UNDP-GEF MIDTERM REVIEW

Promoting climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province project

Mid-Term Review
Final Report

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APPROVAL

Midterm Review Report Reviewed and Cleared By:

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Preface

This report was prepared at the request of the United Nations Development Programme (UNDP) Zambia by the Mid-Term Review Team (MTR team) consisting of Mr Nelson Gapare and Dr Chiselebwe Ng'andwe. The intended user of this report is the Government of Zambia, UNDP, the GEF Secretariat, the Project Steering Committee, and project partners, as stated in the Terms of Reference.

This report outlines the background, methodology and findings of the MTR. The MTR team has prepared this report with care and diligence, and the statements in the report are given in good faith and in the belief, on reasonable grounds, that such statements are not false or misleading. However, the MTR team does not guarantee or otherwise warrant the accuracy of statements or assume responsibility for errors or omissions. As this is a mid-term review report, nothing in it is or should be relied upon as a promise by the MTR team as to the future. Actual results of the project may be different from the findings contained in this report.

This report may only be used for the purpose for which it was prepared and its use is restricted to consideration of its entire contents.

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LIST OF ACRONYMS

AER	Agro-Ecological Region
AMAT	Adaptation Monitoring and Assessment Tool
ANR	Assisted Natural Regeneration
AWP	Annual Work Plan
CBFM	Community-Based Forest Management
CBNRM	Community-Based Natural Resource Management
CBOs	Community-Based Organisations
CERED	Centre for Environmental Research, Education and Development
COMACO	Community Markets for Conservation
COP	Conference of Parties
CSO	Civil Society Organizations
DC	District Councils
DRC	Democratic Republic of Congo
FAO	Food and Agricultural Organisation
FD	Forestry Department
GEF LDCF	Global Environment Facility Least Developed Countries Fund
GEF	Global Environment Facility
GMAs	Game Management Areas
GRZ	Government of the Republic of Zambia
IA	Implementation Agency
IP	Implementing Partner
LoA	Letter of Agreement
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture
MCTA	Ministry of Chiefs and Traditional Affairs
MLGH	Ministry of Local Government and Housing
MLNR	Zambia's Ministry of Lands and Natural Resources
MoE	Ministry of Energy
MoU	Memorandum of Understanding
MTENR	Ministry of Tourism, Environment and Natural Resources
MTR	Mid-Term Review
NAIS	National Agriculture Information Services
NAP	National Agricultural Policy
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategy Action Plan
NDP	National Decentralization Policy
NEAP	National Environmental Action Plan

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NEP	National Environmental Policy
NFP	National Forestry Policy
NFTPs	Non-Timber Forest Products
NGO	Non-Governmental Organisation
NIM	National Implementation Modality
NRS	National REDD+ Strategy
PA	Project Assurance
PAC	Project Appraisal Committee
PC	Project Coordinator
PIF	Project Identification Form
PIR	Project Implementation Reports
PIU	Project Implementation Unit
PM	Project Management
PMU	Project Management Unit
PPCR	Pilot Programme for Climate Resilience
ProDoc	Project Document
PSC	Project Steering Committee
RC	Regional Committees
SB	Senior Beneficiary
SE4ALL	Sustainable Energy for All
SFM	Sustainable Forest Management
SNDP	Sixth National Development Plan
SS	Senior Supplier
TC	Technical Committee
ToR	Terms of Reference
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
VAG	Village Action Groups
ZAW	Zambian Alliance of Women
ZAWA	Zambia Wildlife Authority
ZCCN	Zambia Climate Change Network
ZEMA	Zambia Environmental Management Agency
ZFAP	Zambian Forestry Action Programme
ZLA	Zambian Land Alliance

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1   EXECUTIVE SUMMARY

PROJECT INFORMATION TABLE

Project Title	Promoting climate-resilient, Community-based regeneration of indigenous forests in Zambia's Central Province			
GEF Proje ct ID:	5435		Commitment at Endorsement (USD million)	Realised Co-financing / Spent GEF budget at midterm review (USD million)
UNDP Project ID:	4712	GEF Financing:	3,885,000	3,885,000
Country:	Zambia	IA/EA own:	100,000	
Region:	Africa	Government:	11,420,000	
Focal Area:	Climate change adaptation	**Others (private):** CERED COMACO ZCCN ZIEM Pioneer Environment Africa Kasanka Trust	147,661 11,000,000 980,000 746,057 3,190,000 386,372 1,060,000	
FA Objectives, (OP/SP)	CCA-1: Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change, and CCA-2: Strengthen institutional and technical capacities for effective climate change adaptation	Total Co-financing:	29,030,090	
Executing Agency:	Forestry Department – Ministry of Land, Natural Resources and Environmental Protection	Total Project Cost:	32,915,090	

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Other Partners involved:		GEF CEO Endorsement Date: 18 May 2015		ProDoc Signature (Date project began) 23 July 2015
		(Operational) Closing Date		

PROJECT DESCRIPTION

1. The Project aims to secure ecosystems goods and services of indigenous forests within Serenje and Chitambo districts of Central Zambia, by enhancing their resilience to climate change through community-based regeneration. The forests are a primary source of energy, in the form of firewood and charcoal, and a crucial source of essential subsistence goods such as poles and construction products, timber, materials for tool handles and household utensils, foods, medicines, leaf litter, grazing and browsing. In addition, they provide ecosystem services in harboring biodiversity, maintaining carbon stocks (and therefore regulating climate), controlling soil erosion, providing shade, modifying hydrological cycles and maintaining soil fertility. However, the forests are being degraded as a result of unsustainable land management and exploitation of natural resources. This degradation is exacerbated by the effects of climate change, including rising temperatures and an increased frequency of localised drought episodes and extreme rain events. Such effects reduce the capacity of forests and woodlands to protect vulnerable communities in rural parts of Zambia from the increasingly negative impacts of climate change, which are threatening their livelihoods.

2. Reducing the vulnerability of local communities and strengthening their adaptive capacity is viewed as the long-term solution to these challenges. However, there are a number of barriers to achieving a long-term solution. Currently, restoration and livelihood development initiatives in Zambia do not adequately consider climate change-related risks and adaptation needs. Furthermore, the capacity of Zambia's Forestry Department (FD) to plan and implement appropriate adaptation interventions is hindered by limited institutional and technical capacity. Reduction of vulnerability can be achieved through two means: i) enhancing the capacity of the Forestry Department and local communities to plan for adaptation to climate change; and ii) implementing adaptation interventions that increase the resilience of the indigenous forests and woodlands, using a community-based approach. However, there are multiple barriers to achieving this preferred solution, which are as follows:

    i.   limited technology for adaptation and sustainable management of miombo woodlands;

    ii. limited coordination between stakeholders involved in tenure and management of forest resources;

    iii. limited – or unequal distribution of – finances for the conservation of forests as a means of adaptation;

    iv. limited institutional capacity to implement participatory natural resource management including CBNRM; and

    v.   limited data to support monitoring and management of forests.

3. In response to these challenges, the Government of Zambia requested UNDP's support to develop an LDCF-funded project on "Promoting climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province". The project, which is implemented by the Forestry Department of the Ministry of Land, Natural Resources and Environmental Protection, includes an LDCF grant of $3,885,000 and has an implementation period of five years. The Government of the Republic of Zambia (GRZ) proposes to address the barriers through this pilot project that promotes climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province, specifically in Serenje and Chitambo Districts. The Project's immediate focus is 371,000 ha of National Forests and 594,000 ha of Local Forests[1]. It should be noted that at the time of the project feasibility assessment, Serenje was a single district and was actually split into

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[1] Republic of Zambia (2012), *Report of the Auditor General on Forest Monitoring in Zambia*. Available online at: https://afrosai-e.org.za/sites/afrosai-e.org.za/files/report-files/Forest%20Monitoring%20(2012).pdf.

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Serenje and Chitambo after the Project had started. The Central Province has been chosen as the focus of the landscape-based interventions for this project, because deforestation and degradation are highly problematic, as a result of increased conversion of forest for agricultural expansion and the production of charcoal[2]. In addition, late seasonal forest fires affect the regeneration of forests and often result in tree mortality.[3] Within the province, Serenje and Chitambo Districts are the preferred locations because approximately 86% of their protected areas (including National Forest Reserves and Local Forest Reserves) have been encroached upon, and there are no forest management plans at the district level. The advantage of specifically using Serenje in this pilot project is that the District received high scores when compared with other forest estates of other districts for assisted natural regeneration (ANR) experience, forest fire management, environmental awareness and education, and effective management of its forest estate. Therefore, Serenje should provide quick, cost-effective, relatively low-risk and replicable results. Lessons learned from the District will inform policy and decision-makers, and implementing and cooperating partners in other districts and provinces.

4. Serenje District forest office is constrained by the availability of adequate staff to effectively manage the forest estate and lacks the operational budget to execute its functions effectively. There have been no previous interventions aimed at promoting sustainable charcoal production and utilization techniques or alternative energy sources[4] within the District.

5. This project will contribute to overcoming these barriers using an integrated approach through:

    i.   Strengthening the technical and institutional capacity of foresters and communities in Central Province, in order to plan and implement climate-resilient agro-forestry and assisted natural regeneration in miombo woodlands.
    ii. Establishing robust fire monitoring and management protection plans in all districts in Central Province, in order to maintain regeneration in these woodlands and reduce fire frequency.
    iii. Replacing inefficient charcoal production and wood-saving technologies with efficient systems.

6. Local communities at project intervention sites will be included in the selection and implementation of the activities, with a particular focus on enabling the most vulnerable members of these communities, including women. According to the Project Document, particular target communities (beneficiary villages and households), and intervention sites within Serenje District were to be selected in collaboration with the Forestry Department during project inception.

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[2] Approximately 90% of households in Central Province rely on forest products for domestic consumption.
[3] Matakala, P. (2014). *Addressing Barriers to Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach: Field Report – Methodological and Partnership Approach and Identification of Potential District Site for the Pilot.*
[4] Matakala, P. (2014), *Addressing Barriers to Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach: Field Report – Methodological and Partnership Approach and Identification of Potential District Site for the Pilot.*

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PROJECT PROGRESS SUMMARY

Table 1-1: MTR Ratings & Achievement Summary

Project Strategy	Achievement Rating[5]	Justification for Rating
Objective: To promote climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province, thereby securing ecosystems goods and services and enhancing the adaptive capacity of local communities	Moderately Satisfactory (MS)	**The shift in community mindset and awareness of the necessity for sustainable natural resource management** The most significant and strategic achievement of the Project appears to be the high levels of community awareness and commitment to sustainable natural resource management, especially forest conservation. There is a notable change of mindset and attitudes towards forest and natural resources management. In the areas of Serenje and Chitambo visited during the MTR mission, the chitemene (slash and burn) system of agriculture has already declined. The destructive consequences of charcoal burning are also fully appreciated by communities, and the practice of this livelihood is expected by communities to significantly reduce once the Project's alternative livelihoods are implemented. Communities see sensitization of children as vital to long-term culturalization of natural resource conservation. Families are already passing their training to their children at household levels, and now feel the sensitization programme should also target children in the school environment. In all the community areas where training has been undertaken, there is a transformation of the cultural mindset from subsistence (hand-to-mouth) production to commercial production. With this change in mindset, the prospects of growth among user groups are high.

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[5]Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

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Outcome 1: Strengthened technical and institutional capacity of foresters and communities in Central Province to implement appropriate climate-resilient agro-forestry and natural regeneration practices in designated zones	Moderately Satisfactory (MS)	**Institutional Operational Capacity and Communication could be improved** The project is targeting 3000 beneficiaries and to date the AMAT reflects an aggregate figure of 3324 direct beneficiaries. Reaching out to this large number of beneficiaries is commendable but the implementation, in general, could be more effective and efficient. While departmental staff have undergone technical training and are knowledgeable on support and extension services for building community climate resilience, the institutional capacity remains weak with regards to resourcing to ensure adequate community support. Monitoring and evaluation of livelihood activities are limited due to limited transportation and some limitations in accessing online tools that are proposed such as the fire early warning system. Training has been undertaken for livelihood activities such as beekeeping, gardening, and conservation farming. User groups have been formed in other activity areas. However, the time lag between training and provision of inputs has resulted in unmet expectations among community groups. Project communication, which is linked to effective facilitation could be strengthened as it has limited the level of coordination. The coordination between implementing agencies could be strengthened to reduce project delays and avoid misunderstanding on aspects such as technical specification of implements and technology transfer. The project lacks visibility and the necessary communication and promotion materials that would enhance wider interest.
		Activity implementation could be strengthened by optimal sequencing, prioritization, and understanding interdependencies The sequencing of activities could have benefited from better planning and prioritization could be improved. The Project planned and agreed to provide a wide range of inputs for Village Action Groups (VAGs) and user groups (beekeeping, gardening, conservation agriculture, small livestock, fish, treadle pumps, and knapsack spray pumps), but it appears some implements are to be shared between households. There are logistical challenges that arise from sharing implements, such as knapsacks and treadle pumps, which need to be addressed. Training of VAGs and user groups in different livelihood activities was adequate, but the time-lag between training and provision of livelihood inputs has created anxiety and has a potential to result in a loss of community interest. It would have been prudent to procure these implements so that they could be distributed immediately following the training. There are groups that have been trained in these activities and have subsequently had to wait for several weeks to receive the necessary inputs.
Outcome 2: Robust fire monitoring and management protection plans and measures in place in all districts in Central Province, to maintain desired regeneration targets and reduce fire frequency by 25-30% annually across the province, within a four-year burning cycle	Moderately Satisfactory (MS)	Important capacity building and preparation of fire management plans were completed and this has created a greater understanding of fire response and management. While acknowledging the fire management training needs assessment, fire management plans (Musola and Nakatambo), and the training undertaken by the Project, there are some further observations that raise concerns. The effectiveness of fire management plans will depend on the capacity of communities to timely communicate and signal fire outbreaks, with support from the district offices. Significant gaps remain, as communities require basic communication tools. It is understood the Project has procured short-wave radios (walkie-talkies) but these are yet to be tested and distributed to communities. It is necessary to be expedient in distributing the

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		necessary tools, as well as ensuring that any new technology introduced is practical, affordable and easy to maintain.
Outcome 3: Energy efficient charcoal production and wood-saving technologies have successfully replaced inefficient systems in targeted areas of Central Province, helping offset pressure on the forests as the climate changes.	Moderately Unsatisfactory (MU)	**Technological innovation to substitute unsustainable charcoal production remains challenging** The MTR recognizes the effort already placed on developing and implementing household efficient mud cookstoves and encourages the continuation of this initiative. The Project has started investing in prototype briquetting machines. A rating of Moderately Unsatisfactory (MU) reflects the absence of robust analytics to understand the socio-economic and potential opportunities and barriers to adoption. There are other similar regional GEF funded programs where lessons could be drawn from, In order to avoid repeating costly mistakes.

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RECOMMENDATIONS

Table 1-2: Summary of Recommendations

Component /Outcome	Recommendation and justification	Suggested Responsibility
Project Objective	**Follow-up on co-financing pledges** Co-financing is a key part of the project implementation and essential that pledges by partners listed in the project document are followed. This MTR encourages the PSC and PIU to follow up with other co-financiers to seek fulfilment of pledges outlined in the project document.	**PSC, UNDP, FD, PIU**
Outcome 1 and 2	**RECOMMENDATION 1: Improve communication and coordination** On the part of all partners, expeditious communication, reporting and escalation of issues that have implications on project strategy and implementation would improve effectiveness and efficiency. At the technical level, inadequacies in communication and clear articulation of institutional roles and responsibilities has led to basic misunderstandings of activity implementation, sequencing, as well as design and distribution of farming implements. With greater visibility using communication materials such as project lessons info sheets, pamphlets, and sign boards, the project could influence other communities to take similar initiatives.	**PIU, UNDP, FD** **COMACO, ZEMA, PSC**
	RECOMMENDATION 2: Re-assess activity sequencing in order to reduce time lags, and conduct prioritization and economic viability of livelihood options Sub-optimal sequencing limits options for adjustments once an investment is made. It is necessary to reduce the time lag between livelihood activity training and provision of inputs. Project teams need to apply critical path analysis and understand activity inter-dependencies prior to commencing implementation. For example, community training on various livelihood activities must be immediately followed with distribution of inputs	**PIU, Technical Team with support and approval by the PSC, ZEMA**
	RECOMMENDATION 3: Follow-up on co-financing resource mobilization The Project has not yet fully harnessed the potential co-financing resources from the other partners. As a matter of priority, efforts should be made to establish formal arrangements with other partners to support certain activities, including in-kind contributions or cash for project implementation. These discussions need to happen urgently.	**PIU, FD, UNDP**
Outcome 3	**RECOMMENDATION 4: Conduct socio-economic viability and value chain analysis before introducing briquetting machines** • Promoting sustainable charcoal production requires robust socio-economic analysis and lessons from other similar projects, such as in Western Tanzania can be useful. It is necessary to undertake an analysis of the socio-economic potential, value chain, and the likely barriers to adoption of briquet machines and production prior to any investment. • Considerations could be made for commercial type sustainable charcoal production systems and the formation of associations. This approach reduces the burden of monitoring and builds a potential framework for deforestation-free charcoal production.	**Department of Energy, ZEMA, PIU**

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	• It is also important that lessons from other UNDP projects are considered in the design of activities. For instances, lessons from similar projects in the region such as those in Uganda and Tanzania. This could be achieved by more active engagement by UNDP's Country Support Team and Regional Technical Advisor in supporting implementation oversight and organizing more regular discussions with the Country Office and project team to discuss any implementation challenges and carrying out supervision missions when necessary.	
Outcome 4	**RECOMMENDATION 5: Improve attendance at Project Steering Committee (PSC) meetings** • The PSC meets twice a year, but it is understood that it remains difficult to get all appointed members to regularly attend. Often only proxies attend the meetings. The MTR Team highly recommends that members of the PSC attend meetings because the convening power of PSCs enables quick and strategic decision-making when project issues arise as well as managing risks and opportunities. It is perhaps worth creating PSCs comprising of deputy PSCs and departmental heads, in order to increase attendance while still maintaining the necessary high-level representation.	**PSC**

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2   INTRODUCTION

7. This report presents the findings of the UNDP-GEF Midterm Review (MTR) of the full sized project titled "***Promoting climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province***" project (PIMS# 4712), implemented through the Forestry Department. The MTR was undertaken from 23 August to 20 November 2018. The Project started on the 23rd July 2015 and is in its third year of implementation.

2.1 Purpose of the MTR and Objectives

7. The objective of this mid-term review is described in the Terms of Reference[6], which requires the MTR team to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document (ProDoc). The MTR assesses early signs of project success and failure, with the goal of identifying the necessary changes to be made in order to set the project on-track in order to achieve its intended results. The MTR also assesses the project's strategy and its risks to sustainability.

2.2 MTR Scope and Methodology

8. The methodology for the evaluation is broadly described in this section. The MTR is divided into three phases: inception, field mission and reporting. For the inception phase, a report was presented which included the proposed tasks, activities and deliverables. The report also comprised a table of the main review questions that needed to be answered in order to determine and assess project results and to identify the source of required information (e.g. documents, interviews and field visits) (refer to Annex II).

9. The MTR Team reviewed all relevant sources of information, including documents prepared during the preparation phase of the Project: i.e. Project Identification Form (PIF), UNDP Initiation Plan, UNDP Social and Environmental Safeguards, the Project Document, project reports including the Annual Project Review/Project Implementation Reports (PIR), project budgets, national strategic and legal documents, and many other materials that the Team considered useful for this evidence-based review. The MTR Team reviewed 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 followed a collaborative and participatory approach[7] to ensure close engagement with the project team, government counterparts, the UNDP Country Office, and other key stakeholders.

10. The MTR Team conducted a 10-day field mission to the two districts involved in the project (Chitambo and Serenje). A mission debrief was given to key stakeholders on the 8th of October 2018 in Lusaka. There are no major limitations in this report nor in carrying out the evaluation. However, the MTR Team encourages the wider stakeholder group to also provide written feedback and comments on the report.

2.3 Sources of data and data collection

11. The sources of data included:

    - Desk review of documents (see Annex VI).

    - Progress reports and project documents such as the UNDP Project Document (ProDoc), GEF CEO, Endorsement Request, as well as progress reports, such as the annual UNDP/GEF Project Implementation Reports (PIRs), data on project budget and expenditures, project technical reports, manuals, and guidelines.

    - Background information (websites, reports, national policy papers, or other written information) from relevant government ministries and institutions, as well as other stakeholders.

    - Field mission to the two regions of Chitambo and Serenje to hold interviews with stakeholders, beneficiaries and key informants to obtain in-depth information on impressions and experiences, and to explore opinions about the initiative and stakeholder's suggestions for future action. A

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[6] See Annex 1

[7] UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.

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large number of stakeholder interviews were held with partners who have project responsibilities, including: executing agencies; senior officials and regional technical and facilitation teams; component leaders; key experts and consultants involved in the subject area; Project Steering Committee (PSC); academia; local government; and project stakeholders. The mission was carried out during the period 25ᵗʰ September to 5ᵗʰ October 2018. The mission schedule is available in Annex V.

12. Appendix III was used to systematically collate the data relevant to each outcome sub-activity. In addition, by basing the data collection templates and interview protocols on the evaluation framework, it was possible to match specific pieces of information to the related evaluation question.

13. At the end of the field mission, a round of short discussions with expert witnesses was performed to assess the scope of the emerging results, conclusions and recommendations.

2.4 Structure of the MTR Report

14. The MTR has been undertaken in accordance with the new UNDP guidelines on mid-term reviews (UNDP, 2014) as well as general criteria of UNDP evaluations. This report is structured according to the table of contents that is given in Annex B of the MTR guidelines (UNDP, 2014), starting with an Introduction chapter, followed by Project description, Findings and ending with a chapter on Conclusions and Recommendations, and annexes.

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3   PROJECT DESCRIPTION AND BACKGROUND CONTEXT

3.1 Development context and problems that the project seeks to address

15. Over the past decade, Zambia has experienced an average annual Gross Domestic Product (GDP) growth rate of approximately 6%. Despite the progress in the country's economic and financial performance over recent years, Zambia still faces widespread poverty. Approximately 60% of the population live below the international poverty line of US $1.25 per day and there are notable disparities in incomes between rural and urban areas.

16. In terms of development, the Zambian economy relies greatly on services (59%) and industry (35.6%), while commercial agriculture only contributes approximately 5.4% to GDP. Zambia's economic sectors have been significantly affected by the HIV/AIDS pandemic. Approximately 14% of Zambians are estimated to be infected with HIV, with more females being more infected than males. The higher infection rate in females adversely affects food security and income streams because women, who are more involved in food provision at the household level, cannot participate as frequently or intensely in agricultural activities. In general, labour is constrained by the incidence of disease and sickness. For example, malaria is endemic during the rainy season, and it prevents many people from taking part in farm activities. The sickness also increases medical costs.

17. Currently, the forestry sector's contribution to GDP is estimated to range from 3.7% to 6.2%. This contribution stems principally from wood products such as timber and poles. Forests provide a range of products and ecosystem services, some of which are reflected in monetary terms (timber and derivative products like paper), while others are non-monetary (such as the ability of forest soils to purify water, regulate run-off, sequester carbon). The majority of rural communities rely on ecosystem goods and services from forests, including goods for subsistence agriculture and for their livelihoods. In particular, households living adjacent to forests derive a large portion of their income from forest resources. These sources are mainly from Non-Timber Forest Products (NTFPs) such as herbal medicinal products, wild vegetables and fruits.

18. Zambia's forests are located within the miombo eco-region, which has a notably high species richness. Also referred to as the Zambezian Regional Centre of Endemism, this eco-region covers approximately 3,770 million km^2, extending from the Katanga (Democratic Republic of Congo) to the Vaal River (South Africa). The miombo eco-region consists of Central Zambezian and Southern miombo woodlands, with a relatively high rate of mean biomass increase. However, in most areas of Zambia, miombo woodlands are being degraded as a result of unsustainable management practices such as agricultural expansion, urbanisation and infrastructure development, wood extraction and increasing frequency and intensity of fires.

19. In particular, the increasing demand for charcoal in both rural and urban areas is resulting in higher rates of extraction of wood from forests. The total forest area under charcoal production by communities is increasing. Communities are currently burning vegetation more frequently when compared with traditional practices. In addition, communities have shifted the times of the year during which they burn from early (March–June) to late (October) in the dry season. Such repeated burning of miombo in the late dry season leads to a reduction in woody plant cover and the loss of approximately 8% of wood resources. Frequent fires also destroy seed banks. Subsequently, the regeneration potential of miombo woodlands is being reduced. This shift is underpinned by an increasing demand for thatching grasses, rather than timber products. This degradation is exacerbated by the effects of climate change, including rising temperatures and an increased frequency of drought episodes and extreme rain events. These effects are reducing the capacity of these forests to protect rural communities.

20. The Government of the Republic of Zambia (GRZ) has responded to the challenges of ecosystem degradation and rural poverty by implementing restoration initiatives in participation with local communities. For example, the Ministry of Lands, Natural Resources and Environmental Protection (MLNR) is coordinating 12 initiatives to increase jobs and related revenue in the forestry sector. Importantly, poverty is recognised as a root cause of ecosystem degradation. The GRZ's restoration activities, therefore, promote livelihood diversification and provide employment opportunities for local communities.

21. Despite the positive achievements through national programmes, the sustainability of GRZ's investments in the restoration of ecosystems is threatened by the effects of climate change across Zambia. In particular,

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increases in the intensity and frequency of droughts, floods and extreme temperatures are adversely affecting food and water security, energy production and sustainable livelihoods of local communities. The frequency and intensity of such climate-related hazards are increasing. As such, GRZ's response to the challenge of ecosystem degradation and rural poverty is undermined by the negative effects of climate change.

22. In general, climate change projections outlined in Zambia's National Adaptation Programme of Action (NAPA, 2007), and the First and Second National Communications (INC, 2002 and SNC, 2000–2004) to the United Nations Framework Convention on Climate Change (UNFCCC) show an increase in: i) temperature; and ii) rainfall variability with regards to seasonality and raindrop impact. In general, a reduction in rainfall is envisaged for the hot, dry season, from September to October. An increase in rainfall is expected for the rainy season, especially from December to February. The main effects of these climate projections are prolonged droughts, localised floods and a shortened growing season in Zambia. Currently, this climate variability has adverse effects such as reduced agricultural and food security, reduced forest productivity and climate-related hazards, reduced water availability, and adverse effects on human welfare. These effects, discussed in detail below, are predicted to worsen under future conditions resulting from climate change.

23. With respect to agriculture, the effects of climate change, such as a predicted shortening of the growing season, will prevent important crop varieties from reaching maturation. This loss will negatively affect the agricultural sector and peoples' well-being and livelihoods. The area suitable for growing staple crops in Zambia, such as maize under rain-fed conditions is likely to decline by 80% by the year 2100[8], thereby undermining food security. Experience, within the last 20 years reinforces this conclusion, where prolonged dry spells and shorter rainfall seasons have reduced maize yields to only 40% of the long-term average. Vulnerability assessments have also indicated that agricultural production in the main agro-ecological region (AER), including AER I and II, will experience severe yield deficits at critical periods of the cropping calendar as a result of climate change. These regions are also notable livestock-producing regions, thereby rendering the livestock sector particularly vulnerable to the impacts of climate change, because livestock numbers are strongly correlated with rainfall and temperature. In summary, the anticipated variability in rainfall and increase in temperatures in Zambia will have clear negative effects on food security.

24. With regard to the forestry sector, climate change also poses a threat. The regeneration of the miombo woodland, which usually occurs relatively rapidly, has already been hampered by drought and excessive temperatures[9]. Over 80% of Zambian communities rely on these woodlands for charcoal and fuelwood. Communities are not adapting their harvesting techniques to consider lower precipitation levels, thereby leading to unsustainable harvesting of the woodlands (clearing of forest for agriculture and charcoal production). Therefore, the negative effects of climate change within Zambia will exacerbate the current unsustainable land-use practices. Predicted warming temperatures and longer drought periods will result in an increased frequency and intensity of climate-related hazards.

25. Of particular relevance for miombo woodlands is the expected increase in the frequency and severity of fires in future climate scenarios. Climate change is predicted to result in[10]: i) increased ignition of fires by lightning during more frequent storms; ii) greater biomass production resulting in greater fuel loads; iii) hotter and drier conditions that will result in easier ignition of fuel loads; and iv) windier conditions that will fan fires and cause them to burn more intensely and spread faster than normal. More frequent and severe fires will lead to reductions in woody plant cover and conversion of miombo woodlands to grasslands[11]. This will create enormous costs for communities that currently rely on wood and NTFPs for their livelihoods[12].

26. In the context of water supply, floods and droughts will have a negative effect on the availability of clean drinking water for local communities in Zambia. Droughts will directly reduce: i) the amount of drinking

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[8] Ministry of Tourism, Environment and Natural Resources (2007), *Zambia National Adaptation Programme of Action.*

[9] Ministry of Tourism, Environment and Natural Resources (2007), *Zambia National Adaptation Programme of Action.*
[10] Cochrane, M. (2009), *Tropical Fire Ecology: Climate Change, Land Use and Ecosystem Dynamics.* Springer.
[11] Furley, P. A., R. M. Rees, C. M. Ryan and G. Saiz (2008), Savanna burning and the assessment of long-term fire experiments with particular reference to Zimbabwe. *Progress in Physical Geography* 32(6): 611-634.
[12] Chirwa, P. W. (2014), *Restoration Practices in Degraded Landscapes of Southern Africa.* African Forest Forum, Working Paper Series, Vol. (2)12.

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water available; and ii) surface water reserves in Zambia, by lowering water tables and causing boreholes and streams to dry up. In rural communities, women and children frequently travel long distances to collect water. Therefore, the effects of diminishing surface water reserves will be notable in these areas, as the distances to be walked to collect this resource will lengthen. Moreover, the cost associated with collecting water will have a negative effect on these stakeholders.

27. Besides the effects of droughts on crop failures and limited water availability, climate change will also lead to increases in flooding and contribute to epidemics of water-borne diseases such as malaria. Floods and droughts have additional socio-economic consequences, such as migration. For example, the increased frequency of floods and droughts in the Gwembe Valley has resulted in migration to the nearby cities[13]. The current rate of rural-urban migration (4.15%) exceeds the rate of general population growth (2.88%)[14]. This trend is likely to continue under future climate change scenarios, resulting in increased stress on urban centres to provide basic services and amenities for migrants.

3.2 Project Description and Strategy: Objective, Outcomes and Results

28. The Project Objective is to promote climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province. This objective aims to enhance the adaptive capacity of local communities, by securing ecosystem goods and services that underpin rural livelihoods. Community-based natural resource management (CBNRM) is being supported through the establishment of Village Action Groups (VAGs) that manage forests and are responsible for equitable benefit distribution according to community priorities. In this way, local communities are empowered to plan and implement effective measures for building climate resilience.

29. Interventions are being implemented in Local and National Forest Reserves in Serenje and Chitambo Districts. The Project's immediate focus is 15,000 hectares of local forest under customary tenure. The Central Province has been chosen as the focus of the landscape-based interventions for this project because deforestation and degradation are particularly problematic, as a result of increased conversion of forest for agricultural expansion and the production of charcoal. In addition, late seasonal forest fires affect the regeneration of forests and often result in tree mortality.[15] Within the province, Serenje District is the preferred location because approximately 86% of its protected areas (including National Forest Reserves and Local Forest Reserves) have been encroached upon. There are no forest management plans at the district level.

30. It is noted that the advantage of focusing on Serenje and Chitambo is that the Districts received high scores when compared with forest estates in other districts for assisted natural regeneration (ANR) experience, forest fire management, environmental awareness and education, and effective management of its forest estate. Serenje and Chitambo Districts should provide quick, cost-effective, relatively low-risk, and replicable results. Lessons learned from the Districts are informing policy and decision-makers and implementing and cooperating partners in other districts and provinces.

31. Serenje and Chitambo District forest offices are constrained by the availability of adequate staff to effectively manage the forest estate, and by a lack of operational budgets to execute functions effectively. There have been no previous interventions aimed at promoting sustainable charcoal production and utilization techniques or alternative energy sources[16] within the District. According to the Project Document, particular target communities (beneficiary villages and households), and intervention sites within Serenje and Chitambo Districts were selected in collaboration with the Forestry Department (FD) during project inception.

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[13] Zambia Vulnerability Assessment Committee (2004), *Zambia Livelihood Map Re-zoning and Baseline Profiling*.
[14] Central Intelligence Agency. (2014) *The World Factbook: Zambia.*
[15]Matakala, P. (2014). *Addressing Barriers to Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach: Field Report – Methodological and Partnership Approach and Identification of Potential District Site for the Pilot.*
[16]Matakala, P. (2014),*Addressing Barriers to Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach: Field Report – Methodological and Partnership Approach and Identification of Potential District Site for the Pilot.*

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32. Under this framework, VAGs and the Forestry Department are responsible for developing and implementing community-based management plans. These plans will detail: i) guidelines for managing miombo woodlands in zoned areas; ii) setting limits for resource extraction; and iii) providing benefit sharing. In addition, lessons learned from similar projects, which have been implemented in Zambia for community-based natural resource management and sustainable charcoal production, are being considered during implementation.

33. The objective of the Project is being achieved by implementing a number of activities designed to achieve three key outcomes supported by a fourth component on project management as follows:

    i)   Enhanced capacity of foresters and communities in Central Province, in order to implement appropriate climate-resilient agro-forestry and natural regeneration practices in designated zones.
    ii) Robust fire monitoring and management protection plans and measures in place in all districts in Central Province, to maintain desired regeneration targets and reduce fire frequency by 25-30% annually across the province, within a four-year burning cycle.
    iii) Energy efficient charcoal production and wood-saving technologies have successfully replaced inefficient systems in targeted areas of Central Province, helping offset pressure on the forests as the climate changes.
    iv) A fourth smaller component supports project management to ensure delivery of results and impacts.

34. In addressing the problem, the Project is taking advantage of several processes, policies and strategies that are already in place or have been developed since 2007. The processes, policies and strategies include the following:

    i)   The **National Adaptation Programme of Action (NAPA)**was prepared by the Ministry of Tourism, Environment and Natural Resources (MTENR). The NAPA identifies and highlights urgent adaptation interventions in Zambia and includes a list of ten priority projects. These projects target vulnerable groups such as small-scale farmers, the poor, women and children. However, many of these projects have not been fully implemented. The Project is implementing priority interventions identified in the NAPA and is consistent with the decisions of the ninth Conference of Parties (COP-9)[17]. In particular, the project responds to NAPA priorities 2, 4, 5 and 6 as described below:

         • Promotion of alternative sources of livelihoods to reduce vulnerability to climate change/variability to communities living around Game Management Areas (GMAs): the Project is supporting the diversification of livelihoods through the implementation of agro-forestry and other climate-resilient practices.
         • Management of critical habitats: the Project is supporting the management of indigenous miombo woodlands through climate-resilient restoration methods.
         • Promote natural regeneration of indigenous forests: the Project is supporting the assisted natural regeneration of miombo woodlands in Central Province.
         • Adaptation of land-use practices (crops, fish and livestock) in light of climate change: the Project is supporting the implementation of agroforestry practices in Central Province to increase the adaptive capacity of the vulnerable communities.

    ii) Zambia's **National Long-term Vision 2030 (Vision 2030),** a planning tool that sets out goals and targets to be achieved in social and economic life. This project is contributing towards: i) economic growth and wealth creation; ii) improved food security and climate-resilient livelihoods; iii) the creation of an enabling environment for sustainable socio-economic development and the promotion of integrated environmental management; and, iv) the sustainable use of natural resources.

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[17] And satisfies criteria outlined in UNFCCC Decision 7/CP.7 and GEF/C.28/18.

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iii) Zambia's **Sixth National Development Plan (SNDP)**, which is the implementation strategy for the National Vision 2030. The SNDP outlines national development policies and priority development areas towards achieving sustained economic growth and poverty reduction. Moreover, this strategy focuses on the development of climate change adaptation programmes. Within Central Province, the SNDP is focused on poverty reduction through economic diversification and increased investment in agriculture. The Project is supporting the SNDP through the promotion of agroforestry practices and diversification of livelihoods. In addition, the Project is supporting two of the SNDP objectives for Central Province: Reforestation of depleted indigenous forests; and, Environmentally-friendly technologies for income generation.

iv) The **Zambian Forestry Action Programme** (ZFAP 2000-2020), adopted under the National Environmental Action Plan (NEAP 1994). The objective of this programme is to address the problems of deforestation and enhance the contribution of the forestry sector to national social and economic development. Importantly, this programme provided the framework for CBNRM in the forestry sector. In particular, the **National Forest Policy** (1998) which aims to promote socio-economic development, poverty alleviation and food security, was developed under the framework of ZFAP. This policy recognizes the importance of integrating traditional leaders and local communities in the sustainable management and use of forest resources.

v) Zambia's **Sustainable Energy for All** (SE4ALL), whose goal is to provide reliable, affordable and environmentally sound energy for sustained social and economic development. The SE4ALL Rapid Assessment and Gap Analysis identifies thermal energy for households (including woodfuel and charcoal) as being a priority area for support.

vi) The **National Strategy to Reduce Emissions from Deforestation and Forest Degradation** (NSREDD), which identifies the proximate drivers of deforestation and forest degradation in Zambia. This project is aligned with the following strategic objectives of the NSREDD:
   - Objective 1: By 2030, threatened and unsustainably managed national and local forests are effectively managed and protected to reduce emissions from deforestation and forest degradation and provide ecosystem services across selected landscapes.
   - Objective 2: By 2030, selected high-value forests in open areas are effectively managed and monitored.
   - Objective 4: By 2030, good agricultural practices that mitigate carbon emissions adopted.

vii) Zambia has a **Gender Policy,** which recognizes the disparity that exists between men and women, where women remain a disadvantaged and more vulnerable group. The policy advocates gender concerns, which are regarded as a sectoral as well as a cross-cutting issue. Women are incorporated into the decision-making process and implementation of the Least Developed Countries Fund (LDCF) project. In addition, the LDCF project includes some gender-disaggregated indicators.

viii) Other policies of relevance include the National Environmental Policy (NEP 2004), the National Biodiversity Strategy Action Plan (NBSAP) and the National Forestry Policy (NFP 2014). The NEP identifies Government ministries involved in environmental affairs, a number of which have policies that include environmental matters. Furthermore, the NEP highlights current shortfalls in these policies, including: i) ineffectual mechanisms for community-based natural resource management; ii) weak informal inter-sectoral links; iii) limited up-to-date baseline data; and, iv) inadequate national guidelines for effective integration of international environmental conventions.

35. The Zambian National Biodiversity Strategy Action Plan (NBSAP) aims to promote the conservation, management and sustainable use of Zambia's biological resources and the equitable sharing of benefits from these resources. This project is contributing to two goals of the NBSAP.

- Goal 3: Improve the legal and institutional framework and human resources to implement the strategies for conservation of biodiversity, sustainable use and equitable sharing of benefits from biodiversity. The LDCF project is aligned with this goal and is supporting co-operation among stakeholders and institutions. In addition, it is improving research and knowledge on the sustainable use of biological resources.

- Goal 4: Sustainable use and management of biological resources. The LDCF project supports this goal through: i) implementing community-based natural resource management (CBNRM); ii) building on the existing land information management system; and iii) establishing monitoring

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and evaluation systems. The National Forestry Policy provides a framework for sustainable forest management that will: i) enhance economic development; ii) contribute to mitigation and adaptation to climate change; and, iii) improve the livelihoods of communities through participatory forest management. This project contributes towards the reduction of poverty through its forestry activities.

36. The Project is aligned with the **National Decentralisation Policy (NDP, 2010)** and is informed by several core objectives of this policy. These include: i) empowering local communities by decentralising decision-making functions and resources; ii) implementing a system of "bottom-up" planning and budgeting from the district level; and iii) promoting accountability and transparency in the management and use of resources.

37. Zambia's **National Agricultural Policy (NAP, 2004)** supports the development of a sustainable and competitive agricultural sector. This project is in alignment with the following objectives of the NAP:

- Objective 9: To improve food and nutrition security. The Project supports this objective through agro-forestry and the diversification of agricultural production and utilization.
- Objective 10: To promote the sustainable management and use of natural resources. The Project supports the implementation of community-based natural resource management. In addition, climate-resilient land management and energy practices are being implemented.
- Objective 11: To mainstream environment and climate change in the agriculture sector. The Project promotes and strengthens agricultural practices that are climate-resilient. In addition, awareness-raising activities are being undertaken to promote climate-resilient agro-forestry and farming practices.

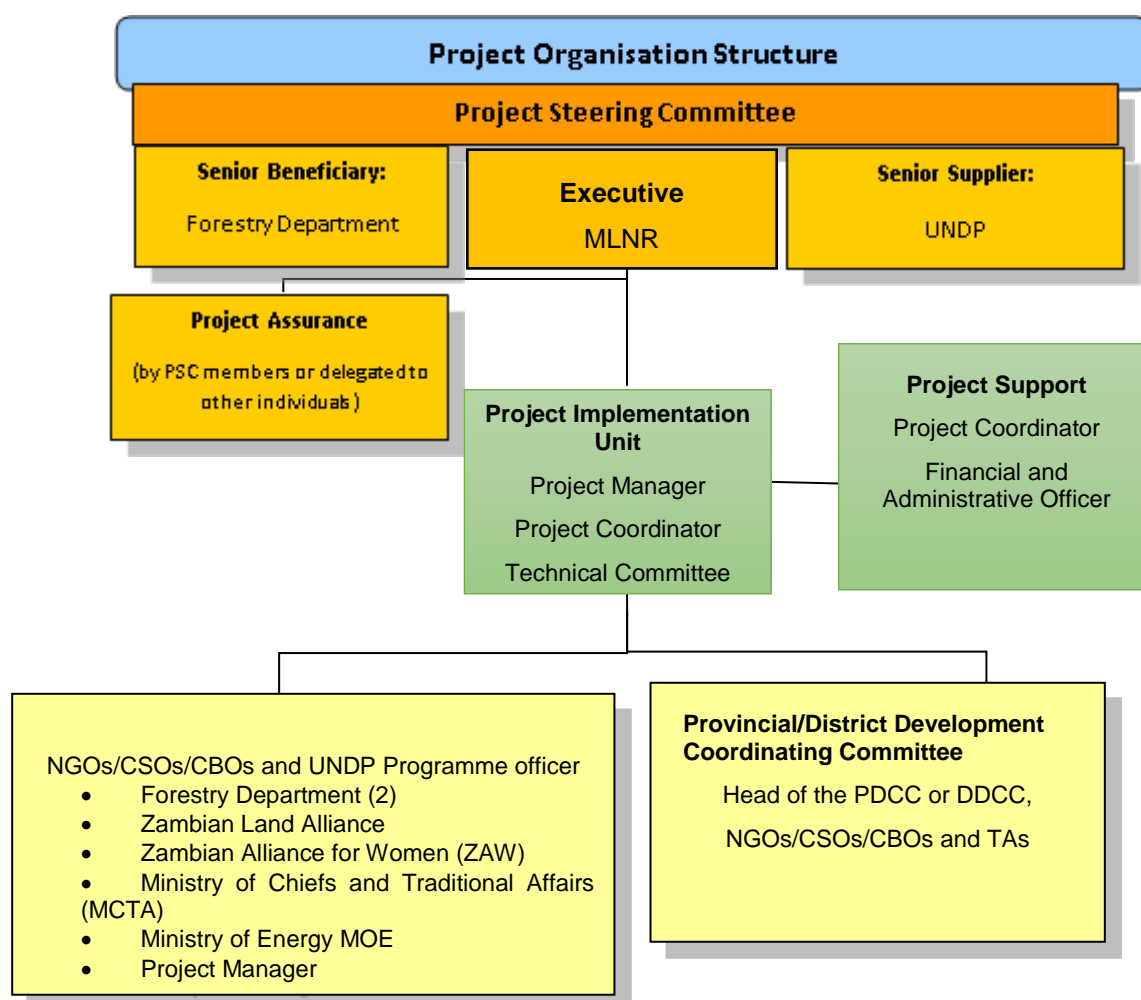## 3.3 Project Implementation Arrangements and Partnerships

38. The GEF implementation agency (IA) for the Project is the UNDP Zambia Country Office. The execution of this project follows UNDP's National Implementation Modality (NIM). The Implementing Partner (IP) for this project is the Ministry of Lands and Natural Resources (MLNR). This ministry has project ownership and has recruited a Project Manager (PM), paid by the Project to coordinate operations. Stakeholders that are involved in the Project benefit through technical support and training on relevant topics. Such ministries include: i) MLNR; ii) Ministry of Agriculture (MoA); ii) the Ministry of Chiefs and Traditional Affairs (MCTA); iii) the Ministry of Energy (MoE) iv) regional government stakeholders; and v) Community-Based Organisations (CBOs). However, the main beneficiaries of the LDCF project are local communities in Central Province, Zambia.

39. The Project Steering Committee (PSC) is chaired by MLNREP and is responsible for approving project activities. Based on the activities approved by the PSC, the Project Implementation Unit (PIU) ensures the provision of funds to all institutions/organisations to undertake relevant activities. All Executing partners/Responsible Parties are responsible for managing tasks allocated to their institution/organisation. To clearly define the responsibility of each Executing partner/Responsible Party during project implementation, Memoranda of Understanding and Terms of Reference were developed under the guidance of the PIU. Moreover, a Letter of Agreement was developed to detail all additional services required of UNDP, beyond its role of overseeing project implementation. For example, the IP has requested UNDP to provide execution support services such as recruitment, procurement, assistance for training and payments services.

40. The PSC was established by MLNR and is responsible for approving reports and activities. This Committee also provides guidance for the proper implementation of the Project. Members of the Project Steering Committee include UNDP, representatives of District Councils, MoA, MoE, Ministry of Chiefs and Traditional Affairs (MCTA), ZEMA, Zambia Climate Change Network and others. The PSC plays a critical role in project monitoring and evaluation by quality-assuring processes and products and using evaluations for performance improvement, accountability and learning. Additionally, the Committee does the following:

- ensures that required resources are committed;
- arbitrates on any conflicts within the project; and,
- negotiates a solution to any problems with external bodies.

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41. Furthermore, the PSC approves the recruitment and responsibilities of the PIU and any delegation of its project assurance responsibilities. The Committee is also responsible for approving any deviations from the original project document in the approved Annual Work Plan (AWP). The Committee convenes twice annually. Members of the PSC are validated during the Project Appraisal Committee (PAC) meeting. In addition, representatives from other institutions/organisations can be included in PSC meetings as appropriate.

42. The PSC includes four distinct divisions/roles:

- i) An **Executive** (from MLNR) is an individual who chairs the PSC.

- ii) The **Senior Supplier** (SS) (from UNDP) is a group representing the interests of the parties concerned. This group provides funding for specific cost-sharing projects and/or technical expertise to the project. The primary function of this supplier is to guide the technical feasibility of the Project and align the outcomes/outputs with LDCF policies.

- iii) The **Senior Beneficiary** (SB) (from FD) is a group representing the interests of those who are ultimately benefiting from the Project. The primary function of the SB is to ensure the realisation of project results from the perspective of project beneficiaries.

- iv) The **Project Assurance** (PA) (from UNDP Zambia Programme Officer and UNDP-GEF) is supporting the PSC Executive by undertaking: i) objective and independent project oversight; and,- ii) monitoring functions in line with UNDP and GEF/LDCF policies and procedures.

43. The **Project Manager** (PM) is recruited to manage the project including undertaking financial management. In addition, the CBNRM Manager, who is part of a CBNRM team, was recruited locally by the Project. This decentralised organisation structure builds on the success of decentralised approaches in Kafue and South Luangwa and is workable in the current fluidity of the institutional situation in Department of National Parks and Wildlife, Forestry, and related Ministries. The PM has the authority to run the project on a day-to-day basis on behalf of the IP, within the constraints laid down by the PSC. Work and financial disbursements are guided by the AWP, developed through a process of performance review and work planning, and is approved by the Project Steering Committee and UNDP. The PM's main responsibility is to ensure that the Project achieves the targets described in the project document, to the required standard of quality and within the specified constraints of time and cost. The PM is accountable to UNDP, the IP and the PSC. The activities undertaken by the PM are being monitored for quality, timeliness and cost-effectiveness. The PM is also responsible for coordinating budgets and work plans at the regional level with the Regional Committees (RCs). The PM is being assisted by a Technical Committee (TC), a Project Coordinator (PC) and a Financial and Administrative Officer.

44. A representative from MLNR is assigned as the **Project Coordinator** (PC) to support the PM with: i) overall administration; and, ii) maintaining liaison with UNDP. This coordinator was recruited by FD and is a permanent staff of FD.

45. The **Technical Committee** (TC) includes the following permanent members: Forestry Department (2 representatives), the UNDP Programme Officer, the PM, a representative each from the MoA, Zambian Climate Change Network (ZCCN), Zambian Land Alliance (ZLA), Zambian Alliance of Women (ZAW), MCTA and MoE. The role of the TC is to provide technical advice and guidance to the PIU, namely financial and technical support as required by the needs of this unit. The Technical Committee is required to meet once per month to ensure timely project implementation.

46. The **Project Implementation Unit's** (PIU) overall role is to ensure that comprehensive technical and management support is provided to project implementers and local beneficiaries, such as overseeing knowledge management and Monitoring and Evaluation (M&E). Importantly, the PIU has adequate capacity to provide support for technical and financial activities, and the team of PM, PC and the TC works collaboratively in the fields of natural resource management, economics, political science and organisational issues. In discharging its functions, this unit must be able to ensure that activities are designed and implemented in line with national and international best practices.

47. **Private Sector Partnerships** are a critical part of climate change response and governments. Development partners emphasize the need to engage the private sector in developing deforestation-free supply chains and promoting corporate social responsibility. Engaging COMACO in such a development project is innovative and strategic and should be encouraged. COMACO provides services to small-scale

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farmers. The support services provided by COMACO address issues of resilience by recommending crops and production technologies that promote soil improvement, as well as viable income opportunities, reforestation and forest regeneration activities. Preferred technologies are those that can be started after brief training with low, or preferably no, input costs whilst benefiting from ongoing training and updates to advance continued understanding of soils and diversification of income opportunities both on and off the farm. In addition, COMACO provides training on improved ways to promote food security, diversify income and mitigate the effects of extreme events, pest problems and various social and health challenges arising from climate change. COMACO's operations extend throughout much of Eastern, Muchinga and Central Provinces. It has helped to introduce commercial attitudes into the community. It has helped transform the subsistence culture into a commercial mindset among communities who now look at livelihood activities as a business rather than mere survival activities.

48. **Regional Committees** (RCs) provide a supporting role to the PIU to avoid duplication and promote complementarity of similar initiatives. The RCs in Serenje and Chitambo Districts include: i) the head of Central Province; ii) two members of Serenje and Chitambo Regional Councils; and, iii) heads of locally-based NGOs/CSOs. The District head is responsible for two-way communication with all communities in the RC's jurisdiction. The responsibility of the RCs is to ensure close cooperation with the national and local governments/organisations for the purposes of implementing local activities, discussing technical issues, setting priorities, resolving conflicts and supervising site-level activities. The RCs are accountable to the PIU. The whole project management structure is presented in Figure 3-1 below.

Figure 3-1 Project Institutional setting

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49. To ensure UNDP's ultimate accountability for the project results, decisions made by the Project Steering Committee are in accordance with UNDP standards that promote the following values: i) management for development results; ii) best value for money; iii) fairness; iv) integrity; v) transparency; and vi) effective international competition. If consensus cannot be reached by the PSC on a particular topic, the PM makes the final decision. At the national level, the PSC collaborates closely with MNLR, ZEMA, MOE, MCTA and key actors in civil society.

3.4 Main stakeholders

50. The management of forests and other natural resources requires the concerted effort of a range of stakeholders. Therefore, stakeholders at both national and local levels are engaged during the implementation of the Project. This process commenced during the Project Identification Form (PIF) and project preparation phases. Based on the regional CBNRM experience and the lessons learned from Zambian CBNRM, the Project allows for the adoption of a local-level institutional arrangement framework that has recently been developed for REDD+ in Zambia[18] and is based on the following principles:
    - Development of business enterprises, focusing on the sustainable utilisation of forest resources.
    - Capacity building through experiential learning and a participatory forest management approach within the Forestry Department.
    - Development of robust institutional linkages for collaborative management.
    - Adoption of sustainability strategy elements.

51. The Project assists communities in the development of appropriate and sustainable forest resources and land-use management practices, in order to alleviate human-induced pressure on natural resources. Furthermore, the Project addresses on-site planning and the development of appropriate management regimes. This approach ensures that knowledge is generated together with the intended users, facilitating access to knowledge and technology and ensuring it is more effective than when technologies are imposed on users. Furthermore, the Project is helping to create a community-based cadre of people in technology development, who will alleviate the formal shortage of extension personnel.

52. The institutional structure of the Project reinforces the linkages between government ministries and relevant departments, regarding decentralised planning and facilitation of development activities at the district level. This structure ensures district-level ownership of the project. At the community level, the Project is equally be facilitated through legally-constituted VAG structures to support the activities post-project. An overview of the role of the different stakeholders in the project is outlined below in Table 3-1: Key stakeholders and proposed roles.

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[18] Zambian Forestry Department and UN REDD (2012), *Forest Management Practices With Potential For Redd+ In Zambia, Final Report*.

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Table 3-1: Key stakeholders and proposed roles

Key Stakeholder	Role in Project
Forestry Department (FD) – Ministry of Lands, Natural Resources and Environmental Protection (MLNR)	Overall lead agency, Chair of the Project Steering Committee and key implementing partner. The FD and MLNR are responsible for the mapping and zoning under Output 1 and training of district forestry officers under Output 1.4. In addition, the FD and MLNR assist with the development of fire monitoring and management plans under Outcome 2.
Ministry of Agriculture	Key Implementation Partner for Component 1. MAL assists with the identification and implementation of agroforestry techniques.
Ministry of Community Development, Mother and Child Health (Community Development Department)	Community Development Department District Officers play a key role in assisting with training and awareness-raising campaigns at the District level under Outputs 1.4 and 2.4, as well as for Component 3.
Ministry of Local Government and Housing (MLGH) – Town Councils	The mandate of DCs includes district governance and administration, including the establishment of by-laws, maintenance of law and order, the imposition of levies, planning, infrastructure development, protection of local forests and woodlands, road maintenance, the establishment of social and recreational amenities, maintaining postal services, sanitation and drainage, and community development. The DCs play a key role in regards to activities to be undertaken by VAGs.
Ministry of Energy (MOE)	Key Implementing Partner for Component 3. The MOE provides technical support for the development of renewable energy technologies.
Ministry of Chiefs and Traditional Affairs (MCTA) – House of Chiefs	The MCTA plays a key role in community involvement and participation, assisting with the establishment of VAGs and delineation of boundaries (Outputs 1.2 and 1.3), allocation of lands for wood fuel collection zones (Output 1.5) and the establishment of charcoal producer groups (Output 3.1).
Village Action Groups (VAGs) /	Key units of BENEFIT, ACTION and ACCOUNTABILITY for all site-specific activities under both components. VAGs establish, monitor and manage land use plans and protected forests, and act as the main entry point for all site-level activities. VAGs have been established to implement members' directives with annual elections, maintain membership records, and conduct quarterly general meetings for submission of reports and finances. VAGs are responsible for undertaking activities under Outcomes 1, 2 and 3.
UN-REDD Programme, Zambia	In-depth cooperation on implementation, particularly with regard to project design, institutional arrangements and monitoring under Outcome 1. The activities are in alignment with the Sustainable Forest Management analytical framework, which prioritises practices perceived as having the highest potential for REDD+ implementation in Zambia.
Zambia Climate Change Network (ZCCN)	Cooperation on design and implementation; ZCCN may also be sub-contracted by MLNR to implement specific activities. ZCCN sits on the PSC as a representative of civil society.
Local NGOs/Private Sector	Cooperation on design and implementation and possible sub-contracting for various activities. Several NGOs, including Pioneer and COMACO, are key stakeholders in the design of the ANR and agro-forestry schemes. COMACO is an NGO with a significant commercial focus hence can also be considered a strategic private sector partner because of its operating framework.
Copperbelt University / Zambia Forestry College	Key monitoring and capacity building partner for: provision of support services (research, monitoring and training), development of training manuals and support services to resource monitoring, and dissemination of scientific information.
Centre for Environmental Research, Education and Development (CERED)	Cooperation on agroforestry research, technology dissemination, education (curriculum design and development), agroforestry scaling up including the provision of agroforestry germplasm, SFM and climate-smart agricultural practices (adaptation and mitigation)
Zambia Women's Alliance	Involved in all gender-related activities.
Zambia Land Alliance	Involved in all land-rights related activities.

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4 FINDINGS – PROJECT STRATEGY

54. This section of the report provides a detailed analysis of the project achievements, challenges and shortcomings at the mid-point. The findings are based on the questions outlined in the inception report and derived from the evaluation criteria outlined in the Terms of Reference and Annex II of this report. The inception report was presented at the beginning of the country mission.

4.1 Project Design (Relevance)

55. The Project is highly relevant considering the challenges that Zambia faces with regards to deforestation. The 3 Outcomes are relevant and indeed contribute to addressing climate-resilience, community-based regeneration of indigenous forests. These are priorities for the Zambian Government, as outlined in the various policy documents and plans such as the Zambian Forestry Action Programme (ZFAP 2000-2020), National Environmental Policy (NEP, 2004), the National Biodiversity Strategy Action Plan (NBSAP) and the National Forestry Policy (NFP, 2014), National Agricultural Policy (NAP, 2004), and the National REDD+ Strategy NRS (Reducing Emissions from Deforestation and Forest Degradation) 2016. The targeted forests are threatened in terms of deforestation and degradation, predominantly as a result of increased conversion of forest for agricultural expansion and the production of charcoal. In addition, late seasonal forest fires affect the regeneration of forests and often result in tree mortality.

56. Zambia has initiated various Acts, which directly or indirectly address climate change and environment issues. The NFP provides a framework for sustainable forest management that will contribute to mitigation and adaptation to climate change. The NRS has a goal of adopting good agricultural practices that mitigate carbon emissions by 2030. Given the relevance of the challenges and existing policies, the underlying assumptions, therefore, validate project design.

57. The Project Strategy takes into consideration several factors to ensure that it provides the effective route towards the expected results. Such factors include country ownership, consistency of objectives and priorities of the LDCF with national priorities, the inclusion of baseline projects, and ongoing national and regional initiatives.

58. With respect to country ownership, the design of the LDCF project is based on information received from a range of stakeholder consultations conducted in Zambia during the baseline assessment. The participatory approach affirms that the Project reflects the needs of national stakeholders, hence there is country ownership.

59. With regard to consistency with national priorities, the project design is aligned with the recommendations contained in several government policies or strategies. These include the National Climate Change Response Strategy (NCCRS), which was developed to support and facilitate a coordinated response to climate change in Zambia; and the Zambian Forestry Action Programme (ZFAP 2000-2020) adopted under the National Environmental Action Plan (NEAP) to address problems of deforestation and enhance the contribution of the forestry sector to national social and economic development. Importantly, the programme provides the framework for CBNRM in the forestry sector, an important element in promoting climate-resilient, community-based regeneration of indigenous forests. Furthermore, the Project Strategy is aligned with Zambia's Sixth National Development Plan (SNDP), which outlines national development policies and priority development areas towards achieving sustained economic growth and poverty reduction. Consequently, the project concept is in line with the national sector development priorities and plans of the country.

60. With respect to the objectives and priorities of the LDCF, the Project Strategy is consistent with LDCF objectives CCA-1, "Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change", and CCA-2, "Strengthen institutional and technical capacities for effective climate change adaptation". The project design also considers several baseline projects and ongoing national and regional initiatives such as the MLNR's National Tree Planting Programme through the Forestry Department (NTPP), which will provide co-financing to the proposed LDCF project, and the Pilot Programme for Climate Resilience (PPCR). Funded by the World Bank, and currently being implemented (2014–2018) the PPCR project, titled "Strengthening Climate Resilience Project", will strengthen Zambia's institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse sub-basin in the Western Province. These baseline projects and on-going initiatives provide lessons that have been incorporated into this project. There are synergies between

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the projects, in terms of developing innovative techniques for reducing climate change vulnerability of communities using ecosystem management practices.

61. A Project Steering Committee (PSC) was successfully established and is responsible for making management decisions. The establishment of this committee is an important way of enhancing ownership and multisectoral coordination.

62. Zambia has a Gender Policy that was adopted in 2000. This policy recognises the disparity that exists between men and women, acknowledging that women remain a disadvantaged and more vulnerable group. The policy advocates gender concerns, which are regarded as a sectoral as well as a cross-cutting issue. Involvement of the Zambia Women's Alliance, (an NGO that promotes the themes of equality, development and peace) as a stakeholder in the implementation of activities is evidence that gender issues were raised in the project design. Women are incorporated into the decision-making process and implementation of the Project. In addition, the LDCF project includes gender-disaggregated indicators. Furthermore, UNDP's emphasis on the application of the Human Rights Based Approach and its emphasis on gender equality in development programming grounded the implementation of the project in these important development principles.

63. However, the design of Outcome 3 is moderately unsatisfactory because of a design deficiency and a gap in framing the intervention approach. The outcome could have benefited from additional background analysis and lessons from other countries. It is noted that the Project has developed some prototype small manually operated briquetting machines and is already planning to carry out training. However, there is no evidence that a feasibility and socio-economic analysis was planned or has been carried out to determine potential adoption and barriers. A similar approach was tried in Tanzania (PIMS 3091) with unsatisfactory results largely due to the economic viability of small briquetting machines. UNDP is supporting at least six sustainable charcoal initiatives in the region and it is noted that the Uganda sustainable charcoal project has been particularly successful[19]. The MTR team´s view is that before making major investments in this Outcome, considerations should be made to gather lessons from other projects with support from the UNDP Regional Service Centre (RSC).

4.2 Project Design – Results Framework and Log frame (Effectiveness)

64. The greater part of the design of the Project is relatively effective. However, while the project's objectives and outcomes are generally clear, practical, and feasible within the stated timeframe, there are aspects of the design where understanding the level of achievement is unclear. The project is targeting 3000 beneficiaries and, to date, the AMAT reflects an aggregate figure of 3324 direct beneficiaries. Based on data from various reports the MTR team reconstructed Table 4-1 breaking down beneficiaries by type of activity. Reconciling the various figures is not clear therefore the PIU is encouraged to reconcile the figures for reports to be easier to understand.

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[19] The Green Charcoal Project - Addressing Barriers to Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach

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Table 4-1 Breakdown of beneficiaries by activity

Activity	Target	Beneficiaries
ANR beneficiaries	**3000**	**2675**
• Conservation Agriculture	659	710 trained
• Agro-Forestry		152 trained
• Beekeeping,	616	381
• Gardening	221	284 trained
• Beekeeping	616 (Households)	537 (Trained) 4,000 bee hives procured and hive allocation is 7 hive per household

65. There MTR team believes the sequencing of some activities in the Project could have been more effective and efficient. Following field visits and discussions with VAGs and user groups, the mission observed that the sequencing of activities could have benefited from better planning and could be improved. Having planned and agreed to provide a wide range of inputs for VAGs and user groups (beekeeping, gardening, conservation agriculture, small livestock, fish, treadle pumps, knapsack spray pumps) it would have been more efficient and effective to procure these implements so that they could be distributed immediately following the training. There are groups that have been trained in these activities and have subsequently had to wait for several weeks to receive the necessary inputs. Training of VAGs and user groups in different livelihood activities was adequate, but the time lag between training and provision of livelihood inputs has created anxiety and has the potential to result in a loss of interest from the community.

66. The project also lacks visibility. For example, Outcome 2 intended to develop and disseminate awareness-raising material for fire management. Community groups have been formed and trained and ANR areas demarcated. However, the project could benefit from increased profile through awareness raising material (pamphlets, infographics, signage showing ANR areas). Ideally, such material should have been developed at the beginning of the Project.

67. With regards to Outcome 3, it is noted that the Project has developed some prototype small manually operated briquetting machines and is already planning to carry out training. However, there is no evidence that a feasibility and socio-economic analysis has been carried out to determine potential adoption and barriers. There is a potential conflict of policy. Briquetting machines are designed to use crop biomass residue, yet there is an agriculture policy drive for composting and soil enrichment also from crop residue.

68. There is further feedback from some of the community groups regarding the manner in which some implements are being distributed. For example, the idea of three to four families sharing a single knapsack spray or treadle-pump has logistical challenges in cases where the families live long distances apart. In one example, the families sharing a treadle pump lived up to seven kilometres from each other. Although it is understandable that the project cannot afford to provide every family with these implements, it would be beneficial to group users according to the proximity to each other.

69. The major implication of sub-optimal sequencing is that it limits options for adjustments once an investment is made. This implication is compounded when coupled with communication challenges, which are raised later in this report. Project teams need to apply critical path analysis and understand activity inter-dependencies prior to commencing a project. During the field trip, the Review Team was made aware of delays in distributing beehives. This delay occurred because the individual technical teams expressed different opinions regarding the design of the beehives. For the MTR, the technical design of the beehives is immaterial, but the critical pitfall lies in the process, coordination and communication between the teams. Design specifications should be resolved and agreed through a consultative process. Prototypes should be tested and agreed before mass production. The various parties involved have different roles and

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responsibilities. However, the project design lacks terms of reference for each of these implementing partners. Consequently, there are inherent assumptions that each party "knows what to do". Misunderstandings can be avoided by using specific terms of reference, especially for service delivery contracts such as the one for COMACO.

70. The project indicators are generally specific, measurable, and relevant, but some are not necessarily time-bound. An indicator that is Time-bound specifies the actual target for completion, as well as the objective. For example, a Time-bound indicator would specify "Number of foresters and members of local groups in Central Province participating in climate-resilient, community-based regeneration of indigenous forests by December 2018", instead of simply stating "Number of foresters and members of local groups in Central Province participating in climate-resilient, community-based regeneration of indigenous forests".

71. The only indication that there is a time limit to each indicator is the common knowledge that the project will end in 2020, but even that needs to be stated in the End of Project Column of the Log frame. It is important that indicators show timelines within the project life cycle, in order to strengthen the annual planning process. It is understandable that annual work plans are the basis for implementation, but a reflection of the overall timeline is important for project risk management, prioritization, and monitoring and evaluation. Information about interim deliverables and targets provides a clearer picture of the overall project timeline.

72. It is understood the ZEMA is working on an advanced monitoring system and some basic workshop-based training was provided to district staff in geospatial technology and satellite image interpretation for fire detection. It is also noted that a set of computers were acquired through the Project. An important aspect for consideration is that technology requires constant use in order to retain the knowledge, otherwise staff need regular retraining. At present, it does not seem there is regular use of the geospatial applications.

73. According to the PIR of 2017 no measurement of the extent to which fire frequency had been reduced has been recorded for Indicator 2.2 which states "*Change in frequency of fire across all districts in Central Province* of Outcome 2 *Robust fire monitoring and management protection plans and measures in place in all districts in Central Province to maintain desired regeneration targets and reduce fire frequency by 25-30% annually across the province, within a four-year burning cycle*". It is noted that fire management plans have been developed, but it is also necessary to report on the frequency reduction as stated in the indicator. The 2017 PIR simply states that "the achievement of the outcome on capacities for communities and local authorities for fire management is on track."

74. The PIR states that "The achievement of the outcome on capacities for communities and local authorities for fire management is on track." There are targets that need to be closely monitored to ensure they achieve the intended benefits. For example, Indicator 3.1 "*Change in the number of users of improved charcoal kilns and briquetting machines* which is targeting to have *at least 120 community members using charcoal retort kilns; and 50 community members using charcoal or sawdust briquetting machines (20% of who should be women).* Based on the 2018 Quarter 2 Report, the project had only created awareness in 30 VAGs on alternative energy sources and training planned to be carried out in Quarter 3. However, the more pertinent issue with Output 3.1 is the need for clarity on the way forward especially determining potential adoption rates of briquetting machines and implementing a licencing system for the kilns introduced in the charcoal producer groups.

75. The Project has promoted gender development with reasonable gender balance in the VAGs, which are the principal community leadership organs for the project and also in general social development. The project area has a total of 30 VAGs, although not all were visited. The following table outlines the gender balance in the 26 VAGs visited.

Table 4-2 VAG Composition

Number of VAGs	Individual Committee Structure	
	Number of Women	Number of Men
12	5	5
9	4	6
3	6	4
2	3	7

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Total People	120	140

76. Indicators generally consider gender and the project does support the participation of women. Table 4-2 shows that the majority of VAGs that were visited have an equal balance (46%), while 42% have more men and 12% have more women. The women members of all VAG executives participate freely in decision making.

77. In line with the findings, the MTR team finds the project design satisfactory but we also point out that revisiting the design of Outcome 3 could improve this rating at the end of the project.

Table 4-3 Ratings for design relevance

Outcomes Ratings	Rating
Outcome 1	S
Outcome 2	S
Outcome 3	MS
Overall Rating for Design Relevance	**S**

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5   FINDINGS: PROGRESS TOWARDS RESULTS

78. This section describes the progress under each outcome at the mid-point of the implementation. Table 5-1 provides a detailed progress indication at outcome and indicator level as well as the MTR Team's justification for the rating. There are significant interdependences between the outcomes and indicators. The outcomes will achieve sustainability and potential up-scaling only as a package, rather than as individual components.

Table 5-1: Outcome, Indicator Progress and Rating Matrix

Outcomes, Outputs, Indicator	Achievement Rating[20]	Justification for Rating
Objective: To promote climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province, thereby securing ecosystems goods and services and enhancing the adaptive capacity of local communities. **RATING: SATISFACTORY**		
Indicator 1: Number of foresters and members of local groups in Central Province participating in climate-resilient, community-based regeneration of indigenous forests.	Satisfactory (S)	The most significant and strategic achievement of the Project so far appears to be the high levels of community awareness and commitment to sustainable natural resource management, especially forest conservation. The Chitemene (slash and burn) system of agriculture has already declined. The destructive consequences of charcoal burning are also fully appreciated by communities, and this practice of livelihood is expected by communities to significantly reduce once the Project's alternative livelihoods are implemented. Communities see sensitization of children as vital to long-term culturalization of natural resources conservation. Families are already rolling their training to their children at household levels, and now feel the sensitization programme should also target children in the school environment. In all the community areas where training has been undertaken, there is a transformation of the mindset from peasant (hand-to-mouth) production to commercial production. With this change in mindset, the prospects of growth among user groups are high.
Indicator 2: Number of households benefiting from climate-resilient, community-based regeneration of indigenous forests.	Satisfactory (HS)	
Outcome 1: Strengthened technical and institutional capacity of foresters and communities in Central Province to implement appropriate climate-resilient agro-forestry and natural regeneration practices in designated zones. **RATING: MODERATELY SATISFACTORY**		
Indicator 1: Change in capacity score of district forestry officers and Village Action Group (VAG) members for planning and implementing Assisted Natural Regeneration (ANR) and agroforestry interventions (CCA Indicator 10).	Satisfactory (MS)	Substantial capacity building has been carried followed by the establishment of VAGs, which provide a local community leadership and mobilization forum for effective participation in community conservation. 30 VAGs cover all the affected communities, indicating broad community participation in the Project Training is on-going in various areas. Groups have been formed in targeted income-generating activities, but

[20]Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

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Indicator 2: Climate-resilient agro-forestry and ANR practices implemented across 15,000 hectares (CCA Indicator 2).	Satisfactory (S)	training has not been carried out in fishing and modern charcoal production. Input takes time for those trained. But are expected to arrive during the project period
		At household level benefits are expected mainly through the livelihood activities and improved harvests from sustainable use of forests. By the end of Project, many livelihood activities are on course to deliver benefits. Once the forests are restored through regeneration, there will be improved harvest from the sustainable use of forests. There is strong community commitment to sustainable use of natural resources.
		For indicator 2, the area of ANR demarcated has exceeded the target (15,560ha have been identified, mapped and shared).

Outcome 2: Robust fire monitoring and management protection plans and measures in place in all districts in Central Province to maintain desired regeneration targets and reduce fire frequency by 25-30% annually across the province, within a four-year burning cycle.

RATING: MODERATELY SATISFACTORY

Indicator 1: Change in capacity score of district forestry officers, VAG members and local authorities for planning and implementing fire management interventions	Moderately Satisfactory (MS)	Training given to selected community members in fire management has already been rolled to communities, who feel confident about their role in fire management. However, there are limitations that mainly arise from insufficient equipment, notably communication tools and firefighting equipment.
Indicator 2: Change in frequency of fire across all districts in Central Province.	Moderately Satisfactory (MS)	

Outcome 3: Energy efficient charcoal production and wood-saving technologies have successfully replaced inefficient systems in targeted areas of Central Province, helping offset pressure on the forests as the climate changes.
RATING: MODERATELY UNSATISFACTORY

Indicator 1: Change in the number of users of improved charcoal kilns and briquetting machines	Moderately Unsatisfactory (MU)	The project is introducing efficient cooking stoves and supporting the design of manually operated charcoal briquette making machines.
		The success of interventions lies in the execution and ongoing support, as well as careful selection on the basis of economic viability, the rate of return and payback period. As highlighted, the small charcoal briquette making machines proposed by the project are unlikely to be economic, or sustainable, and unlikely to be voluntarily and widely adopted because they are simply not profitable. A GEF funded project in Tanzania attempted this approach and faced significant challenges and resulted in limited success. However, there are other projects in the region that could provide useful lessons, and these should be explored.

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5.1 Progress towards outcomes analysis – Effectiveness

79. This section describes the achievements and progress at the outcome level and looks at the activities in more detail regarding how effective they are and how efficient implementation has been. As highlighted in Section 4.1 regarding the project design, the MTR Team has found it relatively challenging to construct a simple matrix to indicate project baseline, mid-term targets and end of project targets for each of the Outcomes. It is therefore strongly recommended that the PIU revisit each outcome and make efforts to establish credible quantitative baseline and targets, as outlined in tables under each Outcome in this section. The current results matrix is attached separately to this report.

80. The achievements of this project and eventual impact will come from the manner in which the project activities are implemented and in particular, how well it promotes local ownership, connects findings from the demonstration activities to policy, and contributes to national level policy formulation and improvement. We have outlined in Section 4 concerns about the sequencing and potential impact on efficiency.

81. With respect to gardening, only some inputs have been delivered after training the farmers in some aspects of horticulture. The same frustration is evident with respect to conservation farming. Some farmers feel the number of seeds supplied is not enough. Arrangements that involve sharing of equipment, such as a treadle pump shared among four people who are separated by long distances, are not practical. Neither is the notion of 12 farmers sharing a sprayer. These arrangements are in place because the farmers are encouraged to cultivate a common plot. However, farmers do not like to work on a common plot for the sake of sharing implements. Moreover, there is no assured market access for vegetables to be produced.

82. In view of this observation, the MTR team does not have much confidence in the communal use of parcels of land for vegetable gardening. The team, therefore, suggests that it would be convenient if communal use of land in gardening were discouraged. These shared-resource systems can lead to a phenomenon called *Tragedy of the Commons,* whereby individual users act independently to serve their own interests as opposed to working towards the common good. This phenomenon can actually result in poor land-use practices and hence degradation. There is vast literature that suggests users do not have emotional ties to with communal land because they are not the *de facto* owners[21]. With respect to sharing equipment, the team recommends that as farmers have different productive capacities and operational environments, flexibility in the provision of equipment and inputs may have better outcomes than from existing uniform approaches. While sharing of equipment/ implements may be inevitable, the members sharing a piece of equipment should be flexible, practical and must consider distances between farmers. With respect to market access challenges for fresh produce, the Project should explore the possibility of training farmers in appropriate vegetable preservation/drying methods, while COMACO should guide farmers on market access.

5.2 Remaining barriers to achieving the project objective

83. The barriers to achieving the project objective can be linked to the identified challenges, specifically the issues of project mainstreaming into institutional business as usual and achieving adequate communication. The mainstreaming of project outputs at the district level could be hampered by capacity weakness such as limited annual fiscal allocation for basic operational requirements for transportation, computing and communication infrastructure.

84. Implementation of Outcome 3 outputs requires some further considerations and analysis of socio-economic benefit potential including assessing lessons from other similar activities implemented by UNDP in the region. Undertaking such an analysis could easily improve the utility and subsequent direction that the project will take in implementing the proposed activities.

85. While acknowledging project developments in fire management training needs assessment, fire management plans (Musola, Teta, Musamgashi, Mweshi Butetele and Nakatambo), and training, there are still some observations that raise some concerns. The effectiveness of fire management plans will depend on the capacity of communities to timely communicate and signal fire outbreaks, with support from the district offices. Anecdotally, the early warning fire system has some gaps, including a lack of basic

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[21] Lee, L.K. (1980) The impact of land ownership factors on soil conservation. *American Journal of Agricultural Economics,* 62, 1071-1076.

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communication tools. It is understood the Project has procured short-wave radios (walkie-talkies) to distribute to communities. The MTR Team is concerned about the lack of expedient distributing of such necessary tools and in ensuring that any new technology introduced is practical, affordable and easy to maintain.

86. The proposed approach to promote sustainable charcoal production requires robust socio-economic analysis. The Project has proposed to test the use and uptake of manually operated charcoal briquetting machines. There are several factors that need to be considered regarding the introduction of new technologies for sustainable charcoal production, as charcoal is an important part of the Zambian economy (2.3% of GDP) and a source of income for a wide range of beneficiaries (FAO 2017). Reducing or curbing unsustainable charcoal production requires the following considerations:

- Several countries in the region face challenges in controlling unsustainable and predominantly illegal charcoal production. Many pilot programs have been implemented to improve the sustainability of production. Therefore, it is necessary to undertake a lessons learned exercise to explore methods and measures that are likely to be successful and sustainable. A 2017 brief report by FAO outlines how the government, with the support of the Forest and Farm Facility (FFF), is exploring ways to help recognize and organize the actors in charcoal value chains, contributing to more sustainable management and improved capture of value by producers, traders and the government. Any efforts in the sector should be complementary to other efforts and government policies or at least contribute to better policy formulation.

- Any new technology should offer better and higher recovery rates compared to traditional charcoal making, in order to reduce waste and wood consumption (currently, recovery rates are estimated at 20%). Furthermore, alternative options must offer social and economic incentives that offer similar or better livelihood benefits across the charcoal value chain.

- Since the project has already planned to pilot briquetting, it is, therefore, advisable to do so on a limited scale and make an assessment based on the results of the pilot which will contribute to a socio-economic and value chain analysis.

87. Base on the findings outlined in this section, the MTR rates the progress as moderately satisfactorily (Table 5-2). With some corrective actions to some of the mechanical issues observed, the project should be able to achieve its implementation objectives.

Table 5-2 Progress Rating

Outcomes Ratings	Rating
Outcome 1	S
Outcome 2	MS
Outcome 3	MU
Overall Rating (Progress)	**MS**

5.3 Findings: Project Implementation and Adaptive Management

88. The execution modality for this project follows the UNDP's National Implementation Modality (NIM) and the Implementing Partner (IP) is the MLNR. In executing the Project, the UNDP Country Office is supported by Regional Technical Advisors at the UNDP Regional Service Centre in Addis Ababa, as well as by policy, adaptation, economics and climate modelling experts in New York, Cape Town and Bangkok. A network of global Senior Technical Advisors provides additional technical oversight and leadership, helping to ensure that programmes on the ground achieve maximum policy impact. There are also other LDCF, SCCF and Adaptation Fund-financed projects within the region, with similar objectives currently supported by UNDP. Consequently, there is substantial in-house technical expertise that supports the GRZ with project implementation. Furthermore, UNDP's use of the National Implementation Modality (NIM) serves to build capacity for project management and reporting in GRZ. This modality is beneficial for supporting ongoing partnerships between UNDP and GRZ for project implementation.

89. As previously stated in section 3.3., at par with the UNDP structure is the Project Steering Committee (PSC), which is responsible for making management decisions. Below the PSC is the Project

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Implementation Unit (PIU), whose overall role is to ensure that comprehensive technical and management support such as overseeing knowledge management and Monitoring and Evaluation (M&E) is provided to project implementers and local beneficiaries. The project management benefits from ongoing national and regional initiatives related to decentralised forest management, climate adaptation and forest management. Community-based natural resource management (CBNRM) is supported through the establishment of Village Action Groups (VAGs) that manage forests and are responsible for equitable benefit distribution according to community priorities.

90. These management arrangements indicate the relevant lines of responsibilities and reporting. Given such responsibilities and reporting lines with committees such as the Technical Committee, Regional Committees, and the Project Steering Committee, decision-making is transparent. The PSC is scheduled to meet annually and so far, meeting minutes show that there have been multiple PSC meetings (April 2016, November 2016, July 2017, February 2018, and April 2018). There was also an extraordinary meeting in December 2016. However, the MTR observes that the Permanent Secretary widely use proxies to attend meetings, presumably due to busy schedules. On the other hand, there have been six Regional Technical Meetings. While these may be sufficient it may be necessary for the technical meetings to be held more regularly or when necessary outside the schedule to resolve any issues arising. A good example is the meeting that was held during this MTR to resolve the issues regarding the distribution of beehives and also for COMACO to provide a clear outline of its implementation plan.

91. With respect to adaptive management, the project management structure offers the necessary level of flexibility and the MTR team observed some measures taken in response to specific events. The challenges relating to the procurement and distribution of inputs could have been escalated and handled by the PSC in a more expedient manner and would have reduced the time lag between training activities and provision of inputs – for example, the case of beehives. The MTR team believes Outcome 3 is an important and strategic intervention where adaptive measures are necessary to bring innovation and sustainability to the promising shift in community mindset observed towards shifting cultivation and unsustainable charcoal production.

92. In other areas, there is some demonstration of flexibility due to changing circumstances. In the 2017 PIR, it is stated that additional area provided for ANR needed to be included in the project on the prospect of GEF small grants funding. Hence it is noted that the total ANR area is over the targeted 15,000ha. There are also observable adjustments made to resolve issues arising during implementation specifically the in addressing the challenges related to the implementation of activities by COMACO detailed in the next section.

5.3.1 Work Planning (Effectiveness and Efficiency)

93. The project document was approved on the 1st February 2015, and the project commenced in July 2015. This four-month delay is not of major concern. However, there have been delays in the implementation of some activities, as outlined in the preceding section. As previously stated, sequencing of activities is problematic and needs to be addressed through better identification of interdependences, in order to achieve more effective and efficient implementation. The main issue is from inefficiencies that arise from having to repeat community gatherings to distribute inputs and implements to VAGs and livelihood user groups. This distribution could have been done immediately after completing the training.

94. For example, training has been completed for beekeeping. However, the delivery of bee hives has been delayed because the Forestry Department feels that COMACO has procured a model of bee hives that does not meet the technical specification. Specifications that should have been agreed before procurement. However, the COMACO agreement with the project does not appear to specify in detail the contractual obligations. This lack of detail can lead to risks of disagreements and underperformance. Indeed, the observed disagreement over the type of beehives is partly the result of the lack process definition in the contract agreement with COMACO. This can, however, be resolved through improved coordination and communication at each step of project implementation and planning. There is a limit to which intended beneficiaries can wait for equipment before losing interest. Additionally, the IPS should be engaged in preparing specifications in detail including the quantities, qualities, costs of all items to be supplied to the communities, and COMACO's administrative charges for these services.

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5.3.2 Finance and Co-finance (Efficiency)

95. According to the original project document, the Project will be achieved through co-financing arrangements, with a total budget for the project estimated at approximately US$ 29,030,090, comprised of: a US$ 3,885,000 contribution from GEF; a US$ 100,000 regular funds, and a US$ 28,940,090 equivalent in-kind contribution from the government and other co-financiers (**Error! Reference source not found.**). Apart from UNDP, Government and COMACO, the status of the other parties regarding co-financing is not clear. There has been no follow-up with other partners listed, which raises questions as to what the PSC or PIU plans to do in order to ensure that the other co-financiers fulfil their pledges.

Table 5-3 Project Co-Financing

Source	Amount US$
UNDP TRAC	100,000
CERED	147,661
COMACO	11,000,000
ZCCN	980,000
ZIEM	746,057
Pioneer	3,190,000
Environment Africa	386,372
MLNR	11,420,000
Kasanka Trust	1,060,000
Total	**28,940,090**

96. The financial reporting is only consolidated for the GEF and UNDP funds. While the Government's in-kind contribution is clearly there, it is not being reported. Therefore, it is difficult to fully appreciate the stated value without seeing quantitative information. For a good measure, both Districts (Serenje and Chitambo) have assigned project responsibilities to full-time staff who are also responsible for other day-to-day work. This reporting could be achieved through IP annual staff reporting on project-specific input estimates. It is understandable that this can be time-consuming. However, noting the estimated co-financing presented as part of the project proposal plays a significant part on the GEF funding decision, it is necessary to develop a systematic way to account for staff project input for reporting back to GEF. Staff project input and departmental resources can be accounted for in various ways. Assuming that IPs already have a system that accounts for inputs such as office space, administration and salaries, staff project input can then be accounted for through monthly performance reports where percentage estimates of time spent on the project can be recorded or reported in monthly reports.

97. At this mid-point, almost 67% of the budget has been spent (US$ 2,588,709 out of US$ 3,885,000.00) (Table 5-4). The MTR has some concerns that the remaining budget may not be sufficient for the remainder of the planned Project activities and timeframe. It is worth considering prioritizing efforts to focus on measures that enhance project sustainability. For example, measures to enhance income generation and financial management for the ongoing maintenance of demarcated ANR areas and replacing the implements provided by the project could significantly increase the likelihood of long-term sustainability and impact. The main point of concern is that the highest expenditures are on Components 1 and 2. Component 1 has already spent 76% of its approved ProDoc budget, and Component 2 has spent 69% of its budget. Given the fact that these two components are critical to the project it would have been appropriate to shift funds across from Components 3 and 4, which have spent less of their budgets (4% and 42% respectively). However, the level of available budget for Components 1 and 2 is so small that it is likely that any variation would have no meaningful impact. At this mid-point, harnessing the co-financing has been limited to the in-kind contribution from the government, and COMACO, but not much from the other co-financiers. This being the case, it would be proper that as a matter of priority, efforts be made to establish formal arrangements for the other co-financiers to support funding of certain activities in cash or kind. This discussion needs to happen urgently with the co-financiers and any other potential donors.

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Table 5-4: Project expenditure and budget balance as at August 2018

GEF Outcome/Atlas Activity	Expense as of Aug 2018	Approved budget as per ProDoc	Difference
1	1,673,857.47	2,200,000.00	254 142.00
2	825,103.21	1,200,000.00	374,896.79
3	12,401.35	300,000.00	287,598.65
4	77,347.63	185,000.00	107,652.37
Total	**2,588,709.66**	**3,885,000.00**	**1,024,290.34**

5.3.3 Project-level Monitoring and Evaluation Systems (Effectiveness)

98. The ProDoc clearly outlines the project monitoring framework, which is mostly achieved through annual, quarterly and monthly reporting. Additionally, there is the Log Frame and the Tracking Tool for Climate Change Adaptation Projects (AMAT). Apart from the AMAT, which is strictly a GEF/UNDP tool, the Results Framework/Log frame is a commonly used tool even in Government funded projects. As such it is mainstreamed within the national systems, which makes it easy for the project team, partners, and stakeholders to use the tool. These tools do provide the necessary information, are cost-effective, and efficient. It is, thus unnecessary to obtain additional monitoring tools.

99. It is perhaps worth casting on the value of M&E in the broader context of project and program implementation. As a systematic and long-term process, monitoring should gather information regarding the progress made by an implemented project, while evaluation is time specific and it's performed to judge whether a project has reached its goals and delivered what is expected according to its original plan. GEF adaptation projects have become critically important as the pathway to influencing government economic development policies, lessons for livelihood interventions. A critical aspect is that such projects must demonstrate the criticality of the implementation framework through collect information on efficiency and effectiveness of various implementation approaches and the "true" associated cost of M&E to enable adequate allocation of resources under business-as-usual scenarios or domestic fiscal allocation.

100. Firstly, M&E are important for assessing project progress towards achieving set targets, which leads to a better understanding as to whether strategic changes need to be made and acted accordingly. Secondly, M&E are relevant to development partners and donors, who need to assess the reliability of partnerships and accountability upon which further collaborations could be established. It has been mentioned in earlier sections that M&E information gathered can support project performance assessment leading to adjustments where necessary.

101. An examination of the financial management based on three annual work plans and budgets made available to the MTR team, (2015, 2017, and 2018) reveals that there was no allocation for M&E in 2015. In 2017 and 2018, only 2% and 4% respectively were allocated for M&E and Mid-Term Evaluation. The total budget for M&E for all the years work plans made available is US$ 60,000 out of US$ 2,348,015. This equates to only 3% of the total budget. If these allocations are all available for M&E, it is doubtful that they have been allocated effectively. When compared with the UNDP/GEF-funded project in Tabora/Katavi Regions of Tanzania, the allocations for M&E in Zambia are very low, yet the budgetary contribution from UNDP/GEF are more or less the same (US$ 3,545,000 in Tanzania and US$ 3,885,000 for this project). The project in Tanzania allocated 14% and 42% to M&E in 2016 and 2017 respectively. In both years, the total percentage of the allocation for M&E was 18% of the total budget.

102. A close examination of the budgetary allocations shows that the Project budget costs are not broken down to show costs of supervisory trips, committee meetings, M&E data collection. In essence supervisory trips, meetings for PSC, RCs, and TC, etc., all constitute monitoring of project activities. There is no doubt that expenses are incurred on such activities, as such, they should be clearly indicated in the annual work plans and budgets and this could be considered for the final evaluation of the project.

5.3.4 Stakeholder Engagement and Communication

103. The Project has developed and leveraged the necessary and appropriate partnerships, as outlined in Section 3.4. The inclusion of baseline projects and national on-going initiatives being undertaken by stakeholders such as CERED, COMACO, ZCCN shows enough evidence that the Project developed and

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leveraged the necessary and appropriate partnerships with direct and indirect stakeholders. Additionally, there are local and national government stakeholders in the PSC, TC, and RCs, which is suggestive of their support of the objectives of the Project. This engagement has direct and indirect effects on the project, by showing that not only is there a sense of ownership, but also an active role in project decision-making that supports efficient and effective project implementation. However, anecdotal feedback from some stakeholders indicates a desire to be allocated some financial support and activities to implement, as opposed to simple participation in management meetings.

104. The stakeholders are involved in public awareness campaigns. For example, the National Agriculture Information Services (NAIS) facilitated the recording of a documentary on project activities targeting agro-forestry, the Community Development Department facilitated the formation and registration of community groups, while the Departments of Agriculture, Community Development, Chiefs and Traditional Affairs, the Kasanka Trust and COMACO took a leading role in community mobilization. For ANR and agroforestry interventions, Chitambo District Council facilitated the securing of land for the community resource centre in Chitambo. All these efforts are contributing to the achievement of project objectives.

5.3.5   Reporting

105. Project reporting is in different forms, including quarterly reports to UNDP and MLNR, PIRs and AMAT to GEF/UNDP, and progress reports to the PSC and other committees. This means that the project team and partners undertake and fulfil GEF reporting requirements. The Implementation Review (PIR) for 2017, shows Overall Ratings for the project to be satisfactory but did not detect the communication and coordination issues raised in this MTR report. According to the Annual Progress Report for 2017, adaptive management changes were in the form of considering additional areas for ANR. As stated before, there was a prospect of GEF small grants funding to a local NGO to implement bamboo planting in the area. Therefore, it was proposed that the same additional area be used for such purpose. Such an action would enhance the efforts the project has put in place.

106. In terms of sharing the lessons derived from the adaptive management process, the project has shared lessons from the Project with key partners, and these have been internalized by partners. There is a scholarly article on *Promoting climate-resilient, community-based regeneration of indigenous forests in Zambia's Central Province* which has been cited by 3 authors, according to https://www.google.com/search?q. Other links on this topic include *https://www.thegef.org/, www.zm.undp.org/zambia, https://erc.undp.org/evaluation/evaluations/detail/8383, and* www.secheresse.info.

107. Based on the findings described above, the MTR team rates the project implementation as moderately satisfactory but with a high potential for achieving a highly satisfactory rating at the end if some corrective actions are taken based on the recommendations.

Table 5-5 Rating of project implementation

Outcomes Ratings	Rating
Outcome 1	MS
Outcome 2	MS
Outcome 3	MU
Overall Rating (Progress)	**MS**

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5.4 Sustainability and Impact

108. The already achieved high levels of community awareness and commitment to forest conservation, coupled with the transformation of the mindset from subsistence to commercial production attitudes will promote and anchor a conducive environment for forest conservation and sustainable livelihood activities.

109. There is also an attempt to find alternative technologies to replace traditional charcoal making which is a significant challenge for many countries. The sustainability of such efforts needs a combination of regulatory instruments and market incentives, in order to adopt sustainable charcoal making technologies that would reduce wastage and increase recovery rates.

110. At this point, the MTR team is concerned by the option to develop small manually operated briquetting machines. While the performance of the machine was not evaluated because it had not been handed over to the communities, experience from the project in Tabora/Katavi in Tanzania brings scepticism as to the impact such machines make in reducing charcoal production. The feedback from the project team is that the supplier of the briquetting machine undertook performance evaluation in terms of labour intensity, production capacity, efficiency and required feedstock but this information needs to presented in a full socio-economic analysis that outlines the in labour time, productivity or output compared to traditional charcoal production. The small charcoal briquette-making machine bought by the project is uneconomic, unsustainable, labour-intensive, besides having potential challenges in market penetration. It would be ideal for the project to focus on setting up institutional coordination of charcoal making, and consider conducting a commercial viability study, and only implement the briquetting component if the production of briquette is found commercially viable. The Project can consider procuring a quality charcoal briquette-making machine, preferably ordering from countries such as China, Japan, South Africa. Procurement has to include due diligence to ensure that the successful supplier must have the know-how to install and train users.

111. The inclusion of COMACO as a private sector entity in a social development project appears quite innovative. COMACO provides services to small-scale farmers. The support services provided by COMACO address issues of resilience by recommending crops and production technologies that promote soil improvement, as well as viable income opportunities, reforestation and forest regeneration activities. Preferred technologies are those that can be started after brief training with negligible input costs, while benefiting from ongoing training updates to advance continued understanding of soils and diversification of income opportunities, both on and off the farm. In addition, COMACO provides training on improved ways to promote food security, diversify income and mitigate against the effects of extreme events, pest problems and various social and health challenges arising from climate change. COMACO's operations extend throughout much of Eastern, Muchinga and Central Provinces. It has helped to introduce commercial attitudes into the community. It has helped transform the peasant culture into a commercial mindset among communities who now look at livelihood activities as business rather than mere survival activities.

112. When the project is fully implemented, COMACO is also expected to promote commercial activities in the livelihood components. This will include skills training that will enhance communities' social capital and enhance project output sustainability and impact.

113. The COMACO business model of providing inputs and purchasing the produce is important in creating the necessary supply chain, but it comes with some challenges. Some farmers believe the COMACO pricing is fair, while other farmers believe COMACO's price offer is below market rate and hence they sell their produce to other buyers. The MTR team's view is that as long as farmers have the choice and are able to sell to the highest bidder without breaching legal contractual agreements (if any exist), there is no real problem faced by farmers dealing with COMACO. The engagement of the private sector needs to be nurtured in order to foster workable models, which can entice broader private sector participation as part of mobilizing finance.

5.4.1   Risks Analysis

114. The risks identified in the Project Document are the most important and ratings applied are appropriate and up to date. The majority of the risks remain relevant at this mid-point. While all the risks may still be applicable, the rating for four of the risks (2, 3, 5, and 6) should be reviewed (**Error! Reference source not found.**). The Project Team should downgrade the ratings for some risks, but also escalate Risk 3. The Risk Numbers in the Project Document has been maintained for easy reference.

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Table 5-6: Key risks that are no longer as potent after project intervention

Risk	Reasons for Downgrading or Escalating
2. Local communities have limited capacity to implement and monitor project interventions, particularly assisted regeneration. Success of regeneration interventions will be limited.	**Downgrade**: Capacity of communities has been built in community-based regeneration
3. The approach adopted by the project is ineffective because of limited coordination between stakeholders at the national, provincial and local level.	**Escalate:** The existence of committees such as the PSC, RCs, and TC, which hold meetings is an indication of the focus and intention to ensure coordination. However, as observed, there is inadequate communication which has created implementation challenges leading to delays. In addition, the project has very minimal communication and promotional material to enhance the visibility of the project within and outside the project area.
5. Limited acceptance of interventions by local communities in Central Province. [22]	**Downgrade:** Project awareness by communities and the fact that families are educating their children in natural resources management is an indication of project acceptance. An additional indication of acceptance is the presence of VAGs, which are involved in activity implementation.
6. Local communities will continue to transform miombo forest into agricultural or grasslands.	**Downgrade:** This project has beekeeping as an activity, and beneficiaries have already been trained in that regard. It is unlikely, therefore, that the beneficiaries would want to transform the miombo forests into agriculture and grassland because in doing so, they would be depriving themselves of a place to practice beekeeping.

115. The other sustainability risks are financial, socio-economic, institutional, and environmental (**Error! Reference source not found.**). Of these, the financial and environmental risks pose real threats, as much as the political aspect of the socio-economic risk. However, the social aspect of the socio-economic risk does not pose a threat, just like the institutional risk.

Table 5-7: Assessment of various other risks to the project

Risk	Status Assessment
Financial risks to sustainability:	
Likelihood of financial and economic resources not being available once the GEF assistance ends	• The risk is high, judging from the literature on status of Zambia's protected areas (including forest reserves) under-performance in ecological, economic and social terms because of underfunding[23]The likelihood of this happening, however, can be minimized in the immediate future if the co-financing from the other partners can be realized. Once the livelihood activities are operational then communities should be more self-sufficient and their dependence on external financial support will significantly reduce.
Socio-economic risks to sustainability	
• Social or political risks that may jeopardize the sustainability of project outcomes • Insufficiency of stakeholder ownership (including ownership by governments and other key stakeholders) to allow for the project outcomes/benefits to be sustained	• The status assessment for the financial sustainability risk above is applicable in as far as political risk is concerned. Worse still, should there be any change in government or priorities, which may mean that natural resources conservation is considered to be of little importance. These changes would compound this risk. In terms of social risk jeopardizing sustainability, that is unlikely to happen as long as there are tangible socio-economic benefits accruing to the communities • Various key stakeholders see that it is in their interest that the project benefits continue to flow. As such, the risk is mitigated by that factor. • Public awareness is one of the most significant and strategic achievements of the project to date. That awareness, therefore, is sufficient for the public/ stakeholder support of the long-term objectives.

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[22] Leventon, J. *et al.* (2014), Delivering community benefits through REDD+: lessons from Joint Forest Management in Zambia. *Forest Policy and Economics* Available at http://dx.doi.org/10.1016/j.forpol.2014.03.2005

[23] Lindsey, P.A., Nyirenda, V.R., Barnes, J.I., Becker, M.S., McRobb, R. (2014) Underperformance of African Protected Area Networks and the Case for New Conservation Models: Insights from Zambia. *PLoS ONE*, 9(5): 1-14.

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• Insufficient public/stakeholder awareness in support of the long-term objectives • Lessons learned not 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	• As indicated earlier on, lessons are being documented through quarterly, reports, APR/PIRs, scientific publication, and online dissemination. Such means of sharing lessons ensures that appropriate parties learn from the project and they can potentially replicate and/or scale it in the future.
Institutional Framework and Governance risks to sustainability	
Legal frameworks, policies, governance structures and processes posing risks that may jeopardize sustenance of project benefits	• The presence, as opposed to the absence, of various legal frameworks, policies, governance structures and processes mitigate the risk of jeopardizing sustenance of project benefits. Such instruments include international conventions to which Zambia is a party (e.g., the UNFCC and UNCCD), and domestic policies (National Agricultural Policy, the National Policy on Environment, the Energy Policy, Forest Policy), laws (e.g., the Forest Act), and processes (e.g., the Zambia Forestry Action Programme).
Environmental risks to sustainability	
Environmental risks that may jeopardize sustenance of project outcomes	• Zambia's National Adaptation Programme of Action (NAPA, 2007), and the First and Second National Communications (INC, 2002 and SNC, 2000–2004) to the United Nations Framework Convention on Climate Change (UNFCCC) show an increase in: i) temperature; and ii) rainfall variability with regards to seasonality and raindrop impact. The main effects of these climate projections are prolonged droughts, localized floods, and a shortened growing season in Zambia. Currently, this climate variability has adverse effects such as reduced agricultural and food security, reduced forest productivity and climate-related hazards, reduced water availability, and effects on human welfare. These effects are predicted to worsen under conditions of climate change in the future. Should climate change and extreme climate variability occur, they may indeed jeopardize sustenance of project outcomes.

116. Based on the overall, design, the project has a very high potential for sustainability but will require some corrective actions discussed in this report. The rating for sustainability is therefore satisfactory

Table 5-8 Rating of Sustainability

Outcomes Ratings	Rating
Outcome 1	S
Outcome 2	HS
Outcome 3	MU
Overall Rating (Sustainability)	**MS**

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6   CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

117. The overall ratings presented in the table below reflect that the project is likely to achieve a highly satisfactory end result if the mechanical challenges outlined in the report are resolved. The project is highly relevant and will provide important lessons for other communities and can contribute to and inform policy dialogue addressing the major drivers of deforestation and promote forest regeneration.

Table 6-1 MTR Rating and Achievements

Measure	MTR Rating[24]	Achievement Description
Project Strategy		
Progress Towards Results **Outcome 1 - S** **Outcome 2 - MS** **Outcome 3 - MU**	**Objective Achievement** Achievement Rating: (S)	**Shift in community mindset and awareness of the necessity for sustainable natural resource management** As a result of the combination of capacity building, and awareness raising by the project, the most significant and strategic achievement of the Project appears to be the high levels of community awareness and commitment to sustainable natural resource management especially forest conservation. There is a notable change of mindset and attitudes towards forest and natural resources management. The Chitemene (slash and burn) system of agriculture has already declined. The destructive consequences of charcoal burning are also fully appreciated by communities, and the practice of this livelihood is expected by communities to significantly reduce once the Project's alternative livelihoods are implemented. Communities see sensitization of children as vital to long-term culturalization of natural resources conservation. Families are already rolling their training to their children at household levels, and now feel the sensitization programme should also target children in the school environment. In all the community areas where training has been undertaken, there is the transformation of the mindset from peasant (hand-to-mouth) production to commercial production. With this change in mindset, the prospects of growth among user groups are high. Despite the mechanical issues around communication and coordination, the project institutional and implementation arrangements have contributed to this satisfactory level and change in the mindset of the communities. The project has worked well through the local Chiefs who hold significant influence in their Chiefdoms with regards to natural resource conservation. The formation of VAGs and user groups are starting to empower communities and enable them to actively participate in managing natural resources.

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[24] 6-point scale **to rate the project's progress towards the objective and each project outcome**: Highly Satisfactory (1-HS), Satisfactory 2-(S), Moderately Satisfactory (3-MS), Moderately Unsatisfactory (4-MU), Unsatisfactory (5-U), or Highly Unsatisfactory (6-HU).

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	Outcome 1 Achievement Rating: (MS)	**Institutional Operational Capacity and Communication could be improved**
		This rating reflects the mechanical challenges faced by the project but these challenges are also simple to resolve. Project communication could easily be strengthened and this would also lead to improved coordination and collaboration. The coordination between implementing agencies could be strengthened to reduce project delays and avoid misunderstanding on aspects such as technical specification of implements and technology transfer.
		Project visibility is important and this could be easily achieved by preparing promotion material, billboards in order to increase the opportunity for influencing communities in neighboring districts where potential upscaling could occur in the future. Again this is an aspect that can easily be resolved and could contribute to a satisfactory or better rating of this outcome by the end of the project.
		While departmental staff have undergone technical training and are knowledgeable on support and extension services for building community climate resilience, the institutional capacity remains weak with regards to resourcing to ensure adequate community support. Monitoring and evaluation of livelihood activities must be prioritized and can be achieved by providing relevant and adequate tools such as mobile phones; and access to online tools that are proposed such as the fire early warning system. The main issue is on sustainability – while at present, the operational budget of the project vehicles is provided by the project, it is not clear how the operational costs will be covered by post-project implementation.
		Training has been undertaken for livelihood activities such as beekeeping, gardening, and conservation farming. User groups have been formed in other activity areas. However, the wide gap between training and provision of inputs is creating anxiety and confusion among community groups.
	Outcome 2 Achievement Rating: (MS)	Outcome 2 intended to develop and disseminate awareness-raising material for fire management. Community groups have been formed and trained and ANR areas demarcated in Musangashi, Musola, Nakatambo, Mweshe Butetele and Teta. Fire management plans developed are well acknowledged by the community groups who seem to now have a good understanding of fire management approaches and have formed response groups.
		However, the lack of awareness raising material and signage showing ANR areas is a concern and limits the project´s profile. Ideally, such material should have been developed at the beginning of the Project. Following field visits and discussions with VAGs and user groups, the mission observed that the sequencing of activities could have benefited from better planning and could be improved. Having planned and agreed to provide a wide range of inputs for VAGs and user groups (beekeeping, gardening, conservation agriculture, small livestock, fish, treadle pumps, knapsack spray pumps, fire

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		fighting equipment etc) it would have been prudent to procure these implements so that they could be distributed immediately following the training. There are groups that have been trained in these activities and have had to wait for several weeks to receive the necessary inputs. Training of VAGS and user groups in different livelihood activities was adequate, but the time lag between training and provision of livelihood leading to unmet expectations among community groups.
	Outcome 3 Achievement Rating: (MU)	With regards to Outcome 3, it is noted that the Project has developed some prototype small manually operated briquetting machines and is already planning to carry out training. However, there is no evidence that a feasibility and social economic analysis has been carried out to determine potential adoption and barriers. There is a potential conflict of policy, as briquetting machines are designed to use crop biomass residue, yet there is an agriculture policy drive for composting and soil enrichment also from crop residue.
		There is further feedback from some of the community groups regarding the manner in which some implements are being distributed. For example, the idea of three to four families sharing a single knapsack spray or treadle-pump has logistical challenges in cases where the families live long distances apart. In one example, the families sharing a treadle pump lived up to seven kilometres from each other. Although it is understandable that the project cannot afford to provide every family with these implements, however, it would be beneficial to group users according to the proximity to each other.
Design and Relevance	Rating (MS)	The Project is highly relevant considering the challenges that Zambia faces with regards to deforestation. Addressing climate-resilient, community-based regeneration of indigenous forests is a huge priority for the Zambian Government
		The project design took into consideration factors such as the nature of the problem being addressed by the project, provision of the most effective route towards expected/intended results, country priorities, decision-making processes, and gender. There is no doubt, therefore, that it covers major areas of concern.
		The greater part of the design of the Project is relatively effective. While the project's objectives and outcomes are clear, practical, and feasible within the stated timeframe, there are aspects of the design that are affecting implementation and may impact the overall achievements of the project.
		Activity implementation could be strengthened by optimal sequencing and understanding interdependencies. The sequencing of activities could have benefited from better planning and could be improved. Having planned and agreed to provide a wide range of inputs for Village Action Groups (VAGs) and user groups (beekeeping, gardening, conservation agriculture, small livestock, fish, treadle pumps, and knapsack spray pumps) it would have been prudent to procure these implements so that they could be distributed immediately following the training. There are groups that have been trained in these activities and have subsequently had to wait for several

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		weeks to receive the necessary inputs. Training of VAGs and user groups in different livelihood activities was adequate, but the time-lag between training and provision of livelihood inputs has created anxiety and has a potential to result in a loss of community interest.
Project Implementation & Adaptive Management	Rating (MS)	Almost 67% of the budget spent by mid-term (US$ 2,588,709 out of US$ 3,885,000.00 has been spent. The challenges relating to the procurement and distribution of inputs could have been escalated and handled by the PSC in a more expedient manner and would have reduced the time lag between training activities and provision of inputs – for example, the case of beehives. The MTR team believes Outcome 3 is an important and strategic intervention where adaptive measures are necessary to bring innovation and sustainability to the promising shift in mindset observed regarding shifting cultivation and unsustainable charcoal production.
Sustainability	Rating (Satisfactory)	The risks identified in the Project Document are the most important and ratings applied are appropriate and up to date. The majority of the risks remain relevant at this mid-point. While all the risks may still be applicable, the rating for four of the risks (2, 3, 5, and 6) should be reviewed (**Error! Reference source not found.**). The Project Team should downgrade the ratings for some risks, but also escalate Risk 3.
		The other sustainability risks are financial, socio-economic, institutional, and environmental. Of these, the financial and environmental pose real threats, as much as the political aspect of the socio-economic risk. However, the social aspect of the socio-economic risk does not pose a threat, just like the institutional risk.

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6.2 Summary of conclusions

118. The Project is highly relevant considering the challenges that Zambia faces with regards to deforestation. The Project strategy takes into consideration several factors such as country ownership, consistency with national priorities besides objectives and priorities of the LDCF, to ensure that it provides the effective route towards the expected results. Involvement of the Zambia Women's Alliance as a stakeholder in the implementation of activities is evidence that gender issues were raised in the project design.

119. The project is targeting 3000 beneficiaries and to date it the AMAT reflects an aggregate figure of 3324 direct beneficiaries. Reaching out to this large number of beneficiaries is commendable but the implementation, in general, could be more effective and efficient. The Project has promoted gender development with reasonable gender balance in the VAGs, which are the principal community leadership organs not only for the project but also in general social development. Indicators generally consider gender and reports, including AMAT tracking tool, disaggregate beneficiaries and participants by gender.

120. The project will benefit further from improving communication and coordination which in turn will increase effectivities and achieve higher ratings at the end of the project. Improving communication between institutions and partners as well having more attentive oversight from the PSC would enable identification of aspects requiring strategic decisions and avoid implementation delays.

121. The main area where some important considerations need to be made relate to the design of Outcome 3 which is moderately unsatisfactory because of deficiencies and gaps in framing the intervention approach. At this mid-point, there is still an opportunity to take measures to improve the expected outputs from Outcome 3. The Project has developed some prototype small manually operated briquetting machines and planned to carry out training. This training should, therefore, inform a feasibility and socio-economic analysis to determine potential adoption and barriers. A similar approach was tried in Tanzania (PIMS 3091) with unsatisfactory results due to the economic viability of small briquetting machines. With UNDP already supporting at least six sustainable charcoal initiatives in the region, lessons should be drawn from such projects to reduce potential failure. The MTR team´s view is that before making major investments in this Outcome, considerations should be made to gather lessons from other projects with support from the UNDP Regional Service Centre (RSC).

122. There are other areas where this MTR encourages follow up such as co-financing, improving M&E and paying attention to project activity sequencing to gain efficiencies. These are mechanical issues that should be resolved quickly.

6.3 Recommendations Summary

Table 6-2 Recommendations

Component /Outcome	Recommendation and justification	Suggested Responsibility
Project Objective	**Follow-up on co-financing pledges** Co-financing is a key part of the project implementation and essential that pledges by partners listed in the project document are followed. This MTR encourages the PSC and PIU to follow up with other co-financiers to seek fulfilment of pledges outlined in the project document.	**PSC, UNDP, FD, PIU**
Outcome 1 and 2	**RECOMMENDATION 1: Improve communication and coordination** On the part of all partners, expeditious communication, reporting and escalation of issues that have implications on project strategy and implementation would improve effectiveness and efficiency. At the technical level, inadequacies in communication and clear articulation of institutional roles and responsibilities has led to basic misunderstandings of activity	**PIU, UNDP, FD** **COMACO, ZEMA, PSC**

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		implementation, sequencing, as well as design and distribution of farming implements. With greater visibility using communication materials such as project lessons info sheets, pamphlets, and signboards, the project could influence other communities to take similar initiatives.	
		RECOMMENDATION 2: Re-assess activity sequencing in order to reduce time lags, and conduct prioritization and economic viability of livelihood options Sub-optimal sequencing limits options for adjustments once an investment is made. It is necessary to reduce the time lag between livelihood activity training and provision of inputs. Project teams need to apply critical path analysis and understand activity inter-dependencies prior to commencing implementation. For example, community training on various livelihood activities must be immediately followed with the distribution of inputs	**PIU, Technical Team with support and approval by the PSC, ZEMA**
		RECOMMENDATION 3: Follow-up on co-financing resource mobilization The Project has not yet fully harnessed the potential co-financing resources from the other partners. As a matter of priority, efforts should be made to establish formal arrangements with other partners to support certain activities, including in-kind contributions or cash for project implementation. These discussions need to happen urgently.	**PIU, FD, UNDP**
Outcome 3		**RECOMMENDATION 4: Conduct socio-economic viability and value chain analysis before introducing briquetting machines** • Promoting sustainable charcoal production requires robust socio-economic analysis and lessons from other similar projects, such as in Western Tanzania can be useful. It is necessary to undertake an analysis of the socio-economic potential, value chain, and the likely barriers to adoption of briquetting machines prior to any investment. • Considerations could be made for commercial type sustainable charcoal production systems and the formation of associations. This approach reduces the burden of monitoring and builds a potential framework for deforestation-free charcoal production. • It is also important that lessons from other UNDP projects are considered in the design of activities. For instances, lessons from similar projects in the region such as those in Uganda and Tanzania. This could be achieved by more active engagement by UNDP's Country Support Team and Regional Technical Advisor in supporting implementation oversight and organizing more regular discussions with the Country Office and project team to discuss any implementation challenges and carrying out supervision missions when necessary.	**Department of Energy, ZEMA, PIU**
Outcome 4		**RECOMMENDATION 5: Improve attendance at Project Steering Committee (PSC) meetings** • The PSC meets twice a year, but it is understood that it remains difficult to get all appointed members to regularly attend. Often only proxies attend the meetings. The MTR Team highly recommends that members of the PSC attend meetings because the convening power of PSCs enables quick and strategic decision-making when project issues arise as well as managing risks and opportunities. It is perhaps worth creating PSCs comprising of deputy PSCs	**PSC**

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	and departmental heads, in order to increase attendance while still maintaining the necessary high-level representation.	

6.3.1 Corrective actions for the design, implementation, monitoring and evaluation

123. Apart from UNDP, Govt, and COMACO – the status of the other parties regarding co-financing is not clear. There has been no follow-up with other co-financiers. It would be proper, for the Project to establish formal arrangements with the other co-financiers to seek support for the funding of certain activities or obtain cash finance to the Project to undertake implementation. This discussion needs to happen urgently with the co-financiers and any other potential donors

124. Re-establishing timely communication and coordination is necessary as explained throughout the report. Effective communication and coordination could reduce some of the observed implementation delays and misunderstandings.

125. It is necessary the measures are taken to ensure the design of the various activities and inputs meet the needs of the communities. For instance, it would be necessary to ensure the implementing sharing arrangements do not cause conflicts between households. Arrangements that involve sharing of equipment, such as treadle pumps, may not be practical in all cases as users are located long distances apart or there are too many users assigned to each piece of equipment. Given that farmers have different productive capacities and operational environments, flexibility in the provision of equipment and inputs can have better outcomes than in the current uniform approach.

126. Outcome 3 is the main area where some attention is necessary to ensure the proposed charcoal making technology is suitable, practical and will achieve high adoption levels. Lessons from other projects in the region could provide some opportunities.

6.3.2 Actions to follow up or reinforce initial benefits from the project

127. The most significant and strategic achievement of the Project appears to be the high levels of community awareness and commitment to forest conservation. There is a change of mindset and attitudes towards forest and natural resources management. With this change in mindset, the prospects of growth among user groups are high. This being the case, the awareness campaigns should be maintained through VAGs. For the long-term institutionalization of a culture of natural resources conservation, awareness campaigns should be systematically extended to children in their school environment.

128. The inclusion of COMACO as a NGO with a commercial focus is strategic. It has helped to introduce commercial attitudes into the community. It has helped transform the subsistence culture into a commercial mindset among communities, who now look at livelihood activities as business rather than mere survival activities.

129. However, it should be noted that the COMACO business model of providing inputs and purchasing the produce has built-in risk in the pricing of produce which is causing some controversy among farmers. The controversy notwithstanding, some farmers agree with this and are happy to sell to COMACO. The MTR Team's view is that if people have the choice and are able to sell to the highest bidder, there is no real problem faced by farmers dealing with COMACO.

130. The major implication of sub-optimal project sequencing is that it limits options for adjustments once an investment is made, especially when coupled with communication challenges raised in this report. The Project needs to apply critical path analysis and understand activity inter-dependencies prior to commencing a project. During the field trip, the Review Team was made aware of delays in distributing beehives because the technical teams expressed different opinions regarding the design of the beehives. For the Review itself, the technical design of the beehives is immaterial, but the critical pitfall lies in the process, coordination and communication between the teams. Design specifications should be resolved and agreed through a consultative process and use of prototypes agreed before mass production. Likewise, noting that various parties have different roles and responsibilities, the project design lacks terms of reference for each implementing partners, hence there are inherent assumptions that each party "knows what to do". Misunderstandings can be avoided by using specific terms of reference, especially for service delivery contracts such as the one for COMACO.

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8 ANNEXES

MTR Terms of Reference

UNDP-GEF MIDTERM REVIEW TERMS OF REFERENCE – International Consultant

Promoting climate- resilient, Community-based regeneration of indigenous forests in Zambia's Central Province

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full sized project titled Promoting climate- resilient, Community-based regeneration of indigenous forests in Zambia's Central Province project PIMS# 4712 implemented through the Forestry Department which is to be undertaken in the year 2018. The project started on July 23, 2015, and is in its third year of implementation. 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 (http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf).

2. PROJECT BACKGROUND INFORMATION AND OBJECTIVES

The Government of the Republic of Zambia has received support from the Global Environment Facility (GEF) and United Nations Development Programme (UNDP), under a project entitled "Promoting climate- resilient, Community-based regeneration of indigenous forests in Zambia's Central Province project". The project objective is to promote climate resilient, community-based regeneration of indigenous forests in Zambia's Central Province, thereby securing ecosystems goods and services and enhancing the adaptive capacity of local communities. The project is being implemented through three components:

- Component 1: Strengthened technical and institutional capacity of foresters and communities in Central Province to implement appropriate climate-resilient agro-forestry and natural regeneration practices in designated areas;
- Component 2: Robust fire monitoring and management protection plans and measures in place to maintain desired regeneration targets and reduce fire frequency by 25-30% annually across the province, within a four-year burning cycle
- Component 3: Energy efficient charcoal production and wood-saving technologies have successfully replaced inefficient systems in targeted areas of the central province, helping offset pressure on the forests as the climate changes.

The project is focused on Central Province with the view of undertaking a landscape-based approach in the interventions. The province was chosen because of the high rates of degradation and deforestation resulting from the increased conversion of forest into agricultural expansion and the production of charcoal. In addition, late fires affect the regeneration of forests and often result in tree mortality. Central Province has a total of 371,000 ha of National Forests and 594,000 ha of Local Forests. Serenje and Chitambo districts were chosen within which on-the-ground activities under component 1, 2 and 3 can be undertaken. The selection followed a comprehensive stakeholder consultative process.

In terms of management arrangements, the execution modality follows the UNDP's National Implementation Modality (NIM). The Implementing Partner (IP) for the project is the Ministry of Lands and Natural Resources (MLNR) through the Department of Forestry as the lead agency. Other Stakeholders involved in the implementation to provide technical support and training include Ministry of Agriculture, Ministry of Chiefs and Traditional Affairs, Ministry of Energy, Ministry of Community Development, Zambia Environmental Management Agency (ZEMA), Regional government stakeholders and community-based organisations. The Project Implementation Unit (PIU), headed by the Project Manager is responsible for project management and coordination. The Project Steering Committee is responsible for approving reports and activities. It also provides guidance for the proper implementation of the project. It draws membership from UNDP, MLNR, representatives of Town Councils, Ministry of Agriculture, Ministry of Energy, Ministry of Chiefs and Traditional Affairs, ZEMA, Zambia Climate Change Network (ZCCN) and others. In close collaboration with the PIU, the PSC plays a critical role in project monitoring and evaluation by quality assuring processes and products and using evaluations performance improvement, accountability and learning

The total budget for the project is **US$ 32,915,090, while planned co-financing is at US$ 28,930,090**

The time frame for the project is July 23, 2015, to June 22, 2020.

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, 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 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. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to: Forestry Department, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to: Serenje and Chitambo District project sites

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.

5.1 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 of 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, as well as the theory of change.
- 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.

5.2 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).

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

Project Strategy	Indicator[25]	Baseline Level[26]	Level in 1st PIR (self-reported)	Midterm Target[27]	End-of-project Target	Midterm Level & Assessment[28]	Achievement Rating[29]	Justification for Rating

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[25]Populate with data from the Logframe and scorecards
[26]Populate with data from the Project Document
[27] If available
[28] Colour code this column only
[29]Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Objective:	Indicator (if applicable):						
Outcome 1:	Indicator 1:						
	Indicator 2:						
Outcome 2:	Indicator 3:						
	Indicator 4:						
	Etc.						
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 (if any) 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.

5.3 Project Implementation and Adaptive Management

Management Arrangements:

- Review the 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.
- 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 the 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 the 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.

5.4. 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 the 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?

In line with UNDP evaluation guidelines (http://web.undp.org/evaluation/documents/evaluation-policy.pdf): the evaluation needs to also assess the projects performance and performance in terms of: i) Relevance, ii) Efficiency iii) Effectiveness, iv) Impacts and v) Sustainability. The consultants are expected to be innovative in integrating these evaluation criteria with the above four categories and also apply rating scales to these evaluation criteria.

5.5. CONCLUSION & RECOMMENDATIONS

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.[30]

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 rating scales. No rating on Project Strategy and no overall project rating is required.

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

Table. MTR Ratings & Achievement Summary Table for Promoting climate resilient community-based regeneration of indigenous forests in Zambia's Central Province Project- Zambia

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 40 working. *days* spread over a time period of 12*weeks* starting 1st *July 2018,* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
29th June 2018	Application closes
13th July 2018	Select MTR Team
27th July 2018	Prep the MTR Team (handover of Project Documents)
3rd to 14th September 2018 (4 days)	Document review and preparing MTR Inception Report
18th to 19th September 2018 (2 days)	Finalization and Validation of MTR Inception Report- latest start of MTR mission
20 to 8th October 2018 (19 days)	MTR mission: stakeholder meetings, interviews, field visits
10th October 2018	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
11th October to 22nd October (10 days)	Preparing draft report
23rd October to 30th October (7 days)	Draft Report Review (UNDP/GEF)
31st October to 5th November (5days)	Incorporating audit trail from feedback on draft report/Finalization of MTR report
6th November to 13th November 2018	Preparation & Issue of Management Response
	Concluding Stakeholder Workshop (not mandatory for MTR team)
20th November 2018	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: 20th August*	MTR team submits to the Commissioning Unit and project management
2	**Presentation**	Initial Findings	End of MTR mission: 28th September 2018	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 4 weeks of the MTR mission: 12th October 2018	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	**Final Report***	Revised report with an 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: 1st November 2018	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 *the UNDP Zambia Country Office.*

The UNDP Zambia Country Office will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country 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. MTR TEAM COMPOSITION

A team of two independent consultants will conduct the MTR - one team leader (with 15 years of experience and exposure to projects and evaluations in other regions globally) and one team expert (a national expert with 7 years of evaluation experience and knowledge of natural resources management sector and biodiversity policies and issues). 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 results-based management evaluation methodologies; _15_
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;__10__
- Competence in adaptive management, as applied to Biodiversity; Climate Change Mitigation; Sustainable Forestry Management/REDD-Plus and Land Degradation focal areas; ___10 _
- Experience working with the GEF or GEF-evaluations; _15_
- Experience working in Africa; ___5___

- Work experience in relevant technical areas for at least 10 years;_10_
- Demonstrated understanding of issues related to gender and Biodiversity; Climate Change Mitigation; Sustainable Forestry Management/REDD-Plus and Land Degradation; experience in gender-sensitive evaluation and analysis; ___10 ___
- Excellent communication skills in English; __5_____
- Demonstrable analytical skills; __5_____
- Project evaluation/review experiences within the United Nations system will be considered an asset; _5
- A Master's degree in Natural Resources Management, Geography, Forestry, Biological Sciences, Environmental Science or other closely related fields. ____10__

10. PAYMENT MODALITIES AND SPECIFICATIONS

The payments to consultants will be tied to deliverables as follows:
- 10%(of payment upon approval of the final MTR Inception Report with an evaluation design matrix, an approved work plan and a data collection plan and tools
- 30% upon submission of the draft MTR report
- 60% upon finalization of the MTR report

Approval

This TOR is approved by:

Signature: _____

Name:

Designation: **Practice Specialist/Head of Programme**

Date: _____

11. DUTY STATION

The international consultant's duty station will be home based with occasional travel to Zambia, while the national consultant will be based in Zambia. Field visits will be to selected sites in both Serenje and Chitambo pilot sites.

Travel:
- International travel will be required to Zambia during the MTR mission;
- The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to the commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under https://dss.un.org/dssweb/
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

12. APPLICATION PROCESS[31]

Recommended Presentation of Proposal:

a) **Letter of Confirmation of Interest and Availability** using the template[32] provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form[33]);
c) **Brief description of the 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 to the address below in a sealed envelope indicating the following reference "Consultant for **Promoting climate resilient community-based regeneration of indigenous forests in Zambia's Central Province in Zambia (PIMS 4712)** Midterm Review" or by mail at the following address ONLY:

Deputy Country Director

United Nations Development Programme,

9350 Alick Nkhata Road,

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[31]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
[32]https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx
[33]http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

P.O Box 31966

Lusaka, Zambia.

Tel: +260 211 386 200

Or by email to procurement.zm@undp.org

by **12:00 hrs on 29th June 2018.** Incomplete applications will be excluded from further consideration.

The application must include a financial and technical proposal, updated Curriculum vitae each with a list of three professional referees of the Consultants, a letter of applications and United Nations Personal History Form (P.11) 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.

ANNEX A to the ToR: List of Documents to be reviewed by the MTR Team

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly and Annual progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (Biodiversity; Climate Change Mitigation; Sustainable Forestry Management/REDD-Plus and Land Degradation)
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

      The following documents will also be available:
13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the (Promoting climate resilient, community-based regeneration of indigenous forests in Zambia's Central Province (PIMS 4712)) Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

ANNEX B of the TOR: Guidelines on Contents for the Midterm Review Report[34]

    i.   Basic Report Information *(for opening page or title page)*
- Title of UNDP supported GEF financed project
- UNDP PIMS# and GEF project ID#
- MTR time frame and date of MTR report
- Region and countries included in the project
- GEF Operational Focal Area/Strategic Program
- Executing Agency/Implementing Partner and other project partners
- MTR team members

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[34] The Report length should not exceed *40* pages in total (not including annexes).

- Acknowledgements

ii. Table of Contents

iii. Acronyms and Abbreviations

1. Executive Summary *(3-5 pages)*
- Project Information Table
- Project Description (brief)
- Project Progress Summary (between 200-500 words)
- MTR Ratings& Achievement Summary Table
- Concise summary of conclusions
- Recommendation Summary Table

2. Introduction *(2-3 pages)*
- Purpose of the MTR and objectives
- Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
- Structure of the MTR report

3. Project Description and Background Context *(3-5 pages)*
- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address: threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

4. Findings *(12-14 pages)*

    4.1 Project Strategy
- Project Design
- Results Framework/Logframe

    4.2 Progress Towards Results
- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

    4.3 Project Implementation and Adaptive Management
- Management Arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting
- Communications

    4.4 Sustainability
- Financial risks to sustainability
- Socio-economic to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

5. Conclusions and Recommendations *(4-6 pages)*

    5.1 Conclusions

- Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project

5.2   Recommendations
- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

6.   Annexes
- MTR ToR (excluding ToR annexes)
- MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Example Questionnaire or Interview Guide used for data collection
- Rating Scales
- MTR mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed MTR final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft MTR report
- *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.)*

ANNEX C to TOR: Midterm Review Evaluative Matrix Template

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			

Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

ANNEX D to ToR: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[35]

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at _____ *(Place)* on _____ *(Date)*

Signature: _____

	Ratings for Progress Towards Results: (one rating for each outcome and for the objective)	
6	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".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its mid-term targets and is not expected to achieve any of its end-of-project targets.

	Ratings for Project Implementation &Adaptive Management: (one overall rating)	
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-financed, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.

3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components are not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes, as well as key outputs, will not be sustained

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____   Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____   Date: _____

Annex II: MTR Evaluation Matrix and Questions for Interviews

Project Component	Review element	Data sources
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 of 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? • 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	
Progress Towards Results		
Progress towards outcome analysis	• Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix	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).	GEF Tracking Tool
	In addition to the progress towards outcomes analysis, the MTR will: • Compare and analyse the GEF Tracking Tool at the Baseline (if any) 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	
Project Implementation and Adaptive Management		
Management Arrangements:	• Review the 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. • 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 the 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:	1. Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders? 2. 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? 3. 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	

Questionnaire - Interview Guide used for data collection

Two interview guides will be used for this review: one focused at villagers/project groups and the second for senior officials and field management teams. The main purpose is to guide interviewees on the issues of specific interest to the MTR Team. The interviews at community level will be in local languages where possible.

1. Interviewee's name, organization and contact details
2. Role in the Project (& which activities involved in)
3. General impression on the project and how it is being executed.
4. Is the project on target to achieve its objective through completion of components and activities? Please give specific information on successes or problems
5. How did the project identify the stakeholders? Do you believe this was effective?
6. How has the project encouraged wide stakeholder involvement? Has this been effective?
7. How could it be further improved?
8. How will the project plans assist in meeting the objective?
9. How does the Project contribute to the overall goals of forest regeneration?
10. What progress has been made in developing partnership mechanisms to objectively measure impacts of investment and management actions? Was the approach adopted effective (please explain how/why)?
11. How has the regional/national co-ordination been effective? How could this be further improved?
12. How are the activities relevant to your community?
13. Have there been any delays to the project's activities? What were these and how were the delays resolved?
14. How have gender issues been included and recorded in the project activities and priorities?
15. How have the demonstration projects assisted in reducing barriers to participatory approaches on at local and national level?
16. What are the key successes and challenges of these actions?
17. What enhancements could be made to improve the efficiency and/or effectiveness of these activities?
18. What training has been completed in your area on M&E? What further training is needed?
19. What is the status of the preparation of local by-laws, policies/plans and strategies, in terms of the following?
    a. Existence of local by-laws, policy/plan/strategy for managing forests
    b. Level of adoption of the policy/plan/strategy.

20. In what way have the Miombo Project strategies been integrated into national and regional development plans?
21. Have the policies/strategies involved wide government and civil society in their development and approval?
22. What are your expectations on the achievements of planned outputs, and how to ensure delivery sustainability (after the project funding ends)?

23. What enhancements could be made to improve the efficiency and/or effectiveness of these activities?
24. What benefits have been accrued from the capacity development activities?
25. How will this improve the sustainability of the overall approach to the project?
26. Has the approach to capacity development and awareness raised been effective? Please give examples.
27. What are the risks to long-term sustainability to the project approaches?
28. What else could be done to improve the sustainability of project activities and approaches?
29. What are the main barriers to post-project sustainability (financial, institutional, political, social, etc.) of these actions? How can they be overcome?
30. What more could be done to encourage replication of demonstration activities?
31. What are the key lessons from the involvement of UNDP and other organizations?
32. Have the coordination mechanisms established (PSC, PCU, community groups etc.) been effective in managing the project and implementation of activities?
33. Have the project staff been responsive to your requests?
34. What are the specific challenges presented by this project?
35. How could the coordination / management of the project be enhanced?

Questions for Field project staff, VAGs, Chiefs and other stakeholders

1. Interviewee's name, organization and contact details
2. Is the project on target to achieve its objective through completion of Outputs and outcomes and activities?
3. How are the activities relevant to the region?
4. Have there been any delays to the project's activities? How were the delays resolved?
5. How have gender issues been included and recorded?
6. How has the project involved stakeholders?
7. Describe the M&E approach, indicators and routine monitoring of these indicators.
8. For each of the key activities – please estimate the status of completion.
9. Please give budget estimate figures (including: spent GEF funds, Co-financing (source) etc.).
10. Please list lessons learned / best practices / adaptive management changes
11. What are the problems that have been encountered / how have these been overcome (financial, managerial and technical)?
12. How will the work be sustained/replicated after the end of the project?

Annex III: MTR Rating Scales

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	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".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its mid-term targets and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation &Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-financed, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.

2	Unsatisfactory (U)	Implementation of most of the seven components are not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes, as well as key outputs, will not be sustained

Annex IV: MTR Field Mission Plan

Day	Date 2018	Time (hrs)	Institution Visited/ Activity
Wednesday	19Sept	9.00	Forestry Department, Min of Lands and Natural Resources
		11.00	UNDP
		14.00	COMACO
Friday	21Sept	9.00	Energy Department, Ministry of Energy
		11.00	Climate Change& Natural Resources Management Department,
			Ministry of Lands and Natural Resources
		14.00	ZEMA
Monday	24 Sep	11.00	Zambia Climate Change Network (ZCCN)
		14.00	Agriculture Department, Ministry of Agriculture
		15.30	UNDP
Tuesday	25 Sep	09.00	Presentation of inception report to stakeholders
		15.00	TDAU: Technology Development & Advisory Unit, University of Zambia
Wednesday	26 Sep	9.00	Environment Dept. GEF Focal Point
		10.00	Travel to project sites- Serenje
Thursday	27 Sep	9.00	Serenje/Chitambo stakeholders discussion of inception report
		14.00	COMACO Regional Office, Serenje
Friday	28 Sep		HRH Chief Kabamba
			TETA, TETA CENTRAL AND CHITENDA VAGs/ User groups
Saturday	29 Sep		KAMPABWA,CHIKABI AND MIKUKU VAGs and user groups
Sunday	30 Sep		Consultants' internal review of field mission progress
Monday	1 Oct		District Commissioner, Chitambo District
			Chitambo District Council Secretary
			MYENJE ,MASAKA, MWIMBULA,CHIOMA MAPE VAGs/ User Gps
Tuesday	2 Oct		HRH Chief Chitambo
			MUSANGASHI,MUCHELWE AND MOSES MAKOSA VAGs/ U- Gps
Wednesday	3 Oct		Serenje District Council Secretary
			KOBOLA, LONDON AND NSHIMBA VAGs/ USER groups

Thursday	4 Oct		NAKATAMBO, MUKANGA, NSALU CAVE,BUNWA,YOSEFE, KATOBA AND CHIPAATA VAGs/ User Groups
Friday	5 Oct		Travel to Lusaka
Saturday	6 Oct		Preparation of interim findings
Sunday	7 Oct		Powerpoint preparation of preliminary findings
Monday	8 0ct		Debriefing of stakeholders on field mission- workshop format
			END of Field Mission

Annex V: List of persons interviewed

ATTENDANCE LIST PROTEA CAIRO ROAD.

INCEPTION MEETING 25th September 2018

No	Name	Position /Institution	Email	Contact Number
1	Maureen Mwale	Project Focal Point Forestry Department	mwalerose@gmail.com	0978953058
2	Owen Ngoma	Project Admin	Owen.ngoma@undp.org	0977324680
3	Velice Nangavo	Programme Officer	Velice.nangavo@undp.org	0963716881
4	Biston Mbewe	Project Manager	Biston.mbewe@undp.org	0978887399
5	Chiselebwe Ng'andwe	National Consultant	chiselebwen@yahoo.com	0966859433
6	Chilombo Chila	Department of Energy	Intachila@yahoo.com	0977212544
7	Anna Banda Chandipo	PEO/Department of Energy	Chandipobanda.ac@gmail.com	0979400771
8	Nelson Gapare	International Consultant	gaparengreen@grensofigroup.com	+34605900554
9	Noah Zimba	GBN Director/Facilitator	gbnaurals@gmail.com	0977873673
10	Miyemba Elijah	SCAO- MOCTA	emiyemba@gamil.com	0978769127
11	Monica Chunduma	Zambia climate change Network	meyachundama@gmail.com	0977688621
12	Rodwel Chandipo	ZEMA Principal Environment Inspector	rchandipo@zema.org.zm	0966878593
13	Mayando Kanyata	SEMO –EMD-- MWDSEP	mayandokchilembo@yahoo.com	0976507521

14	Banda Fabian	Project Engineer TDAU UNZA	Fabian.banda@unza.zm	0976318587
15	Mutale Sydney	Research Fellow TDAU UNZA	Sydney.mutale@unza.zm	0977795292
16	Ignatius N. Makumba	Director Forestry	inmakumba@gmail .com	0966746841
17	Richard Mumba	COMACO	crmumba@itswild.org	0976918300
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Participants List

Inception Meeting Atha Lodge Serenje   27th September 2018

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21	Chiselebwe Ngandwe	National Consultant MTR		
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ATTENDANCE LIST CRESTA GOLFVIEW HOTEL LUSAKA.

DEBRIEF MEETING 8ᵗʰ October 2018

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Annex VI: List of Documents Reviewed

1-Project Design Documents

Country Programme Document for Zambia (2016-2021)

GEF and UNDP, *Project Document: Promoting Climate-Resilient, Community-based Regeneration of Indigenous Forests in Zambia's Central Province*

GEF and UNDP, *Project Implementation Review (PIR): Zambia LDCF 1* (2017)

GEF and UNDP, *Project Implementation Review (PIR): Zambia LDCF 1* (2018)

UNDP, *Initiation Plan for Project Preparation Grant (PPG): Promoting Climate Resilient Community-Base Regeneration of Indigenous Forests in Zambia's Central Province, Zambia* (15th December 2013 – 15th December 2014)

Articles

B. Bwalya Umar and P. Vedeld, *Joint Forest Management in Katanino, Zambia: Inappropriate Property Regime Change?* (2012) 5 *The Open Forest Science Journal* 42

B. P. Mulenga, C. Nkonde, & H. Ngoma., *Does Customary Land Tenure System Encourage Local Forestry Management in Zambia? A Focus on Wood Fuel* (Indaba Agricultural Policy Research Institute (IAPRI), Working Paper no. 95, May 2015)

S. Metcalfe, *Landscape Conversation and Land Tenure in Zambia: Community Trusts in the Kazungula Heartland* (African Wildlife Foundation (AWF) Working Papers, September 2005)

Meeting Minutes & Reports

D. Johnson, *Promoting Climate Resilient Community Based Regeneration of Indigenous Forests in Zambia's Central Province: Fire Management Training Report, Chisamba, Zambia* (UNDP, 15th -19th May 2017)

D. Johnson, *Promoting Climate Resilient Community Based Regeneration of Indigenous Forests in Zambia's Central Province: Fire Management Training Report, Chisamba, Zambia* (UNDP, 9th -12th October 2017)

Minutes of the 5th Steering Committee Meeting for the Project 'Promoting Climate Resilient Community-Based Regeneration of Indigenous Forests in Zambia's Central Province' (held at Cresta Golf-View Hotel, Lusaka, 24th April 2018)

Minutes of The Fourth Project Steering Committee Meeting of the Project: Promoting Climate Resilient Community Based Regeneration of Indigenous Forests in Zambia's Central Province (held at Forestry Department Headquarters, Lusaka, 9th February 2018)

Promoting Climate Resilient Community Based Regeneration of Indigenous Forests in Zambia's Central Province Report (Revised report of the Inception Meeting held from 14th to 16th September 2015 at Frinilla Lodge, 26 Nov. 2015)

Report on the 2018 Second Quarter Review Meeting for the UNDP and GRZ Funded Projects in Environment, Natural Resources Management and Climate Change (held at Ibis Gardens, Chisamba, 24th to 25th July 2018)

Training Report Workshop: 'Training of Trainers in Integrating Land Use Planning in CBNRM (hosted at Villa Mbanadi Hotel, 27th Feb 2017 to 3rd Mar 2017)

Legislation and Regulations

The Fisheries Act, 2011

The Forests Act, 1999

The Forests Act, 2015

The Lands Act, 1995

The National Parks and Wildlife Act, 1994

The Zambia Wildlife Act, 2015

The Forests Bill, 2015

UN Development Assistance Framework for the Republic of Zambia, Declaration of Commitment (2011-2015)

Reports, Assessments and Action Plans

A. T. B. Jallow and J. M. Mwenechanya, *Final Report of the Midterm Evaluation of the Country Programme Action Plan (CPAP) 2011-2015* (Government of the Republic of Zambia & UNDP, September 2013)

D. Johnson, *Fire Management in Zambia's Central Province: A Technical Needs Assessment* (Draft, 2017)

       Appendix 2 - 4

       Appendix 5 - 6

G. Sikaundi and M. K. Sankwe, *Fire Regime Assessment: Central Province: Promoting Climate-Resilient, Community-based Regeneration of Indigenous Forests in Zambia's Central Province* (National Consultant Report, 2016)

GEF, UNDP, et. al., *al Briquette Training Manual: Promoting Climate Resilient Community Based Regeneration of Indigenous Forests in Zambia's Central Province* (30 April 2017)

GEF, UNDP, et. al., *Land Tenure, Forests & CBNRM Report - Central Province (Chitambo & Serenje Districts)*

Integrated Land Use Assessment Phase II (2011-2016) Final Report (FDZ et. al., December 2016)

J. Yamba, *Sensitisation, Natural Resources Management Committees and User Group Formation Report* (UNDP Zambia, March 2017)

L. T. Hollingsworth, D. Johnson, et. al., *Technical Report: Fire Management Assessment of Eastern Province, Zambia* (USDA Forest Service, International Programs, January 2015)

Musola Assisted Natural Regeneration (ANR) Pilot Site: Fire Management Plan (FDZ and UNDP, October 2017)

Mweshe Butetelele Assisted Natural Regeneration (ANR) Pilot Site: Fire Management Plan (FDZ and UNDP, October 2017)

Nakatambo Assisted Natural Regeneration (ANR) Pilot Site: Fire Management Plan (FDZ and UNDP, October 2017)

Social and Environmental Screening Report in Promoting Climate-Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province (Project no.: PIMS 4712, Zambia)

Teta Assisted Natural Regeneration (ANR) Pilot Site: Fire Management Plan (FDZ and UNDP, October 2017)

Z. Phiri, *Water Law, Water Rights and Water Supply (Africa), Zambia* (Study Country Report, August 1999)

UNDP

Country Program Action Plan (CPAP) of the Gov. of the Republic of Zambia and UNDP (2011-2015) (Final Version, 7th February 2011)

Country Programme Document for Zambia (2016-2021) (2nd Regular Session 2015, New York, 31st August – 4th September 2015)

National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures (01st July 2011)

Additional Documents

B. Bwalya, *Katanino Joint Forest Management Area, Masaiti District, Zambia: Challenges and Opportunities* (2007) Thesis (Master) Norwegian University of Life Sciences

Food and Agriculture Organisation of the UN (FAO), *Greening Zambia's Charcoal Business for Improved Livelihoods and Forest Management through Strong Producer Groups* (2017)

Ministry of Energy, *Baseline Study on Wood Fuel Production and Utilisation in Chitambo and Serenje Districts, Central Province* (October 2017)

N. S. Munyinda and L. M. Habasonda, *Public Participation in Zambia: The Case of Natural Resources Management* (2013)

Participatory Land Use Planning Manual: A Guide for Forest Department Team (February 2017)

Property Rights and Resource Governance, Zambia (USAID)

Secretariat of the Convention on Biological Diversity, *Sustainable Forest Management, Biodiversity and Livelihoods: A Good Practice Guide* (2009)

GEF, et. al., *Sustainable Livelihood Assessment: Promoting Climate-Resilient, Community-Based Regeneration of Indigenous Forests in Zambia's Central Province Project* (October 2017)

Zambia's Forest Reference Emissions Level Submission to the UNFCCC (January 2016)

Annex VII: Signed MTR Final Report Clearance Form

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature:_____   Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____   Date: _____

Annex VIII: Project Activities – Progress Summary

Programme/Project Output						
Output	**Output Indicator(s)**	**Baseline**	**Target**	**Progress Attained**		
1.1. Strengthen the technical and institutional capacity of foresters and communities in Central Province to implement appropriate climate resilient agro-forestry and natural regeneration practices in designated zones	1.1.1. Regeneration of 15,000 ha of land in Serenje and Chitambo	0	Regeneration of 15,000 ha of land in Chitambo and Serenje	15,560 ha demarcated Boundaries for Teta,. Musola, Musangashi, Nakatambo and Mweshe Butelele opened		
	1.1.2 Validate integrated resource and land use maps for Serenje and Chitambo	No integrated resource and land use maps	Hold a meeting to validate the resource and land use maps	The resource and land use maps were validated during the validation meeting of the Technical committee		
	1.1.3 Support to implementation process	No support provided to PIU	Provide costs for the Project staff	Support provided for the Project staff.		
	1.1.4. Project Steering Committee (PSC) and Technical committee meeting held	No Project Steering Committee No Technical Committee in place	2 steering committee meetings held; 4 Technical Committee meetings	5 PSC held. 6 TC meetings held 1validation meeting held		
1.2. Formation or strengthening of community structures	1.2.1 Community mobilization, facilitating formation/strengthening of community structures	No Community structures in place	Thirty (30) community structures formed	Thirty (30) VAGs were formed with good gender balance User groups also formed for different livelihoods activities		
	1.2.2. Facilitate sensitization and registration of community structures	No registered community structures in place	30 community structures sensitised on good governance and registered as societies with registrar of societies	30 community structures sensitised on good governance and registered as societies with registrar of societies		
	1.2.3 Develop GIS layers for the integrated resource and land use maps	No GIS layers for the integrated resource and land use maps	Integrated resource and land use maps for Serenje and Chitambo developed as GIS layers	GIS layers for integrated resource maps for Serenje and Chitambo developed		
	1.2.4 Conduct training needs assessment for DFOs and VAGs on site specific, climate	VAGs and DFO have no knowledge of AF and ANR	TNA for 20 implementation team members and 30 VAGs	Completed		

	resilient agro-forestry and ANR					
	1.2.5 Training of Trainers of 50 CFRMC/Local communities based on the TNA	CFRMC/Local communities not trained	Training of 50 CFRMC/Local communities	Completed		
	1.2.6. Establish zones for collection of wood fuel through participatory decision making process	No wood fuel zones in place	Conduct community meetings in 30 VAGsto establish wood fuel zones	The consultants held community meetings to introduce the need for establishing woof fuel zones done in quarter 4		
	1.2.7. Develop AF and ANR plans and guidelines for each VAG	No plans for AF and ANR for the VAGs	Develop AF and ANR plans for 30 VAGs	Completed		
	1.2.8.1 Support the implementation of ANR practices by communities	ANR practices not supported	Provide seedlings, cash and other inputs to support implementation of ANR	Undertaken		
2.1. Develop a geospatial fire occurrence dataset for central province based on satellite data and GIS mapping to ascertain burn severity classification and climate change vulnerability of miombo	2.1.1 Establish and maintain a fire occurrence database	No database on fire occurrence	One dataset developed for fire occurrence	Fire occurrence database established at Forestry HQs but not operational		
	2.1.2 Map historical trends of fire incidence and burn severity for central province	No maps on historical trends of fire and burn severity	Historical trends of fire developed for Central Province	Historical trends of fire and burn severity for central province developed. The report was validated		
2.2. Fire management plans developed and operationalised (based on independent verification) for Serenje and Chitambo based on fire occurrence dataset and local inputs. **Baseline.** No baseline on fire occurrence. **Target.** 1 database developed for fire occurrence	2.2.1. Develop fire management plans and procuring fire management equipment	No fire management plans in place	Conduct participatory mapping of areas for prescribed fire treatment	Areas that require prescribed fire treatment for Teta, Musola, Musangashi, Nakatambo and Mweshe Butelele pilot sites were mapped in a participatory manner Fire management plans developed for all ANRs		
			Identify programmes for prescribed fire management and schedules for treatment	Programs for prescribed fire management and schedules for treatment were developed for all the pilot sites		
2.3. District Forestry staff, Relevant VAG members and local authorities trained on appropriate climate resilient fire protection practices (boundary and fire break management, early burning e.t.c) **baseline:** DFOs and VAG members not trained on fire management . **Target 20**	2.3.1. Training of forest staff members, VAGs and Local Authorities	DFO and VAG members not trained in fire management	Conduct a training needs assessment for 20 DFOs, 30 VAG members and 3 LAs on appropriate, climate resilient fire protection practices and conduct training	The TNA was undertaken and 20 members were trained		
			Development of training manuals and awareness raising	The manuals and training materials were developed		

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			materials on fire management measures			
3.1. Deployment of technologies and development of sustainable charcoal schemes in 20 VAGs with (i) charcoal producer groups formed and trained; (ii) charcoal retort kiln pilots introduced (120 improved kilns to replace earth kilns); (iii) monitoring, tracking and licensing system established for all improved kilns piloted	3.1.1. Form sustainable charcoal producer groups	No sustainable charcoal producer groups in place	Facilitate the formation of (2) charcoal producer groups of 10 members each	9 Sustainable charcoal producer groups formed as follows: (2 in Musangashi, 3 in Mwimbula, 3 in Kampabwa and 1 in Nakatambo) . The average number of people per group is 10		
			Training members of sustainable charcoal producer groups in efficient kilns	In progress		
			Identify briquetting machines e.g presses, extruders- that are suitable for the production of briquettes from the identified feedstock.	Identification of the briquetting machines has been done and training in progress. The report was validated by a technical committee.		
			Providing training to members of the sustainable charcoal producer groups on the operation of the briquetting machines	In progress		
			Introduce 50 briquetting machines and 120 efficient kilns for charcoal production	Briquetting machines and efficient kilns not yet introduced pending socio-economic analysis		

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Annex IX: UNEG Code of Conduct for Evaluators/Midterm Review Consultants

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant 1: **Nelson Gapare (Team Leader and International Consultant)**

Name of Consultant 2: Chiselebwe Ng´andwe **(National Consultant - University of Zambia)**

Name of Consultancy Organization (where relevant): _____NA_____

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

Signed at _____*Madrid*_____ *(Place)*   on _*2 December 2018*_____   *(Date)*

Signature: _____

Annex X: GEF Tracking Tool *(in separate file)*
Annex XI MTR Report Audit Trail Feedback Form *(in separate file)*