farmers for the extrapolation of benefits. Make provision for child headed households as a target group.
Output 3.4: Regional Councils, line ministries and other partners (Regional platforms - RIPs or their equivalents - led by RCs) include climate- smart agricultural methods, water harvesting, storage and other relevant climate resilience building practices, approaches, techniques and technologies in their annual plans and budgets	3.4.1. Plan the methods of developing and influencing strategy. This would be based on already established procedures and processes such as in MAWF (see AA above) and regional and national development planning processes	
	3.4.2. Facilitate consultations/dialogues	
Output 3.5: Policy recommendations and a replication plan are developed for continuation of good practice, presented at the project closure workshop and integrated into cross-sectoral and national development planning	3.5.1 Identify key policy opportunities for project interventions and integration of lessons learnt	Mainstreaming of project interventions into MAWF policies, projects and programmes should be evaluated and full consultation should take place
	3.5.2 Integrate lessons from the mid- term evaluation of SCORE project into NDP 5 planning	

	3.5.3 Consider the lessons drawn from the SCORE project for the MAWF programme proposal and for integration into MAWF operations and budget	
	3.5.4 Mainstream learning into other relevant sector instruments, including microfinance, disaster risk management, preparedness and others	

5.6 MTR EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)

Evaluation subject	Evaluation questions	Tools and methods
Project strategy	• What challenges did the project seek to address? • What was the ToC used to identify and select components, outcomes, outputs and activities? • What are the underlying assumptions? • Have any of the risks and assumptions played out and what is the effect on implementation and achievement of results? • Were any assumptions incorrect or missed out entirely? • Have they played out and what is the effect on implementation and delivery of results? • Was the threat-root-cause barrier analysis comprehensive and on-target? • Have new threats and/or barriers emerged? • Is there room for adaptive management to tackle new threats, barriers? • Relevance: Are the issues/challenges being addressed by the project relevant to national development and livelihoods? • In which way are they relevant? • Are they government priority and if so where are these priorities stated? • What lessons were used to influence project design? • Have those lessons proven to be useful yet in project implementation? • **Decision-making processes:** • Which groups are likely to be affected by the project, including benefitting from it? • Was project design done in a truly participator manner? • Was gender perspectives factored into project design and reflected in the participatory design process? • If not, why not and what has been the impact of this non participatory design process on implementation and project ownership? • Where is the evidence of participation by the relevant groups? • If there are major areas of concern, recommend areas for improvement.	Review of project documents: ➢ (prodocs, Inception report, PIRs); ➢ Minutes of project steering committee (Board) meetings; ➢ Tracking tools ➢ Technical publications; ➢ Government policies/strategies on adaptation; Focus group and individual interviews with relevant groups of stakeholders and key informants, respectively, using structured interview questionnaires; ➢ PMU ➢ Members of the Project Board ➢ Key informants in participating Ministries and Ministries responsible for various aspects of
Results Framework /Log-frame	• Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame? • Are the log-frame indicators and targets "SMART" and gender disaggregated?	

	• Has progress made so far led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis. • How are the catalysing effect of the project results being monitored?	adaptation and agriculture; ➢ MAWF and its institutions
Project Implementation and Adaptive Management	• What is the current project management arrangement? • What are the SWOT of the current project management arrangements? • Has it been effective? • Are responsibilities and reporting lines clear? • Is decision-making transparent and undertaken in a timely manner? • Has the Executing Agency/Implementing Partner(s) facilitated project execution adequately? • What are the recommendations for improvement? • What lessons can be drawn from this arrangement? • Has the GEF Partner Agency (UNDP) supported project execution effectively? • What are the key challenges of project execution? • What recommendations?	
Work Planning:	• Is project implementation in line with the timeline set in the Prodoc? • If there were delays what caused them? • What is the likely implication of any delays on the rest of the project timeline? • Has adaptive management effectively resolved any issues of delays? If no, why not? • Are work-planning processes results-based? • Has the results framework/ log-frame been used as a management tool? • To what end? Has it worked well and if not why not? • What recommendations?	Review of project documents: ➢ (prodocs, Inception report, PIRs); ➢ Minutes of project steering committee (Board) meetings; ➢ Tracking tools ➢ Technical publications; ➢ Government policies/strategies on adaptation; Focus group and individual interviews with relevant groups of stakeholders and key informants, respectively, using structured interview questionnaires; ➢ PMU ➢ Members of the Project Board ➢ Key informants in participating Ministries and Ministries
Finance and co-finance	• What is the level of expenditure to-date? • Is this level in line with the original plans in the project budget? • If not, why have changes occurred? And what are the exact changes? • Have the appropriate approvals been sort and provided for these changes? • Has the project been cost effective and what criteria can we use to determine this? • Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds? • Has the project mobilized extra funding? • Has it accessed any co-finance? • Is co-finance being monitored to confirm the expected situation at project design stage?	
Project-level Monitoring and Review Systems	• Does the project use an M&E system? • Does it involve key partners in M&E? • Is the M&E linked to partner institutions' systems? • Does M&E provide the necessary information efficiently/effectively? • Is it considered cost-effective? • Are additional tools required to make M&E more participatory and inclusive? • Are sufficient resources being allocated to monitoring and review? • Are these resources being allocated effectively?	

Stakeholder Engagement	• Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders? • Do local and national government stakeholders support the objectives of the project? • Do they continue to have an active role in project decision-making that supports efficient and effective project implementation? • To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives	responsible for various aspects of agriculture and Adaptation; ➢ Regional Councils; ➢ Selected Beneficiaries
Reporting and communication	• Have changes made via adaptive management been reported by the project management and approved by the Project Board. • How well do the Project Team and partners understand and undertake UNDP and GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?) • Have lessons derived from the adaptive management process been documented, shared with key partners and internalized by partners? • How is internal project communication with stakeholders done? • Is it regular and perceived to be effective? What is the evidence of that? • Are there key stakeholders left out of communication? • Are there feedback mechanisms when communication is received? • Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results? • How does the project communicate with the broader stakeholders? Via a project website? • Has an awareness campaign been mounted? • How does the project inform itself of progress in the field of CIEWS?	
Sustainability	• Are the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module the most important and are the risk ratings applied appropriate and up to date? If not, why? • **Financial risks to sustainability -** What is the likelihood of financial and economic resources not being available once the GEF assistance ends? • What plans are in place for mobilizing financial resources to carry on the work – especially of maintenance of CIEWS equipment and retain highly skilled staff members after the GEF Grant? • Does the project have an exit strategy to ensure sustainability? • **Socio-economic risks to sustainability:** Are there any social or political risks that may jeopardize sustainability of project outcomes? • What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? • Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? • Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? • Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future? • **Institutional Framework & Governance risks to sustainability:** Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? • Are there systems/ mechanisms for accountability, transparency, and technical knowledge transfer in place? • **Environmental risks to sustainability:** Are there any environmental risks that may jeopardize sustenance of project outcomes?	

	• **What recommendations do you have for any of the issues raised above?**	

5.7 EXAMPLE QUESTIONNAIRE OR INTERVIEW GUIDE USED FOR DATA COLLECTION

Stakeholder category	Sample questions
PMU, MAWF extension staff and PSC – all questions are asked of PMU and MAWF extension staff. The letters PSC are appended to those questions also asked of the PSC	On Progress 1) An analysis of project implementation to date – going through the logframe, activity by activity, please highlight what has been implemented and key results delivered 2) Please summarize how many beneficiaries have so far benefited from each of the key activities/outputs of the project, disaggregated by gender. 3) What in your estimation is the percentage implementation per output, when you consider the activities implemented and the results delivered? 4) What would you say is the greatest impact of this project in your view, and why? - PSC 5) What challenges have you faced related to implementation so far and how have you used adaptive management to address them? - PSC 6) What good practices did you experience related to implementation and how did they influence implementation and achievement of results? - PSC 7) What lessons have you derived from dealing with either challenges or good practices and how have you captured and/or shared them? - PSC Related to project design and quality of M&E at entry: 1) Did you participate in the Project Inception Phase/workshop? - PSC 2) Have you read the project document and what is your assessment of how well the project design captures the challenges inherent in the North of Namibia related to climate related risks? - PSC 3) In your view, was project formulation process participatory and why do you think it was or it wasn't (where's the evidence)? 4) How well do you think the program of work matches the budget proposed? - PSC 5) How easy has it been to use the indicators and baseline values provided in the project document to monitor the project's implementation and impacts? 6) What, in your view, is the impact of the assumptions outlined in the prodoc? - PSC 7) Have any of the assumptions become an enabler or a challenge for implementation or results delivery? - PSC 8) How has the PMU monitored risks and assumptions and what do you suggest to change for the project to be successful by TE 9) What challenges/good practices have you experienced in relation to project design and indicators, and how did you use adaptive management to solve them? - PSC 10) What is the impact of the response to question 6 on the state of implementation today, and what would you do differently? - PSC On Management implementation arrangement: 1) What, in your view, is the management implementation arrangement for this project? - PSC 2) Is that what was described in the project document or has it been modified? - PSC 3) If it has been modified, why was it deemed necessary and what approvals were sought after modifications? - PSC 4) Have the modifications been documented and approved? - PSC 5) What is the impact of the departure or compliance with the implantation arrangements on the rate of project implementation, delivery of results and the sustainability of expected impacts? - PSC 6) What would you do differently – or needs to be modified for the second part of the project lifetime? - PSC On stakeholder participation 1) Please describe how stakeholders have participated in the project implementation; - PSC 2) Is this state of participation in line with the planned stakeholder participation plan in the prodoc? - PSC 3) If there was a change, why was it necessary? - PSC 4) Was the change documented and relevant approvals obtained? - PSC

	5) If not, why not, and what has been the impact of such changes to the overall project, especially the rate of implementation, results delivery and sustainability? - PSC 6) How has adaptive management been applied in project implementation related to stakeholder participation? - PSC 7) What do you think should be adjusted in order to increase the effectiveness of project implementation and increase chances of sustaining the impacts? - PSC Regarding reporting and communication 1) Do you fully understand UNDP and GEF project reporting requirements? 2) Are these in line (or supportive) of the governments and Regional Council reporting requirements? 3) How many reports (PIRs) has the PMU produced? Have you had any feedback from UNDP, GEF, Government and Regional Councils on the reports? 4) How many technical reports has the project produced? If not why not and what is the plan to produce some? 5) What needs to be done to increase the quality of reports and number of technical publications out of this project? 6) How are you ensuring that practice will inform policy out of this project? 7) What communications and awareness raising material has been produced and how is it disseminated? 8) How is the project monitoring whether the awareness On project level M&E 1) Returning to the issue of indicators, has the project tested their suitability in monitoring project impacts involving beneficiaries and those stakeholders engaged in implementation? 2) Has the project formulated a participatory M&E system? 3) If not, why not? 4) How do you think the lack of a participatory M&E system affects adaptive management of the project and linking practice and policies? 5) Has action research been implemented yet? 6) If not why not and is there a plan to accelerate its implementation? 7) What should be done differently to improve participatory M&E in support of adaptive management and sustainability of results? On sustainability 1) What results do you think the project will deliver that need to be sustained? - PSC 2) What in your view is the project mechanism to sustain these results? - PSC 3) More specifically, what are the mechanisms for ensuring institutions and governance sustainability? Financial sustainability? Environmental sustainability? Socio-economics sustainability? - PSC 4) What challenges do you foresee with sustainability along any of these four criteria? - PSC What should the project do between now and the TE to secure long-term sustainability? - PSC On support from PSC and UNDP 1) How has the PSC supported PMU on any aspects of the project implementation? 2) How about UNDP? 3) What would you recommend regarding support received from the two going forward? In general 1) What issues should the MTR look into that we have not yet discussed? - PSC 2) Please summarize the challenges faced by the project on any aspect; - PSC 3) Please summarize the good practices you would like to share with the MTR on any aspect of the project- PSC 4) Summarize recommendations going forward if the project was to be successful. 5) Any other issues? - PSC
Beneficiaries of Micro Drip Irrigation, ripping services and wells	General participation and beneficiation; 1) Describe how you have participated in the project and its activities 2) What benefits are you deriving from the project?

	3) What responsibilities do you have regarding the benefits and the project in general? 4) How has the project benefits (MDI, CA, Wells) changed your life? 5) Have you been involved in monitoring and evaluation of the project? 6) What training have you received from the project? 7) How has the training made a difference to the way you run the MDI gardens or the agriculture production (ploughing) or water harvesting (wells)? 8) What challenges do you still experience with vegetable growing, harvesting, processing, marketing? 9) What challenges do you still face with conservation agriculture? 10) Wells? 11) Have any of your neighbours or friends expressed any interest in taking up the technology you are benefiting from? 12) Do you know any that have actually adopted the technologies piloted by the project on their own? 13) If not what do they say is the challenge? 14) How will you sustain the benefits you are getting from the project once the PMU is disbanded? 15) What challenges do you foresee for sustaining the impacts and how can you or your leaders/government help to resolve them? 16) What recommendations to you have for the project managers and funders in order to improve the way the project is being implemented?
PSC	

5.8 AUDIT TRAIL FROM RECEIVED COMMENTS ON DRAFT MTR REPORT (IN SEPARATE REPORT)