Annex 5: In-depth case study reports

1 Malawi

1.1 Farm Inputs Subsidy Programme (MWI-11/0026)

General Data

Intervention title	**Farm Inputs Subsidy Programme**
Agreement partner (name)	Malawi Ministry of Finance (source: Agreement Summary Report)
Type of agreement partner	Governments/Ministries in developing countries
Agreement nr.(s)	MWI-11/0026
Country / region	Malawi
Implementing partner	Malawi Ministry of Agriculture and Food Security Contact person & detail: Head of coordination: Mrs Christine Mtambo: (+265) 0999 277 806,(+265) 0888 503 980, ccmtambo@gmail.com Logistic Unit: Charles Clark, (+265) 01 773 542 cclark@logisticsunitmw.com
Programme officer:	Stensland, Monica Royal Norwegian Embassy in Lilongwe
Extending agency	Royal Norwegian Embassy in Lilongwe Contact person & detail: Monica Stensland (embassy secretary) (+265) 1 774211, (+265) 1 771212 Monica.Stensland@mfa.no
DAC Sector	Main sector: 311 – Agriculture Sub sector: 50 – Agricultural inputs
Intervention start & end dates	2011-2012 (source: Agreement Summary Report)
Budget • Approved amount • Agreed amount • Disbursed amount	• 67.000.000 (source: Agreement Summary Report) • 67.000.000 (source: Agreement Summary Report) • 67.00.000 (source: inventory data base, end of 2011)
Main stakeholders	Target group: resource poor Malawian smallholder maize farmers (source: MTP)
Number of beneficiaries targeted	**1.4 million farmers** (was reduced from previous 1.6 million farmers).*(Source: Final Report 05/2012).*
Intervention description	The FISP is implemented order to increase smallholder agricultural productivity and therefore achieve food security at both household and national levels. Specifically, the programme is helping resource poor smallholder farmers to access affordable fertilisers and quality maize and legume seeds. It is envisaged the programme will, in the long run, help to promote adoption of these improved technologies. (source: MTP).
Programme background & history	• In response to severe food shortage that left about 5 million people in dire need of food aid in 2004/05, the Government of Malawi (GoM) embarked on the Farm Input Subsidy Programme (FISP) in 2005/06. (source: MTR) •

Project objectives and activities & expected results

Overall objectives	"Increase food security at household and national level and agricultural output growth" (source: MTR)
Specific objectives	"To increase agricultural productivity and input market development" (source: MTR)
Expected results	1. Increase resource poor smallholder farmers' access to improved farm inputs. 2. Promote crop diversification 3. Enhance programme planning, monitoring and evaluation 4. Increase awareness of smallholder farmers on improved technologies in the maize production systems 5. Increased participation of agro dealers in FISP • (source: MTR)
Main activities (specify agri. Activities for envir. Interventions)	There is no logframe available for FISP Activities include: • Gov. fertilizer purchase • Gov. seed purchase • Uplifts of fertilisers to SFFRFM / ADMARC • Beneficiary selection • Voucher printing and distribution • Input sales & vouchers redemption • Logistics unit M&E
Process on track ? Main difficulties/challenges	Difficulties concerning the distribution of fertilizers (source: MTR)
List of available documentation for the intervention	• See bibliography

Cluster 1: Contribution to Food Security

1.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

1.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

FISP for which Norway provides support is the major Malawi safety net that enables overall food security of the country since it has been initiated; it provides support to vulnerable small holder farmers; it is therefore fully in line with GoM priorities.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	NORAD's support to FISP (from 2010) is in line with the 2006 Malawi Food Security Policy; in particular: "increase access to agricultural input" (fertiliser supply), "guarantee physical, social and economic access to adequate food at all times" and "increase resilience to shocks". The 2006-2011 PRSP included food security as a key priority (among 6 others) by promoting "a coordinated approach to planning and management of food aid" for the most vulnerable and "food security and nutrition among HIV affected households".
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	FISP was initiated in 2005/6 after the 2004/2005 maize season was the worst in a decade. Many parts of the country went without rain for up to one month during January and February with a devastating effect on yields: the national average was only 0.76 t/ha, 40% below the long term average. Total maize production for 2004–2005 was 24% less than the previous year, amounting to 57% of the estimated national maize food requirement, resulting in a strong deficit (source: AFDB Africa Brief Economic).

1.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

Norwegian support is being efficiently coordinated by GoM so as to avoid gaps and overlaps with other donors. The programme is the main safety net of Malawi in terms of food security

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security	Norwegian support through FISP is an integral part of the national food security programme coordinated by GoM which is supported by other donors (e.g. Irish Aid, DFID). The programme operations are being monitored on a weekly basis by the FISP taskforce that comprises all major stakeholders of the programme (Government, donors, seed & fertilizrs' suppliers, transporters, civil society representatives , the police & Anti-Corruption Bureau). The overall implementation of FISP is being monitored by the Ministry of Agriculture Food Security &

platforms (if available)	Nutrition Task Force.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	Norwegian's support to FISP is responsive to GoM demands, especially for bridging purposes. The embassy is participating in weekly FISP meetings with GoM and contributing donors to avoid overlaps or gaps.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	Embassy's staff field mission results are shared among other donors and GoM for information and reflexion. However, GoM is leading for harmonising and coordinating support from different donors.

1.1.1.3 JC 13: Relevance of project intervention according to final beneficiaries

FISP focusses on the main staple food: maize; tobacco cash crop previously introduced was replaced with legumes to increase the impact of FISP on food security.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	As FISP is executed entirely by GoM, Norwegian's support is absorbed by the Government and follows GoM's implementation guidelines: (source: 2010 FISP implementation guidelines) Maize and tobacco were identified as the subsidized crops until 2009, after which maize and legumes (pigeon pea, beans, groundnut, etc.) became to be subsidised. Interviews showed that farmers need advice support from extension services (not enough is being done).

1.1.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

1.1.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

FISP objective was to double productivity through the introduction of fertilizers and improved seeds and result in overall national food production surplus; the support of Norway later on (after FISP was initiated) was to contribute to the above mentioned results. Due to poor targeting criteria, the anticipated food production per beneficiary is always lower than expected because farmers share input. However, the overall result might be increased food production due to overall more efficient use of input by several farmers instead of a single beneficiary.

Evidence on indicator level

Indicator	Evidence

I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	At the time FISP was designed (2004/5), expectations were that national maize productivity would double from an average of 1T/ha to 2T/ha to avoid a sharp deficit as with the 2004/5 cropping season due to unfavourable climatic conditions (source: interview).
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	By the time of Norway's support, it was assumed that FISP would improve food security of small holders and overall maintain a maize surplus (source: interview); the objective is that it would maintain FISP production levels (permanent surplus). There is however an anticipated dilution effect: as FISP cannot benefit all poor farmers, these at village level share vouchers (as a way to avoid conflict and to render the process more equitable) ; food production per beneficiary will be lower due to input sharing.

1.1.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

FISP objective was to increase food access directly through increased production levels and indirectly through economic growth (e.g. higher rural labour wages). Still, due to weak targeting criterion, the total number of potential beneficiaries vastly exceeds the number of people actually benefiting from the programme;

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	The concept of input subsidy is to increase food access at household level. "Since the programme was introduced, there has been surplus maize production even in years with poor/erratic rainfall" (source: Embassy decision document – 2010). FISP main issue is that between 1.4 and 1.6 million people are FISP beneficiaries although 11% of the population is considered food insecure (1.8 million people) (source Min. Agriculture).
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	Highly likely as it was the case for previous FISP support; previous studies show that productivity has on average doubled and that the food security status of very poor farmer has improved by 1 month (from 7.5 to 8.5 months) (source: impact study 2011).
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas	Highly likely as it was the case for previous FISP support ; analysis of previous FISP showed that it indirectly contributes to increasing income of very poor farmers through increased wages "ganyu" (source: FISP impact assessment 2011)

(based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	

1.1.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Food stability has been improved through FISP with a reduction of maize prices and above all less variation of maize price.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	Since FISP has been implemented in 2005, there has been no single year of food deficit in Malawi even during moderate droughts (source: GoM data). Food security remains fragile still because of the recent macro-economic situation that resulted into higher maize prices.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Same as above.

1.1.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

There was no analysis at all of food use / nutrition status.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	• There was no reference of nutrition data (e.g. in a baseline) at the time of the 1st FISP implementation nor when Norwegian support was initiated.

I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	• As above.

1.1.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

1.1.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Productivity has more than doubled and there is now a 'permanent' food surplus at national level which has enabled maize exports to neighbouring countries.

Evidence on indicator level

<table>
<tr><th>Indicator</th><th colspan="5">Evidence</th></tr>
<tr><td>I-311
Increased (achieved or expected) food production in targeted areas</td><td colspan="4"><table>
<tr><th>Year</th><th>Total Food Req. (Mt)</th><th>Gross Production (Mt)</th><th>Gross maize Gap/ Surplus (Mt)</th></tr>
<tr><td>2001/02</td><td>1,825,449</td><td>1,495,104</td><td>(195,229)</td></tr>
<tr><td>2002/03</td><td>2,035,643</td><td>1,351,549</td><td>(684,094)</td></tr>
<tr><td>2003/04</td><td>2,016,052</td><td>1,966,024</td><td>(50,028)</td></tr>
<tr><td>2004/05</td><td>2,039,291</td><td>1,502,259</td><td>(537,032)</td></tr>
</table></td><td>Overall, maize productivity has increased 2 fold with maize exports authorised since 2010.
The production varies from region with higher surpluses per beneficiary in the Northern region.</td></tr>
</table>

	2005/06	2,183,506	2,620,513	**487,007**	•
	2006/07	2,255,049	3,444,655	**1,189,606**	
	2007/08	2, 352, 796	2, 777,438	**424,642**	
	2008/09	2,458, 123	3,767, 408	**1,302,285**	
	2009/10	2,485,049	3,208,847	**833,000**	
	2010/2011		3,895,181	**1,200,461**	
	2011/2012	2,687,242 2,800,335	3, 623, 924	**561, 092**	

1.1.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

The link between subsidies and food security is weak among poor farmers; still, overall, FISP beneficiaries are more likely to consume more food thanks to increased productivity and indirectly through income generation (rural labour wages). This is the case only for farmers that benefitted from FISP for 5-6 seasons (since the start of the programme).

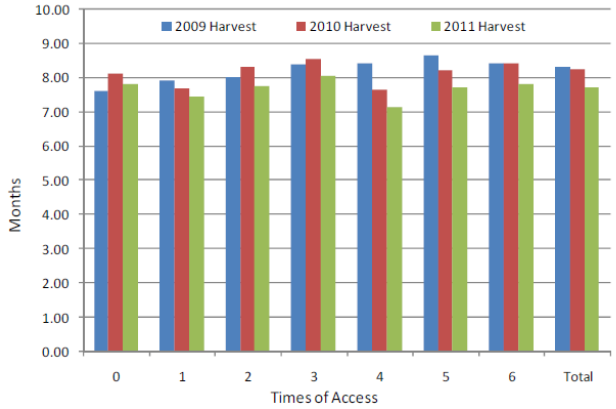
Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	2011 Impact study shows that "the direct beneficiary household effects of the subsidy programme in terms of household level food security are weak" "These weak and mixed results are consistent with the mixed views from the qualitative data in which households pointed out that the subsidy has enabled them to produce a 'bit more' food, particularly among poor and vulnerable households. Nonetheless, the cross-section analysis shows that households that have had access to subsidies, particularly those with access in 5 to 6 seasons, tend to consume more maize, vegetables and meat products compared to non-recipients of subsidies" (source: 2011 impact study of FISP – Andrew Dorward et al.)

1.1.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

While the food security period has been increased by 1 month only, FISP has enabled farmers to be better prepared in case of external shocks (agriculture related or not). Livelihood systems have become more resilient.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	 • Average length of food security has increased by a month (from 7.5 to 8.5) for typical beneficiaries (very poor HH). The longer a farmer benefits from FISP, the more food secure he becomes; however, this is not statistically significant (source: 2011 impact study of FISP – Andrew Dorward et al.)
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	• The coping strategy index (a series of questions about how households manage to cope with a shortfall in food for consumption results in a simple numeric score), number of shocks experiences by household, incidence of severe agricultural-related shocks are statistically significant in relation to FISP: HH are less prone to shocks when they are FISP beneficiaries (source: 2011 impact study of FISP – Andrew Dorward et al.)
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	"There is evidence that among households that run out of their own maize stocks before the next harvest the amount of maize purchased was lower for households that have benefited more from the subsidy over the past 6 seasons than those that benefited once in the past 6 seasons. In addition, there are significant relationships in the cross-section analysis between access to subsidies and consumption of foods such as maize, bananas, vegetables, fruits and meat products. This purchasing power is consistent with economy-wide effects of the subsidy programme on maize prices and increase in ganyu wage rates which are the main source of income for purchasing maize by poor households" (source: 2011 impact study of FISP – Andrew Dorward et al.)

1.1.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No information on children/adult nutrition.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	• No data; not measured.

Cluster 2: M&E and Documentation

1.1.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

1.1.4.1 Appropriateness of programme M&E design

A semi-autonomous logistics unit provides on a weekly basis (during the cropping season) and annual basis comprehensive information about the status of FISP implementation. This is the main source of information for donors including Norway. Gov does not carry out impact assessments and the success rate of FISP is measured only through the number of redeemed vouchers and annual maize production estimate. Donors (including DFID on an annual basis) fund impact assessments and independent detailed studies that remain the main source of information about the effects of FISP on the real economy and the beneficiaries.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	• There is no logframe for FISP or indicators. • GoM through the logistics unit monitors the activities and results (redeemed vouchers) and indirectly the impact at national level through annual food production estimates. GoM operates quality control of certified seeds (although some donors raised questions about its validity). • Donors monitor through studies the impact of FISP on beneficiaries and the wider economy. Norway is relying on donor funded studies for assessing the impact of FISP.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	• The logistics unit provides a timely monitoring of the entire operation through its weekly status reports during the cropping season. There is little information available from the GoM itself but reports on actual expenditures by DADO (operating costs of FISP: fuel, allowances); the information is compiled globally at the logistics unit from data received from the Ministry of Agriculture.

1.1.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

Norway relies both on GoM annual maize production estimates and independent studies on the impact & implementation of FISP. Independent studies show that there is a gap between the national data and the effects of FISP at house-hold level; in particular the targeting process might still be deficient (too vague criterion) resulting part of the targeted beneficiaries not being covered by the programme (evidenced through sharing of vouchers at village level).

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	• The logistical unit is the operational arm of GoM for monitoring the entire operation; human resources seem adequate although the core team is small (3 staff) • Until 2008, the logistics unit was independent from GoM through DFID support. Since then, it is supposed to be financed by the GoM but financial gaps do occur requiring Gov to regularly request donor support (2X by USAID, 2X by Norway & 2X by Ireland since 2008)
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	• The logistics unit collects data from the Ministry of Agriculture: submitted/paid coupons, deliveries of fertilisers per company, fertiliser balances, and uplift to markets by transporters, coupons processing per district, etc. • The information is weekly distributed to all relevant stakeholders; data is not gender specific; the logistics unit does not review outcome and impact data. • Outcome information is gathered by GoM through the annual maize production estimates and by donors through numerous studies including an annual review of impact (based on comprehensive statistical analysis) and ad-hoc analyses. • The difference in interpretation between the large maize surplus registered at national level and the weak effects of FISP at household level show that there is still an information gap that should be filled to reconcile both approaches.

1.1.4.3 JC 43 Adjustment of programme design and/or implementation modality

There has been constant improvement in the implementation of FISP: it is a challenging operation for both the Ministry of Agriculture (executing partner) and Ministry of Finance (implementation partner); it also accounts for an ever larger portion of the Ministry of Agriculture budget (e.g. 50% in 2011/2; 80% in 2012/3). GoM has had major FOREX issues since 2011 which coincided with the termination of the budget support (although it was restored in 2012) and made more difficult the supply of fertilizers and seeds (resulting delays in implementation). GoM has designed a medium term plan to strengthen the implementation of the programme and transform it into a multi-year operation.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	• FISP has been continuously reviewed and improved since 2005; several implementation modalities were changed over time: e.g. for transparency: open forum at village level to select the beneficiaries by 2009 instead of designation, publication at DAO level of the lists of beneficiaries due for 2012/3, improvement of the security features of vouchers going-on since 2010, stronger involvement of the anti-corruption bureau and the police to detect fraud, independent auditing since 2011, etc. • Due to FOREX issues, the past 2 years resulted in request for additional support from donors in GoM traditionally funded areas (fuel,

	fertilizer, logistics unit). • The 2011-16 medium term plan is supposed to provide clear direction of the programme including targeting of beneficiaries, criteria for targeting, projection of potential number of beneficiaries over time, quantities of inputs, costs, involvement and roles of various players/departments including private sector and civil society, police and anti-corruption bureau. The MTP also highlights strategies to strengthen implementation of the programme in order maximise efficiency and value for money.

1.1.5 EQ5: To what extent have programme results been documented?

1.1.5.1 JC 51 Availability of documentation of results

While there is no Norway support specific report, the logistics unit provides weekly situation reports on the FISP implementation. DFID funds an annual review of FISP (since its inception) that is the main independent source of information; the same team carries out regular FISP analysis on specific issues (e.g. impact assessment, graduation system, modelling of FISP). Other stakeholders (academics, civil society, donors) carry out FISP analyses as well.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	• Regular weekly (and comprehensive) SITREPs by the logistical unit during the cropping season. Internal monitoring reports by the Ministry of Agriculture are not widely available.
I-512 Existence and quality of evaluation reports	• No evaluation report but an annual report by the logistical unit on the past FISP implementation period. Impact assessments are conducted on a yearly basis by donor funded studies.
I-513 Existence and quality of other types of documentation of results	• Numerous studies have been commissioned by donors and the civil society; DFID in particular assesses annually FISP through an independent impact study and supports Farmers' Union Of Malawi for 'real-time' monitoring.

1.1.5.2 JC 52: Extent to which intervention results have been disseminated

Large scale media campaigns are organised by GOV for the annual launch of FISP as well as the results (maize surplus quantities). Donors and non-governmental organisations disseminate numerous technical and impact studies.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination	GoM uses TV and radio to alert the population on the starting-up of FISP (beneficiary identification days, coupon distribution, distribution outlets of fertilizer / seeds).

strategies	
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	FISP results for a larger public are communicated through radio and TV (mainly the maize surplus and the way FISP was operationalized).
I-523 Evidence of articles published, presentations in workshops, conferences	There are numerous studies re. FISP carried out by a wide variety of stakeholders (from applied research to civil society studies on good governance) (see bibliography). GoM officials are regularly seen on TV at FISP launch. FISP is a very prominent government programme
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	Studies and impact assessment of FISP are widely available to the relevant stakeholders (civil society, donors, GoM)

Cluster 3: Sustainability and Scaling up

1.1.6 EQ6 To what extent have programmes been sustainable?

1.1.6.1 JC 61 Financial sustainability/economic sustainability

The Ministry of Agriculture remains dependant of donor support for purchasing seeds and part of the fertilisers. This is even more the case since 2011 with a lack of foreign exchange that affects the country including FISP (difficulties in purchasing fuel and fertilisers). FISP is very dependent on GoM policy changes.Overall, the programme has contributed to economic growth as Malawi is now having a maize surplus, possibly because nearly all farmers are potential beneficiaries, being the result of a poor targeting process (better-off farmers are also FISP recipients and might contribute significantly to the national production surplus). At household level, poor households remain dependant of the subsidy programme because there is no graduation system that would allow them to move up to new types of supports and adopt a more commercial approach to farming.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	No phasing out is being considered so far; FISP will continue unless a change of policy occurs. FISP is taking up a significant and increasing portion of the Ministry of Agriculture's budget (from 50% to 80% in 2012/3). Donors account for 40% of the operation although it varies from year to year.
I-612 Services/results are affordable for the	There is no evidence that people benefitting from FISP are actually able to get out of the subsidy programme by themselves; random interviews showed that very poor farmers are likely to be FISP beneficiary since it became operational. FISP lacks a graduation system to allow newcomers to benefit from it and better well-off to stop

intended beneficiaries succeeding phase out	benefitting from it; the issue lies in the targeting method: 2010 FISP implementation guidelines show the identification criteria: **"A resource poor Malawian and resident in a village that owns a piece of land** • The household should own land and should be cultivated during the 2009/2010 growing season. • The community shall identify the bonafide residents of the village as beneficiaries. **The following vulnerable groups should also be considered** • Elderly resource poor household heads • HIV positive resource poor household head with proof of status. • Resource poor female headed household head • Resource poor child headed household head • Resource poor orphan headed household head • Resource poor physically challenged headed household head • Resource poor household heads looking after the elderly and physically challenged" Any poor farmer is a beneficiary; the criterion is vague as there is no definition of a 'poor' farmer; most if not all the rural population can fall within this criterion.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	FISP is extremely sensitive to economic factor changes: e.g. fertilizers price rises on the international market resulted in GoM difficulties in obtaining securing required quantities (hence requests for additional donor supports); GoM's lack of foreign exchange for the past 2 years has resulted in difficulties in fuel (for transport) and fertiliser supplies with additional requests of support to donors; devaluation in MKw requires re-examination / amendments of fertiliser supplier contracts. All this results in a difficult operationalization of the programme
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	The programme is entirely donor dependant in its current set-up (donors contributing around 40% of the costs) (source: logistics unit final report) Poor beneficiaries are highly dependent of the subsidy programme to achieve food security. As the targeting criterion is vague, many beneficiaries on the higher end of poverty spectrum also benefit from FISP and are probably much better off; however, studies, impact assessment always focus on beneficiaries that fall within the most stringent definition of selection criterion (very poor, HIV, female HHH, etc.); hence a probable bias.
I-615 Policy changes are not likely to affect programme activities	FISP is very sensitive to policy changes; there are currently both at GoM level and within the civil society reflexions on what to do next with FISP: continue the programme on a medium/long term basis (the Ministry of Agriculture prepared in 2010/1 a 'medium term plan' that however has not yet been endorsed by GoM), phase-out completely and engage GoM resources in long term assets or switch to universal subsidies.

1.1.6.2 JC 62 Institutional and technical sustainability

The programme is entirely implemented by the Ministry of Agriculture (with the support of other agencies). The quality of implementation has improved over time with the reduction of fake vouchers, a more transparent selection process of farmers, independent auditing. The lack of foreign exchange has become a regular issue

affecting negatively the programme (and the country as a whole). At household level, the lack of graduation system combined with a poor extension service means that very few farmers receive advice and support combined with the subsidies; hence little prospects of continuing to use inputs if the programme was to be terminated.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Since FISP has started, GoM has been implementing this programme with increased quality over time (more effective and efficient). Phasing out is not considered because (poor) beneficiaries are entirely dependent of the programme for their food security: FISP lack an exit system / graduation system enabling better off farmers to leave it and allowing new beneficiaries be included; it lack this system because extension services are not covering FISP beneficiaries and providing advice to farmers to scale up production, access credit, improve land husbandry techniques, etc. As FISP covers over 80% of Ministry of Agriculture's budget, it does not allow the Ministry to allocate resources to long term interventions that would support better-off farmers to operate in a free subsidy environment.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	FISP has enabled farmers to increase substantially their yield through acquisition of input (2 fold). Due to the lack of accompanying measures (at best extensions services cover 15% of FISP beneficiaries [source: DADO] ; e.g. there was little extension advice in 2010/1/2 on Rosetta groundnut disease that wiped out production in Salima areas) the programme enables poor farmers to increase their food security and income (through 'ganyu' - rural labour wages) but it is not enough to enable them to buy input by themselves: better-off farmers are not supported through additional measures (e.g. credit schemes, improved access of input at local level, reduced price of input through bulk purchases, cash crops, out-grower schemes, etc.)

1.1.6.3 JC 63 Environmental sustainability

The programme has had no negative effects on the environment; it is supposed that the increase in productivity is resulting in less pressure on the environment (e.g. less deforestation for increasing agricultural land). At farm level, several environment friendly land husbandry techniques are widely adopted by farmers (when extension services are present) like contour ridge and mulching.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Pressure on environment is being reduced through productivity increase; additional use of fertilisers by small holder farmers are not likely to generate negative effects but leaching could occur on sandy soils resulting in water table contamination ; so far, there is no direct monitoring of FISP effects on the environment ; water from cities is regularly tested but not at rural level; there is no information on Nitrogen pollution if any (source: Environmental Impact Assessment of FISP – Harewell 2011)
I-632	FISP has resulted in increased intercropping and above all little displacement effect of crops ; extension

Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	messages (pitting, mulching, contour ridges) are divulged but there is too little outreach by extensions services (source: Environmental Impact Assessment of FISP – Harewell 2011)

1.1.6.4 JC 64 Quality of exit strategy

While a medium term plan was drafted to move FISP from an annual to plural-annual operation, there are no plans to phase-out this operation.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	• No phasing out / exit strategy has been designed so far; FISP remains an annual operation. A 5 year plan has been drafted in 2011 but has never been adopted by GoM. It remains unofficially a guiding document for implementation

1.1.7 EQ7 To what extent have programmes lent themselves to scaling-up?

1.1.7.1 JC 71 Appropriateness of programme design for scaling up

There is no scaling-up being considered; the tendency is to target better beneficiaries so as to increase efficiency of the programme; therefore reducing the operation.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	• There is no scaling up of FISP; however, a medium term plan has been drafted; its "goal is to provide clear implementation direction of the programme so as to help project resources required and coordinate mobilization of such resources for its successful implementation." • Scaling up to cover the entire rural population is not being considered so far for financial reasons. • A graduation system has not been set up.

1.1.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

When extension services are present, there is a high adoption rate of several techniques proposed by extension at household level that can substantially improve crop and soil productivity. At national level, there is no consensus on how to scale up the program: civil society would change FISP to a universal subsidy system,

more equitable while donors want an improved targeting system and Government scaling up the programme to reach more potential beneficiaries (pending donor support).

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	No information.
I-722 Evidence of an effective learning process with a high adoption rate	At HH level, some extension messages that accompany FISP have a high adoption rate: mainly mulching & contour ridges; pitting has little success as it is very labour intensive. Subsidized hybrid maize is very successful among farmers compared to OPV due to slight productivity advantage; this will remain so because in a subsidized system as from farmers' view point, maximisation of production will be with hybrid maize; the situation might be entirely different in a non-subsidized system (e.g. preference for OPV over hybrid as the seeds can be used again over 2-3 cropping seasons); FISP also results in local low productivity varieties progressively being abandoned. At GoM level, FISP has been continuously improved over the years (fraud detection, voucher security features, legumes over cash crops, etc.)
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	There is little political agreement in Malawi society about how to improve FISP: civil society organisations favour a universal subsidy system (more equity); donors favour a highly targeted system; GoM would rather increase outreach to include all potential beneficiaries (so far, the selection criterion does not allow all potential beneficiaries to be included in FISP: many farmers are left out, resulting in subsidy sharing at village level -dilution effect). Donors and GoM recognise the need for a graduation system; none has been set up so far.

1.2 Rural Livelihoods Programme: FAIR Programme Malawi

Intervention title	Development Fund – Frame Agreement 2007-2011
Agreement partner (name)	Utviklingsfondet (Development Fund)
Type of agreement partner	International NGO
Agreement nr.(s)	GLO-06/292 (GLO 02/465 was the forerunner programme)
Country / region	Malawi
Implementing partner	Utviklingsfondet Contact person: Knut Andersen (programme coordinator in Malawi) knut.andersen@utviklingsfondet.no
Programme officer:	Thomas Poulsen (desk officer at NORAD)
Extending agency	NORAD Contact person: Thomas Poulsen (desk officer at NORAD) Thomas.Poulsen@norad.no
DAC Sector	311- Agriculture (inventory data base)
Intervention start & end dates	2007-2011
Budget Approved amount Agreed amount Disbursed amount	The contribution of DF to the budget of the FAIR programme was reduced with 12% in 2011 in order to boost the Zambia programme (Source: annual plan 2010). Disbursed amount: 15.184.525 NOK
Main stakeholders	Udviklingsfondet Find Your Feet (FYF) Self Help Africa (SHA)
Number of beneficiaries targeted	• **20.000 households** in five districts in Malawi increased the number of months with access to food and diversified their crops by doubling the number of species or varieties grown. • **6,000 households** diversified and increased the number of livestock • **300 Lead Farmers** were trained. • **102 Village Development Committees** produced development plans for their areas (source: Periodic Result Report 2007-2010)
Intervention description	See below
Programme background & history	The Malawi Programme included several programmes:[1] 1. Rumphi Food Security Programme (RFSP), hereunder Mzuzu Agricultural Development Division (MZADD). 2. Rural Livelihoods Programme, partners: Harvest Help and Find Your Feet (FYF) – later the FAIR programme 3. Making Policy Work for Biodiversity, Livelihood and Sustainable Environmental and Natural Resources Management in Malawi, partners: Centre for Environmental Policy and Advocacy and DF/SWEDBIO 4. Enhancing Groundnut Production for in the traditional and Dry-land areas of Malawi – for improved nutrition and Poverty Alleviation, partner; ICRISAT 5. Improving Food Security through Integrated Crop Production System in Lower Shire, Mulanje and Salima District, partner: SARRNET 6. Network for Youth Development 7. Civil Society Agriculture Network (CISANET) 8. Collaboration with Trustees of Agricultural Promotion Programme (TAPP). The largest project under the programme was the Rumphi Food Security Programme (RFSP), implemented by FYF and funded by the EC and DF. Apart from the 10% contribution reported to the EC, additional funding was granted. DF

[1] The review is primarily focusing on the RFSP (EC being the main donor) and the overall Malawi Programme where data is available. For other projects under Malawi Programme it was generally not possible to obtain information.

	funded all field staff and provided grants for pass-on. In 2008, the Development Fund (DF) entered into a formal partnership (including a common office) with an English and Irish organisation, Self Help Africa (SHA) and Find Your Feet (FYF) and formed a consortium called FAIR Malawi (the predecessor was the Rural Livelihoods Programme).The programme will be referred to as the FAIR Programme. In 2010, the FAIR consortium was dissolved as the consortium was not working effectively (financial management, programming, reporting, etc.) and the expected added value and economies of scale were not achieved. From 2011, the cooperation continued through more informal coordination. In April 2010, the Development Fund entered into a partnership with the Royal Norwegian Embassy (RNE) in Lilongwe. (source: Periodic Results Report 2007-2010). The purpose of the Strategic Partnership between Development Fund and Royal Norwegian embassy is to improve the quality and effectiveness of development cooperation in Malawi, strengthen civil society and build the capacity of farmers. Later the partnership with the Embassy mainly focused on the preparation of the Harmonization for Enhancing Livelihood (HEAL) to be implemented 2013-2017 with a budget of 218 mill. NOK. DF will be coordinating the HEAL. The partnership with the embassy is not included in the current review.

Project objectives and activities & expected results

Overall objectives	Improved Livelihoods for rural communities in Malawi
Specific objectives	The specific objectives are not clearly formulated. The 2007-2011 programme document includes a long list of sub-objectives (7), but no overall specific objective.
Expected Results	As mentioned elsewhere no log frame was in place when the programme was launched. The Programme Document 2007-2011 mentions a long list of results (14). A log frame was later developed; the outcomes (results) were revised (simplified) in 2010 to be more precise. Outcome 5 and outcome 6 were included to express more explicit the aspects relating to women empowerment and HIV/AIDS.(source: Annual Plan 2010): 1) Increased food security 2) Stronger community-based organization and local institutions 3) Farmers are empowered as an interest group 4) National policies take into account environment, biodiversity in agriculture 5) Increased women's participation 6) Stronger collective action to deal with HIV/AIDS
Main activities	Activities are not mentioned in the 2007-2011 Programme Document or any other available documents.
Achievements/ Challenges	Achievements • 20,000 households in five districts in Malawi increased the number of months with access to food and diversified their crops by doubling the number of species or varieties grown. • 6,000 households diversified and increased the number of livestock • Lead Farmer approach in Malawi adopted by the government through the Directorate of Agriculture Extension Services in the Ministry of Agriculture and Food Security and promoted across the country since 2006/7. 300 Lead Farmers were trained. • 102 Village Development Committees produced development plans for their areas • A total of 267 nurseries over 1.202.050 tree seedlings raised (source: Periodic Result Report 2007-2011) Challenges: Outcome 1: Late planting in some areas affected crop output. Outcome 2: Local institutions had inadequate capacity to lead the implementation. Incorporation of more planning and review meetings with community leader needed. Funding allocation was not adequate. Outcome 3: Only one seed bank (from 3 planned) were established due to poor budgeting. The design adopted required higher budget. (source: Annual Plan 2010) Lessons learnt: • There should be an integration of livestock and crop management in the same project for maximum impact on food security.

	• It is important to ensure that expectations by the communities are aligned with the available resources. • There is a gap of knowledge between the young and the older generations on agro-biodiversity. Young people should be more included in the programme. • Manure helps increase crop production per unit area as evidenced by yield results from demonstrations and trials within the programme. The techniques should be promoted more widely. (source: Periodic Result Report 2007-2010)
List of available documentation for the intervention	See bibliography

Cluster 1: Contribution to Food Security

1.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

1.2.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The objectives and activities of the FAIR Programme were aligned with the long-term goal of the Food Security Policy of 2006: "to significantly improve food security of the population" and the project was also aligned with the specific objective: "to guarantee that all men, women, boys and girls, especially under-fives in Malawi have, at all times physical and economic access to sufficient nutritious food required to lead a healthy and active life".

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	The objectives and activities of the FAIR Programme were aligned with the long-term goal of the Food Security Policy of 2006: "to significantly improve food security of the population". The goal implies increased agricultural productivity as well as diversity and sustainable agricultural growth and development. The project was also aligned with the specific objective: "to guarantee that all men, women, boys and girls, especially under-fives in Malawi have, at all times physical and economic access to sufficient nutritious food required to lead a healthy and active life" (source Food Security Policy 2006, p.9).
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Not relevant.

1.2.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The Malawi Programme was well-coordinated with other food security interventions, both through collaboration with a high number of partners and through active participation in networks and platforms. The project proposal included an analysis of the national focus on subsidizing of agriculture and the implications for promotion of sustainable agriculture, including the role of the NGOs.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated	The Malawi Programme was well-coordinated with other food security interventions. Firstly, the Malawi programme included a huge number of local partners, either local or International NGOs (Find Your Feet), one partner is member of the Malawian government (MZADD). Secondly, DF was active in a number of networks/platforms. For instance, DF was/is chairing the Sustainable Agriculture Network (SAN). In the network/platform, the members exchange experience regarding subjects such as

with national/other donor-funded food security programmes/food security platforms (if available)	conservation farming, soil and water conservation, and manure production. The partners also conduct common field visits. DF is also an active member of other networks; the Civil Society Network on Climate Change (CISONECC) and the Civil Society Agriculture Network (CISANET).
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The project proposal for the Malawi Programme is included in the overall DF Programme Document for the framework agreement 2007-2011. Within the Malawi Programme, the heavy subsidizing of agriculture and the risks are discussed, for instance the risk of distortion away from more sustainable, low external in-put technologies. The problem of subsidizing only maize at the same time at promoting diversification of crops at policy level is mentioned. According to the proposal, various donors and statements indicate that the government expects NGOs to take a leading role in supporting the farmer households who are unable to apply high-input strategies. This is where the DF Malawi programme fits in (source: Programme Document 2007-2011).
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	As part of the SAN chaired by DF, common field visits with other NGOs involved in sustainable agriculture were conducted. During the field visits, the participants in detail discussed various technologies and their strengths and weaknesses. During the meetings all partners in detail presented their work and approach. Each meeting would focus on a particular subject, for instance "the role of diversification in food security and livelihood improvement". DF (through the FAIR programme) is/was also secretary of the National Manure Task Force with membership of NGOs, also in this Task Force, common field visits were/are conducted. In general, it seems there was genuine experience sharing with other partner, at meetings or in the field.

1.2.1.3 JC 13: Relevance of project intervention according to final beneficiaries

All activities were regarded highly relevant for the beneficiaries, for instance Lead and Follow Farmers reported how the sustainable agriculture methods resulted in higher yields at the same time as preventing further soil erosion.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	All activities visited were regarded highly relevant by the beneficiaries. For instance the Lead and Follow Farmers mentioned how the adoption of new sustainable agriculture methods resulted in a higher yield at the same time as further soil erosion was prevented.

1.2.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

1.2.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

There was no reference to national/sub-national food production in the 2007-2011 Programme Document (project proposal). The design of the Lead Farmer – Follow Farmer approach had the potential to lead to increased production, in particular for the Lead Farmers.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	There is no reference to food production in the 2007-2011 Programme Document(Project proposal)
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	The design of the Lead Farmer – Follow Farmer approach had the potential to lead to increased production, although to a higher extent for the Lead Farmers than for the Follow Farmers.

1.2.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

There is no reference to food production accessibility in the 2007-2011 Programme Document (project proposal). The design of the Malawi Programme had the potential to contribute to increased food accessibility. Several of the group activities under the RFSP had the potential to lead to enhanced purchasing power, for instance the groups with small-scale business in bee keeping and piggery.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	There was no reference to food accessibility in the 2007-2011 Programme Document (project proposal).
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	The design of the Malawi Programme had the potential to contribute to increased food accessibility, for instance through increased production (through the Lead Farmer approach), which was likely to be kept for home consumption.
I-223	Several of the group activities under the RFSP had the potential to lead to enhanced purchasing power, for

Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	instance the groups with small-scale business in bee keeping and piggery. The income from this activity might however be limited.

1.2.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

There was no reference to analysis of food stability in the 2007-2011 Programme Document (project proposal). Through increased food production and accessibility the Lead Farmer approach had the potential of contributing to reduced periods of food shortage.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	There was no reference to analysis of food stability in the 2007-2011 Programme Document (project proposal).
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Through increased food production and accessibility the Lead Farmers approach had the potential to contribute to reduced periods of food shortage.

1.2.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

There was no reference to food utilization in the 2007-2011 Programme Document (project proposal). Some of the group activities under the RFSP had the potential to contribute to improved nutritional status, for instance the orchards.

Evidence on indicator level

Indicator	Evidence

I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	There was no reference to food utilization in the 2007-2011 Programme Document (project proposal).
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	Some of the group activities under the RFSP had the potential to contribute to improved nutritional status, for instance the orchards.

1.2.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

1.2.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

According to the baseline and final surveys of the EC/DF funded RFSP, the total annual food production increased by 131% from 920 to 2131 kg maize per household during the project period. The increased production cannot be attributed to the EC/DF funded project alone as most of the farmers were also provided with subsidized agri-input through the FISP. No data were available for the overall Malawi programme.

Evidence on indicator level

Indicator	Evidence
I-311 *Increased (achieved or expected) food production in targeted areas*	According to the baseline and final surveys conducted under RFSP, the total annual food production increased by 131% from 920 kg maize per household to 2131 kg maize per household (baseline/final evaluation surveys). The increased production cannot be attributed to the EC/DF funded project alone as most of the farmers were at the same time provided with subsidized agri-input through the FISP. No data were available for the overall Malawi programme.

1.2.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

According to the baseline and final surveys of the EC/DF funded RFSP, the average number of meals per day increased from 2.8 meals to 2.9 meals per person per day, and thus the accessibility of food increased. Increased food accessibility cannot be attributed to the EC/DF funded project alone as most of the farmers were at the same time provided with subsidized agri-input through the FISP. No data were available for the overall Malawi programme.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	According to the baseline and final surveys conducted under the RFSP, food accessibility increased during the project. The surveys showed an increase from average number of meals per day from 2.8 meals per person to 2.9 meals per person per day. The increased food accessibility cannot be attributed to the EC/DF funded project alone as most of the farmers were at the same time provided with subsidized agri-input through the FISP. No data were available for the overall Malawi programme.

1.2.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Acording to the baseline and final surveys, food stability increased during the EC/DF funded RFSP. The percentage of households with energy food reserves in critical months (December to March) thus increased from 34,1% to 70,1%. According to the recall survey conducted under the DF Malawi Programme the availability and accessibility of food crops increased significantly as shown in the table (I-331). The increased food accessibility cannot be attributed to the programmes alone as most of the farmers were at the same time provided with subsidized agri-input through the FISP. The recall survey of the Malawi Programme showed an increase in the number of household owning livestock, especially pigs and goats, which were promoted among 6000 households.

Evidence on indicator level

<table>
<tr><th>Indicator</th><th>Evidence</th></tr>
<tr><td>I-331
Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas</td><td>According to the baseline and final surveys, food stability increased during the RFSP. The percentage of households with energy food reserves in critical months (December to March) increased from 34,1% to 70,1% during the project period (baseline/final evaluation surveys).
The Malawi Programme Recall Survey (cf. I-422) conducted among 400 households in five districts in which the partners operated (including also Rumphi District) showed the following availability of food crops in 2007 and 2010 respectively (number of months per crop):
<table>
<tr><th>Crop</th><th>2006/2007 season</th><th>2009/2010 season</th></tr>
<tr><td>Maize</td><td>8.7 months</td><td>15.3 months</td></tr>
<tr><td>Cassava</td><td>3.9 months</td><td>9.4 months</td></tr>
<tr><td>Sweet potato</td><td>2.1 months</td><td>3.2. months</td></tr>
<tr><td>Millet (north Malawi)</td><td>0.2 months</td><td>5.5. months</td></tr>
<tr><td>Cocoyam (new crop)</td><td>0 months</td><td>7.0 months</td></tr>
</table>
As mentioned in I-422 recall surveys generally have a higher level of uncertainty than baseline-follow surveys.</td></tr>
<tr><td>I-332</td><td>No information available for RFSP.</td></tr>
</table>

Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Since the RFSP led to a higher level of livelihood diversification the livelihood systems are likely to have become more resilient. Data is however not available. he recall survey of the Malawi Programme showed an increase in the number of household owning livestock, especially pigs and goats, which were promoted among 5000 households. In 2006, 12% of the sampled households owned pigs as compared to 36% in 2010. Moreover, 41% of households owned goats in 2006 as compared to 54,1% in 2010.

1.2.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No reliable RFSP data are in place for assessing the nutritional status (underweight, etc.). The RFSP surveys however showed a change towards a more diverse and nutritious diet (increased access to vegetables and legumes). No data were available for the overall Malawi Programme.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	Undernourishment of under-five children and pregnant/lactating women were investigated in the RFSP baseline, but not in the evaluation survey. The evaluation survey refer to MIC and MDHS 2006 and 2010 data at district level (overall objective and thereby impact indicators). According to these data in 2006 14% of under five children were moderately underweight, whereas in 2010 6,5% under-five children were under nourished. Underweight and undernourishment are however not directly comparable and the finding is therefore not valid. The RFSP surveys included information on access to diverse and nutritious food. The surveys showed that an increasing percentage of the sampled households had access to diverse and nutritious food: 65,5% of the sampled households in the baseline compared to 95,5 % in the evaluation survey had increased access to vegetables; access to legumes increased from 28% to 39,7%, whereas access to animals protein decreased from 59,9% to 53,8%. Generally, thus there was a change towards a more diversified diet. No data were available for the overall Malawi Programme.

Cluster 2: M&E and Documentation

1.2.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

1.2.4.1 Appropriateness of programme M&E design

No log frame was in place for the Malawi Rural Development programme at its start in 2007. In 2008/2009, DF implemented a new results-based system for project management. The log frame (2007-2010 Period Report) did not include an overall objective and specific objectives; the results were of reasonable quality with well-defined indicators, including also gender-disaggregated results and indicators.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	No log frame was in place for the Malawi Rural Development programme at its start in 2007. In 2008/2009, DF implemented a new results-based system for project management. Norad accepted to change the M&E system this although this was in the middle of a project period. The first version of the log frame for the Malawi programme was included in the 2009 progress report. The log frame was revised in 2010 (food security indicator). The log frame presented in the 2007-2010 Period Report did not include an overall objective and specific objectives; the results were of reasonable quality with well-defined indicators. The log frame included a result: “increased women’s participation” with indicators such as number of women in decision-making positions, women participating in and benefitting from the programme.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	The FAIR Programme adopted a community managed participatory monitoring and evaluation system at the Village Development Committee (VDC) level. Workshops were carried out in 37 VDCs located in four Area Development Committees (ADCs) (source: Report on participatory M&E).

1.2.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

DF Malawi did not have an M&E officer during the Malawi Programme; neither did the RFSP have an M&E officer; all M&E was carried out by consultants. As part of the RFSP, baseline and final surveys of relatively good quality were conducted. Common data for all projects under the Malawi programme was collected in 2010. Due to the lack of a baseline, a survey based on recall was conducted. This methodology is generally regarded as having a relatively high level of uncertainty.

Evidence on indicator level

Indicator	Evidence
I-421	For the RFSP there was no M&E officer, all M&E was carried out by consultants.

Evidence of required resources made available for M&E (human and financial)	DF Malawi did not have an M&E officer during the FAIR Programme and was making use of consultants when needed. However, currently the M&E is being upgraded. In the Malawi DF office a new M&E Strategy was prepared in 2011 (Proposal for Monitoring and Evaluation; Sustainable Food Security Programme in the Central and Northern Regions of Malawi), a baseline was conducted and M&E tools were prepared; all by consultants. An M&E officer will be employed from 2013. This is indeed a positive development, but will not be further assessed as it falls outside the period under evaluation. In general, it appears that the DF office in Malawi is making up for the shortcomings of the previous programme.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	As part of the RFSP a baseline survey was conducted in 2008 (sample of 300 households) and a final survey was conducted in 2012 (sample size 292 households). The surveys included most but not all of the indicators of the EC log frame (impact, outcome and output levels). The surveys generally appear to be well-designed and well-implemented with relevant tools; the report combined an evaluation (focusing on the DAC evaluation criteria) with the final survey. Apart from the data collected under the RFSP, common data for all projects under the Malawi programme was collected in 2010. Due to the lack of log frame from the start of the programme, several revisions of the log frame subsequently, the lack of a baseline, a survey based on recall was conducted. The survey covered the years 2007 (by recall) and 2010. This methodology is generally regarded as having a relatively high level of uncertainty.

1.2.4.3 JC 43 Adjustment of programme design and/or implementation modality

There was no evidence on adjustment of plans as a consequence of M&E results.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	There was no evidence on adjustment of plans as a consequence of M&E results.

1.2.5 EQ5: To what extent have programme results been documented?

1.2.5.1 JC 51 Availability of documentation of results

The problem of establishing an effective structure for reporting in the commonly established FAIR office was one of the reasons for the dissolution of the consortium. The final RFSP survey was at the same time an evaluation report, which is however not recommendable as surveys should also be subject for evaluation.

Evidence on indicator level

Indicator	Evidence

I-511 Existence and appropriateness of monitoring/progress reports and databases	Norad only requires reporting on an annual basis. During the FAIR programme, the partners were reporting on semi-annual basis to DF. As part of the general strengthening of the M&E system, the DF from 2012 required quarterly reports from the partners. The problem of establishing an effective structure for reporting in the commonly established FAIR office was one of the reasons for the dissolution of the consortium (common office). (Source: Styresak 37/2010). For the RFSP, FYF was reporting according to the EC requirements.
I-512 Existence and quality of evaluation reports	As mentioned above (I-512), the final RFSP survey was at the same time an evaluation report. Including the survey in the evaluation is not recommendable as the surveys should also be evaluated. The evaluation itself is structured in a non-traditional way; the DAC evaluation criteria (relevance, effectiveness, sustainability and impact) are discussed directly in relation to each results, which generates a lot of useful information at result level (achievements of objectives and results), but leaves out an assessment of the overall efficiency of the project. According to the Annual Plan 2010 an evaluation of the Malawi Programme was scheduled for 2011, however there was no evidence that an evaluation had been carried out.
I-513 Existence and quality of other types of documentation of results	See I-523 regarding scientific article.

1.2.5.2 JC 52: Extent to which intervention results have been disseminated

There was no evidence of a dissemination strategy as such. However, the project results were widely disseminated, both among NGOs and in academic circles. Moreover, DF made use of the media for dissemination of sustainable agriculture practices, for instance in relation to Field Days.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	There was no evidence of a dissemination strategy as such. However, the project results were widely disseminated (cf. I-522 and I-523).
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	The dissemination tools and channels were regarded appropriate; the results (sustainable agricultural practices and results) were both disseminated among other NGOs and in academic circles. Moreover, DF made use of the media (newspaper, etc.) for dissemination of sustainable agriculture practices, for instance manure making. Results were also disseminated at events such as the World Food Day and National Agricultural Fairs. Lastly, DF arranged Field Days in which the media was also invited.
I-523 Evidence of articles published, presentations in workshops, conferences	The FAIR programme submitted an academic publication: “Towards Sustainable Agriculture: An evaluation of compost and in-organic fertilizer on soil nutrient status and productivity of three maize varieties across multiple sites in Malawi” to an academic journal. The article builds on an on-farm study regarding the use of compost conducted as

	part of the FAIR programme.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	Relevant stakeholders, such as Ministry of Agriculture were informed of the Lead Farmers approach applied by DF (although there was some disagreement regarding who invented the approach).

Cluster 3: Sustainability and Scaling up

1.2.6 EQ6 To what extent have programmes been sustainable?

1.2.6.1 JC 61 Financial sustainability/economic sustainability

With regard to MZADD, the support from DF appears to be essential for carrying out the training of Lead Farmers; thus it was anticipated that some activities would be at a lower level succeeding the phase out of the support from DF. The Malawi programme, including the RFSP, has generally promoted low-cost inputs (compost making, etc.) and services are therefore expected to be affordable for the beneficiaries succeeding phase out. The principle of using the local government structure (VDC and ADC) for managing groups should be commended. The main focus of the government is currently on subsidizing agri-inputs through the FISP; however, since not all farmers are targeted by the FISP, the agri-inputs provided only covers 0.5 ha, and there is a practice of sharing the inputs within the villages, in actual terms the two approaches (high input and sustainable agriculture) are complementary rather than competing.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	The partners, DF and FYF have continued to support the institutions after the phase out of the Malawi programme. With regard to MZADD, the support from DF appears to be essential for carrying out the training of Lead Farmers; thus it was anticipated that some activities would be at a lower level succeeding the phase out of the support from DF (interview with MZADD).
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	The Malawi programme, including the RFSP has generally promoted low-cost inputs (compost making, etc.) and services are therefore expected to be affordable for the beneficiaries succeeding phase out. The RFSP included support to various types of group activities: bee keeping, piggery, orchard, etc. No groups were visited during the mission and thus the financial feasibility cannot be assessed. However, the overall principle of using the local government structure (Village Development Committee (VDC) and the Areas Development Committee (ADC)) should be commended. All activities are managed by the VDC. FYF provides grants to the VDC groups; the VDC then selects the groups. The groups then have to pay back to the VDC, who passes on the grants to the next group. From the visit to one village, this system appeared to work satisfactory and the groups were paying back the loans (in kind or cash).
I-613 Likelihood that results can be maintained if economic factors	The results in relation to the Lead Farmer Approach is generally not depending on external inputs and will therefore not be affected by change of economic factors; thus the various sustainable agriculture technologies make use of low-cost and low-input resources.

change (commodity prices, exchange rates, etc.)	
pel-614 Beneficiaries/authorities are capable of affording replacement and maintenance	As mentioned above, the activities are generally low-cost and low in-put, and replacement is therefore not a problem.
I-615 Policy changes are not likely to affect programme activities	Despite the alignment of the Malawi Programme with the food security policy, it should be noted that the main focus of the government is currently on subsidizing agri-inputs through the FISP rather than on sustainable agriculture technologies. However, since not all farmers are targeted by the FISP, the agri-inputs provided only covers 0.5 ha and there is a practice of sharing the inputs within the villages (interviews with VDC and ADC members), in actual terms the high-put agriculture and the sustainable agricultural methods are complementary rather than competing. In sum, even if subsidizing agri-inputs is high on the political agenda, there is still room for the sustainable agriculture approach.

1.2.6.2 JC 62 Institutional and technical sustainability

According to the Periodic Results Report and Final Report 2007-2011, 102 VDCs were capable of producing development plans for their areas, feeding into Area Development Plans, mobilising resources, implementing and coordinating village level activities. The VDC and ADCs met during the mission appeared to be capable of managing group activities. Considerable capacity appears to have been developed in MZADD, the curriculum for training of Lead Farmers is currently under revision, and generally the system appears to be relatively well-functioning. With regard to Lead Farmers, there is no doubt that they have the required technical capacity to continue applying the sustainable agriculture methods; with regard to the Follow Farmers, this is far less certain and not well reported.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Capacity development of community based organisation and local institutions was one of the expected results. In total under the Malawi Programme, 102 VDCs received training and capacity development. According to the Periodic Results Report and Final Report 2007-2011 these VDCs were able to produce development plans for their areas, feeding into Area Development Plans (part of the decentralized structure). In addition, the VDCs were able to mobilise resources, implement and coordinate village level activities. The VDC and ADCs met during the mission appeared to be capable of managing the group activities mentioned in I-612. Capacity Development of the extension system with regard to sustainable agriculture methods through the support to/collaboration with MZADD is crucial for the long-term perspective. Considerable capacity appears to have been developed (the staff received training in Zambia), the curriculum for training of Lead Farmers is currently under revision, and generally the system appears to be relatively well-functioning. The Lead Farmers are trained five days followed by period supervision. Each Lead Farmer should have a work plan, which should be submitted to the EPA office, and this forms the basis of the work of the EPA.

I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	With regard to Lead Farmers, there is no doubt that they have the required technical capacity to continue applying the sustainable agriculture methods; with regard to the Follow Farmers, this is far less certain and not well-reported (interview with Lead and follow farmers, MZADD).

1.2.6.3 JC 63 Environmental sustainability

DF has a very strong approach with regard to sustainable agriculture, the results are therefore not likely to generate damage on environment; quite the opposite.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	DF has a very strong approach with regard to sustainable agriculture, and is in particular known for manure promotion. The results are therefore not likely to generate damage on environment; quite the opposite.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	The Malawi Programme promoted good agricultural practices such as conservation farming, manure making and composting, agri-forestry, organic fertilizer, etc.

1.2.6.4 JC 64 Quality of exit strategy

No exit strategy was in place for the Malawi programme, but DF continued (with some exceptions) to work in the same areas and wit the same partners.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	No exit strategy was in place for the Malawi programme. DF has however continued to work within the same areas and with some exception (e.g. Circle for Integrated Community Development, CICOD).

1.2.7 EQ7 To what extent have programmes lent themselves to scaling-up?

1.2.7.1 JC 71 Appropriateness of programme design for scaling up

The Lead Farmer-Follow Farmer approach is appropriate for scaling up; however, the approach suffered from poor reporting on Follow-up Farmers (number of persons trained, adoption rate, etc.) as well as a lack of a clear definition of a Follow Farmer. The pass-on livestock system practiced by TAPP and also included in the RFSP represents a highly relevant and appropriate system to scaled up, moreover scaling-up is part of the design itself (off-springs are passed on to other individuals/groups).

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The Lead Farmer-Follow Farmer approach is appropriate for scaling up. However, as in the case of other projects working with the same approach during the period under evaluation there was generally a poor reporting on Follow-up Farmers (number of persons trained, adoption rate, etc.). Moreover, there was no clear definition of a Follow Farmer. DF Malawi is currently working on a definition of a Follow Farmer (should have adopted three out of seven technologies on a certain percentage of the land) and is also currently developing an electronic data base for Lead Farmers/Follow Farmers (to be used by all partners) ensuring that the figure reflects the number of farmers, and not the number of training events. The pass-on livestock system practiced by TAPP and also included in the RFSP represents a highly relevant and appropriate system to scaled up; moreover scaling-up is part of the design itself (groups/individuals are provided sheep/goats/rabbits; when breeding has taken place, the off-springs are passed on to other individuals/groups).

1.2.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The Lead Farmers approach (scaling up to Follow Farmers) generally appears successful, however poor reporting on Follow Farmers is a problem. At level the focus is generally on subsidizing agri-input to farmers to ensure increased production in a short term perspective. At district level however there might be more recognition of the need for a long-term approach and more sustainable approach; in MZADD there is a strong support to the use of sustainable methods; alone or complementing the high-input approach of the government.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	During the mission, two Lead Farmers and their follow farmers were visited. Both Lead Farmers visited were very successful and thus represented success stories to be scaled up. However, as mentioned above (I-721) the scaling up design had some shortcomings, which however DF currently is addressing.
I-722 Evidence of an effective learning process with a high adoption rate	According to DF the Lead Farmer approach was started by this organization 10 years ago and then adopted by other NGOs. The Lead Farmers are trained over a four-year period (first year: sensitisation; second and third year: training; fourth year: follow up). The Lead Farmers then each train approximately 25-30 farmers. Extension workers are always involved during the training. In total 900 Lead Farmers and 20,000 Follow Farmers have been trained. Currently, a training curriculum is under development.

	Lead Farmers and extension workers have been on study tours to Zambia (T-O-T). The learning process appears to have been successful; however, poor reporting on Follow Farmers is a problem.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	Generally, there appears to be limited interest at the national level for scaling up sustainable agriculture methods. The focus is generally on the FISP and subsidizing of agri-input to farmers to ensure increased production in a short term perspective. At district level however there might be more recognition of the need for a long-term approach. DF thus collaborates with the Mzuzu Agricultural Development Division (MZADD), which covers the three districts Rumphi, Mzimba and Nkhata Bay with regard to extension methods for sustainable agriculture, the Lead Farmer approach and farm trials/research. In MZADD there is a strong support to the use of sustainable methods; alone or complementing the high-input approach of the government (interview with MZADD representatives). With regard to the Lead Farmer approach this is also used by the government; the approach is also mentioned in the Agricultural Sector Wide Approach (ASWAP).

1.3 Lake Chilwa Basin Climate Change Programme

General Data

Intervention title	**Lake Chilwa Basin Climate Change Programme**
Agreement partner (name)	Malawi Ministry of Natural Resources and Environmental (source: Agreement Summary Report)
Type of agreement partner	Governments/Ministries in developing countries (through Malawi Ministry of Natural Resources and Environmental Affairs and University of Malawi through LEAD
Agreement nr.(s)	MWI-08/024
Country / region	Malawi
Implementing partner	University of Malawi through LEAD In cooperation with Forestry Research Institute of Malawi (source: Progress Report 2010) Contac person & contact detail: Prof. Sosten Chiotha (University of Malawi), schiotha@cc.ac.mw Mr. Welton Phalira (Programme Manager): w.phalira@yahoo.com
Programme officer:	Chikuni, Augustine Charles (Agreement Summary Report)
Extending agency	Royal Norwegian Embassy in Lilongwe Contact person&detail: Augustin Chikuni (programme officer) auc@mfa.no
DAC Sector	Main sector: 410 – General environmental protection Subsector: 10 – Environmental policy and administrative management
Intervention start & end dates	2010-2014 (source: Progress Report 2010)
Budget Approved amount Agreed amount Disbursed amount	• 35.000.000 (source: Agreement Summary Report) • 35.000.000 (source: Agreement Summary Report) • 21.500.000 (source: inventory data base)
Main stakeholders	Primary beneficiaries: Local communities Secondary beneficiaries: local and district institutions, partner institutions
Number of beneficiaries targeted	The numbers in brackets are the targets defined in the initial logframe, the first number are the beneficiaries reached end of 2011 (annual report). No of participating villages: 471 (500) No of participating households: 795 (1000) for 2010 and 1273 (3000) for 2011. During the 5 years 10 000 households should be targeted.
Intervention description	The Programme will integrate participatory research with participatory management process that will bring together multiple stakeholders across sectors. Participation of the communities will be sought throughout from 1. defining hotspots, 2. choosing which adaptive strategies to test, 3. to monitoring and evaluation of Programme activities. The programme will link vertical (communities, NGO's, ministries) and horizontal (fishers, farmers, traders, bird-hunters) levels into the design of adaptation strategies and long term adaptive management for the future. This Programme's approach assumes greater community access to and sustainable utilisation of natural resources. (source: Collaborative Agreement)
Programme background & history	The demand for this programme has arisen from previous stakeholder consultations, indicating sustaining livelihoods, increasing resilience of food production, afforestation, developing food and water reserves and harvesting and storing water as urgent priorities for the country. • Problems found in Lake Chilwa Basin are representative for all of Malawi • Network with other climate change and environmental management programmes is planned (including the EU-founded "Improved Forest Management for sustainable Livelihoods Programme" and the USAID funded COMPASS program (Source: Proposal) The collaborating partners have changed overtime. Currently collaboration is with Emmanuel International through the USAID funded Wellness and Agriculture for Life Advancement (WALA) project and other organizations such as World Vision on

	specific activities.

Project objectives and activities & expected results

Overall objectives	"To secure the livelihoods of 1.4. million people in the Lake Chilwa Basin and enhance resilience of the natural resource base" (source: inception report, based on 2008 population census figures)
Specific objectives	1. strengthen local and district institutions to better manage and govern natural resources and build resilience to climate change. 2. improve household and enterprise adaptive capacity in Basin hotspots. 3. facilitate and help build cross-basin and cross-sector sustainable natural resource management and planning for climate change throughout the Basin. 4. mitigate the effects of climate change through improved forest management and governance (source: Programme Agreement)
Expected results	• Increased capacity of local and district institutions to plan, implement and monitor integrated climate change adaptations. • Integrated management plan for Lake Chilwa Basin hotspots developed and implemented. • Vulnerability of Basin households reduced through improved and diversified livelihoods and natural resource management. • Carbon sequestration throughout the Basin increased. (source: Programme Agreement)
Main activities specify agri. Activities for envir. Interventions)	Especially in Component 3: main activities: introduction of new practices on demonstration sites (fish dryer, fish kiln, conservation agriculture; and training on lead farmers and awareness raising activities on climate change and issues affecting agricultural production. Main activities: • Strengthen small scale producers' and small scale traders' access to markets. (value chain analysis and improving access to markets) , • identification and promotion of new income generation activities: improved fishing practices (fish dryer and smoking kilns, bee-keeping, fruit tree nursing and planting • Introduction of new agricultural practices, esp. conservation agriculture and training of lead farmers, establishment of demonstration sites (e.g. for CA) Activities are only implemented in 10 priority areas, so called "hot spots" (source: log frame)
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

1.3.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

1.3.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The project is fully aligned with national and regional strategies and seeks to develop the basin's (climate change) adaptation strategy by taking into account existing policies and develop new actions through a consultative process with all stakeholders of the basin. The project objectives and activities reflect recognised regional/basin wide analysis highlighting the particular vulnerability of the basin and the problematic food security situation.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	The project is fully aligned with the national food security strategy (Food Security Policy Malawi, 2006) and seeks also full alignment and synergies with other relevant national strategies as well as regional action plans in the agriculture, environment, (notably the National Adaption Programme, NAPA), forest, fishery, poverty reduction and other relevant sectors. The project's main objective of communication of climate change issues & monitoring of natural resources/ecosystem of the basin, by taking into account current policies and developing new actions and strategies in a joint manner with all stakeholders of the basin *(source: collaborate agreement 2010 between Gov and University of Malawi on the Lake Chilwa project).* *"The Malawi NAPA ranks sustaining livelihoods, increasing resilience of food production, afforestation, developing food and water reserves, and harvesting and storing water as urgent priorities for the country (NAPA: 9). The critical next steps to implement the NAPA are practical strategies for adaptation to build resilience in society and ecosystems." (Proposal document, p5)*
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	In addition to the alignment on national policies, analysis of the basin (environment and social, incl. food security) situation have been carried out before the start of the project (through predecessor project, funded by Danida : "Report on Wetand and catchment areas, 2001"). The Lake Chilwa basin is recognised as one of the most food insecure areas of the country*. (source: The Lake Chilwa Wetland State of the Environment Report, 2000; FAO-WFP Special report crop and food supply for Malawi, 2005; yearly FAO-EU Price Monitoring and Country Briefs.)* Furthermore, one of the project's aim is to establish baselines and a database on different resources, such as water, fish and soil, but also livelihood and socio-economic situation in the areas targeted by the project (=hotspots) as well as value chain analysis. Big effort is done by analysing historical data in order to build scenarios or predict future events which are used to formulate adequate adaptation strategy(ies) for the basin. *"Lake Chilwa has dried up in the past, most recently in 1995-96. It is predicted that these events will become more common with increased climate change. What is certain is that the livelihoods of most residents of the Lake Chilwa Basin are already precarious and changes in climate will only increase the negative impacts on agriculture and natural resources and thus intensify residents' vulnerability. Climate events such as droughts or floods cause food insecurity and famine and increased pressure on natural resources such as forests and fisheries. These resources are important sources of livelihoods but become critical as safety nets for the poor in times of crises. Deforestation compounds and increases the intensity of flooding, which*

	further results in the siltation of rivers, jeopardizing downstream livelihoods in floodplains and ultimately in the lake." (source: PRODOC)

1.3.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The project is coordinated with other projects in the project areas through its "radio listening club" activity which engages development partners in a dialogue (e.g. forum discussions on climate change). Furthermore, the project has initiated "exchange projects" between farmers benefiting from support from different donors/projects on the same topic (conservation agriculture). Exchange is also sought on national/international level, mainly through research and communication component of the project). The proposal document includes a short resume of other donor's projects and analyses the needs and gaps of the Basin very well. The project's 4 components have activities which results contribute to more than one component. This overlapping is done deliberately according to the proposal document. Partner coordination takes place through jointly develop annual work plans that have specific outputs for each partner. These are followed up through quarterly review meeting. No evidence is available on joint donor activities, but coordination with USAID and Southampten University, UNDP or World Vision takes place.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	**Within the Basin** (project implementation area) collaboration and coordination with other donor projects are taking place. The proposal document indicates general commitment to engage with NGOs and CBOs working in the Basin. Each sector (fish, forest, agriculture and climate change) is being implemented by one of the 3 partners, which are recognised specialists in their sectors with good networks and working experience in the Basin area. One example of this collaboration is the exchange project for farmers from Ngwelero Extension Planning Area (EPA), introducing conservation agriculture under the guidance of Lake Chilwa project. These farmers have been visiting Farm Income Diversification Programme (FIDP) sites in Balakato (EU funded). Another example of collaboration is the radio listening club initiative that has strengthen the partnership between the Lake Chilwa project and other development partners including the Development Fund, Total LandCare, Swedish Cooperative Centre, National Smallholder Farmers Association of Malawi and Bunda College. All these partners have participated in forum discussions on climate change that are aired on Pakadafunda. Communities that are supported by these organisations have also been involved in the development of Programmes for Pakadafunda through field level interaction. *(Source Chiota and al, Communication CC through radio listening clubs)* On a **national level**, the project is well connected to the climate change discussion (e.g. project has been presented as the only Malawian project at the COP 17 and COP 18). The Proposal doc states that the project will also work with the national climate change steering committee (within the Ministry of Economic and Planning) and links with the donor climate change resilience unit hosted by UK's Department for International Development's office in Malawi." *(Source proposal doc).*
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify	The proposal document includes a good analysis of the Basin's situation and proposes an action plan corresponding to the needs. The log frame includes for each activity an "assumption" column, which can be seen as a risk assessment for each activity. Projects from other donor in the basin are briefly described. The issue of overlap of project activities is discussed already at the proposal stage. Coordination takes place through jointly develop annual work plans that have specific outputs for each partner. These are followed up through quarterly review meeting

action to minimise overlaps	"*The project partners have identified four thematic areas in which to focus our work and test and implement adaptive strategies to climate change: capacity (…) . While these areas are clearly interrelated and overlap, they provide organizational structure for the project's work. We will focus on all throughout the Basin to cover the upper watershed, the mid-watershed, the floodplain and the lake and wetlands (source: proposal doc).*
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	The programme is coordinating with WALA a USAID program and recently collaborating with University of Southampton on Ecosystem Services for Poverty Alleviation (ESPA) program that includes nutrition activities in the Lake Chilwa Basin. The programmes is currently collaborating with Emmanuel International on commodity value chain development for rice, pigeon peas and chillies through the WALA A joint fora with other donor funded programs such as World Vision on tree planting and the Millennium Villages (UNDP) have been held. Within the project, joint monitoring mission with all implementing partners take place.

1.3.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The project is reflecting the priorities of the beneficiaries, as most adaptation actions are decided with and by the communities. As one of the project components is awareness raising, communities are informed about the complex issue of climate change and are in a better position to decide for sustainable options, fulfilling their (food security) needs in a long term perspective. The project also reflects the needs of the beneficiaries in terms of increasing food production and introducing/diversifiying income generation activities.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The project design is based on the elaboration of adaptation strategies and actions together with the communities. Projects such as new income generating activities have been initiated on demand of the communities. It therefore reflects the priorities of the beneficiaries. The communities recognize that changes in the agricultural production are the result of erratic rain or droughts.. The communication/training component of the project on climate changes for the communities create understanding of the interconnectivity of different human activities within the Basin and the threat on their livelihood in a long term perspective. The project also reflects the needs of the beneficiaries in terms of contributing to increased food production and increased/diversified income generation.

1.3.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

1.3.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The project has financed a livelihood analysis of the Lake Chilwa basin (analysis of agricultural practices and food production of the communities in the Basin). This analysis is very useful as data has been collected in the project area (not using projection data). The project is likely to increase food production (at least on a small

scale in the 10 targeted hotspots) through the introduction of new agricultural/fish processing methods (conservation agriculture, solar fish dryers, energy efficient fish smoking kilns). Consultation with the communities and communication activities on climate change issues are likely to enforce use and sustainability of the new production methods.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	Analysis of food production is available and assessed to be very useful, as it has been done specifically for the project area (no projection data). A livelihood survey has been conducted as one of the project activities (published early 2012) and provides information on human, social, natural, financial and physical capital of the lake Chilwa Basin communities. Data collection has been conducted in 14 villages (900 interviews) and give an up to date and precise picture on the Basin livelihood. An analysis of the agricultural land and an inventory of the products cultivated are given in the livelihood study and highlights the difference crop produced in the different regions of the lake (see figure 3 below). The major crops produced are maize, sorghum and rice. Also changes in cultivation practices are highlighted (e.g. more land is being segmented and increased cultivations on steep slopes; many migrants have access to land especially the wetlands for rice production). Figure 6 below shows the seasonal calendar for most used livelihood sources in the basin (fish, fish saling, rice and maize farming) Further to the livelihood survey, soil analysis has been carried out for conservation agriculture fields. These studies show that organic substance seems to be the major factor limiting plant growth (annual report).

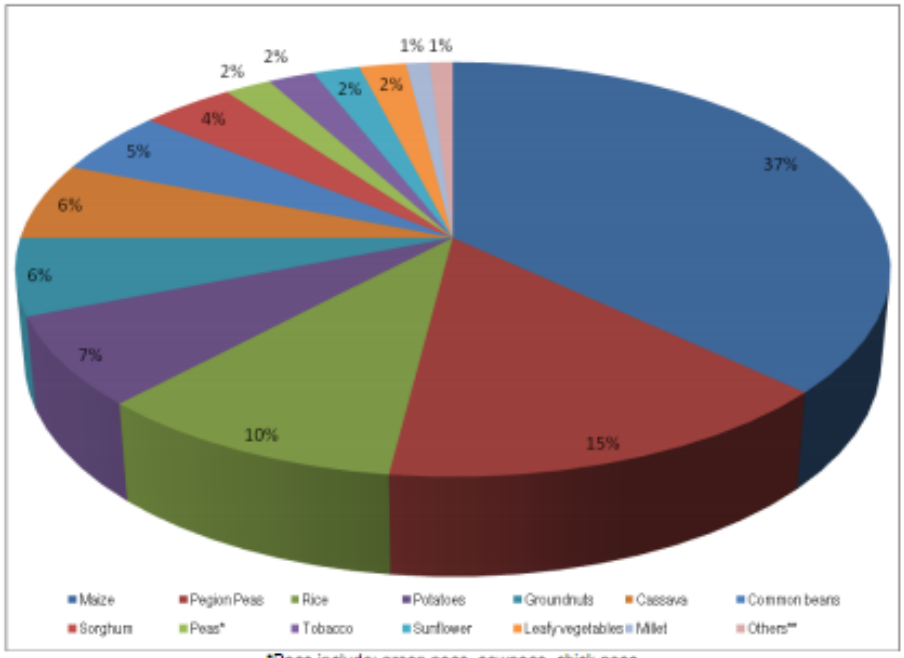
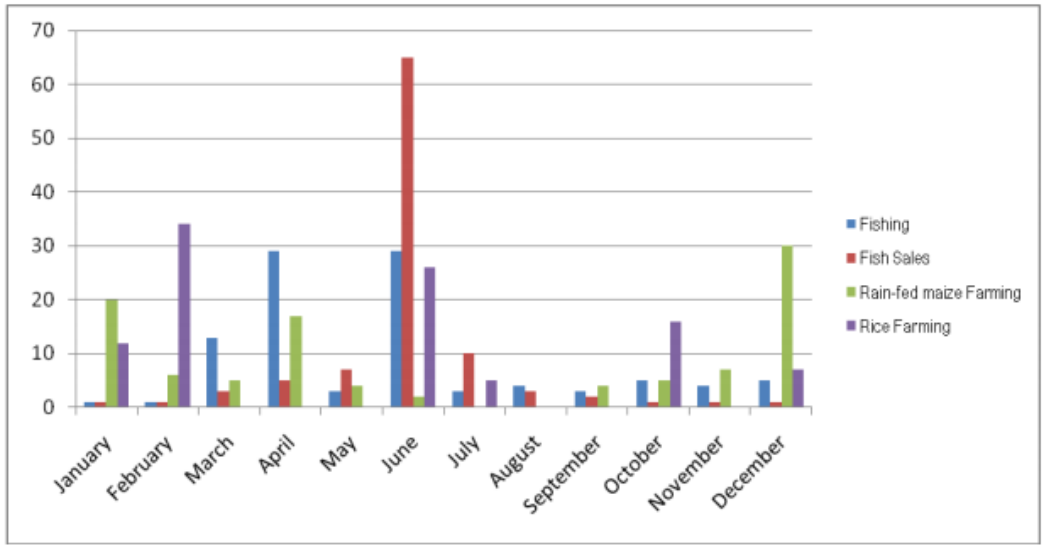


Figure 3: Major crops of the Lake Chilwa Basin

Livelihood survey, p. 24

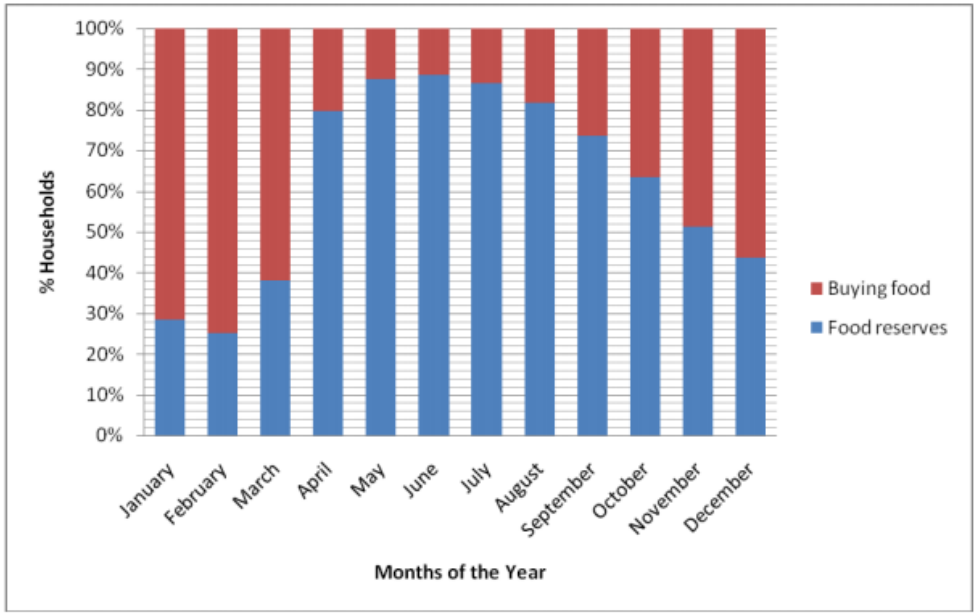
	 Figure 6: Seasonal calendar for major livelihoods sources in the basin
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	By focussing on climate change adaptation and increasing resilience of beneficiaries, the project is likely to at least stabilise natural resource degradation and not further degrade food insecurity (e.g. risk mapping, provision of equipment to fish, pigeon pea farmers, conservation agriculture, etc.) (source: 2011 annual report) Through the introduction of new technologies in agriculture and fishery (Conservation Agriculture, solar fish dryers, more efficient smoking kilns) and the focus on training lead farmers it is likely to increase food production not only on the demonstration plots and in the pilots projects, but for other farmers/fishers of the community. Communication and training activities on climate change will help to raise awareness on the fact, that there is a need to engage in a long term process and this might help to conserve the new agricultural practices. The log frame indicates as impact indicator to be monitored : "% increase in total annual energy/staple food crop production"

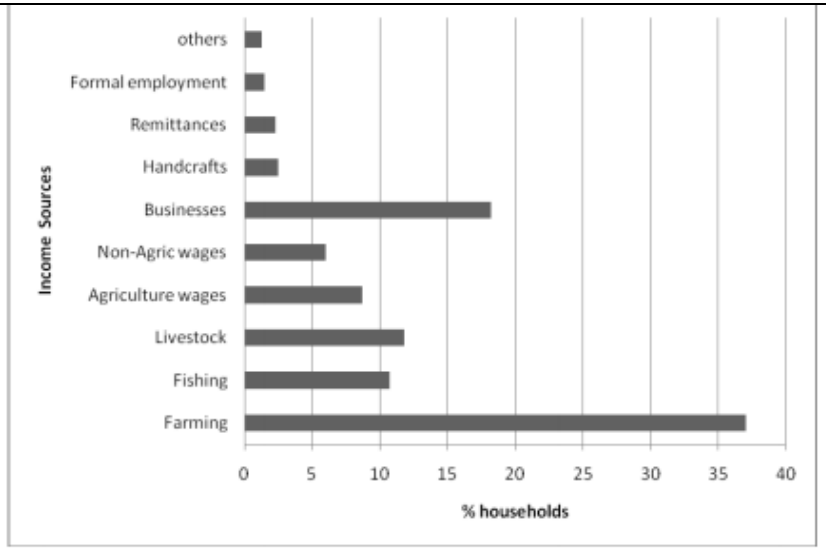
1.3.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The livelihood report provides statistic on the food accessibility of the households of the basin, namely showing the ratio between HH food reserves and food buying per months. To better understand the value chain for key commodities (fish, charcoal and firewood, rice) of the basin, value chain analyses have been done in the first year of the project. The project is likely to increase food accessibility through its activities aiming at increasing the household income (use of new/better techniques for processing agricultural/fish production; introduction of high value crops such as pigeon peas; enhancing market access of farmers/fishers). It has

however to be noted that the project is only providing training and input for demonstration sites (with the aim to provide a starting point for scaling up) in the 10 hotspots, the outreach is therefore limited.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	The livelihood report provides statistic on food accessibility for the households in the Lake Chilwa Basin (Source livelihood report p.17-18), especially showing the ratio between food reserves and buying food. The figure on seasonal calendar on livelihood sources (I-211) can also give insights on the food access situation of the households. Furthermore, the project conducted several value chain analysis for fish, charcoal and firewood and basket weaving and the rice sector. The main sources of income in the basin are shown in the figure 5 below.  Figure 7: Household food accessibility Livelihood report, 2012, p. 33

	 Figure 5: Sources of income in the Lake Chilwa Basin
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	Increased food access can be a direct outcome of increased purchasing power of HH and better food production and as such is likely to happen for the HH covered by the project (see below I-223).
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	The project is designed to increase the purchasing power of households through: introduction fish processing techniques increasing the market value of the fish (faster fish drying and smoking, reduced post-harvest loss, packaging and marketing of the fish); better market access (through farmer's organisation), and producer groups (focus on women fish traders and pigeon pea farmers); connection with supermarkets and retailer (for fish); production of high-value crops such as pigeon peas (within the conservation farming). Increase of HH real income impact indicator of the log frame. To be noticed that all these activities are carried out on a small scale, mostly demonstration area. (e.g. 45 fish trader women trained, 3 pigeon peas business groups trained, 3 boat building and transportation group, 1 ice maker group). It is also interesting to note that for the fish processing and marketing component, the aim of the project is to finalize the designs and adherence to standards as required by the Malawi Bureau of Standards on fish products before scaling out.

1.3.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Again, livelihood survey provides data on the annual food shortage period and explains the reasons for food shortage in the basin which are: low agricultural production and low or no income from fishery during last months of the agricultural season. Through its activities (see I-212 and I-222) reduced food shortage period can be seen as an outcome of the project. However, for the moment these activities are demonstration activities and are still very dependent on the weather conditions, e.g. no fish processing if no fish is available due to the drying of the lake. Beside the fish processing the programme is also doing catchment management to be able to better react on the siltation of the lake. Due to the still high dependency on the weather it is difficult to assess whether the project will increase food stability.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	The livelihood survey shows that between January and February 42% of HH have food shortage, due to low income from fishery. Coping strategy are migration labour. As this period coincides with a high labour period for the maize production the livelihood report concludes that in the long run this creates a vicious circle of household poverty. (p. 32) (see also I-211 for seasonal calendar on livelihood sources). Besides crop production, various factors, such as reduced cross boarder mobility with Mozambique, are said to be of growing importance for food security especially in environment impacted heavily by climate changes: *"The key determinants of food security for households and communities, and resulting improved nourishment, do not lie primarily in improved crop yields. Due to among others, climate changes may increase vulnerability, but* ***economic and socio-political factor****s play a greater structural role in undermining households' and communities coping abilities (De Wit, 2010). Climate change* ***will affect transportation of food and other non-food goods and services in the basin****. Food transfers from across Mozambique would not be easy with* ***low reduced water levels*** *and heavy siltation in the lake. Already, travelling within the using boats has become a challenge as engine boats get stuck in the mud. Most engine boats and dugout canoes have been abandoned because of this". (source: Phalira, implication on food security).* Furthermore faster recurrence of periods in which Lake Chilwa dries partially or completely are foreseen due to climate change, thus, food shortage period are likely to increase further in the future. *(source: W. Phalira, G. Mphepo and S. Mahonya : Climate Change And Variability In The Lake Chilwa Basin: Implications For Food Security, 2012.*
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Project activities are on a very small scale and still very dependent on natural resources (water and fish) and thus it is not possible to assess the probable impact on food stability. However, one log frame impact indicator is: "% of households with energy food reserves in critical months". The project aims at decreasing food shortage periods in a long term perspective through changes of agricultural practices and diversification of income and less destruction of environmental resources through better knowledge on climate change issues. However, in the short term there is still heavy dependence on the weather conditions. Furthermore, the project activities have to be successfully upscaled to have a basin wide impact.

1.3.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

The promotion of fish as source of animal protein could increase the nutrition status. The programme has started to collaborate with development partners to include nutritional aspects in the programme (e.g. development/promotion of fish recipes for vulnerable people, including children and HIV/AIDS affected people) and develop nutrition indicators .

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No analysis on nutrition the nutrition status of Lake Chilwa Basin found. There are however, documents mentioning the importance of the fishing activity for the nutrition status of the population surrounding the lake and the country. More specifically, Lake Chilwa provides 22% of total fishing in Malawi.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	The project has no nutrition activities. Indirect activities related to health are: reduce bilharzia infection rates (Bilharzia Control Programme at village level). The promotion of fish as source of animal protein could increase the nutrition status. The programme has collaborated with the Nutrition Department of Chancellor College, WALA program on food utilization. Chancellor College has developed local recipes on different foods including fish powder for children and pregnant mothers. It is planned that this activity will be scaled up in collaboration with the World Bank funded program in the Department of Nutrition and HIV/AIDS. In collaboration with ESPA, the program will generate useful nutrition indicators such as meal intake and stunting See http://espa-assets.org

1.3.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

1.3.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Project activities have increased food production mostly through the introduction of Conservation Agriculture. These activities are complemented by training activities on climate change adaptation highlighting the necessity to use Conservation Agriculture, crop and income diversification. However, the activities are demonstration activities on a very small scale and aiming at training of multiplicators such as lead famers and extension officers with the aim to upscale the new practices on Basin level. No data on adaption yet.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	The project has increased food production, especially through Conservation Agriculture projects. *"Conservation Agriculture: In the 2011/2012 cropping season, the Programme is supporting 269 smallholder households (Male headed: 134; Female Headed: 135) on an estimated 44 h*

	a as part of scaling up and out CA technology across the Lake Chilwa Basin hotspots. The Programme has trained 210 farmers and 12 extension workers in the principles of CA during the 2010/12 season." (Annual report 2011). 9 months later (Nov 2012), the number of households using conservation agriculture as well as hectares involved seems to have tripled: *"Since 2010, the Programme has supported 950 farm families with farm inputs (seed, fertilizer, herbicides) and technical support to undertake conservation agriculture on an estimated 145 hectares. With this support, beneficiaries are able to get at least 750 kg of maize per household per annum, unlike in the past when they could harvest 200 kg, on average. In addition, farm families are supported and encouraged to integrate agro forestry species such as Faidherbia albida and Grilicidia Sepium and legumes (mainly pigeon peas) into their farmlands." (Source: Lake Chilwa Basin Climate Change Adaptation Programme A Summary Of Achievements On Food Security, Nov 2011*). Furthermore, development of cash crops (pigeon peas) or added value products (fish processing), is also increasing food production, also if most of these products are grown to be sold (see I-321). In addition, 15 extension personnel and 60 lead farmers from basin districts have been trained on adaptive strategies to climate change. The training demonstrated the need for crop diversification, conservation agriculture and income generating activities as a way of enhancing the resilience of smallholder farmers to the impacts of climate change. **But as activities are concentrated on 10 hotspots and are demonstration sites and pilot project the increase is on a very small scale. No data yet on adoption rate.**

1.3.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

The project increases accessibility to food through the introduction of income generating activities (e.g. fish processing activities, training of business support groups, introduction to new markets for fish, pigeon pea etc.). Again the activities proposed have demonstration activities; the outreach is therefore limited.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No information on increased number of meals per day or improved diet. As stated in JC 22, collaboration on this issue will start.

1.3.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

It is too early (after 2 years of implementation of the project) to see results on increased food stability. As main indicator of the log frame (in agreement document) is given**: '**70% of the community (of the 10 hotspots) are food secure**'.** No further definition of "food secure is given" nor a target year.

Evidence on indicator level

<table>
<tr><th>Indicator</th><th>Evidence</th></tr>
<tr><td>I-331
Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas</td><td>Unknown (too early).</td></tr>
<tr><td>I-332
Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)</td><td>Unknown (too early).
The livelihood study has listed the major coping strategies (collected 1,5 year after the start of the projects, but can be seen us baseline data):
<table>
<tr><th>Coping strategy</th><th>% households involved</th></tr>
<tr><td>Short term loans from kins</td><td>9</td></tr>
<tr><td>Food aid from kins</td><td>17</td></tr>
<tr><td>Government relief</td><td>4</td></tr>
<tr><td>NGO relief</td><td>2</td></tr>
<tr><td>Reduced meal frequencies during famine</td><td>19</td></tr>
<tr><td>Selling of household assets</td><td>5</td></tr>
<tr><td>Livestock selling</td><td>14</td></tr>
<tr><td>Selling of family labor (ganyu)</td><td>23</td></tr>
<tr><td>Migration</td><td>2</td></tr>
<tr><td>Irrigation</td><td>2</td></tr>
<tr><td>Selling other grains (rice) to buy maize</td><td>9</td></tr>
</table>
(source Baseline study (Livelihood, report April, 2013), p. 36)
The log frame has defined an impact indicator which is monitoring “% decrease of households that are adopting irreversible/undesirable coping strategies”. No data yet available.</td></tr>
<tr><td>I-333
Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)</td><td>Too early for results, but clearly the objective of the project: “using an ecosystem approach together with participatory approach that aims at understanding the whole livelihood system”. The use of old data and more research on social factors should help understanding the shift in livelihood in the past and use of better adaptation means in the future (Source: interview Jospeth Nagoli, WorldFish)
The increased promotion of income generating activities can be observed.
Project achievement in relation to increased revenue of households:
45 women fish trader groups in 9 groups have been supported with new solar fish dryers and smoking kilns, resulting in 125% increase in fish sales for women using solar dryers. (Source: summary of progress on food security, nov 2012)
Provision of business support to 1500 pigeon pea farmers: 20% increase in selling price of pigeon peas as a result of selling to new and regional markets.(Source: summary of progress on food security, nov 2012)
Again, income generating activities introduced by the projects have the aim to show demonstrate new techniques and train a small amount of multiplicators. The outreach of the project are therefore (for the moment) quite small).</td></tr>
</table>

1.3.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No measured.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	Not measured.

Cluster 2: M&E and Documentation

1.3.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

1.3.4.1 Appropriateness of programme M&E design

A monitoring and evaluation system has been planned from the proposal stage and M&E activities have their own budget, including a position for a monitoring M&E officer, who is in charge of the overall monitoring of the project. The log frame is clear and supported by an impact diagram (proposal). Indicators for the activities were defined after the baseline analysis and the set up of activities were finalised (beginning year 2). The project has defined a huge number of indicators (over 50) and the annual report (2011) only provides data for around half of the indicators of the performance matrix.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	The objectives of the project are clear and translate into feasible activities. An impact diagram is included in the project proposal. The project uses performance indicators based on activities' results; furthermore a set of impact indicators have been defined to measure outcome/impact of project (not yet measured); (annual report 2011). Indicators have been developed based on the objectives and activities, but there are far too many indicators (>50). For each indicator a 'Performance Indicator reference sheet' has been developed, including: description of the indicator; a plan for data collection, data quality issues, plan for data analysis, baseline, target and actual). The indicators have been revised and only output indicators will be monitored. No evidence found in the performance indicators of gender disaggregated indicators.
I-412 Evidence in planning, of a	Monitoring has been integrated from the beginning in the project and the existing 'district assembly M&E platform' was used. However, the need arose to elaborate further the system and a new M&E platform is currently under construction and will be

monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	changed into web-based platform to be more accessible to all stakeholders. A budget for an M&E officer for the 5 years is included in the budget. The list of benchmark and performance indicators for all activities was developed after the baseline survey and selection of tactical adaptation strategies by communities (proposal document). From the proposal document: *"In terms of monitoring and evaluation, the Programme will adopt impact and output indicators for agriculture, food security, nutrition, natural resources and fisheries/aquaculture (..) In addition, a list of activity based indicators and benchmarks will be developed after completion of baseline studies and selection of activities with the communities. A monitoring and evaluation (M&E) system will be developed using the existing District Council M&E platform. This system will be tailor made to meet project objectives, the District Council and Norwegian Embassy reporting needs. These needs include capacity to assess impact of the project interventions and the development of indicators by communities for participatory monitoring. The project partners, the District Councils and the Norwegian Embassy will work closely during start-up to refine indicators and milestones during start-up. The programme will use the M&E system to provide a foundation for the performance management plan which will be reported on a quarterly basis. We will further develop a format that simplifies reporting and provides a transparent vehicle for transmitting programme results to stakeholders and government partners."* *(source: proposal document).*

1.3.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The monitoring system in place is well designed. Data collection is done by stakeholders such as beneficiaries, governmental district officer or staff of implementing partner after having received training. A central monitoring and evaluation officer is developing tools, such as the performance indicator reference sheets, and coordinating the data collection activities. A special feature of the project is the participatory monitoring with communities, especially for ecosystem monitoring for climate change (forest resource, soil, water, fish).

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	An M& E officer is appointed and financed by the project with 80.000 USD for 5 years. He reports to the RNE annually and supervise the monitoring activities of the partners. Monitoring is done by different stakeholders that are trained in data collection by project M& E officer ("participatory monitoring"). Stakeholders are: partner organizations, government agencies, communities and government and project field staff. All these stakeholders will report back on key indicators to the project officer to measure progress of project beneficiaries, to comply with periodic performance indicators and to track project achievements. A budget for other monitoring activities of natural resources (soil, water, fish) is also foreseen (approx. 100.000USD) Participatory monitoring: trainings have been held in 90 households in all hotspots and 45 district partners and project staff has been trained in the monitoring activities by end of 2011 (annual report 2011).
I-422 Relevance, frequency and timeliness of data collection	A detailed data collection system exists (annual or twice a year as appropriate); data collection is done by the district officer or other staff in direct relation with the beneficiaries. The community themselves have been trained on monitoring issues, especially monitoring of natural resources (e.g. water,

(including gender disaggregated data) at all levels (output, outcome and impact)	wood, soil, fish; e.g. water monitor readers). Lead farmers for M& E have been trained. Data are then given to M&E officer. Currently a web-based database is being developed that "*links programme activities to budgets and stakeholders. With this system, implementing partners and district collaborators are tracking and monitoring progress of activities. " (annual report 2011).* This web database will also be publicly accessible. Furthermore, joint participatory monitoring is done with the different implementation partners. *(source: interviews).*

1.3.4.3 JC 43 Adjustment of programme design and/or implementation modality

The monitoring data have not led to adjustment of the project's activities, but the systematic monitoring have resulted in the availability of data used to create an "early warning system" (e.g. on cholera) and discussion with the government is currently taking place regarding a disaster plan.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	The monitoring data have not led to adjustment of the project's activities, but the systematic monitoring have resulted in availability of data used to create an "early warning system" (e.g. on cholera) and discussion with the government are currently taking place regarding developing a disaster plan. Furthermore, the lack of data in relation to the lake drying was a driving force to develop research activities to understand the lake drying better and develop better resilience mechanism. Following problems found by the M&E system, corrective measures were introduced, such as improved training or communication or the amendment of the Operation Manual for monitoring.

1.3.5 EQ5: To what extent have programme results been documented?

1.3.5.1 JC 51 Availability of documentation of results

The project writes annual narrative and financial reports for the RNE. These reports are of good quality, clear and structured. A new web-based monitoring database is under construction, giving detailed information on indicators and general progress of the project. Information will be publically available on this website. Furthermore, the close link to the Chancellor College has led to several scientific publications. One of the project's activities resulted in a radio project recording and broadcasting on climate change issues.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Annual report and financial /management reports available. Annual reports are well structured and give a narrative summary of the year as well as an overview on the progress against activity targets and project output. A new web-based monitoring platform is currently under construction and will inform external stakeholders as well as project stakeholders on the progress of the project. It is planned that information on each indicator of the log frame will be available, as well as all reports and publications. The database should give an easy access to the monitoring data and allow analysis of indicators/aggregation of data.

I-512 Existence and quality of evaluation reports	No evaluation available so far. MTR should have been done mid-2012 but has been postponed/transformed into a baseline study with the fusion to the new project HEAL.
I-513 Existence and quality of other types of documentation of results	The project has published several scientific papers with research results of the project. (see I-523) One activity of the project is recording and broadcasting radio programmes on climate change adaptability and resilience and the different project activities. 38 projects have been recorded; due to problems in achieving a radio licence only few programmes have yet been aired. The project has a very informative and handy website which gives detailed information on the project, the activities and the outputs. In the near future all performance indicator reference sheet should also be online, giving detailed overview on the baseline, current status and targets. An important component of the website is the description of the monitoring and evaluation strategy and tools.(http://www.lakechilwaproject.mw)

1.3.5.2 JC 52: Extent to which intervention results have been disseminated

The project has an in-built dissemination strategy which is implemented through the activity "Radio Listing Clubs (RLC)". Those RLC seem to be very effective in raising awareness on climate change issues, supporting the introduction and dissemination of new agricultural practices, such as conservation agriculture, and monitoring of development project and good or bad development practices within the community. This has resulted in an increased awareness of climate change issues in the communities. Through the radio projects stakeholders such as government has been made aware of problems or crises situations, such as depicting food insecurity in an EPA of Zomba. Furthermore the project is very active in disseminating the results also outside the basin, through scientific papers, press releases or presence at international conferences such as COP 17 in Durban. Communication and dissemination must be seen as a strong point of the project.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	Project has a robust communication component: establishment of 5 radio listening clubs (à12 participants, 7 more in preparation outside the basin) . RLC developed and broadcasted 15 programmes on climate change & mitigation on MBC Radio 1 (out of 35 recorded but not aired). A rural radio station is planned but not yet created as licence approval is awaited (source: interviews 2012) *"Through this RLCs initiative, the LCBCCAP has introduced Pakadafunda, a 30-minute radio programme which is aired on the public radio station, MBC Radio I, on Sundays from 3:30 p.m. with a repeat on Tuesdays at 4:30 p.m. The programme tackles a wide range of issues including HIV/AIDS, sustainable agriculture, gender, health and other developmental issues in the context of climate change. Programme content is developed by the RLCs, which are actively and continuously engaged in basic radio programming, capturing community views, analyses of issues, proposals and actions related to climate change. (..)." (source: Chiota and al, Communication CC through radio listening clubs)*
I-522 Appropriateness of dissemination tools and channels in relation to	Efficient way of divulgation through design of radio messages on CC & resilience. The project can help the communities **to monitor and facilitate development** projects in their area, as the examples below shows. *" In **Mposa, Machinga,** a RLC followed up a case in which a community-based organisation (CBO) was holding onto a grant of*

subjects to be disseminated	*MK1.4 million provided by the National Aids Commission for implementation of a community HIV/AIDS project in the area. When attempts to access the funds from the CBO proved futile, the community engaged the RLC to record their concerns for presentation to district personnel responsible for the grant. The National Aids Commission officials confronted the CBO and demanded the release of the funds to the community, which it did immediately.* *In* ***Ngwelero Extension Planning*** *Area, Zomba, a RLC production* ***depicting food insecurity*** *following a dry spell that hit the area was followed up by a video documentary that triggered government action to provide supplementary inputs to smallholder farmers that had been severely affected by the dry spell."* *(source: Chiota and al, Communication CC through radio listening clubs)* RLCs are also being used as **extension agents** assisting stakeholders in community mobilisation and sensitisation. "*In Mposa,* ***Emmanuel International****, a non-governmental organisation that is implementing an integrated agriculture and livelihoods development project, used the services of Chikala RLC* ***to mobilise and sensitise smallholder farmers on the benefits of planting propagated fruit trees****, which the project was selling at a subsidised price." (source: Chiota and al, Communication CC through radio listening clubs)*.
I-523 Evidence of articles published, presentations in workshops, conferences	The close relation to the Chancellor and Bunda College as well as LEAD and the Forest Research Institute of Malawi results in numerous scientific publication on climate change or sector specific topics. Furthermore the project has published several press releases in 2012, e.g. on the drying of the Lake Chilwa (June 2012) Furthermore a non-scientific public is also target, e.g. through press release as e.g. on drying of lake Chilwa, 17th 6 2012. Communication on the project and its activities to external stakeholders is a strong point of the project. Through LEAD, the project has gained visibility on the national level and even on international level through the presence at the COP17 in Durban.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	The beneficiaries: According to *Chiotha and al, Communication CC through radio listening clubs: "The majority (78%) of key informants reported that the introduction of rural radio programming has improved advice-seeking behaviour and adoption of conservation agriculture among smallholder farmers. Conservation agriculture is a soil fertility and water conservation technology that is being propagated by the Department of Resources Conservation across the country.*

Cluster 3: Sustainability and Scaling up

1.3.6 EQ6 To what extent have programmes been sustainable?

1.3.6.1 JC 61 Financial sustainability/economic sustainability

There is no information yet whether funds will be available to continue activities (especially coordination activities around the basin development plan). Following the design of the project it is likely that beneficiaries will be able to afford the services of the project and that the results on livelihood will be maintained. External economic shocks or policy changes are unlikely to affect the project results, as project is embedded in the governmental action plan for adaptation (NAPA) and project activities aim at developing resilience to natural and economic changes.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	No evidence on funds available for further joint management of natural resources across the basin. It must be assumed that joint management activities will be taken over by existing organisation, such as district government, NGOs, CBOs or national institution. (see project proposal). The programme has contributed to developing capacity of the implementing districts of Zomba, Machinga and Phalombe through trainings and developing District State of the Environment including Management Plans.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	For capacity development activities: not relevant. For income generation activities, involving the provision of starter kits or other technical materials: in principle these inputs are given for a first take off and the income generated or the introduction of group bank accounts (e.g. women fish traders) with them should guarantee replacements/ maintenance. This implies however good results in the short term. Problems might arise e.g. due to bad weather conditions/drying of the lake which forces the activity to rest for some time (e.g. fish processing). The future will show if a prelaunch of the activity will be possible by the beneficiaries themselves.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Very likely as the objective of the project is to build climate change resilience among beneficiaries; however, too early to measure concrete results on basin level.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	For income generating activities, see I 611. For activities related to resource monitoring and the development of management plans: no information on how this will be sustained and too early to answer.
I-615 Policy changes are not likely to affect programme activities	Unlikely as the project takes its roots from a government sponsored project (NAPA) and its activities are small scale and based on basic agricultural practises. However, if one of the 3 lake districts decides to pull out, this will influence the whole project.

1.3.6.2 JC 62 Institutional and technical sustainability

Institutional and technical sustainability is very good, as the project aims at capacity building within existing institutions (district governmental department, NGOs, CBOs, etc.). Information on adoption rate is not yet available.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Very likely to be the case as the project aims at capacity building of existing institution (district governmental department, NGOs, CBOs, etc.). The programme is member of the District Executive Committee including the national CA Taskforce and the programme is bringing managers on disaster management together in order to harmonise district programmes. The participatory nature of the programme includes that project activities are communities driven. Awareness raising towards other institutions eg the faith community has also already led to taking up activities such as afforestation and climate change issues for sustainability It will however be necessary to establish a coordination platform/exchange mechanism bringing together different stakeholders of the basin taking over the role that the project coordination office has now.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Numerous activities and trainings have been carried out to strengthen the various stakeholders of the basin at different level (community – district departments). No results on adoption rate are yet available, as project is only in its 3rd year.

1.3.6.3 JC 63 Environmental sustainability

Environmental sustainability is guaranteed through the eco-system approach used in the project. Numerous good environmental practices could result from the project, one being the ecosystem monitoring for climate change, monitoring natural resource degradation within the basin.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Not likely at all, as a holistic, eco-system approach is used with the aim of decreasing pressure on the environment and natural resources while enhancing human livelihood.

I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	Numerous practices could be quoted. One example is the participatory/community monitoring of natural resource degradation, e.g. water and soil, on a daily/regular basis by the communities. These practices give not only a good database on changes of the environment but also raise awareness of the natural resource degradation and the speed it moves forward. Furthermore, communities are trained in data collection methods.

1.3.6.4 JC 64 Quality of exit strategy

No exit strategy exists for the moment and interviewed persons did not seem to see the need for one, as project activities (capacity building, and support to kick-off activities, are seen as sufficient to self-sustain project results. As one of the affirmed objectives of the project is up-scaling the activities within the basin, an exit strategy could however be useful, especially as there will be the need to cope with the different situations in different geographical hotspots.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	There is no formalised exit strategy for now. In principle the capacity building activities should help to sustain the project results, interview with project implementing parties revealed that exit strategy is in-built due to the capacity building activities and small scale support aiming at introducing new agricultural practices. However, a needs assessment/review of bottlenecks towards the end of the project might be useful to reveal where further support would be needed guaranteeing a good transition, continuation of selected spots or upscaling to the whole basin (as initially planned). No information is available regarding where supplementary financial funds might come from.

1.3.7 EQ7 To what extent have programmes lent themselves to scaling-up?

1.3.7.1 JC 71 Appropriateness of programme design for scaling up

The project has high potential for scaling up some of its activities, such as the use of solar fish dryers (over the basin edges) and conservation agriculture (within the basin). It is introducing new, but easy applicable technologies.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value	The project objective is to introduce innovative processes as demonstration activities which should then be taken over by the communities. Two examples of such activities: - conservation agriculture: several demonstration plots were created and lead farmers trained. - Introduction of solar fish dryers: technology introduced from Nigeria and improved by the project (exchange of plastic roof by hard cover roofs to avoid degradation due to weather. Fish dryers seem to be a major technology to be scaled out, also to other lakes of Malawi. The added value of solar dryers is a faster and cleaner drying process, resulting in a

over existing methods, etc.	better quality of the fish.

1.3.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Even though the project is only in its 3rd year, scaling out of activities can already be seen: it mainly implies the use of new technologies/project concept in other regions of Malawi. With regards to scaling up of activities within the basin (e.g. conservation agriculture or new fish processing methods), it seems too early to see results and adoption rates. The readiness and political willingness of institution within the basin to up-scale activities is, however, existing.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	Solar fish dryers: there has been interest by other projects to introduce solar fish dryers at lake Malawi; this might also be included in the new HEAL project (fusion of several climate change projects financed by the Norwegian Embassy in Malawi). The concept has furthermore been presented at lake Chad. The advantage of the solar fish dryers is that this technology can be used at any lake, unlike fishing practices that differ from lake to lake (due to the use of different fishing gears). The concept as such, meaning looking at an ecosystem as a whole and finding integrated solution can also be seen as an activity that is in the process of being copied in other parts of Malawi. The example of the Shire River and Shire river Basin project (run by Millennium Challenge Account): "*In implementing our activities, we will be doing so using a catchment or basin approach, similar to what is happening in the Lake Chilwa Basin Project. Thus in addition to improving the natural resources base within the Shire River Basin, including the bio diversity and ecosystems, we are hoping that we could also improve the livelihood and food security of the resource dependent communities as a way of diverting their heavy reliance on natural resources. We therefore look at some of the practices and ideas being implemented through the Lake Chilwa Project as being relevant to what we will be implementing ourselves."* *(source: interviews)*
I-722 Evidence of an effective learning process with a high adoption rate	So far the activities are on a too early stage to see adoption rates. Interviews reveal that the use of conservation farming methods has been increased. However, no quantitative figures are available for the moments. Also, the interest in the solar fish dryers, especially by fisher man (the pilot project only included women) is said to have risen. As for the moment the lake is closed for fishing, the next fishing season will reveal the adoption rate.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	The Lake Chilwa project seems to be well covered by media presence, and well known in Malawi, as shown in the exchange with the Millennium Challenge Account, the presence at COP 17 or the active participation in the new HEAL programme. There is the will to use/upscale activities of the project to other parts of the country. Concerning the up scaling within the basin, the will of the different institutional stakeholders for up scaling is for sure existing, but no precise information could be found on 'how' the up-scaling could take place.

1.4 Malawi Lake Basin Programme – Phase II

Project title:	Malawi Lake Basin Programme – Phase II
Agreement partner (name)	Swedish Cooperative Centre
Type of agreement partner	NGO International
Agreement nr.(s)	MWI-08/025
Country / region	Malawi
Extending agency	Norwegian Embassy, Lilongwe
DAC Sector	Agriculture
Intervention start & end dates	2009-2012
Budget	Planned (include estimate/proportion of agric. Activities for envir. Interventions): Committed: **NOK47 330 000** Contracted: **NOK47 330 000** Disbursed: **NOK39 330 000** *(source: Agreement Summary Report)* SIDA contributed total of SEK 22.6 million (source Monica Steensland, Norwegian Embassy)
Main stakeholders	Donor : Royal Norwegian Government, Swedish Cooperative Centre (SCC) Local organizations: Funds/NGOs : Farmers Union of Malawi (FUM), National Association of Smallholder Farmers in Malawi (NASFAM), Malawi Unions of Savings and Credit Cooperatives (MUSCCO), Vi-Agriforestry. Final beneficiaries: Smallholder farmers in Malawi
Number of beneficiaries targeted	•The programme is reaching out to **15,521 individual farmers** (72% of which are females); 8,765 have been mobilized in the EPAs and 6,756 in SACCOs. •313 Group Saving and Loans Clubs (GSL) have been The total membership is **4,182** of which 75% are women. •**437 producer/marketing groups** have been established and these are linked to buyers through bulk purchase contract arrangements •52 livestock clubs have been established with a total membership of **843** of which 75% are women. (*Source: Programme Documents, Stakeholder interviews)*
Intervention description	The programme aims at improve the capacity of rural communities to effectively and sustainably utilise their natural resource base to produce sufficient food, generate income and employment and to influence the socio-economic policies that affect their livelihoods. These broad objectives are being addressed through two main components: (a) Organisational Development, Democracy and Business Development, and; (b) Agricultural, Fisheries and Community Management of Natural Resources. Implemented by a consortium. Swedish Cooperative Centre is the lead agency and the official recipient of the funds. *(Source: Agreement Summary Report)*
Programme background & history	The Malawi Lake Basin Programme (MLBP) commenced in January 2006 and reflects a long-term commitment to sustainable rural livelihoods development in Malawi. It's design is largely influenced by past experiences and ongoing work of three Malawian member based organisations: FUM, National Smallholder Farmers' Association of Malawi NASFAM and MUSCCO, as well as those from SCC and Vi-Agro forestry. Following the successful implementation of the first phase that ended in December 2008, a new phase which is running from 2009 to 2013 was developed. The new phase allows farmers make a quantum leap from poverty and allow Consortium members to have a more visible presence at the field level. The MLBP continues co-operating with other projects and programmes related to agriculture and rural development as well as consulting representatives from the village, sub-district and district levels to make sure that the activities are in line with the ongoing decentralised development-oriented activities. The Programme is being implemented in two districts of Mangochi and Salima and is addressing the challenges and needs articulated by the village and district level representatives. It is fully aligned to the Malawi's current national development priorities, strategies, and plans.

Overall Objectives	Rural livelihoods have been improved by transforming subsistence and emergent smallholders in agriculture and fisheries into business oriented enterprises.
Specific objectives	1. Agricultural production, productivity and access to food have been increased. 2. Farmers income and asset accumulation have been increased. 3. Alternative livelihood options for income and employment generation have been up-scaled. 4. Farmers' voice, rights and ability to express themselves have been heard and accepted in policy issues and matters concerning their lives. 5. Effective systems for the procurement of inputs and marketing of farmers' produce are established and functioning satisfactorily. 6. Viable and sustainable financial services are established to support agriculture development in the targeted areas. 7. Institutional capacity of Malawian consortium members has been strengthened to implement the Programme and strategic plans. *(source: Agreement)*
Expected results	
Main activities specify agri. Activities for environmental Interventions)	• Association Development and Membership Mobilisation • Training and Extension Services • Community Empowerment through Information Centres • Agroforestry Demonstration Centres/Model Farms • Crop Production and Market Linkages • Forest Based Enterprises • Community Management of Natural Resources and Village Natural Resource Committees (VNRMCs) • Women and Youth Empowerment and Development • Institutional Development of implementing partners (SCC, Vi-Agroforestry, FUM, NASFAM, and MUSCCO) *(Source: Final Operational Document 2009 -2013*
Main achievements	• Establishment of a consortium that brings strengths of local partners to work together in providing efficient services to the smallholder famers. • The programme is reaching out to 15, 521 individual farmers (72% of which are females); 8,765 have been mobilized in the EPAs and 6,756 in SACCOs. • 313 Group Saving and Loans Clubs (GSL) have been established and savings from the clubs increased to $49,689) by June 2012 from $42,259 in December 2011. GSL groups increased from 199 to 313 groups. The total membership is 4,182 of which 75% are women. • 437 producer/marketing groups have been established and these are linked to buyers through bulk purchase contract arrangements. • 37 Forest based enterprises (such as bee keeping) have been established. In one such enterprises (bee keeping) the group realised close to MK400,000 in 2012. During the 2011/12 tree planting season, the programme planted 400,000 multipurpose tree species. • 52 livestock clubs have been established with a total membership of 843 of which 75% are women. About 1,300 livestock units have been disbursed on credit and to date 48% have been repaid. The recovery rate has been improving suggesting that farmers are demonstrating more ownership of the programme. • Farmers have diversified their agricultural production into cash crops such as rice, sunflower, cotton, and pulses. • There is a clear dominance of women participation in all project interventions. • M&E system has been streamlined and is now being strengthened. *(Source: Programme Documents, Stakeholder Interviews)*
Main difficulties	• There are still some weak farmer organisations unable to organize farmers to collectively access farm inputs, credit facilities, structured markets, agricultural information, and extension services. • The potential for producing high value crops such as chillies, horticultural products such as fruits and vegetables, pulses, herbs etc was demonstrated in many community gardens. The challenge is how to organise these fragmented production units into a viable market oriented business. • Input markets and infrastructure system are still inadequate in the target area.

	The unavailability of specialised inputs such as fertilisers, seeds, agro-chemicals, inadequate transport services, inadequate irrigation systems can place limitations on crop diversification and intensification. • Although the scope of the programme is very comprehensive as regards developmental activities, the involvement of government ministries at central and local levels is minimal. • Staff turnover especially in the M&E section compromised the efficiency of M&E system. • Developing cooperatives into financially viable entities is still a challenge.
List of available documentation for the intervention	See bibliography

Cluster 1: Contribution to Food Security

1.4.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

1.4.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The Project is fully conforming to the national food security and climate change strategies, policies and programmes. This also includes all activities under the Project, which are well fully aligned with the national development policy, including the Food and Nutrition Security Policy from 2005, Malawi Growth and Development Strategy 2006/2011 (MGDS), and in specific the Agricultural Sector Wide Approach (ASWAp), Agricultural Development Programme-Support Project (ADP). The Project is in line with Norwegian development assistant policy and strategic goals, and the RT also concludes that these are in compliance with the high-level agreements signed between the two countries.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	• Programme aligned to Malawi's situation in terms of food security, climate change adaptation, and gender issues. • Aligned to MGD Strategy since it emphasises the improvement of rural livelihoods through sustainable business ventures which an initiative of the MGDS in its quest of attainment of the Millennium Development Goals (MDGs). • The programme focuses on priorities of the MDGs: i.e. improving agriculture and food security, commercialisation of smallholder agriculture, creation of assets and through provision and widening of farmer's access to markets. • The programme is in line with the priorities of the Agricultural Development Programme (ADP) – a government initiative supported by the Norwegian Government which aims at improving the agricultural sector, through a number of project interventions in food security, market-oriented agriculture and sustainable natural resource management. • The programme is fully in line with the Agricultural Sector Wide Approach (ASWAp) policies, whose priority areas are: food security and risk management; commercial agriculture and agro processing and market development; sustainable agriculture and water management. • The programme is also in line with the national food and nutritional policy and the poverty reduction strategy since it supports activities that lead to reduction in food insecurity and poverty levels. • The programme supports the government's National Adaptation Plan of Action (NAPA) in improving Malawi's response to climate change and also adheres to Norway's development assistance policy for climate change and natural resource management, rural and agricultural sector endeavours. • The programme is aligned to the Vision 2020 and the Decentralization Policy, whose main objectives are to increase agriculture productivity, promote food security and increase incomes, both at the household and national levels. • The programme is aligned to SCC (2008) Policy Environmental Sustainability and Climate Change in the areas of rural development (local business development, promotion of farming practices and systems for sustainable production, promotion of efficient water management systems), promotion of gender equality, combating HIV and AIDS, promotion

	of democracy and good governance.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	• The project is well aligned to both government and Royal Norwegian Government's policies on agriculture and food security as in 1-111 above. • Norad (2008) National Adaptation Plan of Action (NAPA) whose main objective is to identify and promote activities that address urgent and immediate needs for adapting to the adverse impacts of climate change among rural communities in the vulnerable areas in the country. • It also complies with the Green Belt approach in the country, enhancing irrigation schemes within 20 km from the nearest water source. • The Project is in line with Norwegian development assistant policy and strategic goals

1.4.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The project is being managed by a consortium comprising of Farmers' Union of Malawi (FUM), National Smallholder Farmers Association of Malawi (NASFAM), and Malawi Union of Savings and Credit Co-operative Societies (MUSCCO). The project management at district level cooperate closely with the District Agricultural Development Officer (DADO). All work plans have been fully in line with the district plans, and activities are discussed in monthly planning meetings with the authorities and other players such as NGOs, in order to avoid duplications and assure some synergy.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	• This project is coordinated at a number of levels. At policy level it is coordinated through the donor coordinating committee which meets on a weekly basis to discuss issues related to agriculture and food security. The committee is a troika and the current chair is USAID. • The project is implemented in collaboration with the Ministry of Local Government through the District Council. At District level it is coordinated through the District Executive Committee (DEC). • The consortium (FUM, MUSCCO, NASFAM, SCC and Vi-Agroforestry) through its regular board meetings is also another platform for coordination. These meetings are attended by all the stakeholders including the RGN.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	• Norwegian supported agricultural projects are subject to rigorous analysis before implementation. There are also regular evaluations. In the case of the MLBP a number of planning documents. (e.g. Phiri (2010) Project Proposal and Appraisal Report – Empowerment of Malawi Women Through SACCOs). • A number of studies have been conducted with an objective to get more detailed information understanding on the implementation of the project and the impact the project has on the beneficiaries (e.g. Assessment of Lake Basin Programme adaptation to Climatic Change and environmental Stability, 2008, MLBP Group Savings and Loan Component Assessment, 2010), Livelihood Improvement of Rural Communities in Malawi, Food Security Study, 2010). • Other documents include the mid-term evaluation of the MLBP.

I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	• In 2011 MLBP and FAO shared field experiences through a Joint field visit aimed at enhancing collaboration and promote coordination among all Norwegian supported projects. • In 2011 MLBP participated in a joint writing of a DFID proposal on "Enhancing Community Resilience to Climate Change in Malawi. The proposal was however not considered.

1.4.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The project is also very relevant and well aligned with Malawian and Norwegian development objectives. Adaptation to climate change is critical to Malawi due to the significance of the agricultural sector for its economic performance, and its vulnerability to climatic conditions such as droughts and floods. The interventions such as the irrigation farming, income diversification through livestock pass-on, GSL programmes, agro-forestry, conservation agriculture help to build local resilience to climate change, contribute to improved food security and improved natural resources management. In addition, the programme is acknowledged by the beneficiaries and leaders in the target areas and stakeholders as extremely relevant to their communities to the extent that they consider it as their own.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	• The Evaluation Team's discussion with the beneficiaries show that the project interventions were addressing the priority needs of the beneficiaries such as food security, access to agricultural finance, income diversification through crop and livestock production, promotion of technologies that mitigate the adverse effects of climate change, empowerment of rural communities (particularly women) to address their own development issues, etc. • Evidence at community level show that the beneficiaries fully participated in the design, implementation and monitoring of the interventions.

1.4.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

1.4.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

It is likely that the interventions supported by the programme will lead to increases food availability at local level and also make substantial contribution towards national level food security. There is evidence of increased crop production in the targeted area (local food security) and increased marketable surplus (which will contribute towards national food security. There is also substantial asset accumulation (through increased acquisition of small livestock) which reduces the vulnerability of farmers to food insecurity at local level.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The Malawi Lake Basin Programme (MLBP I) was implemented from 2006 to 2008. The programme's first phase had succeeded well in promoting the gender issues - particularly economic and social parameters, adult literacy, and Group Savings and Loans (GSL). The MLBP II was planned based on the lessons learnt in the implementation of Phase I of the MLBP and also line with the existing policies and strategies such as: Malawi Growth and Development Strategy (MGDS), Decentralisation Policy, Agricultural Extension Policy, Malawi National Environmental Policy (NEP), NAPA – National Adaptation Programme of Action, Agricultural Development Programme. (*Source: Final Operational Document 2009 – 2013*)
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	The programme is very likely to contribute to increased food production at local level. The overall objective of the programme is to improve the rural livelihoods of subsistence and emergent smallholder farmers in the targeted districts by 2013. (*Source: Project document*)

1.4.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The programme is likely to lead to increased food security through support to direct food production, crop diversification, income generating activities, proper utilisation of natural resources (a forestation, conservation farming, natural resources based income generating activities, proper land use, etc).

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	In 2009 SCC commissioned a food security study in the programme target areas in order to establish how the programme interventions were contributing to the food security status of the beneficiaries. Other studies were: Group Savings and Loan Impact Assessment. Both these studies demonstrated that the programme activities were having positive impact on food security, economic empowerment of the beneficiaries (especially women) and a positive impact on the economic status of the beneficiaries.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible	No data available. However, discussions with the beneficiaries indicated that many families have adequate food and take at least two meals in a day (lunch and supper).

(e.g. increased number of meals per day) at households/individual levels in targeted areas	
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	GSL members participate in almost all the project activities. A recent study (2010) on the Impact of GSLs on food security showed that the food insecurity of the very poor and poor farmers was reduced from 43% to 19% and 39% to 5% respectively. In the same study, 63% indicated that they had adequate food, 26% had adequate and surplus and only 11% had inadequate food. Field observations of the GSL members showed that all members had adequate food and cash to purchase other food products. This clearly showed that the GSL activities had been contributing to the food security of the vulnerable groups. Evidence from the field indicates that may farmers increased their incomes through the various project activities especially the GSL. For example one woman reported an income of close to MK80,000 from sale of rice. Good Hope Club reported a yield of 405 litres of honey from which it realised(MK385,000.; which the members used to purchase food, household assets, pay school fees, and medical care. (*Source: MLBP Group Saving and Loan Component Assessment, 2010*, and field interviews).

1.4.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Very likely. The focus of the programme interventions is to reduce the vulnerability of the households in the targeted areas to food security and the effects of climate change.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	Project document refers to analysis from national policies such as Food Security and Nutrition Policy, Malawi Growth and Development Strategy, Agriculture Development Programme (ADP) and ASAP.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Evidence from the field and studies such as Livelihood Improvement of Rural Communities in Malawi: Food Security suggests that the programme has contributed towards the reduction of periods of food shortages at household level in the two districts.

1.4.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

Data on nutrition status, and utilisation of food st household level in the targeted areas is not collected.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No data available.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No data available for the specific target areas.

1.4.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

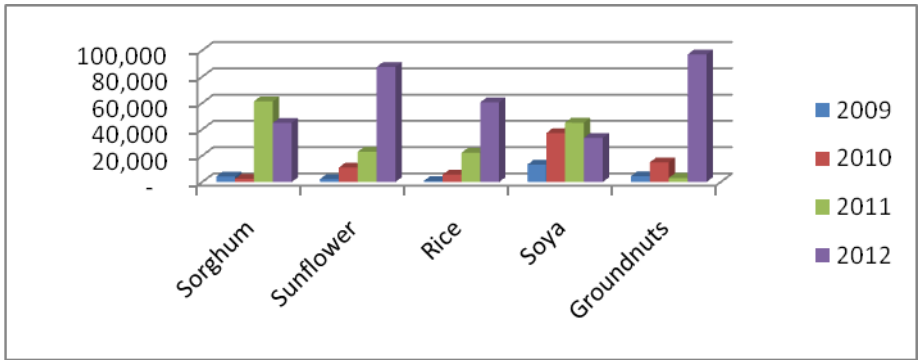
1.4.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Recent data demonstrates increased food production and availability in the target area. Production of various food crops has increased significantly during the project life. Crop diversification is an effective intervention of raising income of smallholder farmers. Smallholder farmers have a comparative advantage in the production of certain high value crops. Smallholders are more familiar with local preferences and can provide fresher supplies with lower transport costs to local markets.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	GSL members participate in almost all the project activities. A recent study (2010) on the Impact of GSLs on food security showed that the food insecurity of the very poor and poor farmers was reduced from 43% to 19% and 39% to 5% respectively. In the same study, 63% indicated that they had adequate food, 26% had adequate and surplus and only 11% had inadequate food. Field observations of the GSL members showed that all members had adequate food and cash to purchase other food products. This clearly showed that the GSL activities had been contributing to the food security of the vulnerable groups. (*Source: MLBP Group Saving and Loan Component Assessment, 2010*) Recent data show an increased level of crop production (in metric tonnes) in the target areas as from 2009 to 2012 as follows:

Chart 1: Production of selected crops in MT in MLBP II, 2009 - 2010



(*Source:* *SCC M and E; MLBP Group saving and Loan Component Impact Assessment, 2010; Livelihood Improvement of Rural Communities in Malawi, Food Security, 2010; Annual Reports, 2009, 2010, 2011, 2012*; and Field Interviews with beneficiaries)

It should be noted that the selected crops are also partly used as cash crops (thereby contributing to enhanced purchasing power) and are thus not entirely used for home consumption.

1.4.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

Data on increased access of food at household level is not collected in the project area. However interviews with the beneficiaries showed that most households do take more than two meals in a day now as opposed to the period before project intervention.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	Data on increased access of food at household level is not collected in the project area. However interviews with the beneficiaries showed that most households do take more than two meals in a day now as opposed to the period before project intervention.

1.4.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The beneficiaries of the programme seem to have stable food availability at household partly due to own production and cash to purchase food when own production is inadequate.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	GSL members participate in almost all the project activities. A recent study (2010) on the Impact of GSLs on food security showed that the food insecurity of the very poor and poor farmers was reduced from 43% to 19% and 39% to 5% respectively. In the same study, 63% indicated that they had adequate food, 26% had adequate and surplus and only 11% had inadequate food. Field observations of the GSL members showed that many members had adequate food stocks at household level and cash to purchase other food products. This clearly showed that the GSL activities had been contributing to the food security of the vulnerable groups. (*Source: MLBP Group Saving and Loan Component Assessment, 2010)*
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Despite efforts to ensure that farmers use natural resources sustainably, many farmers (37%) are still involved in destructive unsustainable coping mechanisms such selling firewood. *(Source: Livelihood Improvement of Rural Communities in Malawi: Food Security Study, 2010*). This is a slight improvement over the 2006 Baseline (40%). However, interviews with the beneficiaries revealed that many are aware of the consequences of using unsustainable coping mechanisms.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Field interviews indicated that a number of farmers have formed clubs that are engaged in off-farm activities such as bee keeping. One such club had annual revenue of MK385, 000. Field observations also showed beneficiaries had more than one source of food: i.e. had also planted cassava, sorghum and sweet potatoes which are drought resistant crops. Production of sorghum in the area has increased from 4,254 MT in 2009 to 45,000 in 2010 (over 957%). (*Source: Programme M and E data*)

1.4.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No data available

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No data available.

Cluster 2: M&E and Documentation

1.4.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

1.4.4.1 Appropriateness of programme M&E design

Initially the M and E system was weak. This has been addressed. The OVIs have been streamlined and data will be disintegrated by gender.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	• The OVI's are relatively SMART and include a reasonable degree of measurable indicators although they do not have time scales. All activities etc. are highly relevant with respect to achieving the project objectives. • However data is not broken down by gender or household level. • The risks and assumptions are largely concerned with factors such as the stability of the Government and its policies, climatic and natural disasters. As such, these are relevant and at this stage are holding true.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	• An M&E plan has been developed. The plan includes the strengthening of M& E at HQ and field level. The OVI have been streamlined; and recruitment of field staff is now underway. • Data will be collected at household level and render it to more gender specific analysis.

1.4.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The M& E system suffered a number of setbacks during the first phase of the project. The system was reviewed and recommendations for improvement made. These are now being implemented.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	There is an M and E strategy however the major challenge is staff turnover. The project is planning to recruit field M&E staff to be stationed at district level. (*Source: Programme M&E*)
I-422	

Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	While data is collected frequently and is relevant for monitoring purposes, the data is not disaggregated by gender. There is very little data on outcome indicators and impact. No nutrition (underweight/stunted/wasted children) is collected in order to assess the impact of the project interventions on the nutrition status of the beneficiaries. (*Source: Programme M&E and stakeholder consultations)*

1.4.4.3 JC 43 Adjustment of programme design and/or implementation modality

Despite the initial weakness, the M&E system has been useful in adjustment of the programme.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	As a result of the M&E it was found out that communities in Mangochi were not interested in the development of fish ponds (because of their proximity to the lake), the project had to adjust plans and focus on building capacity of Beach Village Committees – to train them in proper utilisation of lake resources, and also adhering to the legislation that regulate the periods of fishing in the lake. *(Source: Programme M&E and stakeholder consultations)*

1.4.5 EQ5: To what extent have programme results been documented?

1.4.5.1 JC 51 Availability of documentation of results

The programme activities are well documented and disseminated. The documents are easily accessible to the main stakeholders. However, there is need for these documents to be in public domain (e.g. webpage) for a more efficient and effective dissemination.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	The project produces annual reports which are well detailed. In addition, the M&E keeps a data base that is used to monitor the progress of the project implementation. In addition the project regularly commissions specific studies and evaluations. In addition the project is audited annually.
I-512 Existence and quality of evaluation reports	The project has been subjected to a Mid-Term Evaluation which was carried out in 2009. The quality of the evaluation was good and made a number of recommendations for improving the implementation of the project.

I-513 Existence and quality of other types of documentation of results	The following are some of the documents generated by the project: • MLBP Baseline Study, 2006 • MLBP Poverty Study, 2008 • MLBP Lesson Learnt Study, 2008 • MLBP Study on Socio-economic interdependency of Farming and Fishing of the target Area in Salima and Mangochi Districts, 2007 • MLBP Group Savings and Loan Component Impact Assessment, 2010 • MLBP Livelihood Improvement of Rural Communities in Malawi, Food Security Study, 2010 • Annual Reports: 2009 to 2012

1.4.5.2 JC 52: Extent to which intervention results have been disseminated

Generally, the documents are disseminated to all stakeholders in a timely manner.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	The documents are disseminated to all stakeholders timely and discussed in an open manner. *(Source: Programme M& E, stakeholder consultations)*
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	The information is disseminated through e-mails, hardcopies.
I-523 Evidence of articles published, presentations in workshops, conferences	None
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	The stakeholders interviewed were aware of the lessons learnt from the Norwegian funded projects. As a result of these lessons better strategies were employed in the implementation of the programmes.

Cluster 3: Sustainability and Scaling up

1.4.6 EQ6 To what extent have programmes been sustainable?

1.4.6.1 JC 61 Financial sustainability/economic sustainability

The programme shows a lot of potential and promise to become s sustainable programme because of a high degree of ownership of the programme by the beneficiaries in the target area.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	Discussion with the main stakeholders suggests that they should be able to support the activities once the project phases out. However, some mentioned that they may require support if the project has to scale out to other districts. This support is likely to be in terms of start-up costs (community mobilisation, setting up of offices etc).
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Most of the interventions are low-cost and demand led (farmers ask for them). The interventions are not paid for by the beneficiaries – either through a loan mechanism or through savings made from GSL clubs. Training of community facilitators (e.g. Lead farmers, Study Circle Facilitator, and GSL Facilitators) will ensure that the communities will be able to run these services without major support from government or donors.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Production of agricultural products is sensitive to prices. Most of the cash crops grown in the target area are now sold through commodity groups and contract farming – this way the farmers are protected from adverse price fluctuations.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Not applicable to most of the interventions such as crop and livestock production.
I-615 Policy changes are not likely to affect programme activities	It is unlikely that there will be a major shift in government policies that would adversely affect the implementation of the programme. Even if there was, most of the programme interventions such as conservation farming, agro forestry, and livestock pass-on scheme, etc are unlikely to be affected by government policies.

1.4.6.2 JC 62 Institutional and technical sustainability

The programme is likely to be institutionally and technically sustainable because of: a good programme management, good process and output through a high level of community mobilisation, excellent partnership and collaboration with Consortium; and excellent resource (financial) mobilisation through the GSLs.

Evidence on indicator level

Indicator	Evidence
I-621	Realistic capacity development is a long-term process. In this programme it began right from the start of the

Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	programme and is continuing. Skills are gained by individuals while capacity is developed in groups or communities. People with skills have been trained as trainers so that they can pass their skills on to others. (e.g. Lead Farmers); and thus making the intervention sustainable. (Source: 2012 Semi-annual report Final Draft, Interviews with beneficiaries)
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out.	The interviews and focus group discussions conducted by the Evaluators revealed that their level of capacity, team work, trust, and leadership and management capability are impressive, but need to be maintained.

1.4.6.3 JC 63 Environmental sustainability

All interventions by the programme are properly analysed to ensure that there is no or minimal damage to the environment (e.g. use of sustainable agriculture and land management technologies). The programme itself is designed to ensure that natural resources are used sustainably.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	No evidence. All the project activities aim at sustainable use of natural resources through the use of Sustainable Agriculture and land Management technologies. These include cover cropping, mulching, efficient use of fertilisers, agroforestry, and green house prevention.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	Field observations showed good environmental practices by the project beneficiaries. For example use of energy efficient cooking stoves that reduce the need for a lot of firewood, afforestation and reforestation programmes, conservation agriculture, winter irrigation farming (efficient use of available water and land resources).

1.4.6.4 JC 64 Quality of exit strategy

There is no evidence of an exit strategy although recommendation was made in the Mid-Term Review of the programme. The absence of an exit strategy is probably due to the Embassy having signaled strong intentions to continue funding a new phase of the programme.

Evidence on indicator level

Indicator	Evidence
I-641	No evidence, although a recommendation was made in the Mid-Term Review of the MLBP II. The absence of an exit

An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	strategy is probably due to the Embassy having signaled strong intentions to continue funding a new phase of the programme.

1.4.7 EQ7 To what extent have programmes lent themselves to scaling-up?

1.4.7.1 JC 71 Appropriateness of programme design for scaling up

The programme design is appropriate as it addresses the key problems of the communities as they face the contemporary issues such climate change.. Most of the interventions are designed to be demand led and sustainable and therefore can be scaled up without huge financial resources. The programme has also demonstrated that the key to sustainability is capacity building and programme ownership.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	Most of the interventions in the project appear to be sustainable because they are demand led; and are not provided on free basis to the farmers. These could be scaled up with minimal effort and resource requirements. The agricultural component of the programme which includes: promotion of production of pulses, drought resistant crops (cassava and sweet potatoes) winter cropping and a number of agro-forestry technologies; promotion of small stock production through “pass-on” scheme showed great success in increasing income and food security among beneficiary families. Up scaling these best practices is therefore the most logical thing to do for the next phase of the Program. GSL is one of the key strength of the project. Formation of these groups does not require a lot of resources; although capacity building in terms of training is key to their success. GSL is a sustainable intervention and can be scaled up. Study Circles are also a key area of success of the programme. It has been observed that where you have a strong study circle you also have successful and strong GSL, and high crop and livestock production. It is recommended that study circles should be scaled up. Although the returns are spectacular even under low rainfall conditions, initial labour costs associated with land preparation are high. Conservation farming (CF) should continue as planned and should be scaled up if possible within the available resources.

1.4.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Most interventions appear to be sustainable and can be scaled-up without more resource requirements. These include: GSLs, study circles, crop diversification, sustainable agricultural production technologies such as Conservation framing, agro forestry, livestock pass-on schemes etc. However the programme should stop establishing new cooperatives and concentrate on building capacity of the existing (5) cooperatives.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	1. A working consortium that brings together expertise to provide efficient services to the smallholder farming community. 2. There is a general agreement of the success of **GSL is a major strength** of the project and has a future. GSL proves that even with very low income, communities are able to serve. GSL is recommended for scaling. 3. Given the high level of illiteracy in the target area, a number of adult literacy classes are conducted to adequately prepare members before they form Study circles. Basic literacy acts as the foundation of study circles 4. The Study Circles remained centres knowledge and skill advancement, and vehicles for transformation through small scale businesses and farming business innovations, empowerment and increased involvement in the economic activities and increased savings. 5. Experience with Business Planning and Development has been very encouraging. There is general consensus that this should be strengthened and scaled up. 6. Afforestation: people in the areas have seen the negative impact of deforestation and are eager to embark on more afforestation programmes. 7. Crop diversification into high value crops such as sunflower, rice, cotton and pulses.
I-722 Evidence of an effective learning process with a high adoption rate	1. As mentioned above Study Circles, GSL and Adult Literacy have a high adoption rates in addition to the development of business plans, and afforestation. 2. Farmer training in marketing – has enabled farmers to access markets (through contract farming and commodity marketing).
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	1. Discussions with stakeholders suggest that there is need to continue and scale up the project and strengthening the following areas: • Business and marketing development – train farmers so that they can sustain themselves. • Agriculture component – crop diversification. Diversify into more crops. Increase production through increased productivity to generate enough volumes that can make group commodity marketing more viable. 2. Development of cooperatives. Go beyond GSL which is a short-term intervention and promote cooperatives which are long term and more sustainable. Capacity building of the existing and the development of new (producer, financial, marketing) cooperatives should be the future direction. Development of cooperatives in Malawi has shown that these take time and require patience. Government suggested that there is need to establish a Cooperative Training School. 3. Afforestation – should be intensified. People have seen the negative impact of deforestation. Deliberate policies to

	involve schools should be involved in the afforestation programme. 4. Coordination/Harmonisation in the implementation of policies at community level. While one project is trying to promote self-reliance and long term sustainable development activities, quite often, within the same community another donor/NGO is giving out free handouts, thus undermining the spirit of self reliant.

1.5 Improving the Livelihoods of Malawian Smallholder Farmers (MWI-04/327)

Intervention title	NASFAM Phase III Improving the Livelihoods of Malawian Smallholder Farmers
Agreement partner (name)	National Smallholder Farmers' Association of Malawi (NASFAM)
Type of agreement partner	NGO – Local (Farmers Association)
Agreement nr.(s)	MWI-04/327
Country / region	Malawi
Implementing partner	NATIONAL SMALLHOLDER ASSOCIATIPON OF MALAWI (NASFAM) Contact person & contact detail: Dyborn Chibonga DCchibonga@nasfam.org
Programme officer	Augustine Chikuni
Extending agency	Royal Norwegian Embassy in Lilongwe Contact person & detail:Monica Stensland: Monica.Stensland@mfa.no
DAC Sector	Main Sector:311– Agriculture Subsector: 91 – Agricultural Co-operatives
Intervention start & end dates	Originally planned 2006-2011 (Contract) Actual implementation 2007-2011
Budget Original amount Extension Final amount Disbursed amount	 80.000.000 NOK (Contract) 15.000.000 NOK (Contract) 95.000.000 NOK 95.000.000 NOK (Audit reports and Official schedule of disbursement provided by the Norwegian Embassy)
Main stakeholders e.g.	Ministry of Agriculture and Food Security, Civil Society in Agriculture Network (CISANET), National Action Group, International Crops Research Institute for the Semi-Arid Tropics (ICRISAT),Cotton Development Trust, National Trade Policy Network,, Agriculture Commodity Exchange for Africa (ACE), Tobacco Control Association, Malawi Environmental Endowment Trust
Number of beneficiaries targeted	**50.100 NASFAM members** (down from initially 64.000 members). *Source: Consultants Findings – PETS Report*
Intervention description	The five year programme was developed "to improve the lives of smallholder farmers by promoting farming as a business and by delivering programmes that produce economic and social benefits for members, their communities and the country." It was the third follow up programme in the series. Through the NASFAM Farmer –to Farmer programme, the farmer membership has formed a huge base of agricultural expertise and experience. The farmer to farmer programme (FTFP) is a mechanism for sharing experience between the membership and recognizing high performing farmers by encouraging their participation in programme delivery. The programme is designed to spread best practices, using locally based human resources, without the costs associated with the employment of large numbers of college-trained extension workers. The programme also works to strengthen member involvement and thus ownership. The programme does not replace the use of qualified extension staff, but compliments it allowing their training to propagate much more effectively. Currently there is on average one lead famer-trainer for every 100 farmers. At the higher level, 42 Associations coordinate extension services through their Association Field Officers (AFOs). Each Association employs several AFOs, who are resident and distributed across the Association area, and act as a link between Association management and the farmers. The 42 Associations report to and are coordinated/managed by one of 14 Association Management Centres, spread across the country, (source: NASFAM III Proposal 2006. Contract)
Programme background & history	NASFAM roots lie in the USAID- funded Smallholder Agribusiness Development project (SADP) implemented by Agriculture Cooperative Development International (ACDI), The project commenced in 1994, supported smallholder agribusiness development by improving smallholder access to agricultural inputs and better returns on agricultural sales, supporting smallholder self-reliance and self-sufficiency through improved business know-how and promoting farmer organization through commercially sound, farmer-owned associations. Having realized the benefits of collective action, in July 1997, fourteen such

	associations decided and voted to form their own mother body, managed and controlled directly by their membership, to expand its impact. The National Small holder Farmers' Association of Malawi (NASFAM) - now comprising of forty two member associations, was thus formed and formally incorporated on 11th February 1998. As NASFAM matured to meet the needs of its growing membership it launched three subsidiaries by function: NASFAM Corporate (NASDEC), NASFAM Commercial (NASCOMEX) and NASFAM Development. . Ministry of Foreign Affairs has become the principal donor. Other sources of funding include CORDAID, Irish AID, Malawi National AIDS Commission (NAC), and IDRC. (source: NASFAM III Proposal 2006. Contract)
Overall objectives/ Goal	Goal - "To improve the lives of smallholder farmers by promoting farming as a business and by delivering programmes that produce economic and social benefits for members, their communities and the country". Purpose – "Improving commercial revenues or household incomes by providing members with access to competitive output and input markets; Facilitating the production of good quality and yields of crops varieties demanded by local and international markets; providing members, and when practical non – members , with the best possible technical help with regard to running their farms as business; Providing members with livelihoods skills and options that promote improved access to foods, equitable participation of both sexes in Associations activities; Providing smallholder farmers with a voice and enhance their ability to contribute to national development; Providing management and financial support to the entire NASFAM system, including the provision of timely and comprehensive information and analysis on the performance and impact of NASFAM activities. (source: Agreed Project Summary)
Specific objectives	• Increase Commercial Revenues of Farmers and NASCOMEX • Improve Crop Quality and Quantity Produced • Enhance Association Performance • Improve Members Livelihoods • Expand Smallholder Influence on Policy • Enhance Systems Performance • Increasing number of smallholder farmers participating in NASFAM programmes to 160,000 • (Source: NASFAM III Proposal 2006. Contract)*)*
Expected results	• The project was envisaged at the end of the phase to have achieved the following; • Improved access to crop input and output markets • Increased smallholder crop productivity in an environmentally friendly and sustainable manner • Improved farmers participation in solving their own development challenges • Improved Infrastructure for agribusiness in the rural areas in which NASFAM operates • More transparent and accountable and democratically governed member associations • Improved food and Nutrition Security • Improved gender sensitivity and promotion of female participation • Increased awareness of HIV/AIDS prevention, and adoption of mitigation measures. • (Source: NASFAM III Proposal 2006. Contract)
Main activities specify agri. Activities for envir. Interventions)	• Produce Marketing, excluding Maize and Tobacco. • Input Supply, especially fertilizers and seeds • Direct Extension Services and Natural Resource Management • Crop Production Extension Services • Transport of Tobacco to Auction Floors • Linkage to credit providers • Linkage to Research Institutions • Adult and Functional Literacy • Food Security and Nutrition Knowledge

	• Associations Capacity Building • Associations Infrastructure Development • Demonstrations/Field days • HIV/AIDS and Gender Mainstreaming (source: project proposal)
Process on track ? Main difficulties/challenges	The Consultants observe that NASFAM's is fulfilling many of its roles and functions admirably, and it continues to be a vibrant well run and well respected organization. However, membership has been contracting from a recent high of 64000 down to a current 50100. Furthermore farmers seem to only be selling a minor proportion of their marketable crops through NASFAM, partially because NASFAM does not have sufficient crop finance to buy more volume. Thus, NASCOMEX cannot buy and trade the crop volumes it needs to make the level of profit required to finance NASFAM Development. Until this happens (more members, higher volumes traded) NASFAM will continue to be dependent on the Development Community for financing its activities The Consultants find that the M& E database design does not clearly capture all members crop production and the volumes sold to NASFAM so data that could be used to target services and support, and to explore different strategies to encourage greater NASFAM membership is not there. NASFARM keeps accurate records and identities of paid up members (i.e. the numbers mentioned above). In addition NASFAM is aware that non-members sometimes make use of NASFAM services, [e.g. NASFAM may buy their crops if members have provided insufficient volumes, non-members may attend extension demonstrations etc.] . The number of non-members using services is estimated at a constant 58000 year by year. This amount has not been validated. (source: Consultants Findings – PETS Report)
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

1.5.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

1.5.1.1 JC 11 Alignment with partner country food security policies/strategies if available

NASFAM does however align with several of the 'enabling dimensions' of the Food Security Policy (2006), namely promoting the access to credit, access to extension services, and improved land management. In addition NASFAM engaged in a series of Policy dialogues relating specifically to the farm input subsidy programmes, and maize export bans. The main strategy of NASFARM is to promote a mindset of 'farming as a business' and support members in producing high value crops efficiently – often for export or niche markets, and not national mass markets. It is important to note that improved food security is achieved as a by product by 50 100 members becoming better farmers, able to grow more of their own food crops, and presumably contributing to a larger national food surplus. In addition they earn higher incomes from their cash crops, and are better able to purchase any shortfall in food requirement. Overall therefore the programme will have had a distinct and positive impact on improving food security for its members.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	NASFAM does align with several of the 'enabling dimensions' of the Food Security Policy (2006),namely promoting the access to credit, access to extension services, improved land management, and the retention and storage of food crops. In addition NASFAM engaged in a series of Policy dialogues relating specifically to the farm input subsidy programmes, and maize export bans.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	NASFAM Strategy is all about teaching farmers that farming is a business, and promoting crops which have higher margins (often export based, and niche markets), and not the mass markets of staple food. Thus the strategy is not focussed on improving food security per se, although it is an implicit by-product of the support given to farmers, as they are encouraged / shown how to use more efficient production methods to maximise yields, and income, which should 'spill over' into their production of (unsupported) maize and any other food crops . However there is a potential risk, that depending on price structures, members may actually reduce the production of maize, in favour of more profitable crops, but this data seems not to have been collected.

1.5.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

Support to NASFAM has been following a successful formula for well over 11 years, and NASFAM III was a continuation, building on lessons learned. This reduces the need for explicit design coordination with other donors and agencies in the programme's design. Such coordination has however been implicit as NASFAM's Senior Management has extensive ongoing discussions with the Development Community at various fora, sharing ideas. Overall the project appears to operate somewhat in isolation of other key players, and donors (the exception being the other donors who provide minority funding). Two key players, in particular the

Extension Services Department of MOA, have expressed concern at insufficient communication and coordination, and this is an issue to be brought to NASFAM's attention in the PETS report.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	NASFAM is a very well-known and respected agricultural development institution, and it participates widely and usefully in many agricultural development forums, one key example (amongst many) being full participation in development of Malawi's ASWAP. However it would appear that the project is not sufficiently coordinated with two other key players, notably the extension services of the Ministry of Agriculture. The Department of Extension Services complained of not being informed of the extension activities of NASFAM at the association level in particular, and of possible duplication of effort. In addition The Farmers Union of Malawi (FUM) – an umbrella organisation covering both Commercial and Small Scale Farming Sectors and Input Suppliers , lamented that NASFAM was not a member, and that although there was some dialogue, it fell short of the optimum levels that full membership may bring to FUM. NASFAM however have sound reasons for believing FUM membership would not overall serve their members best interests.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The Project Design Document has a strong focus on identifying weaknesses / gaps and then filling them, but not necessarily in conjunction with other donors and government agencies. However this gap/opportunity analysis is mainly related to the four selected focal crops (see above I – 111), of which only two constitute food crops for the mass market. The crop analysis is structured under the headings of: Need, Production, Processing, Markets, Promotion, Distribution, Pricing and People.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	• This was not evident. The Project Document is prepared unilaterally by NASFAM Management

1.5.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The Programme substantially reflects the priorities and needs of final beneficiaries.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The Programme does substantially reflect the priorities and needs of final beneficiaries. Confirmed in discussions with two farmers groups of 10 – 12 farmers each inn two Districts, and the impact assessment reporting that 62% of

	members were fully satisfied , and 29% partially satisfied = 91% total with NASFAM services. This is compared to baseline of 44% (fully) + 37% (partially).

1.5.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

1.5.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The increased food availability directly attributable to NASFAM III activities is minimal, as only one partial food crop (for the mass market) is supported (soya beans). However indirectly there is an implicit by-product of the NASFAM support given to farmers, as the more efficient production methods they teach/promote to maximise yields, and income, should 'spill over' into members production of (unsupported) maize and any other food crops. This spill over is likely to contribute to increased food production at local/national levels.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The Project Document (Appendix 2) provides national data on marketable production of 4 key crops, and the volume NASFAM wishes to trade (plus a further 7 crops which are covered in less detail). However only one of these crops is a food crop (soya). Therefore this indicator has been achieved, but only in a relatively minor way.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	The planned direct increase in food production for the mass market of poor consumers is minimal, and it comprises mainly of approximately 500 MT of Soya, as well as groundnuts. However indirectly there is an implicit by-product of the support, especially a variety of extension services, given to farmers, as the more efficient production methods they use to maximise yields, and income, should 'spill over' into their production of (unsupported) maize and any other food crops, and therefore contribute to increased food production at local/national levels.

1.5.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

While no analysis was done on food access per se, the programme activities were fully likely to lead to increased food accessibility, directly through the support to grain bank construction (in 10 out of 43 Associations) , and indirectly through increased production of crops for own consumption, plus increased cash crop income (targeted at 50%) to buy any additional food requirements.

Evidence on indicator level

Indicator	Evidence
I-221	The Project Document does not contain an analysis on food access.

Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	The programme contains one activity pertaining specifically to increased food access, namely supporting and promoting the construction of 10 'grain banks' within 10 of the 43 Associations (with intention of expanding to all Associations in due course). ,
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	This is one of the prime purposes of the entire programme, i.e. turning farming into a business for members. The programme set a target of a 50% increase in members' income, and achieved 51.5 %, according to the imact survey .

1.5.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

While no analysis of food shortages was provided, NASFAM's support to the introduction of 'grain banks' in 10 of the 43 Associations, is likely to contribute to reduced periods of food shortages (in those targeted areas), and the overall focus on promoting more efficient production methods for cash crops and niche food crops should 'spill over' into enhancing production of maize and any other food crops, thereby contributing to reduced periods of food shortages.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at	The Project Document does not go to this level of detail.

national/subnational levels (targeted areas)	
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	The support to the introduction of 'grain banks' in 10 of 43 Associations, is likely to contribute to reduced periods of food shortages. In addition NASFAM III's implicit by-product from promoting more efficient production methods for cash crops and niche food crops should 'spill over' into production of (unsupported) maize and any other food crops, thereby contributing to reduced periods of food shortages. The target for improving all year round food security was 70% (baseline 67%), and actual achieved was 80%. But this improvement is a by-product, achieved without directly attributable activities (except possibly the few grain banks noted above).

1.5.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

While not explicitly dealt with, the contribution to enhanced food utilization and improved nutritional status is implicit in the NASFAM III programme.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	The Project Document does not go to this level of detail, as this is not NASFAM's focus.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	The contribution to improved nutritional status issue is strongly implicit in the entire programme, for reasons previously given, namely NASFAM III's implicit by-product from promoting more efficient production methods for cash crops and niche food crops should 'spill over' into production of (unsupported) maize and any other food crops, thereby contributing to improved nutritional status.

1.5.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

1.5.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

The increased food availability directly attributable to NASFAM III is minimal; only one partial food crop is supported (soya beans). The increase in soya bean production was not specified in the Evaluation Report or the Impact Survey. However the Final Evaluation Review reports a highly commendable fourfold increase in value of 'non tobacco' crops, but this is not disaggregated between food and cash. Given that maize is by far the most predominant crop grown, this fourfold increase can only be achieved through a major increase in maize production.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	The increased food availability directly attributable to NASFAM III activities is minimal, as only two significant food crops (for the mass market) are significantly supported (soya beans and ground nuts). The increase in soya bean production was not specified in the Evaluation Report or the Impact Survey. Overall however, the Final Evaluation Review reports a highly commendable fourfold increase (MK 218 mil – MK 876mil) in value of 'non tobacco' crops, but this is not disaggregated between food and cash, and importantly the source of data is not provided (it is not in the 2011 Impact Assessment – a survey of 3789 farmers).

1.5.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

There is no data relating to this indicator in the M&E documentation. However, interviews with two groups of 10 farmers in two districts, indicated improved consumption (quantity and variety) of food in the home.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	• There is no data relating to this indicator in the M&E documentation, or in the Impact Survey. However interviews with two groups of 10 farmers in two districts indicated improved consumption (quantity and variety) of food in the home. This was implied from their reported satisfaction with their increased productivity and diversity of crop production, as opposed to a specific answer to a specific question on diet and meals.

1.5.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The impact survey of 2580 members showed that 80% indicated that they were food secure all year round (having food lasting to the next harvest) compared to the baseline of 67%. In addition interviews with two groups of 10 farmers in two districts implied that food insecurity was diminishing significantly after substantial increases in crop production and farmer incomes. Note however this is a by-product of Norwegian support and not the outcome of targeted activities.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	The impact survey of 3789 farmers (2580 members / 1209 non-members) showed that 80% of members indicated that they were food secure all year round (having food lasting to the next harvest) compared to 70% of the non-members compared to the baseline of 67%. In addition interviews with two groups of 10 farmers in two districts implied that food insecurity was diminishing significantly after substantial increases in crop production and farmer incomes.

I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	While coping strategy data is provided in the impact survey, there is no baseline data to compare against. It appears that less than 5% now sell livestock as a coping strategy. In addition the overall reported 400% increase in crop production (see above) other than tobacco strongly implies that the need for 'coping strategies' is diminishing.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	While various main sources of income is provided in the impact survey, there is no baseline data to compare against. 21% of members report now some revenue from small scale business.

1.5.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

There is no data relating to this indicator in the M&E documentation. However the programme's success in uplifting production by factors approximating 400% strongly implies that there will have been improved food utilization leading to enhanced nutritional well-being.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	• This indicator has not been measured. • However the programme's success in uplifting production by factors approximating 400% strongly implies that there should have been a decrease in the number of underweight/stunted/wasted children and/or an increase in adult Body Mass Index.

Cluster 2: M&E and Documentation

1.5.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

1.5.4.1 Appropriateness of programme M&E design

The design of the M&E framework and plan is robust, detailed and appropriate.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	M&E is based on Version 7 (2009) of the Monitoring and Evaluation Plan, a detailed and well-structured M&E framework and plan. There are detailed indicators for all objectives and activities, disaggregated by gender where required. One concern raised by the Evaluation Team was the possibility of too many indicators in the system, and monitoring fatigue becoming prevalent.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	The M&E Plan referred to above, incorporates all these stated elements, namely the M&E strategy, human and other resources required, indicators and feedback mechanisms.

1.5.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The M&E function is well staffed, resourced and executed, and the relevance, frequency and timeliness of data collection and reporting is appropriate.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	Approximately 5% of the total budget is spent on M&E, a healthy sum, and the M&E function has two persons at Head Office + plus a data officer, and each of 43 Associations have 'data officers'.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	The 43 Data Officers employed at HO and Associations collect a wealth of data. The relevance, frequency and timeliness of data collection therefore appear satisfactory. However it should be noted that at the time of the mission the data collection/management system was 'down' – at both head office and the two associations, and the Evaluation Team could not see its functionality or the range of data collected.

1.5.4.3 JC 43 Adjustment of programme design and/or implementation modality

The M&E Plan is designed as a 'rolling plan' and each year a review and fine tuning is done to enhance work plans to make them more effective as necessary.

Evidence on indicator level

Indicator	Evidence
I-431	The M&E Plan is designed as a 'rolling plan' and each year a review and fine tuning is done to enhance work plans to make

Evidence and quality of adjustments of plans as a consequence of M&E results	them more effective as necessary. However the design of the programme remained fundamentally intact, partially as a consequence of this being the third phase (NASFAM III), reflecting lessons learnt from earlier phases.

1.5.5 EQ5: To what extent have programme results been documented?

1.5.5.1 JC 51 Availability of documentation of results

The documentation of results has been most satisfactory, as has the reporting of most results. However there is a follow up on the functioning and content of the member database.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	There is a database covering all 51 100 members, updated by each Associations' Data Officer. As earlier noted the functionality of the database is not clear. Quarterly and Annual M&E Reports are prepared, covering outputs, and outcomes. A major impact survey covering 3789 farmers was also conducted in 2011. A comprehensive Annual Report of Activities and Results is prepared and published.
I-512 Existence and quality of evaluation reports	Mid-term and Final Evaluation reports were prepared. Whilst the reports covered almost all topics expected, they did not appear to cover the volume of increased production of the four main crops supported. Nor were sources of key data always quoted, e.g. the fourfold increase in 'non tobacco' production. In addition a comprehensive Impact Assessment covering 2580 members and 1209 non-members was conducted in September 2011.
I-513 Existence and quality of other types of documentation of results	NASFAM produces a considerable amount of literature and brochures where its achievements are publicised. In addition its training materials for agricultural extension services (which are in constant use) are updated to reflect latest best practices.

1.5.5.2 JC 52: Extent to which intervention results have been disseminated

The Annual Report containing intervention results is a well packaged, presented and disseminated document. Several other communication / dissemination channels are also vigorously pursued. However the one 'disappointed' stakeholder is the Extension Services Department of the Ministry, which would like to see more communication and coordination.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination	NASFAM employs a Communications and Publications Officer as well as a Communications Assistant. The whole arena of PR, Communications and Publications is therefore well resourced and there is a communication annual work plan (including elements of dissemination).

strategies	
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	These staff are professional in their field, and the dissemination tools and channels appear appropriate (mainly radio, television, and appropriate print media, including a members newsletter, and the comprehensive Annual Report)
I-523 Evidence of articles published, presentations in workshops, conferences	NASFAM Officials participate in may agricultural development fora (including conferences and workshops), have a wealth of experience to share, and their presence and inputs are sought after. NASFAM Officials are appropriately active in this regard.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	Most stakeholders will/should be satisfied about their level of awareness of NASFAM activities and results, notably those funding NASFAM Development, and readers of the Annual Report. However as reported earlier the Extension Services Department of MOA is concerned by the lack of communication and coordination with NASFAM Associations re the extension programmes they are running.

Cluster 3: Sustainability and Scaling up

1.5.6 EQ6 To what extent have programmes been sustainable?

1.5.6.1 JC 61 Financial sustainability/economic sustainability

As matters currently stand the financial and economic sustainability NASFAM is heavily dependent on grants from the Donor Community, particularly Norway. Should Norway withdraw a replacement Donor(s) would have to be found, otherwise the continuation of NASFAM would be under serious threat. The concept of NASCOMEX's generating sufficient profits to fund the totality of development expenditure in NASFAM is dependent on a major increase in membership numbers, an increase in membership subscription rates, and a major increase in the volume of crops members sell to NASFAM. This will require a much higher level of working capital (loans to NASCOMEX) to enable it to buy a much higher volume of member crops

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	NASFAM continues to be heavily reliant on Donor Funding, of which Norway is by far the most prominent, having contributed 70% (Mk 391m out of Mk 560m of grants in 2011). Total Development Expenditure in NASFAM was Mk 599m, compared to the 'net profits' from trading under NASCOMEX of Mk 107m (18% of Development Expenditure). Thus the longer term intention of 'profits' funding 'development' is a long way off. Should Norway withdraw after the recently approved next phase (SDPIII), the sustainability of NASFAM would be at risk, unless a replacement donor(s) can be found. Note that Development Expenditure average per registered member is approximately $ 80.
I-612 Services/results are affordable	Services provided by NASFAM average out at a cost of $80 per registered member (see above). This is not affordable by Members, given the following. Membership contributions are very low, approximately $1.50 per annum, and the value of crops

for the intended beneficiaries succeeding phase out	members sell through NASFAM averaged only $ 76 per member in 2011, with the average net profit on this coming to only $14 per member. Hence current services provided are not affordable to members.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Nascomex has to remain astute as a commodity trading entity, in order to produce its commodity trading profits. This is likely to happen with the current very capable trading manager. Should he move, there would be some risk as he would need to be replaced by an equally astute trader, and such people are in short supply and high demand. Exchange rates do not pose such a risk, as these are factored into commodity trading. However major exchange rate movements are always disruptive to an economy, and NASFAM would be exposed to whatever disruptions may manifest.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	See I – 612 above. The same logic applies.
I-615 Policy changes are not likely to affect programme activities	If subsidies on fertilizers were to be removed, this would benefit NASCOMEX, as the introduction of subsidies caused the sale of fertilizer to collapse, and this in turn caused most of NASCOMEXs trading stores to close because it was the prime commodity in the stores. Policy changes detrimental to NASFAM can be a risk, especially if Government were to introduce policies controlling market forces, or if tax legislation is introduced which creates charges that cannot be recovered (eg the 2011 turnover tax).

1.5.6.2 JC 62 Institutional and technical sustainability

Long term institutional and technical sustainability is relatively well assured, provided the required level of donor funding continues.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Institutional structures are well designed and the personnel involved are competent with sufficient managerial and technical capacity to continue their complex operations, providing the required funding continues to pay inter alia, salaries. The evidence is the overall success of NASFAM despite its complexity. NASFAM is a major (desirable) employer with a good reputation, and should be able to attract quality staff and skills.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	The beneficiaries in this case are considered to be the Associations (not farmers). The Associations appear to have the required technical and managerial capacity to continue activities succeeding phase out.

1.5.6.3 JC 63 Environmental sustainability

NASFAM promotes environmental sustainability in a variety of ways, and is conscious of the importance of so doing.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Crop diversity is an explicit objective including legumes, which is healthy for promoting soil fertility, and NASFAM also promotes responsible farming practices.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	Good environmental practices are constantly at the forefront of all activities.

1.5.6.4 JC 64 Quality of exit strategy

NASFAM has not prepared a detailed exit strategy in NASFAM III. The next phase NASFAM SDP III has been contracted with Norwegian funding being the major contributor.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	NASFAM has not prepared a detailed exit strategy under NASFAM III. The next phase NASFAM SDP III has been designed, appraised and contracted, with Norwegian funding being the major contributor.

1.5.7 EQ7 To what extent have programmes lent themselves to scaling-up?

1.5.7.1 JC 71 Appropriateness of programme design for scaling up

NASFAM activities have been ebbing and flowing over the last few years, and not consistently scaling up, with regard to number of members, as well as the value of trading from NASCOMEX. The successor SDP III programme has made provision for a scaling up.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	NASFAM activities have been ebbing and flowing over the last few years, and not consistently scaling up . Membership (in thousands) has moved from (in 2008 – 2011) 57 : 64 : 51 : 50. Trading Revenue from NASCOMEX has also been variable as follows in MK 000 – from 2008 – 2012. 2008 2009 2010 2011 2012 1,171 968 785 1,002 995 NASFAM needs to go (and has committed to going) on a major membership recruitment drive, as membership has been dropping from a high of 82 000 in 2005, down to 50 100 in 2011. This has apparently been catered for under SDPII In addition the value of crops purchased from members needs to increase, (even double), and this is also planned for in SDPIII. To do this NASCOMEX will need to find ways to increase its working capital to finance its crop purchases. The options will be covered under the PETS section of the report. Other main services, notably tobacco transport, and agricultural extension services are also planned for scale up in SDPIII.

1.5.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

SDP III has made provision for a scaling up of membership, for growth in services particularly in crop purchasing, tobacco transport, and agricultural extension services. The continuing success of NASFAM relies on this successful scaling up.

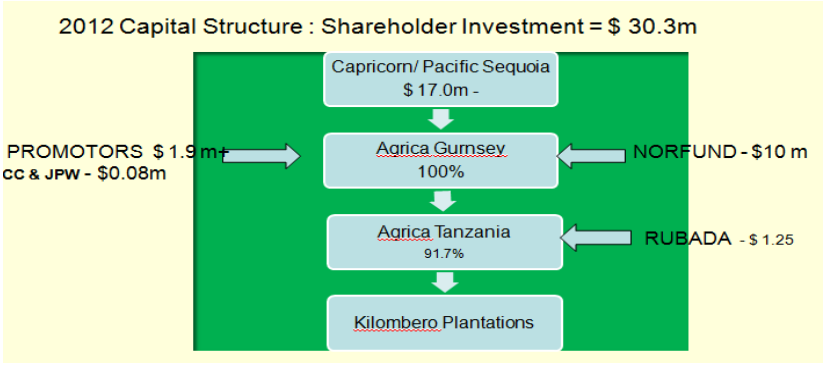
Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	There are numerous success stories, especially in the impact surveys results showing the 50% improvements in member incomes, 80% year round food security status, superior housing quality, and ownership of more productive assets than non-members. In addition there is the statistic that members have increased fourfold the production of their non tobacco crops.
I-722 Evidence of an effective learning process with a high adoption rate	Yes, 90% of members compared to 71% during baseline mentioned that they have received some form of training from NASFAM on various aspects of crop production technologies. The adoption rate is not specifically measured / mentioned, but the increase in incomes, and the fourfold increase in non-tobacco crop output, would suggest a high adoption rate.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	The success in approving NASFAM SDPIII is a clear indication of agreement among institutional stakeholders to scale up activities of the intervention, albeit in a slightly different log frame structure.

2 Tanzania

2.1 Development of a rice business on Mngeta farm in the Kilombero Valley in Tanzania (NFD 1002-384)

General Data

Intervention title	Development of a rice business on Mngeta farm in the Kilombero Valley in Tanzania
Agreement partner (name)	Agrica Limited, Gurnsey (AGL)
Type of agreement partner	Commercial Agriculture
Agreement nr.(s)	NFD 1002-384
Country / region	Tanzania
Implementing partner	The Capricorn Investment Group together with the promoters and majority (ordinary) shareholders Carter Coleman (CEO) and John Paul Whyatt (Finance Director).
Programme office	NA
Extending agency	NORFUND – Oslo Contact person & detail: Ms Elin Ersdal
DAC Sector	Main Sector:311– Agriculture Subsector: 31120 Agricultural Development
Intervention start & end dates	September 2010 – flexible exit date, possibly 2017 / 2018
Budget Approved amount Agreed amount Disbursed amount	 US$ 10 000 US$ 10 000 US$ 10 000
Main stakeholders e.g.	 RUBADA is the Rufiji Basin Development Authority , a parastatal government agency.
Number of beneficiaries targeted	
Intervention description	Commercial Production of Rice in the Kilombero Valley, on the 5800 Ha Mngeta Farm. The plan is to produce 50000 tonnes of rice per annum, via 3000 ha of irrigated rice yielding 7 tonnes /ha twice a year (42 000 t), plus one crop of 2000 ha of rain-fed rice yielding 4 t/ha (8000 t) . In addition the irrigated area will also produce an annual crop of beans. All processes on the farm will be highly mechanised, (i.e., land preparation, planting, fertilizing, application of herbicides and pesticides, reaping, drying, milling etc), and manual farm labour will be minimal. However approximately 230 jobs will be created in mainly administrative support services, as well as in milling. In addition up to 5000 farmers (organised into self-selected farmer groups of 25 farmers) will be inducted into Agrica's System of Rice Intensification (SRI), and they will be shown how to achieve yields of 5 – 10 t/ha, using fertilizers, herbicides and pesticides. These groups will be supported in securing loan funding from local MFI institutions. The SRI farmers will be at liberty to sell their crop to the highest bidders, once Agrica has withheld sufficient rice / or cash to repay the MFI loans.
Programme background & history	Agrica was founded in September 2005 with the goal to develop sustainable agribusiness in Africa, and the development of Mngeta rice farm in Tanzania is the company's first project. The farm was purchased from the Tanzanian Government (through the Rufiji Basin Development Authority, a parastatal government agency) some years after the initial North

	Korean developers withdrew. The company has started production of rice in 2008 with approximately 1000 ha being added each year since, and the new rice mill became operational in January 2010. 4 940 hectares have been planted for the 2012 / 13 season and approximately 230 people are employed, buildings have been refurbished and most of the planned infrastructure and machinery is in place. All production is shipped immediately to Dar-es-Salaam, or sold at the farm gate, and sold on the open market. In order to finance initial losses, expansion and farm improvements the project raised (with $10m investment from NORFUND) a total of $30.3 million. However a further S42 million ($15m in share capital and $ 27.5 m in long term loans) is required to complete all the investments needed, notably $20m for the irrigation infrastructure and power plant, further capital equipment, and the additional past and future losses to be incurred. $8 million of the $15 has now been paid by the primary shareholder Capricorn Major resettlement issues had to be dealt with, as 230 families (original dwellers and new 'settlers') had moved back onto the farm once it was vacated by the North Koreans. These issues were eventually resolved and 750 hectares of the farm now house these families.

Objectives, results and activities

Overall objectives/ Goal	The following table and its six headings are the contents of a conventional LOGFRAME. Given the Commercial Nature of this investment through NORFUND, the LOGFRAME is not applicable. Hence the table has not been completed.

Specific objectives	• The development of the Mngeta farm with
	  • 3000 ha of irrigated rice, and 2000ha of rainfed rice
	  • Producing 49000 Tonnes of rice
	  • 5000 Smallholder farmers applying System of Rice Intensification methods, which should quadruple their yeild
	  •

Expected results	• By 2017/18 the farm revenue should be $26.8m, and profit before tax $10.5m. At 2012 these figs should be: revenue $6.6 and loss of ($3.9)
Main activities specify agri. Activities for envir. Interventions)	Development of the farm, rained and irrigation, rice milling, and marketing sales. Simultaneously the capacity building of 5000 Smallholder farmers to be able to apply the System of Rice Intensification methods,
Process on track ? Main difficulties/challenges	Revenue is currently only $5.2 m, which is 79% of budget, caused by lower than expected yields due to drought and pests. Difficulties with getting irrigation trials to produce expected high yields, so major irrigation investment ($ 20m) has been deferred a year
List of available documentation for the intervention	• See Bibliography

Cluster 1: Contribution to Food Security

2.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

2.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

Alignment with partner country food security policies/strategies was not an explicit consideration when the investment was considered and approved. However it is implied as the purchase of the farm from Government required intensive Government scrutiny and approval, and the investment will lead to the production of 50 000 tonnes of food (rice), and lead to intensification of production from land, all part of the Governments agricultural policy. Rice is a commodity which is consumed mainly by middle and upper classes, because of higher market prices. The crop is important for the food security of these groups (in particular the urban population).

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	• Being a commercial investment, no specific consideration (or mention) was given in the Investment Committee Appraisal as to whether the investment was aligned to national food security policies or strategies. However the investment was subject to intensive Government scrutiny and approval, as the 5800 ha farm was acquired from Government despite the considerable opposition that emerged. • In addition the project has been given strong political endorsement with a visit (travel by road) by the President, whose speech (apparently) applauded the development and acknowledged its contribution to 'Kilimo Kwanza", the Governments Agricultural Strategy.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	• See Above.

2.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

Not Applicable – see reasoning in JC 11.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food	Not Applicable.

security platforms (if available)	
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	Not Applicable.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	Not Applicable.

2.1.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The production of rice is not of much concern to the poorer Tanzanian citizens (great majority), as it is much more expensive than conventional staple of maize (50% more). However Kilombero rice is a moderately high quality rice, which is in high demand (and therefore highly relevant) to middle and upper income Tanzanians. The intervention will be/is highly relevant to the SRI Small holders (currently 1600, eventually 5000) as it will increase their incomes approximately fourfold and ensure their food security.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The most significant final beneficiary is the Rice Consumer in the Dar Es Salaam Market – which is where a large percentage of the rice from Mngeta farm goes. Rice is a substantially more expensive commodity (approx 50%) than the staple of maize, so is consumed mainly by the lower-middle, middle and upper economic classes. For these classes (a minority of Tanzanians), rice is most certainly a commodity that reflects their priorities and needs. However this is not necessarily so for the majority poorer Tanzanians, except to mark special occasion, where the 'luxury of rice' may be part of celebrations. The other category of final beneficiary is the SRI farmers. The SRI intervention has enabled them to quadruple (and more) their rice production, creating a significant marketable surplus, which is all bought by traders, and which has created relative prosperity (and absolute food security) for this group. The demand to join Farmers Clubs of SRI farmers is said to be high, and there will be no problem of reaching the target of 5000 families.

2.1.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

This project was not set up with the explicit intention of improving food security. The fact that rice production may have a limited impact on food security for the poor is incidental. However the whole investment appraisal has been based on extensive evidence for all issues pertaining to the production, milling and sale of rice, and the assumptions were reasonable and realistic at the time.

2.1.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The Mngeta farm will undoubtedly lead to the increased availability of rice. The planned 50 000 tonnes will contribute a further 6-7% of the total consumption of rice, which represents approximately 2 - 3 years in the growth in national consumption. At the local level the intervention with the eventual 5000 SRI farmers will lead to increased food availability for their families.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The Investment Committee Appraisal Document (ICA), provides an overview analysis of the Market for Rice, production and consumption at the national level, in order to make the case for the investment which will lead to the production of an additional 50 000 tonnes of rice annually.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	The purpose of Norfund's investment is to create a sustainable and profitable agricultural company in Tanzania. However, one of the intended outcomes of the rice farm is increased food availability at local /national level. . In addition, at the local level the intervention with the (eventual) 5000 SRI farmers will lead to increased food availability for their families (or enhanced purchasing power if the rice is sold).

2.1.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

Increased food accessibility will undoubtedly be achieved, but mainly for the economically relatively better off Tanzanians, for whom accessibility is not a prime concern. Regarding SRI Farmers the support given is highly likely to lead to increased food accessibility

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at	Being a commercial investment, no specific consideration was given to this issue.

national/sub-national levels (targeted areas)	
I-222 This Norwegian funded agricultural project is likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	No specific consideration was given to this issue. The consumers of rice (being relatively better off economically), are not a notably vulnerable group. Regarding SRI Farmers the support given is highly likely to lead to increased food accessibility, from rice grown, and from the availability of increased cash generated from higher rice production and sale.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	The purchasing power of individual SRI farmers in Kilombero Valley will undoubtedly be considerably enhanced. This however is an ancillary objective of the programme, not a prime objective.

2.1.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

This programme will probably not significantly impact food stability for poor Tanzanians, as they do not directly benefit from an increase in Rice Production. However re SRI Farmers the support given is highly likely to lead to increased food stability through enhanced purchasing power.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	Being a commercial investment, no specific consideration was given to this issue. Rice is not normally a commodity used to for food aid distribution in Africa when food crises emerge. In cases where rice is used as food aid, it is likely to be sourced from Asian countries who produce at substantially lower cost. Note that Tanzanian grown rice benefits from a 75% import tariff (set by the EAC).
I-232 Norwegian funded agricultural projects are	This was not an objective of the programme. However it will eliminate food shortages for the 5000 SRI Farmers in the Kilombero Valley – as an ancillary issue.

likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	

2.1.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

This programme will probably not significantly impact the nutritional status of poor Tanzanians, as they do not directly benefit from an increase in Rice Production.

Regarding SRI Farmers the support given can potentially lead to enhanced food utilization, and improved nutrition status, as the increased cash that becomes available can be used to acquire a varied diet of food.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	Being a commercial investment, no specific consideration was given to this issue.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	Contributing to improved nutritional status, does not form part of the investment logic. The fact that Beans will also be produced under irrigation, is a result of the need to produce a third crop to assure the viability of the irrigation investment, and that beans help to replenish the nitrogenous elements depleted by the rice crop. With SRI Farmers, the increased cash that becomes available to them can potentially be used to acquire a varied diet of food, and improve their nutritional status.

2.1.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

Overall conclusion:

Notwithstanding that there are no food security goals, the programme seems likely to eventually achieve the originally planned production levels of 50000 tonnes of rice, given several proviso's, namely:

1. the remaining required funds can be raised.
2. The challenges surrounding the optimisation of yields under irrigation (as well as rainfed) are resolved
3. Budgeted market prices are realised or bettered.

   There is an element of risk attached to each of the above, but overall the strength and capability of management should see the goals being eventually achieved.

2.1.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Availability of rice will be increased in (mainly) Dar Es Salaam and urban markets, where the consumers are mainly the economically relatively better off Tanzanians. The majority poorer classes of Tanzanians may not achieve increased availability of food, as rice is a commodity they cannot generally afford However food availability for the (eventual) 5000 farming families in the Rice Intensification programme will be greatly improved, even in drought years.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	The production for 2011/2012 was 13.2 Tonnes, which will climb to 50 000 tonnes at full production after irrigation is fully deployed. This will go to urban markets for consumption mainly by economically relatively better off Tanzanians Evidence collected from a survey of three traditional markets in Dar Es Salaam – involving a total of 9 traders, showed that on average the price of a kilogramme of rice was between 44%-58% higher than a kg of maize meal. It is a reasonable assumption that when food commodity A costs 50% more than food commodity B, poor people will seldom buy A, except for special occasions. The Agrica investment in rice may not therefore significantly impact the food security of the majority of poorer economic classes, nationally, in a significant way. However food security in the Kilombero valley itself will be enhanced, especially for the (eventual) 5000 farming families in the Rice Intensification programme, as these beneficiaries are likely to always produce a food surplus, even in rainfall deficit years

2.1.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

There is no data on this indicator. However it is safe to assume that SRI beneficiary farmers will have achieved increased (achieved and expected) accessibility of food at household/individual level. This is however an ancillary objective.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	• There is no data relating to this indicator •

2.1.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

This programme will probably not significantly make the availability and accessibility of food for poorer classes of Tanzanians more stable, as they do not directly benefit from an increase in Rice Production. However SRI Farmers' livelihood systems have become more resilient and sustainable due to the fourfold increase in production that are being achieved.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	Being a commercial investment, no specific consideration was given to this issue, and there is not related data.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No specific consideration was given to this issue, and there is not related data.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	No specific consideration was given to this issue, and there is not related data. However it is safe to assume that for SRI Farmers in Kilombero valley, livelihood systems have become more resilient and sustainable due to the fourfold increases in production that are being achieved.

2.1.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

The Farm's output is not likely to lead to improved food utilization and enhanced nutritional well-being as the beneficiaries are middle/high income families. However the programme's success in uplifting SRI production strongly suggests that there may be a decrease in the number of underweight/stunted/wasted children and/or an increase in adult Body Mass Index among the SRI targeted households (if these issues were in fact prevalent in the baseline case).

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	This indicator has not been measured. However the programme's success in uplifting SRI production by factors approximating 400 - 500%, strongly implies that there might have been a decrease in the number of underweight/stunted/wasted children and/or an increase in adult Body Mass Index (if these issues were in fact prevalent in the baseline case).

Cluster 2: M&E and Documentation

2.1.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

Being a commercial enterprise, Agrica has a plethora of output, performance and financial data which is constantly updated and reviewed, and is used to closely monitor operations and evaluate performance, from Board level, through the Company's Executive Management, down to Farm Operations. It is structured for commercial operations, with the primary reports (amongst many) being a balance sheet and profit and loss account, which monitor gross margins, and EBITDA (earnings before interest, taxation, depreciation, amortisation). The conventional development project log frame, with objectives and indicators, is not applicable in this case. The programme does not have a gender bias, and thus gender specific data is not kept. The programme financial projections have been revised in the last year, to reflect the actual situation developing on the ground, and the challenges being addressed.

2.1.4.1 Appropriateness of programme M&E design

The various Management Information Systems that are in place are wholly appropriate to monitoring and evaluation (commercially), the operations, output and performance of the company.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	Not directly applicable – see above. But 'commercial' mechanisms of M&E are extensive and of good quality.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	Not directly applicable – see above. But 'commercial' mechanisms of M&E are extensive and working well.

2.1.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The strategy and implementation behind the various Management Information Systems (M&E) that are in place are wholly appropriate to the needs of the company.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made	Not directly applicable – see above. But all the resources required for 'commercial' M&E are in place.

available for M&E (human and financial)	
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	The relevance, frequency and timeliness of data collection is strong, but aimed at measuring inputs and their conversion into outputs (then revenue and profit / loss). The data is not gender disaggregated, and there is very little data concerning outcomes and impacts.

2.1.4.3 JC 43 Adjustment of programme design and/or implementation modality

The programme financial projections have been fully revised in the last year, to reflect the actual situation developing on the ground, and the challenges being addressed.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	The programme financial projections have been fully revised in the last year, to reflect the actual situation developing on the ground, and the challenges being addressed. This has resulted in a one year deferment of the major irrigation investment, and a two year deferment until the company expects to start making profits, and recording the expected return on investment. •

2.1.5 EQ5: To what extent have programme results been documented?

2.1.5.1 JC 51 Availability of documentation of results

The Monthly, Quarterly, and Annual results of all operations, including crop production, milling, research and development, are fully documented in great detail.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	See above.
I-512 Existence and quality of evaluation reports	See above.
I-513	See above.

Existence and quality of other types of documentation of results	

2.1.5.2 JC 52: Extent to which intervention results have been disseminated

The Company does not seek to publicize its results at this stage, beyond its Board of Directors and its management, and information is kept confidential.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	The Company does not seek to publicize its results at this stage, beyond its Board of Directors and its management, and information is kept confidential. Government through RUBADA being represented on the Board, is kept informed. However there was a BBC documentary on the whole farm and the SRI scheme, which was well produced and well received.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	See above
I-523 Evidence of articles published, presentations in workshops, conferences	Note: the BBC documentary on the whole farm and the SRI scheme, which was well produced and well received. In addition the CEO is frequently asked to address various fora on the whole Mngeta farm scheme.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	See above.

Cluster 3: Sustainability and Scaling up

2.1.6 EQ6 To what extent have programmes been sustainable?

2.1.6.1 JC 61 Financial sustainability/economic sustainability

The programme will be fully sustainable, provided the three critical factors listed in EQ 3 are successfully managed, namely;

1. The remaining required funds can be raised.
2. The challenges surrounding the optimisation of yields under irrigation are resolved
3. Budgeted market prices are realised or bettered.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	If the investment delivers the returns that are reasonably expected, the intention will be to obtain an IPO listing on the AIM Stock Exchange in the UK. This seems to be reasonable expectation at this stage.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Yes, this should be the case, as rice will still be produced within a similar (or even lower) cost structure, and Tanzanian consumers will continue to benefit accordingly.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	A 75% import tariff is applied to imported rice, set by the East Africa Community (Tanzania previously has a 25% tariff). When the tariff went to 75% the retail price (apparently) hardly moved, thus the importers, wholesalers, and retailers absorbed the increase. In addition the quality, size/colour of grain, the aroma and taste of Kilombero rice is highly favoured in Tanzania, and its comparative competitor is the more expensive Thai jasmin rice (approx $1000 /t). In the unlikely event of the tariff being removed or substantially lowered, Kilombero rice will still be competitive with this high end thai brand.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Not applicable.
I-615 Policy changes are not likely to affect programme activities	See I – 613 above – same answer.

2.1.6.2 JC 62 Institutional and technical sustainability

The project is institutionally and technically sustainable.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in	The existing management team have been handpicked due to their knowledge and experience of plantation farming in Africa, and in Rice Farming. They have acquired a wealth of knowledge of the particular challenges of rice farming

implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	and milling in Kilombero. Although Management and Board receive regular reports on the results and trial/errors and lessons learned, this knowledge has not yet been formally / systematically documented in a best practices manual, and needs to be. Because of this, the loss of the General Manager, and/or the Crop Production manager, would represent a significant, but not insurmountable setback, provided a reasonable handover period was provided for.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	SRI farmers (being ancillary beneficiaries), will have acquired the required technical and managerial capacity to continue activities succeeding phase out.

2.1.6.3 JC 63 Environmental sustainability

The project appears to be environmentally sustainable in the medium to long term. Land conservationists may however take issue on the long term damage done to land that is ploughed and fertilized three times a year – year after year.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	The prime promoter is an environmental conservationist, and the company commissions an annual environmental impact assessment, and complies with good environmental practices. Environmental concerns lie behind restricting the irrigated area to 3000ha as this is considered to be a size that can sustained by the low/dry season flow of water from the Mngeta river. Short to medium term issues have therefore been addressed. However it would appear that long term impacts of full mechanised land tillage, and planting/reaping three crops a year from the same land, year after year, - requiring extensive use of fertilizers – has not been fully studied. This is a highly contentious long running issue between land conservationists, and commercial farming organisations, and has not been debated in the case of Mngeta.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	The company and its employees are environmentally sensitive, and all procedures and practices are formulated taking into account good environmental practices, except for the bigger farming methods issue noted above.

2.1.6.4 JC 64 Quality of exit strategy

The exit strategy has been fully considered and viable options exist.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	• An exit strategy has been formulated, comprising either a Stock Exchange listing (IPO), or various options surrounding a Trade Sale.

2.1.7 EQ7 To what extent have programmes lent themselves to scaling-up?

This programme has been one continuous series of 'scale ups'. In addition there is a longer term objective of acquiring another nearby farm to allow for further scale up, should Mngeta realise its potential.

2.1.7.1 JC 71 Appropriateness of programme design for scaling up

The entire investment programme was designed around an appropriate scaling up of operations, production and output.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	• The whole investment is aimed at scaling up rice planting hectarage and using innovative processes and methods with an added value over existing methods, particularly irrigation for commercial operations and SRI techniques for smallholders. •

2.1.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The programme has successfully scaled up by a factor of x16 since the first year, and has another x5 to go (x80 in all).

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	Each year since 2008, another 1000 ha (approximately) has been cultivated, so that 4900 ha is now cultivated. Now almost all available land is under cultivation, the attention is now switching to progressively irrigating up to 3000ha.
I-722	There has been extensive learning, with modifications frequently being made. However lessons learnt have not

Evidence of an effective learning process with a high adoption rate	been systematically documented, an issue requiring the related recommendation.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	The Government, through RUBADA (its agricultural development parastatal), is fully behind the scale up of activities.

2.2 Climate Change Impacts, Adaptation and Mitigation in Tanzania (CCIAM) - TAN-08/058

General data

Intervention title	Climate Change Impacts, Adaptation and Mitigation in Tanzania (CCIAM)
Agreement partner (name)	Tanzania Ministry of Finance
Type of agreement partner	Government/Ministries in developing countries
Agreement nr.(s)	TAN-08/058
Country / region	Tanzania
Implementing partner	Sokoine University in close collaboration with University of Dar Es Salaam, Arhi University, Tanzania Meteorological Agency and the Norwegian University of Life Sciences Contact person&contact detail: Prof. V. R. Muhikambele & Prof Maliondo Programme Coordinator Sokoine University of Agriculture P.O. Box 3151 Morogoro
Programme officer:	*Contact details:*
Extending agency	Royal Norwegian Embassy in Dar Es Salaam
DAC Sector	410 General Environment
Intervention start & end dates	2009-2014

Budget
 	
Approved amount/ agreed amount
Disbursed (until end 2011)
	• 93.879.100 NOK
	• 97.879.100 NOK (*Approved amount (in PTA fiche)* NOK 37.798.540 *(source : project data base)*
	  ○ 2009: NOK 16.811.770
	  ○ 2010: NOK 10.493.385
	  ○ 2011: NOK 10.493.385
	The CCIAM programme is funded from the special grant from Norway for climate change mitigation pledged in the UNFCCC COP in Bali in December 2007. It is part of the MoU signed between Norway and Tanzania in April 2008.

Main stakeholders	Final beneficiaries/ Target group: • Researchers, • Students both in Tanzania and abroad • Farmers/forestry managers • Also included: policy makers, politicians and practitioners in the field of climate change
Number of beneficiaries targeted	No information on overall number of final beneficiaries (e.g. famers) available, as there are several projects. Most of them are either research or pilot projects, number of final beneficiaries is therefore very limited.
Intervention description	This programme is designed to be executed through four focus areas; • research, (output 1-3) • capacity building needs to address climate change, (output 4, output 1-3 for beneficiaries such as farmers) • strategic interventions for CCIA; (output 1-3) • documentation, communication and dissemination (output 4) Emphasis of the programme will be on mitigation and adaptation to the effects of climate change. (*Source: proposal document& third annual meeting report)*
Programme background & history	Government of Tanzania and Norway signed in 2008 a Letter of Intent on a Climate Change Partnership with a focus on reduced emissions from deforestation *(Source: Decision)*

Project objectives, activities & expected results

Overall objectives (named : main goal)	Better management of natural resources and the environment through appropriate adaptation and mitigation strategies and participation in climate change initiatives" *(Source: Decision)*
Specific objectives (Named: purpose)	"The purpose is to develop and sustain adequacy in national capacity to address the effects and challenges of climate change in Tanzania" *(Source: Decision)*
Expected results	**Output 1:** Appropriate climate change mitigation and adaptation strategies in forestry, other land uses, ecosystems and biodiversity management developed **Output 2**: Climate change impacts on and vulnerability of ecosystems services and livelihoods under REDD initiatives assessed **Output 3:** Policy and legal framework of climate change adaptation and mitigation with emphasis on economic efficiency, ecological effectiveness and wider political legitimacy analysed **Output 4:** Capacity building, dissemination and strategic interventions for adaptation and mitigation to climate change developed and undertaken *(Decision)*
Main activities specify agri. Activities for envir. Interventions)	**The CCIAM programme in short:** In total **21 research projects** are financed over 2 years, involving researchers from the 5 partner institutions and especially Master students and PhD students benefitting from a grant delivered by CCIAM programme. Furthermore **4 "strategic intervention projects**" (focus is on the outscaling of well-known/researched techniques with the aim to be tested as pilots in the field. The idea is to use demonstration plots and activities which have the potential to scale up. This takes only 2% of total project budget. **2 "strategic intervention projects"** have been identified, dealing with agricultural production or alternative income generating activities, such as mushroom cultivation, fruit tree plantation or bee keeping. Those are: a) *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*" : in a public private partnership, the aim of the project is to increase yields of maize and rice on given farm land through better use of fertiliser and herbicides and improved seeds; *Activities: 7 demonstration farms in* Kilombero District and Dakawa; 6 maize crop demonstration farms in Njombe district and on SUA campus , 6 farmers day have been organised so far; baseline study of the current agronomic practices followed by the smallholder farmers in study areas (2011), 2 Workshops, CCIAM Strategic Intervention Project on Public Private Partnership & Modelling (2011 SUA; 2012 Oslo) b) *Promotion And Intensification Of Fruit Trees In Agricultural Farm Lands For Improved Greener Environment* Aim: To reduce impacts of climate change and land degradation on rural farm lands by intensification of fruit trees for improve income generation and adaptation to climate change under REDD initiatives. *Activities:* 1. establishing of a tree nursery and training of 12 farmers (mostly women); planting and grafting of 2600 seedlings since start 2. distribution (for free) and planting of trees from nursery in 3 villages: Msingisi,, Masenge (Gairo) and Milimani ward (Morogoro); training of 50 farmers on planting and raising of fruit trees (mango, citrus and avocado), survival rate after 1 year: 77% 3. Production of a brochure on propagation and management of fruit trees **Research projects** Furthermore, 1 research project on non-timber forest products developed a component on mushroom cultivation (not planned initially), which can also be seen as an activity contributing to food security c) *Climate change non-timber forest products (NTFP) and livelihood forest*: Mushroom cultivation as non-timber forest product has been identified by the community as possible adaptation strategy. Project included supplementary activities incl. training on cultivation technologies (completed), on storage and market promotion (ongoing). A manual on mushroom cultivation has been developed

	Other activities of CCIAM related to food security Furthermore, the programme increased data on land use, cultivation practices, livelihood, vulnerability etc. which can be used in the future to design programmes on food security as these data are shedding light on the multiple factors leading to food security. Another component of the programme is training courses on climate change (within the students' curricula, but also short courses for policy makers or other stakeholders). Especially the short training course on "development and climate change" discusses briefly the link between climate change and food security. Food security might in the future get a more prominent role within the course.
Process on track? Main difficulties/challenges	The participation of multiple institutions working together is adding value and will provide an important foundation in Tanzania's future REDD activities *Difficulties encountered:* • Quite lengthy appraisal process due to the complexity of programme and many stakeholders involved *(Decision)* • The programme is behind schedule. An extension of 12 – 18month is required • The programme activities are being performed in a vacuum with minimal knowledge sharing or dissemination, leading to a perception that CCIAM is not adding value *(Source: Midterm Review, Decision)*
List of available documentation for the intervention	See bibliography

Cluster 1: Contribution to Food Security

2.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

2.2.1.1 JC 11 Alignment with partner country food security policies/strategies if available

CCIAM is not aligned with Tanzania's food security strategy, due to its prime objective of climate change and particularly on the REDD initiative. CCIAM is a programme providing research on climate change, especially focusing on research within the 9 pilot areas of the REDD initiative in Tanzania. As the preparation documents for the REDD initiative did not explicitly include food security aspects, the CCIAM is not aligned with food security objectives.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	No alignment sought with the national food security policy. CCIAM has no explicit food security objective as it is aligned the national REDD initiative, which has in 2009 (date of the CCIAM start) no reference to food security. One activity of the log frame, activity 1.9. :"*Assess innovative agricultural land use and farming systems for adaptation to and mitigation of climate change to support REDD initiatives*" is assumed to have food security related objectives, especially related to food production (e.g. drought resistant crop varieties, climate change adapted agricultural system)
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Proposal document has well documented background sections on: 1) **climate change and impact on agriculture and food security** and **2) Adaptation strategies in agriculture and food security:** These chapters give an overview on the national agriculture data and qualitative statements that climate changes will negatively affect food security situation and possible adaptation agricultural strategy. 3) Furthermore a background chapter on : "Vulnerability assessment for climate change adaptation and mitigation" discuss the link between food security and vulnerability. No data on food security situation, though. Food security as an objective of the focal areas of the project is not mentioned in the outline of the project in the proposal document.

2.2.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

There is no evidence that CCIAM is coordinated with national food security programmes. For the research projects and strategic intervention projects related to agriculture it seems that rather little coordination takes place with projects implemented by other organisations. Especially the NGOs implementing REDD readiness projects on which the CCIAM projects are doing their research have been complaining about the lack of information and feedback on the research results.

Sokoine University hosts several research projects, funded by other donors. The coordinators are often the same person (e.g. Prof Maliondo at the same time in charge of CCIAM and IAGRER (USAID funded)) or the head of the agricultural department supervising different projects such as CCIAM and EPINAV). The two Norwegian funded projects (CCIAM and EPINAV) have a common documentation/dissemination system.

Evidence on indicator level

Indicator	
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	CCIAM has 3 (research) projects that are relevant to enhance food security (out of 21 research projects and 4 strategic intervention projects.) Those 3 projects are small scale and mainly demonstration and pilot projects. On programme level: Sokoine University also hosts research programmes specifically targeting climate change and food security, e.g. USAID funded IAGRER. Same researchers are working on both projects. Furthermore, both Norwegian funded projects (CCIAM and EPINAV) have a common documentation/dissemination system. Other formal scientific exchange platform, such as e.g. cross-project scientific workshops might exists. No other donors are funding CCIAM. CCIAM projects are implementing their research on REDD readiness activities, implemented by NGOs. Interview and the Mid-term-review reveal a lack of communication and information of CCIAM towards the NGO, operating with the same communities. In the case of the biggest REDD-implementing NGO 'Tanzania Forest Conservation Group', the NGO was only part of an initial meeting with the team leader, so far no results have been shared or discussed with the NGO, although research results had already been presented on national level. It seems that also the communities did not get briefed on the research results. According to the MTR several NGOs complaint that research results have only been disseminated within the scientific community. This has been confirmed by one NGO interview. According to the same NGO, the situation is slowly changing after complaints of the NGO and the Coordinator of CCIAM has attended the project advisory committee in which he presented the progress of the CCIAM.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	Programme document discuss gaps and discuss the (scientific) state of the art (see above), however actions on agriculture are not discussed in the programme documents. This is done in detail in the proposal for each project, including the projects with an agricultural component.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	No evidence on a joint strategy. No joint work with other donors, but see problematic collaboration with REDD-implementing NGOs in I-122. Shared analytical work: The CCIAM project is currently establishing an electronic repository of scientific documentation on climate change in Tanzania. It will be hosted by a server at Sokoine and is an open access tool. All partners are contributing. The guidelines and rule for the content and shape (definition of the categories under which the documents will be stored, etc.) have been established and discussed with all 4 partners.

2.2.1.3 JC 13: Relevance of project intervention according to final beneficiaries

Both projects assessed are enhancing food production and income (fruit tree project and Small-holder Production Systems project) and adapt to changing parameters induced though climate change. Beneficiaries are aware of how climate change affects their livelihood and are ready to incorporate the new activities introduced by the project.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	For the 2 agricultural projects visited (a) *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*" and b) *fruit tree project* : Both projects are enhancing food production and income. In an area where a) irregular rainfalls are expected to be more pronounced in the future, as well as drought as a result of climate change, 2) land use and farming land extension is a problematic issue, better yields from the same land as well as introduction of new income generating activities, is appreciated by the beneficiaries. Furthermore, beneficiaries are aware of how climate change affects their livelihood and are ready to incorporate the new activities introduced by the project.

2.2.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

2.2.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

3 projects funded under the CCIAM programme are likely to increase food availability for the few participants in the projects, as the aim is better (increased maize and rice yields) or alternative/new food production (fruits). However, all these projects are on a very small scale and have demonstration purpose. The aim of those projects is to introduce new practices and train farmers with the aim of scaling up within and by the community.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	For the *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*" a baseline has been established for the project areas, e.g. smallholder farmers' current agronomic practices have been determined with regard to the use of improved crop production practices such as: the use of improved seeds, herbicides to control weeds, pesticides to control crop pests and use of correct amount of fertilizer at all stages of crop production. Study done in August 2011. A baseline study was also conducted for the fruit tree project with the aim to "identify farmer focus groups for implementation of strategic fruit tree establishment in farming communities."
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Yes, but only for the 3 projects that have a clear agricultural component (see project descriptions in the project fiche above): Fruit tree production; improved agricultural practices for the growing of rice and maize and mushroom production. However, all these projects are on a very small scale and have demonstration purpose. The aim of those projects is to introduce new practices as a pilot and train farmers with the aim of scaling up within the community and by the community.

2.2.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The projects with an agricultural component (see project fiche) are likely to increase food accessibility, as they are designed in a way to target 1) better food production and 2) income generating activities. For all these projects a baseline survey has been established. However, this baseline is not primarily focused on food access indicators which can be explained by the focus of the projects which is first of all to preserve natural resources.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No evidence, but unlikely as CCIAM is primarily an environmental/climate change project. The first objective of the programme is thus to conserve natural resources. For the projects in which an agricultural component has been found (see project fiche), the introduction of new agricultural practices are primarily motivated by the need to provide alternative sources of production and income to the farmers which are less destructive to natural resources. In the case of the fruit tree project the first aim (before income generation) is afforestation and increased vegetation, permanent land cover (=efficient use of soil and water); increased source for carbon sinks and enhanced resilience and adaption to climate change through improved microclimate modulation)
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	No evidence; increased food accessibility might be a long term outcome of the projects with agricultural components (see I-221)
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	Yes, increased income is stated as objective in the fruit tree project ("increased income through sale of fruits and other fruits tree products (e.g. seedlings) by small scale farmers". The project is designed in a way to increase purchasing power of fruit tree breeders and farmers, as fruits are products with a higher market value and the market and as such the prices for fruits are currently in development in Tanzania. The same can be said for the project "small-holder production system" through increased production/reduction of losses of maize and rice it is likely that the project participants have an increased purchasing power.

2.2.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

This topic has not been tackled by the agricultural project under CCIAM. The short course "development and climate change" includes a discussion on the links between climate change and food security and may train decision makers to adequately analyse food shortage situations and adopt adequate policies or measures.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No evidence found for projects implemented under CCIAM. The short course "development and climate change" includes a module "Impact of Climate Change on Development" (Module 5) which discusses the negative effects changes in climate and weather patterns will have on food production, food security and natural resources. This module also includes the discussion on adaptation and coping strategies and should therefore inform on policy analysis, design and implementation of various adaptation options. This course might open the possibilities for decision makers to make adequate analysis of the food security situations and upcoming food shortage situations or to "identify and map vulnerability hotspots to climate change". *(Source: short course content description)*
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Not evidence/not relevant as project activities have no objectives in this regard.

2.2.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No analysis of food utilisation or nutrition situation has been done by the programme, as food security is not the prime objective of the programme (see JC21). However, an indirect effect of the fruit tree project could be the increased nutrition status, as fruit trees have not been cultivated by the farmers before. Especially the introduction of avocado trees, not known by the population in the targeted areas so far, is likely to diversify and enrich the diet in the long term.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No evidence/not relevant.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	An indirect effect of the fruit tree project could be increased nutrition status, as fruit trees have not been cultivated by the farmers before. Especially the introduction of avocado trees, not known by the population in the targeted areas is likely to diversify the diet in the long term.

2.2.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

2.2.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Food availability has been increased/is expected to increase in the areas targeted by the pilot projects. However, project activity remains at the moment on a pilot and demonstration level, involving only very few farmers.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	For the project "Small-holder production system in Tanzania": After only one year the increase of maize and rice production as result of new agricultural practices (use of right amount of fertiliser and herbicides, together with the use of improved seeds) has doubled: rice: increase from 1438/kg/ha to 5400 kg/ha; maize: increased from 2625kg/ha to 4375kg/ha. These results have already encouraged neighbouring farmers to adopt the new technique. For the fruit tree project: results cannot be seen yet, as a fruit tree needs 3 years before the first harvest, but increased food availability and diversification of food is expected. 77% of trees survived year one and trees have been planted in areas where cultivation of young trees is feasible (e.g. no livestock that eats leaves of young tree.)

2.2.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

No evidence yet, it is too early to see results as projects are in their 2nd year only (for fruit trees). No evidence from the beneficiaries of the rice/maize project.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No data yet, it is too early to see results, as projects are in their 2nd year only (for fruit trees). No evidence for the smallholder production project.

2.2.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Length of food insecurity periods: No evidence so far, too early to assess decreased food insecurity periods or changes in coping strategies. Resilience of livelihood systems: Too early to answer. Another research project under CCIAM focus on the losses and benefits of livelihood due to REDD activities and shows that for the communities, the immediate losses of livelihood advantages are perceived higher than the benefits of the REDD activities.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of	No data, no project component targeting this indicator.

food insecurity at household/individual levels in targeted areas	
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Not measured in the projects, probably too early to answer.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Too early to answer. A paper from a research project focuses on the benefits and losses of livelihood for the community of REDD projects. Communities report to have lost benefits they used to have from the forest, impacting their daily lives, such as: access to fuel wood, and losses in income activities such as charcoal making or access to construction materials. An expected outcome of the research is more awareness on the problems of the communities due to the REDD strategy. *Source: paper in prime research on education: politics in REDD: what are community expectation on access and benefit sharing under REDD.. ", p. 137 ff* *"**Benefits lost:*** Community representatives in the area reported to have lost some benefits that they used to get from the forest just at the start of the implementation of the REDD pilot projects in these villages. As indicated in table 6, community representative reported to have lost access to various benefits as follows: 61.6% indicated to have lost access to fuel wood, 30.6% to charcoal making, and 7.8% to construction materials including poles and reeds. The level of benefits reported to have been lost vary between villages. This indicates that in all villages forests remain the main source of energy. (..) **Communities perceptions on problems associated with REDD pilot projects in the pilot project areas** : As presented in table 7, community in the respective villages, generally ranked the main anticipated problems that if not taken care from the beginning of these projects, will have a negative effect to the implementation of the REDD projects in different parts of the country. These problems as presented in table 7 include: (i) poor access to REDD related benefits, (ii) Few people being involved in REDD, (iii) Poor governance, (iv)leakage, (v) land alienation,(vi)gender based conflicts on benefit sharing and (vii) un-acceptance of the projects by local communities as huddles expected to feature during the implementation of REDD pilot projects in their respective villages. Thus in order to ensure that the implementation of REDD to be more effective, efficient, permanent, and sustainable, and reduces risks, gender incorporation (GGCA and IUCN, 2009), forest governance issues and economic forces that drive deforestation and forest degradation and capacity building to the communities (McCulloch, 2010) and leakage (Horta, 2009) should be taken as priority issues to be included in REDD implementation."

2.2.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No data available for the moment, as too early in the project cycle.

Evidence on indicator level

Indicator	Evidence

I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No data available for the moment, as too early.

Cluster 2: M&E and Documentation

2.2.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

2.2.4.1 JC 41 Appropriateness of programme M&E design

The monitoring system is very elaborated, monitoring data are collected on project level half-annually and an annual programme progress report is written annually (see JC 42 for more details). The design of the log frame : Rather than to inform a few key indicators on activity and output level respectively, all project results are summarised under the corresponding activity (ies). The M&E designed has been developed, amongst other, by building on previous project experience, such as e.g. PANTIL. Indicators are mostly formulated on output level and not specific, e.g. measurable. This raises the questions how project achievements can be measured on an outcome or impact level. Furthermore, there are too many indicators on each level and it is not clear how the mass of information is summarised in a systematic way and not following in the trap of anecdotal recording of achievements or non-achievements.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	**Structure of the log frame**: 1 Goal → 1 Purpose → 4 "Outputs" → Activities (between 6 and 14, depending on the output) → 21 research projects and 5 strategic interventions (linked to one or more activities). Each research project or intervention has to develop its own log frame. **The monitoring system follows this structure and is reporting annual on output level.**(The 4 output are described in the project fiche) are: A **parallel structuring system** is found in the project proposal and (in parts) used for work plan: The programme has **four areas**, which are • Research, (covering output 1-3), biggest category in the budget : 26% • Capacity building needs to address climate change, (including trainings of students and scientist and short courses for policy makers as well as infrastructure (labs, vehicles, course facilities) (Output 4) • Strategic interventions for CCIA; (output 1-3) : 2% for strategic intervention projects and 13% for strategic intervention • Documentation, communication and dissemination (covering output 4) ➔ It is not clear why such a parallel structuring system has been introduced, especially as the budget has again another

	categorisation (see below) The **budget has 3 main categories**: **Research (including all strategic intervention); Capacity building; Coordination** In the budget the research projects are directly classified under the research or strategic interventions projects. Communication has no separate category in the budget, but is included in the "strategic interventions" as one out of seven interventions. ➔ Those 2 structuring system of the programme makes it very difficult to understand the whole programme. ➔ Some objectives, e.g. communication & dissemination, has no specific budget lines, which raises the question how it should achieve this objective and which value it has compared to the other focus areas ➔ Furthermore, the link between activity and/or output results with financial inputs will be difficult to assess due to the use of 2 structuring systems ➔ The 2 structuring systems gives the impression that the programme is rather constructed bottom-up , starting with the projects (which have been only determined in the first 2 years through 2 calls for proposals). **Quality of indicators:** Indicators only exist on project and "Output" level as well as for purpose and goal. Monitoring system so far stops the reporting on "Output" level. Indicators on "Output, Purpose and Goal level have no measurable targets and are rather vague. At activity level, indicators are replaced by so called "results". Also here, some of the "results" have no measurable targets. At **project level,** indicators of good quality, but mostly focusing on direct results (number of beneficiaries, etc., number of trees planted, etc) and do not include outcome indicators. **Annual reports** aggregate the results of the projects on "output" level, however also here the reporting is limited to direct results of the different project, without indicators on outcome level. ➔ Very complex system with a myriad of indicators, especially on project and activity level. Aggregation from one level to the other is not done, only "addition" of results. To give a clear picture of the outcome of the project, a reduced number of key-indicators might be useful. No gender or other disaggregated indicators. **Monitoring design:** Each project has to write a progress report every six months. Yearly a team composed of representatives of all 4 Tanzanian institution visits a sample of projects and verify the project progress. Specific monitoring questionnaires have been developed for the research as well as strategic intervention projects. The annual report does a summary of each project progress, on activity level.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	The proposal document outlines very roughly the monitoring system that should be developed by the programme management team and carried out once a year. Interviews showed that an M&E responsible had been appointed. Monitoring and Evaluation have a budget of 2% of total project costs. Feedback mechanisms are only foreseen in the annual meeting with the RNE.

2.2.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The monitoring system seems to function well: Each project writes a progress report every six months (template developed and provided by the programme coordination team); in yearly interval the achievements of the projects are then checked by a monitoring mission which is composed of staff of the 4 institutions. Also for these monitoring missions specific templates have been developed. This process is supposed to guarantee a certain independence of the judgement. The resources available seem appropriate (2% of total budget for general programme monitoring) and 1 programme M&E responsible as well as a person in charge of M&E in each partner organisation.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	Monitoring and Evaluation have a budget of 2% of total project costs, i.e. 300 000 NOK per year which seems sufficient. These only include costs for overall programme monitoring, not project monitoring. A team of 12 persons, 3 from each partner organisation is visiting the projects on an annual basis. Each partner organisation has its own person in charge of monitoring. No information available regarding how much time the person in charge of M&E is using for his task (especially the annual summaries), nor how much time the project staff spend on M&E. The real problem seems to be the design of the monitoring system, notably the huge amount of indicators which makes it very difficult to get an overview on the progress of the overall programme goal.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Each project writes semi-annually a progress report. Once a year 4 monitoring team, composed of at least 1 person of each implementing institution (beside of Norwegian University of Life Science, due to the distance) is visiting each project (all over the country; at least 1 day but up to 3 days e.g. If project is implemented in different locations) and assessing the project results with the help of a specifically developed interview guide. According to the M&E responsible the templates and guidelines have been developed following the log frame and relying on previous project experiences. The data are then summarised under the activities by the programme management unit. The summaries resemble however a list of outputs, achieved under each relevant project. It is not clear how the results can be measured on an aggregated level. On project level, the indicators of the project log frame are measured. Furthermore, an annual scientific workshop is held, where a reporting is done to the scientific community.

2.2.4.3 JC 43 Adjustment of programme design and/or implementation modality

No data found.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans	No data found.

as a consequence of M&E results	

2.2.5 EQ5: To what extent have programme results been documented?

2.2.5.1 JC 51 Availability of documentation of results

The programme has elaborated a monitoring system producing a lot of different progress reports, M&E templates, and annual reports. Thus, data on the achievements of each research project is available. (see 511 and EQ4). However, no general database seems to exist giving an overview on the projects achievements or changes over the years as well as the achievements on outcome level of the overall programme. The programme coordination unit writes every year an annual report, informing about all activities. This report is very long, but does not contain a table of content and is not very reader friendly.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Semi-annual progress reports are done by each project following a pre-designed template. This report gives insight of the project purpose and expected outputs as well as the initially foreseen sustainability and scaling up strategy. It is followed by a budget overview and a narrative summary of project activities during the reporting period. A work plan and budget for the next year (only every 12 months) is also included. Each year a monitoring exercise is done with its own interview guide (see EQ4). The programme management does a summary of all progress reports per activity. There is no general database and it is no clear how the summary of 21 research projects and 5 strategic intervention projects is done in a systematic way, as the indicators of the activities are not systematically reflected in the project indicators and the project report does not foresee a reporting on the indicators to which the project belongs to. Furthermore, the only documentation seems to be the annual documentation. A global overview on the programme achievement over different years would be excellent to be able to compare between different years and see improvements (e.g. if critics the year before had been raised).
I-512 Existence and quality of evaluation reports	A mid-term review has been carried out in 2012 by an external reviewer. Due to the lack of clearly measurable target definition in the log frame, the MTR could only list the activities that have been carried out so far (or which are behind schedule) without saying something about the outcomes of the projects.
I-513 Existence and quality of other types of documentation of results	An annual report is produced by the CCIAM programme management in preparation of the annual meeting with all stakeholders including RNE. This report is huge (and without any table of content, which makes it difficult to find a way through it). There are a lot of repetitions (e.g. in the 3rd annual report there is a section “institutional overview” on the implanting partners or long section repeating text passages from the proposal document (e.g. goal and purpose of the programme, monitoring and evaluation, cross-cutting issues). The report would gain in clarity if shortened and only focussing on the achievements and problems of the reporting year.

2.2.5.2 JC 52: Extent to which intervention results have been disseminated

The MTR (Aug 2012) highlighted the lack of dissemination of the programme's achievements. Since then, CCIAM has taken action and is currently developing a communication and dissemination strategy, is strengthening the internal communication within the scientific community (e.g. through the finalisation of an open source repository bringing together all scientific and para-scientific documentation on Climate Change in Tanzania) and also slowly addressing the external communication to stakeholders such as NGOs, policy decision makers or beneficiaries (e.g. project fact sheets, policy briefs or brochures in Kiswahili on adaptation strategies for climate change (e.g. on fruit tree plantation). The strategy and tools adopted recently seem very relevant to reach the target groups. By nature of the programme, articles are published and results presented in conferences and workshops.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	After criticism of MTR, some actions are currently established to enhance internal and esp. external communication. This is done by the SUA Library department and is financed as a strategic intervention. • First draft of communication strategy ready for 1st December • Fact sheets for each project almost finalised, policy briefs planned for next year; • Open access repository on climate change in Tanzania ready for next year; • Leaflets for non-scientific community have been printed during 2012,
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	The tools and channels are appropriate: For the scientific community: open access repository, annual presentations and workshops For non-scientific community: NGOs have complaint that they were not informed about research results of projects that had been carried out under their project. However, after criticism by MTR, efforts are made to disseminate the results to a wider public through the elaboration of project fact sheets and policy briefs. Furthermore the first short course on development and climate change will gather policy makers in December 2012
I-523 Evidence of articles published, presentations in workshops, conferences	As the programme is mainly a research programme, the results are published in scientific papers. Most of the projects have as one indicator the number of articles published (e.g. fruit tree project). The Mid- term review however highlighted that the scientific community seem to be restricted to the implementing partner organisation. For example during the 2012 annual scientific conference organised by CCIAM "Proceeding of the first climate change impacts, adaptation and mitigation programme scientific conference", only 15 out of 59 participants were affiliated to an organisation not participating in the CCIAM project.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	The MTR further noted that CCIAM needs to put more efforts to further engage with the REDD task force, as one of the major external stakeholders of the programme. "The programme needs to take immediate action to counteract this perception. As stated previously, it should put in place a strategy for on-going engagement with the REDD Task Force to begin with, emphasizing informal, regular interaction with members. CCIAM will need to be willing to receive criticism and feedback. With the recent release of the second national REDD strategy and related action plan, CCIAM needs to provide constructive, helpful feedback in a well-organized manner through various mechanisms, asking the Task Force how they can be of use. With the Task Force's reform earlier this year, including adding several new members, this presents an opportunity to educate

	and assist them as they bring the strategy to final conclusion, anticipated in September 2012. CCIAM should be seen as a key consultative member in that process. *" (Source MTR, p.7)*

Cluster 3: Sustainability and Scaling up

2.2.6 EQ6 To what extent have programmes been sustainable?

2.2.6.1 JC 61 Financial sustainability/economic sustainability

The financial sustainability of the overall CCIAM programme is not secured yet. For future research on climate change issues, the Mid-term review advised that SUA begins applying for future research funds, but also expand side activities, such as courses and consultancy. For the projects with an agricultural component, the fruit tree project is likely to survive economical shock or major political changes and also generate enough revenue to be able to be financially viable. The small-holder production project is at a very early phase, but it is important to set up a system for the provision of agricultural inputs (seeds, fertiliser and herbicides) that enable farmers to buy these inputs also during crises.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	Not clear yet if funds available for whole programme or some specific research activities. For some activities, such as the server for documentation and the open source repository, the supplementary costs will be mainstreamed in the general budget of SUA. In the case of the documentation project run by the library interviews reveal that project specific activities are already mainstreamed in the normal library activities, meaning that only extra-hours spent on the documentation project are paid by the CCIAM budget. According to the MTR, the continuous funding for climate change research should be an issue to the University and the recommendation was: *"It is critical that Tanzanian researchers begin to identify and apply for alternative funding in preparation for the programme's conclusion, which it seems is starting to occur on a limited basis. Tanzanian research teams likely built some capacity in applying for funding by participating in CCIAM's rigorous process, but perhaps CCIAM's programme management team could go further in facilitating concept note/grant funding preparation training workshops. SUA is currently developing its own concept note on post-2014 sustainability and should be encouraged to complete this activity." (Source: MTR p. 8)*
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	For the *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*". The provision with fertiliser and herbicides has to still to be clarified. For the moment, the project is thinking of developing a system of "retailer agents" that sells farmers the input on behalf of the 2 private companies, YARA (fertiliser) and SYANETA (agricultural input). The sustainability of the project will depend on the accessibility and the fair prize of the agricultural inputs. Furthermore, the project participants receive for the moments the input for free. It has not yet been resolved how the farmers wanting to adopt the new agricultural practices, will gather the supplementary funds for herbicides, fertiliser and improved seeds. This highlights the gap still open between the current research activity and the larger scale implementation. For the *fruit tree* project: actions for sustainability have already been taken: In order to have seeds available directly for the

	nursery, the farmers in charge of the nursery are starting of planting their own tree orchard (so far not done due to roaming livestock destroying the young trees), in order not to depend on the seeds of other plantations.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Very likely for the fruit tree project, as the project creates a supplementary economic activity which should absorb economic shocks. For the *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*" project: is likely, however, the changes in costs of fertiliser and herbicides could be an issue, if prices for rice/maize should fall considerably.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Too early to measure, but in principle the activities lead to increasing income, which can then be used for replacement and maintenance. No saving mechanisms (such as collective or individual bank accounts), are foreseen in the project.
I-615 Policy changes are not likely to affect programme activities	Not likely, as the activities of the 2 projects are not benefitting from a governmental programme nor rely on specific policies.

2.2.6.2 JC 62 Institutional and technical sustainability

Within SUA, institutional and also technical capacity has been built for further research activities on climate change. For those activities where further funding will be needed (e.g. scholarships), the technical capacities are in place to apply for new research grants (drafting research proposals is familiar to SUA staff). Concerning the beneficiaries of the projects with agricultural component, one component of the projects was conducting training on the use of new agricultural practices.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	For the CCIAM as a programme: it is not likely that CCIAM programme secretariat will still be in place, however, the researcher will still be at SUA and able to continue work on similar research projects or to establish new research projects. Especially for the documentary project, interviews reveal that the aim is to build capacities within the staff, also to prevent capacity losses due to retirement of staff. "The most important is to acquire the mentality to maintain it" (Director of Documentation, SUA).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	For the 2 projects: both projects included a training component for farmer who have been trained to the new techniques

2.2.6.3 JC 63 Environmental sustainability

Environmental sustainability is high, as the programme is first of all designed to preserve natural resources and decrease pressure on the environment. No specific good practice could be found (most of the practices are good for the environment).

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Not likely. All projects are designed to first of all preserve natural resources and decrease pressure on the environment (land and water).
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	No particular interesting practice found. In general, different strategies are tested to preserve the environment. E.g. *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*" project: the aim is to increase yields on given land to avoid an extension of farm land. For the fruit tree planting: permanent land cover with diversity of fruit trees, efficient use of soil and water, especially with regards to changing climate scenarios.

2.2.6.4 JC 64 Quality of exit strategy

There is no explicit exit strategy for the moment. Interviews revealed that the aim is to build capacity within the research community to be able to draft research funding proposals.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	No exit strategy is made explicit. Interview revealed that the aim is to build capacity within the research community to be able to draft research funding proposal. See also discussion in I-611. De facto, some of the project activities, such as the documentation one, is creating an exit strategy by mainstreaming the activities of the project in the daily work and budget of the library (see I-611).

2.2.7 EQ7 To what extent have programmes lent themselves to scaling-up?

2.2.7.1 JC 71 Appropriateness of programme design for scaling up

Both projects analysed are projects financed as “strategic intervention project” and as such are pilot activities that have been selected and designed for scaling up. In both cases new agricultural practices have been introduced: “grafting” for fruit trees and better use and combination of agricultural inputs (seeds, fertiliser, herbicides) for the small-holder production project.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The project financed as “strategic intervention project” are activities selected for scaling up. The *fruit tree project* trains a small group of farmers for the nursery and for the planting of trees. It has been designed as a pilot phase with the aim of scaling out to the community. Furthermore, unknown fruits to the farmers, such as avocado, are introduced in the area. The upbringing of seeds in the nursery uses a “new” technology: grafting of young plants to decrease the maturation process of the tree until the first fruit harvest (from 7/8 years to 3 years). The project *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*” introduces on a demonstration plot with selected farmer new agricultural practices, increasing the yields of rice and maize through the use of new and targeted fertiliser and herbicides. Project participants receive for the moments the input for free. It has not yet been resolved how the farmers wanting to adopt the new agricultural practices, will gather the supplementary funds for herbicides, fertiliser and improved seeds. This highlights the gap still open between the current research activity and the larger scale implementation.

2.2.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The *Small-holder Production Systems in Tanzania*-project shows a trend to adoption of the new agricultural practices, and this already after a very short period of the project (only 1 year). However, no quantitative data is available on the adoption rate. The aim of the projects is scaling up, but no specific or striking “success stories” could be extracted (yet). The 2 projects are also very small scale and it seems that they have not caught the attention of policy makers or other donors and this might not be likely to happen in the future.

Evidence on indicator level

Indicator	Evidence
I-721	No evidence.

Evidence of success stories which can easily be scaled up	
I-722 Evidence of an effective learning process with a high adoption rate	Both projects are at a pilot stage and at very small scale. The project *Small-holder Production Systems in Tanzania - Striking a balance between intensification, sustainability, food security and climate*" : the neighbouring farmers have already started to adopt the new agricultural practices and the farmers who are part of the pilot project, literally are asked for advise and for a "to-do-manual". For the fruit tree project it is yet too early to measure the adoption rate.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	No evidence found

2.3 Enhancing pro-poor innovations in natural resources (EPINAV), Tanzania (TAN-07/062)

General Data

Intervention title	**Enhancing pro-poor innovations in natural resources (EPINAV)**
Agreement partner (name)	Tanzania Ministry of Finance
Type of agreement partner	Government/Ministry in developing countries
Agreement nr.(s)	TAN-07/062
Country / region	Tanzania, in particular in Morogoro Region
Implementing partner	Sokoine University of Agriculture (SUA) Contact person & contact detail: Prof. V. R. Muhikambele Programme Coordinator Sokoine University of Agriculture P.O. Box 3151 Morogoro E-mail: muhika@suanet.ac.tz; muhikav@yahoo.com; muhika3@gmail.com
Programme officer:	Prof. R.L. Kurwijila: Coordinator, Research and Strategic Interventions Prof. R.C. Ishengoma: Coordinator, Capacity Building and Institutional Collaboration Dr. F.T. .Kilima: Coordinator, Planning, Monitoring and Evaluation
Extending agency	Royal Norwegian Embassy in Dar Es Salaam
DAC Sector	Main sector: 114-Post-secondary education Subsector: 20 – Higher education
Intervention start & end dates	01.11.2010 – 30.10.2014
Budget Approved amount/ agreed amount Disbursed (until end 2011)	• NOK 72.273.044,00 *(source: PTA, agreement summary report)* • NOK 72.273.044,00 *(source PTA, agreement summary report)* • NOK 18.381.007,00 *(source : project data base)* ○ 2010: NOK 8.450.797 ○ 2011: NOK 9.930.210 The EPINAV was later extended by a project in Zanzibar with a budget of 3.6 mill. NOK.
Main stakeholders	• *Primary target group:* small and medium scale farmers, pastoralists, producers, the rural poor, women, identified value chain actors and SUA graduates • *Secondary target group:* staff at SUA; development actors, policy makers
Number of beneficiaries	NA
Intervention description	• Component 1: Research and Strategic Interventions (RSI) • Component 2: Capacity Building and Institutional Collaboration (CBIC) • Component 3: Planning, Monitoring and Evaluation (PM&E) Zanzibar project: support to the Kizimbani Agriculture Training Institute (KATI)
Programme background & history	• Government of Norway has provided funding to SUA since the mid-seventies; now aiming at out- and upscale • Previous programme PANTIL (2005-2010) • Paradigm shift from a Sustainable Livelihood approach to an approach based on the use of innovations in research and natural resources, value chain, paying special attention to adaptation techniques (some production increase was achieved, but no value addition) • Cooperation between farmers and extension officers will have a more pronounced role than before
Overall objectives Development objectives	"Increased contribution of SUA to the national goal of poverty reduction and improved social well-being through promotion of innovation in the Agricultural and Natural Resources sectors" (Decision).
Specific objectives/ Immediate objectives (purpose)	"Enhanced productivity, livelihood security and human capacity of target groups to utilize pro-poor and climate change adapted innovations in agricultural and natural resources value chains" (Decision).
Expected results	• **Research (Component 1), part 1** Output 1.1.1**:** Innovation systems research and up-scaling of best practices undertaken Output 1.1.2: Climate change adapted agricultural production and natural

	resources management systems developed Output 1.1.3**:** New knowledge on policy analysis and good governance developed Output 1.1.4: Innovative communication and knowledge dissemination pathways improved • **Strategic Interventions (Component 1), part 2** Output 1.2.1: Farmer empowerment and market linkages strengthened Output 1.2.2: Community advisory and development services in agriculture and natural resources undertaken Output 1.2.3: Learning centres for transfer of best practices/technologies/innovations established Output 1.2.4: Private sector partnership fund put in place to address value chain constraints through research • **Capacity Building and Institutional Collaboration (Component 2)** Output 2.1: Human resource capacity improvement strengthened Output 2.2: Entrepreneurship capacity of SUA graduates improved Output 2.3: Institutional collaboration between SUA and Norwegian institutions to strengthen human capacity in tropical agriculture and natural resources management enhanced Output 2.4: Institutional capacity in management of cross cutting issues improved Output 2.5: Selected institutional infrastructure for strengthening teaching and learning environment improved • **Planning, Monitoring and Evaluation (PM&E) (Component 3)** Output 3.1: Monitoring and evaluation conducted Output 3.2: Impact Assessment conducted *(Source: Proposal - however different from Log Frame and reporting in progress reports)*
Main activities specify agri. Activities for envir. Interventions)	**Sub-component 1.1 Research** Research (demand driven, gender specific climate change adaption, policy research, value chain research), establish demonstration sites, policy forums, establish linkages with stakeholders **Sub-component 1.2. Strategic Interventions** Identify value chain actors, capacity development of value chain actors, organize Farmer Field Schools, establish forums for value chain actors, market studies, promote establishment of credit and savings organizations, advisory and development services to respond to request from communities, learning centres, private sector partnership, **Sub-component 2: Capacity Building and Institutional Strengthening** Train SUA and selected ministries (Agriculture and Natural Resources) Entrepreneur scheme for SUA graduates, train SUA staff in value chain and mainstreaming of gender; HIV/AIDS constructing and equipping laboratories **Sub-component 3: Planning, Monitoring & Evaluation** Develop M&E Manual, system and plan, communication strategy and plan, semi-annual M&E, writers' workshops, annual scientific workshop, impact assessment (baseline and stakeholders mapping), ex-post impact assessment
Process on track? Main difficulties/challenges	Late disbursement of the funds delayed the whole implementation. In spite of a late start of Programme activities, the progress report presented shows that the process of implementation is on track and adequately addressing objectives of the Programme as planned. *(Progress Report)* The current achievements observed during the mission consisted of baseline surveys (conducted for 13 projects, yet to be compiled), stakeholder mapping, training of researchers (policy briefs and Fact Sheets), Innovation platforms, establishing clusters, establishing linkages with stakeholders (in relation to the research projects), etc.
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

2.3.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

2.3.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The programme is aligned with the national policies, in particular the Agricultural Sector Development Strategy (ASDS); there is no reference to food security policies.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	The programme is aligned with various Tanzanian poverty reduction strategies, in particular the Agriculture Sector Development Strategy (ASDS), which has the objective of achieving a sustained 5% annual growth of the agricultural sector. The ASDS has been implemented since 2007 through the Agricultural Sector Development Programme (ASDP) with the objectives of 1) enable farmers to have better access to and use of agricultural knowledge, technologies, marketing systems and infrastructure contributing to higher productivity, profitability and farm incomes; 2) promote private investment based on an improved regulatory and policy environment (source: proposal). Through the focus on the value chain approach and agricultural policy research, EPINAV contributes to both objectives. The programme is also aligned with the PRPS. There is no direct reference to food security policies.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Not relevant.

2.3.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

EPINAV is partly coordinated with CCIAM with regard to documentation and dissemination. The programme is coordinated with other food security initiatives/priorities; for example Morogoro region's food security initiatives and the national food baskets for food security. Planning documents (project proposal) identify weaknesses/shortcomings of the previous programme, PANTIL; EPINAV is designed to address these shortcomings.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	The EPINAV is partly coordinated with CCIAM, for instance with regard to documentation and dissemination. The programme is coordinated with other food security initiatives/priorities. For example, a debriefing session with the Morogoro Regional Secretariat was organized in 2012 to harmonize the EPINAV programme's and Morogoro region's food security initiatives. Moreover, according to the programme document the programme is coordinated with national priority areas; "Priority concentration areas for innovation systems and applied research (of the EPINAV) will be in regions identified by the government as the national food baskets for food security." In addition, there is on-going collaboration with other projects and programmes within the university and country as whole as demonstrated in the 2012 annual scientific workshop (organized by EPINAV) where scientists from SUA and other local institutions and NGOs participated.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	Prior to the EPINAV, SUA implemented the Programme for Agricultural and Natural Resources (PANTIL) in collaboration with University of Life Science (UMB) and Norwegian College of Veterinary Sciences (NVH). The PANTIL also focused on participatory action research using multidisciplinary teams; this strengthened the capacity of SUA scientists for out-reach activities and transfer of technologies. One shortcoming of the PANTIL was however the dissemination and scale up of transfer of appropriate technologies to a wider audience/national level. To avoid the same problem arises again, EPINAV has included a strategy for documentation and dissemination. PANTIL focused on the Sustainable Livelihood Approach (SLA); although this approach proved successful there was a need for a paradigm shift towards higher level of technology adoption and value addition; the EPINAV therefore focuses on a value chain approach (Source: project proposal).
I-123 Evidence and quality of joint and harmonised y agricultural/food security strategies, of joint field missions and of shared analytical work	There is no evidence of joint strategies/missions apart from the Documentation and Dissemination collaboration coordinated by the SUA Library.

2.1.3. JC 13: Relevance of project intervention according to final beneficiaries

The two visited research projects both reflect the needs and priorities of the final beneficiaries. The Beef and Milk Value Chain research project aim at improving pasture land with the aim of increasing milk and beef production; establishment of Innovation Platforms aim at developing value addition of the two products. Better coverage of the extension service though the use of mobile phone is also beneficial to farmers who suffer from the currently limited coverage of the extension service.

Evidence on indicator level

Indicator	*Possible data sources*	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	*Interviews/Focus group discussions with final beneficiaries/project staff/local authorities*	Interviews at village level (under the Beef and Milk Value Chain) research project revealed great interest for the project – during the dry season the milk and beef production is very low, and thus improving the pasture land (part of the project) is highly relevant for pastoralists. There was also a great interest for the Innovation Platforms /cluster meetings, which bring together various partners of the value chain with the objective of value addition of milk and beef. The project is piloted in two villages (and then planned to be scaled up); at the first meeting the needs and priorities of the beneficiaries were established. Better coverage of the extension service though the use of mobile phone is also in the interest of farmers who suffer from the current limited coverage of the extension service.

2.3.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

2.3.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

Baseline surveys have been conducted for 13 research projects (out of totally 17 projects) including information on production. Several of the research projects (including outreach activities e.g. training and Innovation Platforms) focusing on e.g. conservation farming and livestock value chain might lead to increased production. This will to a large extent depend on how successful the outreach activities are.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No reference to food security/nutrition analysis in the project proposal. Baseline studies for 13 research projects conducted, baseline surveys for the remaining four projects are under preparation. The baseline surveys include information on food production (including vegetables), marketing, livestock production and marketing, etc. specific for each project. Common food security indicators are included in all surveys, e.g. production of famine crops, coping strategies, reasons for food shortage, number of meals per day, food consumption (interview with PM&E coordinator, sample baseline questionnaire). Mid-term and end-of programme surveys are planned.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted	17 research projects are being funded through the EPINAV. The projects fall under five themes: 1) innovative systems (8 projects); 2) climate change adaption (3 projects); policy analysis and good governance (2 projects); 4) Innovative communication and dissemination pathways (2 projects); 5) Basic research (2 projects, not yet started; one in conservation farming). Several of the research projects could potentially lead to increased production, for instance projects on “Up-Scaling of pro-poor innovative dairy goat technologies for improved livelihood security and human capacity in selected highland areas” as

areas)	well as the project on conservation farming. The research projects include various outreach activities such as training of beneficiaries (farmers/pastoralists/fishermen) and establishment of Innovative Platforms, etc. and it is too a large extent the inclusion of these activities combined with the research which have the potential to create results. The research projects are being assisted by the Strategic Intervention component with regard to identifying and capacity development of value chain actors, organizing Farmer Field Schools, establishing forums for value chain actors, market studies, promote establishment of credit and savings organizations, advisory and development services to respond to request from communities, learning centres, and private sector partnership. Projects up to 30 mill. Tanzanian Shillings can be funded under this structure. Two research projects were visited during the mission: "Increased market access of Beef and Milk from Pastoral System through Innovative Value Chain Approaches in Breeding, Feeding and Health" and "The Role of Mobile Phones towards improving Coverage of Agricultural Extension Services: a Case Study of Maize Value Chain". The research project on Livestock value chain is very likely to lead to increased milk and beef production. The purpose is to increase the milk/beef production also during the dry season through improved pasture land. Currently, the problem is that the main part of the milk is produced during the rainy season where the roads are not accessible and thus the milk cannot be marketed. The Mobile Phone project with the aim of improving coverage of agricultural extension service is likely to lead to improved agricultural practices and thereby increased production.

2.3.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

Baseline surveys conducted for 13 research projects included common indicators on food accessibility. Several of the research projects (including also outreach activities for instance training and innovation platforms) are likely to lead to increased food accessibility, in particular value chain projects are likely to lead to increased purchasing power.

Evidence on Indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels	Baseline surveys conducted for 13 projects including data (common indicators) on food accessibility, for instance number of meals per day.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	The research projects including the out-reach activities are likely to contribute to increased food accessibility, for instance in the case of the Beef and Milk Value Chain (increased production can be used for both sale and home consumption).

I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power (based on high value crop production/livestock production, cash crop production) at household/individual levels in targeted areas	The PANTIL mainly focused on increasing production (agricultural and livestock) with less focus on the marketing aspects. The focus of the EPINAV is therefore on the value chain, value addition and identification of markets. Through establishment of Innovation Platforms, value chain actors can team up and discuss and improve the value chain (interview with researchers). Improvements of value chains are likely to lead to enhanced purchasing power. E.g. the research project on Livestock value chain: very likely to lead to enhanced purchasing power (value addition through improved milk and beef processing). Platforms bring together value chain stakeholders (clusters of 20-30 persons). A market study is currently being conducted and new markets are being identified (for instance high demand for milk in Tanga). Currently there is no constant supply of milk which constraints cheese production; with a constant production (for minimum 8 months) this will be possible (interview with team leader, research group).

2.3.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

The baseline surveys collect information related to food shortages (famine food, ocurrence of lean seasons, experience of food shortages, food aid support and coping strategies. Increased food availability, accessibility and purchasing power are likely to lead to food stability over time.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels	The baseline surveys collect information related to production of crops that are generally perceived as “famine” crops, occurrence of lean seasons, experience of food shortages, food aid support and mechanisms to cope with food insecurity (coping strategies). .
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Increased food availability, food accessibility and increased purchasing power are likely to lead to reduced periods of food shortage.

2.3.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No information available; however, several research projects (mainly livestock, gardening and fishery projects) have the potential to lead to enhanced nutrition security.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels	No information available in project document or baseline surveys. The main nutritional problems in Tanzania are lack of availability of protein and lack of availability of vitamins (interview, EPINAV researchers).
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of n beneficiaries in targeted areas	Some of the research projects, mainly the livestock/dairy production projects, the home garden project as well as a fishery project might have an impact on nutritional security. Even if the objective is value addition of production for sale, increased production/productivity might also impact on home consumption (a part of the increased production might be kept for home consumption, for instance milk). A need to introduce fast growing species of fish in Tanzania for mass production and distribution to farmers and other interested parties including large scale investors has recently come out and plans to concretize this idea are underway.

2.3.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

2.3.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Likely to be achieved for several research projects (provided the outreach activities are successfully implemented), however too early in the project cycle. Baseline data available.

Evidence on indicator level

Indicator	Evidence
I-311 Evidence of increased (achieved or expected) food production in targeted areas	Likely to be achieved for several research projects, but too early in the project cycle.

2.3.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

Too early in the project cycle, however likely to be achieved for many projects and measured in baseline surveys (mid-term and end-of programme surveys planned).

Evidence on indicator level

Indicator	Evidence

I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	Too early, however relevant indicators (number of meals) are measured in the baseline surveys (followed by mid-term and end programme surveys).

2.3.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

No information available, but increased food availability and accessibility is likely to be more stable (baseline data in place).

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No information available.
I-332 Evidence of decreasing use of coping strategies in targeted areas)	No information available.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	No information available.

2.3.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

2.3.3.5 Several research projects (livestock, gardening, fishery) are likely to lead to enhanced nutrition security. Data are however not yet available; data on consumption of various types of animal protein is collected in the baseline, mid-term and end-term surveys.

Evidence on indicator level

Indicator	Evidence
I-341	Several research projects (livestock, gardening, fishery) are likely to lead to enhanced nutrition security. Data are

Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	however not yet available. The baseline surveys include a question on how frequent project participants consume various types of animal protein (note that availability of animal protein is one of the main nutritional problems in Tanzania). Comparison with mid-term and end-term information will show how the programme has contributed to enhancing access to animal protein.

Cluster 2: M&E and Documentation

2.3.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

2.3.4.1 Appropriateness of programme M&E design

The log frame is not well-designed (e.g. indicators at purpose level are not SMART). An M&E manual is in place, however, the reporting system is not well developed and there is no direct reporting on log frame indicators. Sufficient M&E human resources are in place; each research project is reporting on their project and the M&E team coordinate and compile the M&E data.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	M&E (and Planning) constitutes one out of three programme components. The log frame is not well-designed; it includes both purpose and specific objectives (which is not adhering to the DAC-OECD log frame), the indicators at purpose level are not SMART and are not directly related to the purpose. Moreover, the capacity building component is not reflected in the purpose. Results have relatively well-defined indicators. Apart from the log frame another results based form was included in the proposal (confusing different levels), the purpose of the form is not clear.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	An operational M&E manual providing guidelines for data collection, analysis and reporting, risk management, knowledge management and feedback mechanisms has been developed. The reporting system is however not well developed and is not directly reporting on log frame indicators. The M&E team (coordinator and assistant) are reporting on an aggregated output level, which however will not provide the necessary M&E information. So far there has been no reporting at outcome level. Sufficient human resources are in place; each research project is reporting on their project, the role of the M&E team is to coordinate and compile the M&E data.

2.3.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The required resources have been made available for the M&E team. Baseline surveys have been conducted for 13 out of 17 projects (with common food security indicators and specific project indicators); the report is expected to be finalised in January 2013. The M&E component moreover provides assistance to the research projects, e.g. in relation to baseline surveys and Stakeholder Analysis. In addition to conducting baseline surveys, the M&E team monitor all research projects (field visits and questionnaire) regarding the involvement of beneficiaries and secondary stakeholders (e.g. government) in order to ensure their engagement in the projects. Both of these activities are highly relevant.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	A budget of 3,220 million NOK has been allocated to the M&E component (out of a total budget of app. 75 mill. NOK, including also the Zanzibar project). An M&E coordinator and an assistant (permanent SUA staff) are responsible for the M&E. The role of the M&E component is not only to conduct the M&E, but also to support the research projects in undertaking different processes, for instance baseline surveys and Stakeholders Analysis. The researchers were moreover trained in conducting baseline surveys and Stakeholder analysis. The training is regarded highly relevant as many of the researchers are lacking capacity in this field. The design of the M&E component including these additional tasks is therefore highly appropriate.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Research projects: Well-designed baselines conducted for 13 research projects out of 17 research projects (common food security indicators, e.g. number of meals per day, frequency of consumption of different food sources, and specific project indicators), 4 baseline surveys still remaining; mid-term and final impact assessment surveys are planned. According to interview with M&E Coordinator this is a requirement from the embassy (interview, M&E coordinator, baseline questionnaires). Baseline data collected are gender-disaggregated where relevant. In addition to the aggregated reporting on output indicators, the M&E team is monitoring all research projects based on a common questionnaire (template). The purpose of this monitoring exercise is to establish whether the research projects are sufficiently involving 1) beneficiaries and 2) secondary stakeholders and whether the funds are appropriately utilized. 1st. round has been conducted and the data are now being compiled. The M&E team, including also an auditor (procurement officers are also involved), visited all 13 research projects (source: M&E coordinator; M&E questionnaires). This part of the M&E appears to be highly relevant (in particular with regard to the involvement of the beneficiaries/stakeholders) and well-designed and well-implemented.

2.3.4.3 JC 43 Adjustment of programme design and/or implementation modality

No major adjustments have been made as a consequence of the M&E results; occasionally smaller adjustments are made when the research projects report bi-annually to the M&E Team.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	When the research projects report bi-annually to the M&E team (progress reports), occasionally smaller adjustments are made (interview with M&E Team). No major adjustments have been made as a consequence of the M&E results.

2.3.5 EQ5: To what extent have programme results been documented?

2.3.5.1 JC 51 Availability of documentation of results

Research projects reports bi-annually to M&E Team who then reports on an annual basis to the Annual Meeting. There is not direct reporting on the log frame indicators and the reporting system is therefore not appropriate. There was no evidence of planning of mid-term and final evaluation reports. The SUA Library is responsible for documentation and dissemination and is training researchers in production of non-academic outputs (policy briefs and fact sheets); in addition an Institutional Repository (IR) with Open Access (OA) will be piloted.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Research projects are preparing semi-annual reports (on aggregated indicators, not the log frame indicators); the M&E Team compile these reports and report on an annual basis to the Annual Meeting with all the relevant stakeholders (interview with M&E coordinator, progress report). The reporting system is not appropriate as there is no direct reporting on the log frame output indicators.
I-512 ence and quality of evaluation reports	It was not possible to obtain information on whether mid-term and final evaluation reports are planned. M&E component has planned mid-term and end-term surveys (following up on the baseline survey).
I-513 Existence and quality of other types of documentation of results	Based on the recognized shortcomings of the PANTIL (insufficient dissemination of results) the SUA Library was requested to participate in the EPINAV and to be responsible for Documentation and Dissemination. Under the auspice of the library an Institutional Repository (IR) will be piloted. Under the IR, different stakeholders will be able to assess and upload various documents related to the programme. Due to the recognized dissemination problems of PANTIL training of researchers in non-academic documentation (policy briefs and fact sheets) have been conducted by the Library. The quality of the expected outputs (policy briefs) generally seems high (sample policy brief reviewed). 60 persons participated in a workshop on 18th October 2012. The facts sheets (which will be updated every 4-5 months) will be distributed to the Norwegian embassy, UMB, National REDD Task Force, SUA, etc. .In addition the researchers are expected to prepare “popular” documentation (folders, etc.); the Library is collecting the documentation (so far only one project prepared this type of documentation).

2.3.5.2 JC 52: Extent to which intervention results have been disseminated

All research projects are preparing communication/dissemination plans to be finalised by January 2013. The dissemination channels generally seem appropriate (TV, radio, National Agricultural Exhibitions, etc.), and non-academic as well academic outputs are under preparation. Generally, it appears that the documentation and dissemination aspect (which was one of the recognized weaknesses of the PANTIL) is well taken care of in the EPINAV.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	All research projects were at the time of the mission preparing a communication/dissemination plan – the requirement is that 10% of the budget should be used for communication. The plans will be finalised by January 2013. Each project also had to identify feasible dissemination channels as part of the plan (interview with SUA Library). Generally, it appears that the documentation and dissemination aspect (which was one of the recognized weaknesses of the PANTIL) is well taken care of in the EPINAV.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	The dissemination tools/channels generally seem appropriate (TV; radio, National Agricultural Exhibitions, etc.). The EPINAV is collaborating with a NGO with regard to organising youth camps with the purpose of making the youth more interested in agriculture (interview with SUA Library). Various "popular" types of documentation (pamphlets, etc.) are displayed at occasions such as for example National Agricultural Exhibitions. (interview with Library head and Publication and Dissemination Coordinator, SUA; training docs.).
I-523 Evidence of articles published, presentations in workshops, conferences	At least one newspaper article has been published (Livestock Value Chain project). As mentioned above each research project are preparing communication plans including different types of outputs. Academic papers are under preparation and are important outputs of the project. A Scientific Symposium in which research results focusing on innovation and value chain will be presented will take place 17-19 December 2012.
I-524 Awareness, by relevant stakeholders, of results and the lessons learnt from Norwegian funded agricultural projects	The EPINAV Steering Committee includes relevant ministries, NGOs, etc. and thus these stakeholders are informed about the progress of the project. Many stakeholders are also informed about the EPINAV and the specific research projects through the National Agricultural Exhibitions (interview with SUA Library). The various stakeholders met in the field (district government officials, village council) appeared to have a very good knowledge of the research projects visited – and were also involved in the implementation (interviews in Kilosa District).

Cluster 3: Sustainability and Scaling up

2.3.6 EQ6 To what extent have programmes been sustainable?

2.3.6.1 JC 61 Financial sustainability/economic sustainability

SUA does not have the financial capacity to continue/launch new research projects without external support; most of the government's financial resources are spent on education of undergraduates/graduates. The laboratory established by EPINAV can continue without external support. It is still too early to assess whether the results of the research projects can be maintained.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/	Although Government subventions to SUA have been increasing over the last few years, the amounts receives are still less than 50% of what the university requires to meet its obligations adequately. Student's tuition fees have become an important source

institutions are available for supporting the programme activities after phase out	of internally generated income. However, since this income stream is related to the capacity of SUA to accommodate large numbers of both undergraduate and postgraduate students, investments in infrastructure expansion, particularly teaching facilities and student's accommodation are required. The proposed programme will contribute towards infrastructure development in only a few but critical areas. Substantial government commitment is required in this area. To ensure sustainability in research funding, contract research with private sectors/industries will be promoted. (source: Project Proposal). Generally government funds are no available to replace the Norwegian support to SUA; most government funds are used for undergraduate students as also mentioned in the project proposal. The main part of SUA's financial resources is spent on education of under graduates and graduates. EPINAV also includes support to the establishment of a laboratory to be used for educating science teachers for secondary schools. According to information from the SUA staff externally funded laboratories are still functional. The main investment is the establishment of the laboratory – SUA has sufficient funds for running the laboratory (interview, coordinator of capacity building sub-component).
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	It is still too early to assess whether the activities under the research projects will be affordable for the beneficiaries. However, it should be noted that the several of the research projects focus on value addition (the value chain approach) – optimizing or up-scaling results of already existing system rather than introducing new activities. Affordability is thus not likely to be a problem for this type of project.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, er etc.)	It is still too early to assess this issue and not possible to do this for all 17 projects. In the case of the two visited projects, this is not likely to be a problem. As mentioned earlier it is more a case of optimizing existing activities/systems than introducing new ones.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	See I-612.
I-615 Policy changes are not likely to affect programme activities	Policy changes are not likely to affect programme activities.

2.3.6.2 JC 62 Institutional and technical sustainability

EPINAV has a well-designed strategy for capacity development in areas in which the SUA researchers traditionally lack skills, in particular with regard to participatory action research and documentation and dissemination for a non-academic audience. Although it is still early in the process, it is very likely that considerable capacity will be developed among the researchers in order to conduct similar types of action-research in the future. With regard to capacity development at beneficiary level, this is still too early to assess; most projects are still in the process of identifying activities and have not started the training yet. In a long-term perspective, EPINAVN is expected to contribute to development of a critical mass; several students of former programmes (e.g. PANTIL) are positioned in strategic positions within the government.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	It is still at an early stage of the project cycle. However generally the EPINAV has a well-designed strategy for capacity development within areas in which the SUA researchers traditionally lack skills, most importantly participatory action research involving beneficiaries and secondary stakeholders and documentation and dissemination for a non-academic audience, including specific training in conducting baseline/impact assessment surveys, stakeholder mapping, value chain, etc. It is thus very likely that considerable capacity will be developed among the researchers in order to conduct similar types of action-research in the future. The overall adoption of a participatory approach (involvement of relevant local experts, NGOs and primary (target) beneficiaries) increases the probability that feasible interventions will be adopted and sustained. Concerning the creation of a critical mass within government and the private sector as a result of assistance to SUA (through education of undergraduates/graduates and PhDs) this is a long-term process, but according to information from SUA many former students are now positioned in strategic positions within the government (interview with coordinator of capacity development component).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	With regard to whether sufficient capacity will be development among beneficiaries, this it is still too early in the process to assess; most projects are still in the process to assess activities and have not started the training yet. Highly likely for added enrolled students as well as for researchers involved in the 17 EPINAV research projects (cf. I-621).

2.3.6.3 JC 63 Environmental sustainability

The research projects are not likely to have any negative impact on the environment; on the contrary three projects focus on climate change adaption; moreover, no negative environmental impact was a requirement as per the call for proposals.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	The research projects are not likely to have any negative impact on the environment (no negative environmental impact was a requirement of the call for proposal). Moreover, three projects focus specifically on climate change adaption, for instance the project: “A gendered analysis of climate change impacts and adaption in semi-arid farming systems and natural resources management” has the explicit objective of adapting to climate change (and adopting less damaging practices”.
I-632	Too early, however generally the projects were selected based on not having negative environmental impact.

Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	

2.3.6.4 JC 64 Quality of exit strategy

No exit strategy has been prepared.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	No exit strategy has been prepared.

2.3.7 EQ7 To what extent have programmes lent themselves to scaling-up?

2.3.7.1 JC 71 Appropriateness of programme design for scaling up

The EPINAV is by design focussing on scaling up of (pro-poor) innovations and best practices.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The EPINAV is exclusively focussing on scaling up of (pro-poor) innovations and best practices (call for proposals for research projects).

2.3.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Most of the research projects include plans for up-scaling best practices and innovations, however it appears that detailed strategies for the scaling up is not always in place. With regard to training of researchers (for instance with regard to conducting baseline, Stakeholder Analysis and preparation of non-academic publications), there is a high adoption rate. It is still too early to establish the adoption rate among beneficiaries of the training conducted under the Farmers Empowerment and Learning Centres Interventions. Promotion of policy analysis and research on good governance constitutes an important output of the programme. Generally, the

research projects aim at involving secondary stakeholders in the processes from the beginning and thereby possibly also securing their support to scaling up, but this is yet to be seen.

Evidence on indicator level

Indicator	Evidence
TI-721 Evidence of success stories which can easily be scaled up	Most of the research projects include plans for up-scaling best practices and innovations. In the Livestock Value Chain project the project activities have started establishing clusters and innovation platforms in 2 villages; the plan is to up-scale these activities and best practices to all 164 villages in the district. The research project however does not seem up to have a clear strategy for how to scale up; moreover scaling up to 164 villages does not appear to be realistic. An Up/Out Scaling and Communication Strategy has been prepared for 12 projects. The strategy is not very elaborated and mainly focuses on communication and dissemination; there is very limited information regarding up and out scaling. There is a need for a clear and detailed strategy for scaling up for all projects. Overall, (for all projects) it is still too early to clearly identify success stories.
I-722 Evidence of an effective learning process with a high adoption rate	Training is conducted for the research staff, for instance with regard to conducting baseline and Stakeholder Analysis as well as preparing non-academic publications. Generally, the training appears to be successful (high adoption rate) and appreciated by the research staff. The Strategic Interventions (part of component 1) supports the research components with regard to training of farmers (under the Farmer Empowerment intervention) and Learning Centres for farmers (under the Learning Centres Intervention). Due to the delay of the start of the EPINAV it is too early to see the results of these learning processes.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	Promotion of policy analysis and research on good governance constitutes an important output of the programme; two research projects are focusing on the policy analysis. Two research projects aim at employing a highly participatory approach in which (apart from beneficiaries) also secondary stakeholders are involved in the research project, for instance though the value chain approach where beneficiaries and secondary stakeholders (for instance the private sector) meet at Innovation Platform meetings. The aim of these meetings is to create value addition for the selected commodities as well as share best practices. With regard to the mobile phone project, the district level officials also showed interest for scaling up. It should be noted that all projects are still early in the process; however, it is important to note that the stakeholders have been involved from the very beginning and that they might therefore also be more interested in scaling up the successful pilot projects/activities.

Recommendations

- Revise Logical Framework (align with DAC log frame, improve outcome indicators, include capacity building in purpose).
- Revise the reporting system – all research projects should report on output indicators annually – to be aggregated by the M&E coordinator; report on outcome/impact indicators by the end of programme.
- Research projects: Develop detailed strategy for up-scaling of best practices (possibly in stages/fewer villages)
- Prepare an exit strategy in collaboration with stakeholders and beneficiaries to be finalised by the end of 2013.

2.4 Advancing REDD in Kolo Hills Forests (ARKFor) – TAN-09/041

Intervention title	African Wildlife Foundation - Advancing REDD in the Kolo Hills Forests (ARKFor)
Agreement partner (name)	African Wildlife Foundation (AWF)
Type of agreement partner	NGO
Agreement nr.(s)	TAN-09/041
Country / region	Tanzania, Kolo Hills forest area
Implementing partner	African Wildlife Foundation (A WF) Contact details: Mr. John Salehe (main contact for formal correspondence) Maasai Steppe Heartland Director, AWF Plot 27 Old Moshi Road P.O. Box 2658, Arusha Telephone (office): 073 6501068 Email: jsalehe@awfafrica.org Telephone (mobile): 0785 511010
Programme officer:	Mr Godlisten Matilya (Kondoa)
Extending agency	Royal Norwegian Embassy in Dar Es Salaam Contact details: Fredrik Berglien Werring Fredrik.Berglien.Werring@mfa.no
DAC Sector	410 – General environment protection
Intervention start & end dates	2010-2013 Originally planned: January 2010 to December 2012 (source: project proposal doc) Extended period: January 2010 to December 2013
Approved amount Agreed amount Disbursed amount	14.430.000 (source: decision document). The original budget and approved amount of NOK 14.43 million (USD 2,061,794) was increased by NOK 3.28 million (USD 504,279) (source: Contract Extension Document, RNE Letter Dated 18 June 2012) $2,566,181 (NOK 17.96 million) $2,566,181 (NOK 17.96 million) $1,621,913 (source: grant data base) • 01.03.2010 $401,501.41 • 19.08.2010 $ 396,484.33 • 18.04.2011 $ 297,313.32 • 16.12.2011 $ 260,581.66 • 02.07.2012 $ 266,032.59 • 01.11.2012 $ 320,000.00
Main stakeholders	• Kondoa District Council • 21 pilot villages • Selian Agriculture Research Institute
Number of beneficiaries targeted	**40,090 peoplen in rural households**) in Kondoa.
Intervention description	The proposed 'ARKFor' project would form one of Tanzania's major REDD pilot projects at local level for establishing baselines, introducing participatory monitoring, developing benefit sharing mechanisms, and helping to address drivers. Working closely with the Kondoa District Council and its District Forestry office, ARKFor will work with 15 rural communities, which together are home to approximately 40,000 people, to improve the management of over 18,000 hectares of government and community owned forests. The project aims to prepare the local government and communities to engage in REDD as a means to increase incentives for the long-term conservation and management of forest resources. (source: AWF contract document, Decision document)
Programme background & history	The project forms one of several NGO REDD pilots to be funded under the Tanzania-Norway partnership on climate change and forests, stemming from an original call for concepts in February 2009. (source: Decision document) These calls for concepts were encouraged by recent legislative and policy changes

	in Tanzania, including the National Forest Policy of 1998 and the Forest Act of 2002 which are inviting local voices into the management of forest resources. (source: project proposal)

Project objectives and activities & expected results

Overall objectives	"To contribute to poverty reduction and climate change mitigation by enhancing Tanzania's capacity to use REDO as mechanism for rural communities to reap tangible benefits from improved forest management and conservation." (source: AWF contract document)
Specific objectives	"To support targeted communities and district government partners in the Kondo a District, Tanzania, to prepare for participation in voluntary and (when available) official REDD markets based on high-value, well conserved forest resources, and effective joint forestry management" (source: AWF contract document)
Expected results	5. **Assessment of carbon and co-benefits:** Improved knowledge and scientific understanding of the target forests by using available methodologies to scientifically quantify baseline carbon volume, current and forecast deforestation rates, 'current and prospective carbon sequestration, 10 qualify carbon credits for market, and to develop relevant indicators to monitor forest and carbon health, with participatory assessment of the biodiversity and community benefits of improved forest management. 6. **Enhanced REDD understanding:** Enhanced understanding among villagers, local government, and civil society organisations in Kondoa District regarding REDO mechanisms and available options of participating in forest carbon markets and the required complementary practices concerning forest conservation, carbon measurement and monitoring. 7. **Forest and land management:** More than 18,000 hectares of forest land in Kondoa District under improved management by local government and community actors with deforestation and forest degradation trends reversed through sustainable joint forestry management (JFM) and improved land use plans (LUP). 8. **Benefit sharing and alternative livelihoods:** Rural households, representing some 40,090 people, in Kondoa District benefit from diversified and sustainable livelihood' options included improved energy supplies, income derived from pro-Jf'M micro-enterprises, and income from carbon sales in voluntary carbon markets. to offset the costs of sustainable forest and natural resource management. 9. **Learning and networking:** Sound learning and networking between project and national stakeholders promotes more effective policies and practices concerning REDO's contribution to climate change mitigation and delivers effective pilot case study to scale up. (source: AWF contract document)
Main activities specify agri. Activities for envir. Interventions)	• Carbon quantification and qualification • GIS & Spatial Analysis Support to inform baselines and monitoring • Climate Indicator Development for long term monitoring • Training Planning and Implementation on REDD • Training materials & supplies • Study Tour to REDD sites • Organise JFM • Plan and Register JFM • Implement JFM actions • Implement LUP actions • Establish socio-economic baseline and conduct follow up monitoring • Implement support for sustainable livelihood activities • Market and sell carbon • Develop and monitor benefits sharing mechanism • Engage and influence national and regional policy • Develop and share of knowledge products and learning • Monitoring and evaluation plan, including performance based milestones (source: project proposal)
Process on track? Main difficulties/challenges	• The project is well designed and has effectively engaged local communities and the district and national government on the development of land use plans, forest management plans, and agricultural extension services. In terms of addressing drivers of degradation the project has

	championed improved agriculture as its main priority. However reducing the production level of bricks and consumption of fuel wood and charcoal need more attention. • A major challenge of the project is finalizing a benefit sharing plan for lands owned by the national government. • The project staff on site was unable to answer key questions related to the voluntary carbon markets. This disconnect has the potential to be problematic as data collection and future monitoring need to be done in accordance to selected project methodologies. (source: MTR Review Report 2012)
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

2.4.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

2.4.1.1 JC 11 Alignment with partner country food security policies/strategies if available

ARKFor project was aligned to the national food policies and strategies by incorporating one component of Agriculture Extension Services to support the pilot farmers in 21 villages.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	ARKFor was designed in the context of the National Strategy for Growth and Poverty Reduction (MKUKUTA I: 2005-2010) and the Agricultural Sector Development Strategy (ASDS: 2000) as well as Tanzania's National Adaptation Programme of Action (NAPAs) and Nationally Appropriated Mitigation Actions (NAMAs). There is a strong focus on food security in ASDS. ARKFor incorporated one component of Agriculture Extension Services to support the pilot farmers in 21 villages.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Not relevant.

2.4.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

There is clear evidence that ARKFor project is coordinated with other national food security programmes especially the Agriculture Sector Development Programme implemented at District level in Kondoa.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	ARKFor project is one of nine REDD+ pilot projects under the Tanzania-Norway climate change partnership. There is clear evidence that the project is coordinated with other national food security programmes especially, the Agriculture Sector Development Programme (ASDP) which is implemented at District Level.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	ARKFor project documents are comprehensive in terms of identifying gaps and means to filling them. For example, the main project document outlined the capacity availability of the implementing agency (AWF) and outlined the gaps that would be filled through outsourcing of external expertise and resources. AWF contracted several external organizations to fill gaps on implementation e.g. CAMCO, SARI and others.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	ARKFor project is implemented by AWF in close cooperation with the Kondoa District Council (KDC). The field project team (AWF) is working together with KDC Agriculture Officers including Ward Agricultural Extension Officers (WAEO) in 21 targeted villages in the project area.

2.4.1.3 JC 13: Relevance of project intervention according to final beneficiaries

Final beneficiaries (farmers) reported that the project was very relevant to their livelihood activities

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	Final beneficiaries in project area i.e. farmers were concerned with food insecurity hence need project to support them on increasing food crops production and create opportunities on alternative livelihood activities based on their surroundings. Kondoa has highly degraded land, hence land use planning also support increase in food production and increase income through alternative income generating activities e.g. tree nursery planting and selling, stove making, beekeeping etc. During the focus group discussions in four villages, the beneficiaries reported that the project was relevant to their livelihood activities.

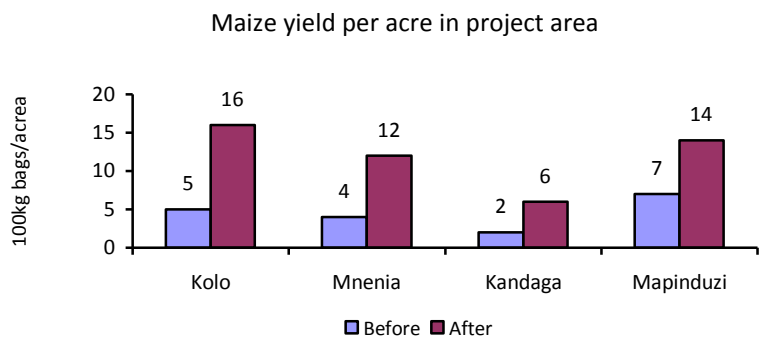
2.4.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

2.4.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

ARKFor project is likely to lead to increased food availability in Kondoa District.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The office of District Agriculture, Livestock and Cooperatives coordinate all activities of agriculture and livestock production in Kondoa District. Food analysis is done periodically by this office through its extensive Agriculture Officers in villages and wards. Adequate data is available on food supply and demand as well as projections in coming year. ARKFor project is working very closely with this office on its agriculture extension services.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Evidence shown so far indicated that the project is likely to increase food production in target area as well as Kondoa District in general. The mid-term evaluation reported that the data compiled by the ARKFor field team for 60 pilot farmers have shown that food production (mainly maize) has increased eight folds. The quick assessment during this evaluation and field work in four villages has also shown that in some villages' food has increased three times on outputs measured by maize bags (100kg).



2.4.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

No data available but from increased food production in project area it is highly likely that the ARKFor project will increase food accessibility of the people of Kondoa District at the household level. Sale of surplus production is likely to lead to enhanced purchasing power.

Evidence on indicator level

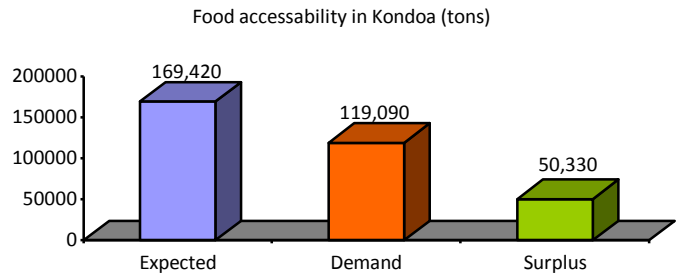
Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No data available at household/individual level.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	No data available but from increased food production in project area it is highly likely that the ARKFor project will increase food accessibility of the people of Kondoa District at the household level.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted	As discussed above, the communities in ARKFor project areas have shown evidence of generating surplus food production and are hence likely to increase marketing of the surplus. The ARKFor project covers food crops, cash crops and livestock production in 21 village communities and is therefore likely to enhance purchasing power.

areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	

2.4.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

ARKFor project is likely to increase food stability mainly on maize.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	At Kondoa District Council, the Department of Agriculture, Livestock and Cooperatives keep track of food security and accessibility. The department on monthly basis carried out analysis to determine food production and demand. The data and analysis are aggregated and updated regularly. The adoption of the best agricultural practice in project areas which represent 12% of the total population of Kondoa District will have significant impact on food stability in Kondoa District. For example the figure below shows the latest analysis of food accessibility at the district level for FY 2012/13. Food=cereal crops [*Source: Agriculture and Livestock Department, Kondoa District Council*] 
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	At District level, it is shown that the food crops surplus is almost 50% of the food demand; hence it is likely that the ARKFor project in 21 village communities will reduce food shortages at household levels.

2.4.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No information available. However, increased production and consumption of a mix of farm produce including maize, sorghum, millet, cow peas, ground nuts, beans and sunflower is likely to improve food nutrition status at project target areas in Kondoa.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No information is available.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No information is available. However, increased production and consumption of a mix of farm produce including maize, sorghum, millet, cow peas, ground nuts, beans and sunflower is likely to improve food nutrition status at project target areas in Kondoa i.e. 21 village communities. It will be a good indicator for the end-of-the project evaluation criteria to assess contribution of the project.

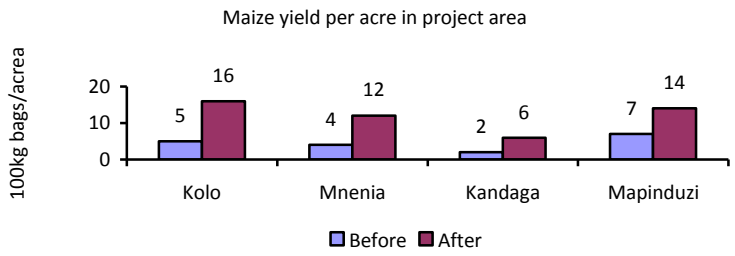
2.4.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

2.4.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Food availability has improved in project area due to the Norwegian support. The mid-term evaluation reported that the data compiled by the ARKFor field team for 60 pilot farmers showed that food production (mainly maize) increased eight folds.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	Evidence shown so far indicated that the project is likely to increase food production in target area as well as Kondoa District in general. The mid-term evaluation reported that the data compiled by the ARKFor field team for 60 pilot farmers have shown that food production (mainly maize) has increased eight folds. The quick assessment during this evaluation field work in four villages has also shown that in some villages' food has increased three times on outputs measured by maize bags. Each bag weigh about 100 kilogram; period before means years before 2010, and after means years after 2010. [*Source: focus group discussion in 4 villages with about 100 farmers*].

2.4.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

Information is not available. However, with an indication of increased food production and surplus it is likely that food diet and number of meals have and will continue to improve in the project areas.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No data is available. The mid-term review did not cover the assessment at household level, and this should be done at the final project evaluation. However, with an indication of increased food production and surplus it is likely that food diet and number of meals have and will continue to improve in project areas i.e. 21 village communities of Kondoa.

2.4.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

There is indication that food availability and accessibility was improved in ARKFor project areas in Kondoa. No quantitative data are available.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	Some of the village communities in the project areas were prone to food insecurity in the past. However, initial assessment of food production in those areas currently showed that food surplus is possible and has been achieved. Food surplus has decreased length of periods for food insecurity of households in the project areas. No quantitative data is available.
I-332	No information available.

Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	A number of off-farm activities have increased hence improved livelihood system in project areas. For example, some of the off-farm activities are also main interventions in the project such as beekeeping, tree nursery planting and selling, efficient stove making. These are some of the activities which diversify livelihood and reduce pressure on the deforestation activities.

2.4.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

Information is not available at district level

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No data available. The project is implemented at the district level, and nutrition data are only available at Regional level.

Cluster 2: M&E and Documentation

2.4.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

2.4.4.1 Appropriateness of programme M&E design

The M&E design is appropriate and provide information on timely basis to both AWF, management, development partner (RNE) and the Government. The log frame outlines objectives, purpose and indicators; however, the indicators are not SMART with neither target values nor time period.

Evidence on indicator level

Indicator	Evidence
I-411	ARKFor project document comprises a log frame (Annex 1), which outlines objectives, purpose and indicators.

Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	However, the indicators are not SMART with neither target values nor time period. The logframe is too general, and depends on a separate document Annex 5 – ARKFor Indicative Performance Monitoring Plan. This annex is more elaborate than logframe. The indicators descriptions and information clearly indicate the level of data disaggregation for example gender (male/female).
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	Monitoring and evaluation seems to work in terms of routine data collection and reporting from the field office. The Project Manager (Coordinator) in Kondoa is specifically assigned the task and responsibility to collect data for monitoring and evaluation. Also, the AWF Monitoring and Evaluation Officer spend about 5% of his time on ARKFor monitoring and evaluation activities by combing the monthly reports and produces quarterly, semi-annual and annual reports.

2.4.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

AWF has an appropriate internal M&E strategy and implementation that effectively monitor and report the project activities in Kondoa. Human resources together with respective financial resources have been budgeted and included in the project document.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	It is estimated that 50% of the Project Manager's time is spent on monitoring and evaluation of the project activities through data collection and reporting. In addition, AWF has allocated about 5% of the Monitoring and Evaluation Officer's time on ARKFor M&E activities. These human resources together with respective financial resources have been budgeted and included in the project document. The actual expenditure incurred on the project interventions also indicated the use of these resources into M&E activities of the project. ARKFor is monitored on a regular basis, to include a minimum of quarterly meetings with all partner organisations to ensure delivery of results in the expected timeframe, and in a manner consistent and complementary to all elements of the project. All outputs and impacts targeted by the activities of the project are subject to AWF's internal organisational monitoring system, called PIMA. PIMA is the tool AWF uses to measure progress and performance of the African Heartland Program towards the achievement of impact.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Data collection on M&E are relevant for the project and collected on time with required level of disaggregation e.g. gender. Most of the routine data collection focuses are on input and output data.

2.4.4.3 JC 43 Adjustment of programme design and/or implementation modality

The contract for SARI has been changed; SARI remains with project agriculture and research activities and other external consultants are engaged to implement non-farm activities. This was partly based on the M&E results.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	Initially Selian Agriculture Research Institute (SARI) was expected to cover project components which combine agriculture extension services and alternative non-farm income generation activities. However, the project assessment and evaluation has indicated that SARI cannot be able to cope with the demand of 21 village communities with only one year remaining. The contract for SARI has been changed to remain with project agriculture and research activities and other external consultant is engaged to implement non-farm activities.

2.4.5 EQ5: To what extent have programme results been documented?

2.4.5.1 JC 51 Availability of documentation of results

M&E is mainly implemented through regular reporting on monthly, quarterly, semi-annual and annual levels. There is one mid-term external evaluation report for the ARKFor carried out by Deloitte. The report was found to be not detailed enough and did not cover the evaluation of outcome indicators; moreover, the report was not supported by sample survey or field data apart and relied on previous reports and interviews.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	M&E is mainly implemented through regular reporting on monthly, quarterly, semi-annual and annual levels. The reports contain both financial and non-financial data and inputs and outputs data. The discussions with the officers indicated that AWF uses simple spread sheet in compiling the M&E indicators and reports. Due to the limited number of M&E indicators for monitoring the current system seems to work.
I-512 Existence and quality of evaluation reports	There is one mid-term external evaluation report for the ARKFor carried out by Deloitte. Delloitte were contracted to undertake external evaluation of all nine (9) REDD+ pilot projects in Tanzania. However, the current evaluation found that the report was not detailed enough and did not cover the evaluation of outcome indicators. The report was not supported by sample survey or field data and relied on previous reports and interviews.
I-513 Existence and quality of other types of documentation of results	The ARKFor project has a number of reports and articles written based on the monitoring and evaluation system. However some of the reports are in draft form and not finalized. The following reports were prepared during the implementation of the project: • Feasibility study report on carbon measurement in project area (June 2010) • Socio-economic baseline survey report (February 2011)

	• Mid-term review report (August 2012) • Audited Financial Report (December 2011) • Semi-annual progress reports (January – June 2012)

2.4.5.2 JC 52: Extent to which intervention results have been disseminated

There is no evidence that a dissemination strategy is in place. Project results were disseminated via common media of posters, brochure, workshops and newsletter articles.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	ARKFor project produces a number of project brochures, posters, and newsletter which are available in English and Swahili, to introduce the project to stakeholders and to promote the project and its role in piloting REDD to a wider circle of interested parties and the public. There is no evidence that a dissemination strategy is in place.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	Dissemination has been focused on hardcopies of the written documentation and presentations at workshops and seminars. However, for the local communities these two channels are not appropriate due to the fact that majority cannot read these documents.
I-523 Evidence of articles published, presentations in workshops, conferences	ARKFor project management team has published a number of articles and attended a number of workshops for dissemination and knowledge sharing, as listed below: • "Increasing food production to reduce emissions", Norway & Tanzania, Partners in development, Norwegian Embassy, 2012 • AWF Poster 1, Securing Forest Land and Generating Income to Communities through Carbon Offset Programs • AWF Poster 2, ADVANCING REDD IN THE KOLO HILLS FORESTS (ARKFOR) Reducing Emissions from Deforestation and Forest Degradation (REDD) and Protecting a Critical Landscape for Tanzania's Wildlife and People • AWF brochure, ADVANCING REDD IN THE KOLO HILLS FORESTS (ARKFOR) Reducing Emissions from Deforestation and Forest Degradation (REDD) and Protecting a Critical Landscape for Tanzania's Wildlife and People
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	Embassy staffs have indicated to be aware and on top of the project progress and lessons learned so far. The visits to the project area by high level officials from the Norwegian Embassy also give it a boost. Senior management officials at the Kondoa District Council (KDC) are highly aware though ARKFor project is involving few operational departments i.e. Forests, Agriculture and Community Development

Cluster 3: Sustainability and Scaling up

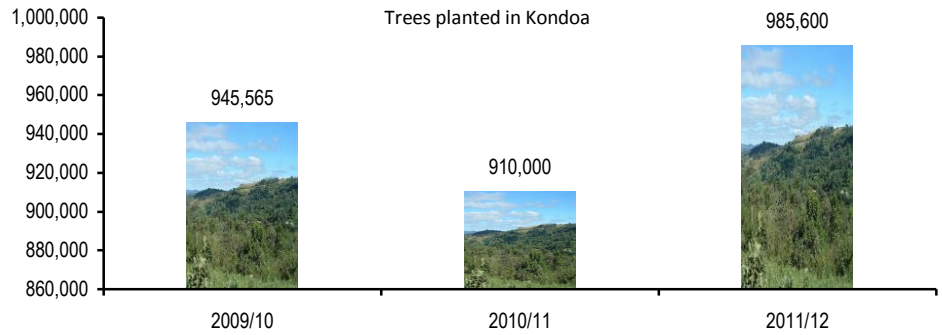
2.4.6 EQ6 To what extent have programmes been sustainable?

2.4.6.1 JC 61 Financial sustainability/economic sustainability

Not likely that the revenue from selling carbon credit will sustain the project in future. Beneficiaries (pilot villages) and Kondoa District Council are capable of affording replacement and maintenance of the project, especially with regard to planting more trees in national and community forest reserves.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	The ARKFor project has a strong emphasis on achieving long term sustainability. The sale of carbon credits through REDD+ activities is designed to make the project financially sustainable. A study by AWF reported that the REDD+ project in Kolo Hills will lead to 12,500 tons of carbon (CO_2) emissions saved from avoided deforestation and forestry degradation annually, hence contributing to climate change mitigation strategies. It has been reported that the level of revenue from selling carbon credit will not be adequate to cover the management costs of the forests. [*Source: ARKFor Feasibility Study, CAMCO, June 2010*].
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	No information available.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	In future increase in price for carbon selling will benefit the targeted project communities.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Beneficiaries (pilot villages) and Kondoa District Council are capable of affording replacement and maintenance of the project, especially with regard to planting more trees in national and community forest reserves. A number of project villages have established tree nurseries to plant and sell trees. Department of Forests at the Kondoa District Council is also very active in re-planting trees every year. For example, currently the local authority (KDC) is implementing a plan for each household in the district to plant 10 trees and set a target of 1.5 million trees every year. The results showed good progress [*Source: Data provided by the Head of Department, Department of Forests, Kondoa District Council*]:

	
I-615 Policy changes are not likely to affect programme activities	The Government is committed to the climate change mitigation agenda as well as supporting environmental protection through re-forestation and land use planning.

2.4.6.2 JC 62 Institutional and technical sustainability

The project has been using technical expertise of external consultants and little involvement of local authorities. It is not likely that the capacity transferred to the local authority staffs will ensure sustainability.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	The project has made significant progress towards reducing deforestation at the project site. However it is clear that the local staffs is not actively involved in developing the voluntary market based REDD project outputs related to the project's exit strategy. This is a lost opportunity for more environmental professionals in Tanzania to become highly knowledgeable of this process.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Various community groups have been involved in project implementation from the beginning. For example, women's groups and forest patrol groups have been formed and expanded as a result of the project. These groups have been successful in providing training to others on agriculture extension services, planting trees and forest patrol and monitoring.

2.4.6.3 JC 63 Environmental sustainability

The project implementation is not likely to damage environment; on the contrary, the communities have reported that the forest cover in the Kolo Hills has increased and that water resources are being refreshed.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	The project is addressing biodiversity properly and is developing documents seeking accreditation from the community, climate and biodiversity alliance.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	The communities have reported that the forest cover in the Kolo Hills has increased and that water resources are being refreshed.

2.4.6.4 JC 64 Quality of exit strategy

The project has a clear and good exit strategy on future revenue generated as a result of past project interventions on forests conservation. The exit strategy has been implemented from the beginning of the project (however, no actual exit document is in place).

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	The project's exit strategy is to develop a voluntary market based REDD project to generate revenue streams to finance future conservation activities. The management plans also generate revenue from permits to cover operational costs. Linking improved farming initiatives with micro finance institutes is another strategy the project is pursuing in order to ensure long term sustainability. No exit strategy document is however in place.

2.4.7 EQ7 To what extent have programmes lent themselves to scaling-up?

2.4.7.1 JC 71 Appropriateness of programme design for scaling up

The project was well designed for scaling up through inclusion of more activities, communities and villages.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	There are evidence and cases of scaling up of project activities by the communities in project target areas. Interviews carried during the mission indicated that a number of communities and households have copied and replicated the activities undertaken by the pilot farmers in selected 21 villages. For example, in one of the villages visited, beneficiary groups have trained other villagers on tree nursery and several groups emerged. This was also evidenced in a village which is not within the project area having requested trainers to facilitate training on project activities in their village.

2.4.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

There is strong evidence that ARKFor activities have high potential for scaling up to large communities in Kondoa District. A number of project activities have shown to be viable for scaling up especially beekeeping, nursery tree planting, and fish farming.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	After a three-year period of project activities in Kondoa, the overall objective of protecting and preserving forests was achieved with vivid evidence of re-generation of forests and green environment to re-appear on Kolo Hills. Some of the 21 pilot villages have adopted beekeeping as an alternative economic activity to generate additional income. One out of four villages visited had shown success stories on selling output of bee honey and by-products. Also, there is potential activity which if scaled up, will contribute significantly to food security and income generation and that is fish farming. Some of the village communities are well positioned and water supply is adequate and climatic condition is good; hence fish farming could generate significant income and contribute to food security. Fish farming is one of the project activities yet to be implemented.
I-722 Evidence of an effective learning process with a high adoption rate	The mission visited Mnenia village, one of the 21 pilot villages in Kondoa. The village is highly commendable for alternative livelihood activities especially on beekeeping and nursery tree planting. The project supported one group SUBIRA GROUP in establishing a tree nursery and this was successful. Currently there are more than three other groups in the village who have adopted the practice and continue. Discussions with SUBIRA GROUP leaders indicated that other groups in villages outside the ARKFor project areas have consulted them for training and facilitating them to establish the activity.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	Discussions with the Kondoa District Council officials showed commitment from the Government's side to support the communities to adopt additional non-farm activities to improve their livelihood. The criteria are that the alternative activities including off-farm should not lead to land degradation or deforestation.

2.5 Tanzanian Agricultural Partnership (TAN-08/057)

General Data

Intervention title	**Tanzanian Agricultural Partnership** Project title: Tanzanian Agricultural Partnership (TAP) – National Rollout Programme
Agreement partner (name)	NORAD
Type of agreement partner	NGO local
Agreement nr.(s)	TAN-08/057 (source: inventory data base)
Country / region	Tanzania Operational areas: 25 districts country wide
Implementing partner	By the Agricultural Council of Tanzania Suzanne Masagasi: +255 713516845
Programme officer:	
Extending agency	NORAD Contact person & detail: Arnesen,Odd Erik
DAC Sector	Main Sector:311– Agriculture Subsector: 20 – Agricultural Development (source: inventory data base)
Intervention start & end dates	2008 – 2010 (source: project proposal) 2008-2011 (source: inventory data base)
Budget Approved amount Agreed amount Disbursed amount	 2.700.000US$ 2.700.000US$ (source: project proposal) 23.150.000 (source: inventory data base)
Main stakeholders e.g.	Target group: small-scale farmers, private sector
Number of beneficiaries targeted	Not clear from project documentation. The Final report mentions that 500 smallholder loans were made. In 2009 the partnership will have reached 200,000 farmers and about 1,500 local agro-dealers and micro-finance organisations.
Intervention description	The objective is to improve access by trained Tanzanian smallholders to affordable credit, appropriate input and profitable output value chains through public-private partnerships. The specific objectives are to make sure that appropriate input are affordable and accessible to small holders farmers throughout Tanzania, output markets are improved, profitable agricultural production is increased, private sector investment is stimulated, benchmarks for best practices in development and commerce are established. (source: programme design doc)
Programme background & history	Norway provided previously support to ACT through a first version of TAP, financing a 'fast track' pilot operation focussing on fertiliser value chain in 5 districts. Using this experience, and building on the skills and knowledge of a growing number of new partners, TAP will extend the methodology to other value chain support operations in the agricultural sector and expand the area of activity eventually to include the whole of mainland Tanzania. (source: programme design doc).

Objectives, results and activities

Overall objectives	Rural poverty of small-holder farmers in Tanzania is reduced
Specific objectives	Deliver appropriate agricultural inputs and improved markets for Tanzanian farmers through effective value chains facilitated by a public-private partnership
Expected results	Appropriate inputs are affordable and accessible to smallholder farmers throughout Tanzania Improved output markets linkages Increased profitable agricultural production Private sector investment stimulated Best practices in input development & commerce established
Main activities (specify agri. Activities for envir. Interventions)	Trained agro-dealers, input companies to develop starter packs, input distribution improved Farmers' associations membership increased, established farmers' groups, farmers' associations linked to traders, warehouse receipt system expanded

	Farmers receiving technical & business management trainings Agro-dealer associations made active & sustainable, agricultural input finance programme expanded, other private sector focused programmes developed Established district input databases, district agricultural inputs output network started, agricultural sector information systems improved, environmental impact assessments done
Process on track ? Main difficulties/challenges	Project completed Programme scattered over all of Tanzania mainland; difficult M&E. Second phase currently being negotiated with NORAD, pending final evaluation report
List of available documentation for the intervention	See bibliography

Cluster 1: Contribution to Food Security

2.5.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

2.5.1.1 JC 11 Alignment with partner country food security policies/strategies if available

Although there was no reference in TAP to food security, the programme follows 3 Tanzania PRSP food security pillars, namely increasing food availability, poverty reduction and economic growth; it is also referring to and is in line with the initiative to accelerate agricultural transformation through a holistic approach.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	There is no reference to food security strategies in TAP (neither project document nor subsequent annual reports).
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	The analysis of the 2008 Tanzanian PRSP indicates that the programme is in line with the National Strategy for Growth and Reduction of Poverty with the following (goals 2, 3, 4, 5),: promoting sustainable and broad based growth (goal 2 “provision of agricultural credit and inputs to small holders), improving food availability and accessibility at household level in (urban and) rural areas (goal 3: “Increased food crops production from 9 million tons in 2003/04 to 12 Million tons in 2010”) and reducing income poverty (goal 4& 5: support to “Rural Financial Services Program, National Entrepreneurship Development Funds, Rural Micro, Small and Medium Enterprises Programmes”), through improved value chains (source: 2008 PRSP). It is in line with the agendas of NAPAD’s CAADP, the Africa Green Revolution and “Kilimo Wanza” initiative.

2.5.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

TAP has worked closely with several other GOV sponsored (e.g. FIPS) or donor funded interventions (EC Food Facility) in order to enhance impact of its own intervention or make advances in terms of lobbying (ASDP, SAGCOT).

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	The TAP has taken advantage of several other GOV / donor funded initiatives for subcontracting activities or taking advantage of other interventions activities: e.g. TAP is working closely with the GOV Agriculture Development Programme (ASDP) and the Agricultural Finance Initiative (with NMB, AGRA, FSDT and CNFA), the Warehouse Receipt System (WRS) with RUDI and FIPS (input /seed demonstration plots). TAP is active in priority areas under the SAGCOT initiative.

I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	No information; TAP is a scaling up initiative on several value chains from a pilot initiative focussing on the fertiliser value chain.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	TAP took advantage of other donor resources: e.g. TAP tapped EU resources in 2009/10 to complement its programme actions (through an EC 2008 call for proposals – Food Facility Grant) to improve input value chains in several districts.

2.5.1.3 JC 13: Relevance of project intervention according to final beneficiaries

Field visits showed that TAP activities reflect adequately beneficiary needs in terms of warehouse capacity and capacity building for the use of input (fertilisers, seeds) by farmers and agro-dealers. Commodity Investment Plans are potentially a relevant and efficient planning and development tool for district wards by allowing these to have an overview of the entire value chains for both maize and rice.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	Field visits showed that TAP activities reflect adequately beneficiary needs in terms of warehouse capacity and capacity building for the use (by farmers) and distribution (by agro-dealers) of input (fertilisers, seeds). Commodity Investment Plans also fill in a need by district wards to reflect on local development potential by adopting a value chain approach.

2.5.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

2.5.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

Although there is no analysis of food production at design level, TAP objectives are to reduce poverty by increasing access and affordability of inputs to farmers, hence directly contributing to increasing food availability.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its	There is no linkage between TAP's actions and food production analyses either at local, regional or national levels.

projection at national and sub-national levels (targeted areas)	
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	The TAP is highly likely to contribute to increased food production because it focusses on crop value chains (mainly maize and rice). The overall objective of TAP is to reduce rural poverty by increasing the affordability and accessibility of inputs (quantities of input purchased and applied by farmers), improving output market linkages (increasing commodity value in TAP areas), and increasing agricultural production (increasing revenue).

2.5.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

TAP will lead to increased food accessibility through increased productivity (production/acre), mostly used for consumption, increased cropped area & production sales.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No information at all.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	Highly likely because the crop productivity increase is mostly used for consumption but not analysed in TAP. No information.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food	Highly likely because Outcome 3 is dedicated to that purpose: increase in profitable agricultural production for maize and rice (more revenue through increased yields, total area cultivated, average sales / farm).

prices)	

2.5.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Food stability will likely increase because TAP supports the rehabilitation of cereal warehouses that enable farmers to access microfinance loans or delay selling to period when prices are higher.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No information in the programme; the new TAP 2 proposal (2013- …) is actually bridging this gap with the programme justification focussing on conservation agriculture and climate change effects mitigation measures.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Highly probable because Outcome 2 is dedicated to that purpose: improving output market linkages through increasing farmer's associations and expanding the warehouse receipt system that allows farmers to delay production selling directly or through micro-credit (hence reducing the lean period).

2.5.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

There is no information on nutrition and food use in TAP. The programme does not include any nutrition related activities.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No information

I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	Possible but not measured; the programme focusses on income generation through agricultural / value chain activities and there are no activities on nutrition.

2.5.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

2.5.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Measurements over 1 year showed a (substantial) increase in food production for maize (rice) and more moderate increase in income and acres.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	The baseline study finalised late (2010 instead of 2008/9) and result study of 2011 showed for the first 13 districts (out of 25) conflicting information of food production: +38% yield increase for maize and +140% yield increase for rice, income increase of +15% but a decrease of cultivated area from 4.4acres/HH to 3.7acres/HH.

2.5.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

No information on food access at HH level.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No information; not measured.

2.5.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

An implicit objective of TAP is to reduce the lean period by supporting the rehabilitation of warehouses that can enable farmers to access credit for increasing income generation and use delayed selling. The warehouse system is nonetheless difficult to implement for farmers. Demonstration plots and technical trainings contributed to crop diversification that can increase food stability (more storage over a longer period).

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No information in the documents although field interviews confirmed a substantial production increase. However, farmers do not fully take advantage of it because warehouse receipts systems are not properly functional in most TAP areas.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No information.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	No information in documents; interviews of farmers showed that they are diversifying their agricultural products (use of input, improved [hybrid] seeds, increased crop diversification). However, there is a local belief that fertilisers destroy soils; hence slow adoption of increased input use.

2.5.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

Not measured.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No information; not measured.

Cluster 2: M&E and Documentation

2.5.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

2.5.4.1 Appropriateness of programme M&E design

The log frame and indicators are well-prepared although there are few food security indicators. The project document does not mention any M&E system.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	The log frame and indicators are straightforward; indicators are very easy to measure; there is however very few indicators directly linking TAP with food security.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	There is no information of any M&E system in the original project document; M&E would be based on regular monitoring visits by TAP staff and periodic reports from partners. There is no evidence of system *per se*. This has resulted in major shortcomings (see below).

2.5.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

As there is no M&E specialist, the TAP M&E system is based on travel reports by senior staff and periodic reports from subcontracted institutions. An external results survey carried out in 2011 was rendered necessary to assess whether TAP has had any effect on the target population.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	TAP staff consisted of a value chain manager, field operation manager, information & communication specialist, part time accountant, TAP secretary at central level and 1 representative for clusters of districts; the M&E function was shared by the staff as they were going on the field; information compilation was centralised by the value chain manager from travel reports and periodic partner reports. By the second year though, 1 staff (communication officer) out of 5 had already left the programme as well as the ACT director of policy, planning and advocacy.
I-422 Relevance, frequency and timeliness of data collection	As there was no M&E specialist, there was no regular monitoring of the programme progress and no M&E system; to remedy this, an external results survey was commissioned by TAP by 04/2011 that compared the information from the 2008 baseline survey (actually finalised in 2010 because of quality issues) with 2011 data from the survey; there was no gender disaggregated

(including gender disaggregated data) at all levels (output, outcome and impact)	information (the survey interviewed about 1/3 of women beneficiaries); periodic/final reports from subcontracted institutions had gender disaggregated data (e.g. for trainings).

2.5.4.3 JC 43 Adjustment of programme design and/or implementation modality

There was no modification or adjustment of TAP in the course of its implementation.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	There was no evidence of any adjustment plan during the programme implementation.

2.5.5 EQ5: To what extent have programme results been documented?

2.5.5.1 JC 51 Availability of documentation of results

Regular travel reports and annual reports were produced. A results survey was carried out in 2011; however it was comparing results between 2010 and 2011 and not between the initial 2008 baseline and 2011.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	There are periodic M&E reports that are actually comprehensive travel reports that review progress and issues for each TAP activity in the visited area; there were not integrated in any M&E system; hence the difficulty to assess the overall impact of the programme (e.g. beneficiary responses on programme results often came as a surprise for TAP staff accompanying the consultant); there is no database. TAP produced an annual report and subcontracted partners had to provide progress, final reports or activity reports as requested by TAP.
I-512 Existence and quality of evaluation reports	An external TAP evaluation was underway during the visit.
I-513 Existence and quality of other	A result survey was produced in 2011 but it compared only 2010 and 2011 results although the programme had started in 2009.

types of documentation of results	

2.5.5.2 JC 52: Extent to which intervention results have been disseminated

The communication specialist designed a web site (no longer updated) and TAP information circulated through the media (TV & newspapers), but he left TAP early and his position was not filled afterwards although there were budget provisions. He produced a quarterly newsletter. The interest of increased input use was disseminated with success through numerous inexpensive small scale demonstration plots. TAP force also resides with ACT as it has lobbying capacity to influence GOV (e.g. discuss the 2011 export ban, integrate Commodity Investment Plans into District Development Plans).

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	An information & communication officer was recruited at the start of the programme and working full time in 2009-10; he left TAP by the second year and was not replaced although there were budget provisions for the entire duration of TAP. For the remaining of the programme, TAP outsourced the website updating with unsatisfactory results. TAP has a 2010 website although it is no longer updated (no more communication officer); there was no inception/progress/final report from the communication officer.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	With regard to the introduction of input through demonstration plots, the strategy was to devise main demonstration plots (10X20m) and 'baby' demonstration plots (5X5m); although end-results varied (proactivity of farmers, dry spells), overall, TAP has supported several thousand demonstration plots, which had a major effect on increasing awareness of farmers on input value chain. It also facilitated the development of closer ties between the farmers and input stakeholders. Although not directly linked to NORAD, some similar activities carried out by TAP (through EU funding) are available on Youtube.
I-523 Evidence of articles published, presentations in workshops, conferences	A quarterly newsletter was produced and TAP stories were published in newspapers and there were several TV interviews.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	TAP has done considerable lobbying activities to increase GOV awareness on the importance of adopting a value chain approach for agricultural development (e.g. lobbying to cut the maize 2011 export ban , design district Commodity Investment Plans and integrate them into District Agricultural Development Plans). CIPs were not very successful due to lack of private sector investment and TAP refocused its efforts by project's end to SAGCOT areas (which are the priorities for TAP II).

Cluster 3: Sustainability and Scaling up

2.5.6 EQ6 To what extent have programmes been sustainable?

2.5.6.1 JC 61 Financial sustainability/economic sustainability

TAP has had agreements with the National Microfinance Bank to enable farmers with certified warehouses to access loans, but the process to officially register the warehouse and request a loan from the Bank are both tedious and slow moving, both of which dis-incentivise the farmers. Some GOV policy decisions have negatively affected the farmers (e.g. annual warehouse certification, maize export ban).

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	By project's end, National Microfinance Bank was available for supporting farmers' groups accessing credit through warehouse receipt system, but the actual credit granting system is a slow process (receiving the credit when no longer needed – 3-4 months after the demand) that dis-incentivise farmers.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	TAP has succeeded in linking input providers to farmers, resulting in increased purchase of improved seeds and fertilisers with resulting productivity increases; TAP lobbying/support activities resulted also in wholesale input companies selecting and providing support to retail shops in order to increase quality of service (advice to farmers, storage facilities / conditions, avoiding poor quality produce, fakes, etc.).
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	The 2011 maize export ban has had serious negative repercussions on farmers which were not willing to continue farming intensively because of low prices and it came down to dis-incentivising farmers for the 2012 cropping season.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	TAP rehabilitated cereal warehouses; the fact that most of these are unable to become certified by GOV is resulting in the inability to tap microfinance resources and therefore jeopardising their sustainability. The warehouse still retains its primary function: delayed selling for farmers who can afford it.
I-615 Policy changes are not likely to affect programme activities	Policy changes (export ban, need to certify warehouses) affected negatively the TAP results: the export ban resulted in low maize prices for farmers; annual warehouse certification by GOV is a tedious process that results in many rehabilitated warehouses. Farmers groups are not willing and/or able to access microfinance because they do not have resources to meet legal certification requirements.

2.5.6.2 JC 62 Institutional and technical sustainability

Private sector institutions (wholesale input companies, retailers) have benefited from TAP and were reinforced as were districts that integrated Commodity Investment Plans although these resulted in few investments possibly due to a lack of linkages with private sector stakeholders. Warehouse farmer groups remain weak as very few were able to tap NMB loans.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Private sector institutions involved in value chain activities did benefit from TAP intervention: input retailers networks are building up through wholesale companies. The combination of annual GOV warehouse certification and NMB credit granting slow process results in few farmers utilising the warehouse receipt system. Demonstration plots are operational only during project implementation. Commodity Investment Plans (CIP) that benefitted districts are available but it remains unclear whether they have an actual effect. A mechanism to bring in investors in the district according to CIP is somehow missing (e.g. through TAP, an investment agency / bureau).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Warehouse farmer groups' managerial capacity remains very weak; proactivity is low as few groups are able to mobilise farmers to allow GOV warehouse certification (need for additional funds to purchase small material and pay for insurance).

2.5.6.3 JC 63 Environmental sustainability

There was no environmental issue due to the activities of TAP; on the contrary, farmers were through trainings encouraged to adopt environmentally friendly practices

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	No evidence of any negative effect.
I-632	Interviews showed that better and more environmentally friendly land husbandry techniques were adopted by farmers following demonstration plots; improved support/advice by agro-dealers ensured better use of input. There

Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	is nonetheless no quantitative evidence of this.

2.5.6.4 JC 64 Quality of exit strategy

There was no exit strategy (but a continuation with TAP II).

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	There is no evidence of any exit strategy at local level that ensure proper trainings and that works are completed by project's end.

2.5.7 EQ7 To what extent have programmes lent themselves to scaling-up?

2.5.7.1 JC 71 Appropriateness of programme design for scaling up

TAP II is a scaled up version of TAP with a similar value chain approach. There were no provisions in TAP I for scaling up.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	TAP II (2013-2017) proposal is a scaled up version of TAP. TAP II, if financed, would cover over 50 districts (against 25 districts during TAP and 5 districts during the fast track initiative). The approach is the same: value chain approach but with more focus on conservation agriculture; there seems to lack activities related to farming as a business (to induce farmer's mind set change).

2.5.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Donors have shown interest in the CIP approach. Demonstration plots could be easily scaled up as they require very few GOV efforts. Demonstration plots created large scale awareness among farmers on value chain, but it remains to be seen whether this was followed by large scale adoption of improved input although seed and fertiliser companies declare a very moderate increase in sales.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	There is interest from other donors (WB, FAO, USAID) in CIP as well as GOV (Ministry of Agriculture that instructed all districts to design their district plans using the CIP approach). Main and baby demonstration plots can be easily scaled up by GOV as it requires only human resources (materials and input are provided by the private sector). Warehouse receipt system is operational only when the infrastructure is certified and farmer's group well organised (e.g. through an apex organisation); given the long and tedious process of registration and credit acceptance, that can be the case only for high value activities (not for financing farmers household expenses as previously assumed; use credit for milling activities or off-farm business activities)
I-722 Evidence of an effective learning process with a high adoption rate	Demonstration plots have created large scale awareness of farmers by their number and geographical coverage; There is still conflicting information as to whether farmers adopted new land husbandry techniques: from input suppliers, there is little multiplication effect resulting in a very moderate input sale increase. The 2011 results survey showed that many of the farmers who attended trainings received advice on improved farming practices (row planting, application of fertilisers, use of chemicals) and very few have been trained in agricultural business: this means that farming is not taken as a business but rather as a subsistence activity.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	No information yet; ACT is currently lobbying to have TAP II financed.

3 Zambia

3.1 Conservation Agricultural Programme I (CAPI) ZAM 3037-06/017

Intervention title	Conservation Agricultural Programme I (CAPI): Formerly "Reversing Food Insecurity and Environmental Degradation in Zambia though Conservation Agriculture"
Agreement partner (name)	Zambia National Farmer' Union (ZNFU) (Contract)
Type of agreement partner	NGO
Agreement nr.(s)	ZAM 3037-06/017 (Contract)
Country / region	Zambia
Implementing partner	Conservation Farming Unit (CFU) of the National Farmer's Union Contact person & contact detail: Peter Aagard cfuzambia@gmail.com
Programme office	Imakando Moosho (Norad Project Contact File)
Extending agency	Royal Norwegian Embassy in Lusaka Contact person & detail: Mr. Jan Erik Studsrød: Jan.Erik.Studsrod@mfa.no
DAC Sector	Main Sector:311– Agriculture Subsector: 91 – Agriculture Services (Agreement Summary Report)
Intervention start & end dates	2006-2011 (Contract) **In March 2011, an addendum was signed, adding 14 million NOK to the original programme (renamed in CAP I). The new contract "CAP I" was signed in June 2011.**
Budget Approved amount Agreed amount Disbursed amount	 146.000.000 NOK (Contract) 146.000.000 NOK (Contract) 146.000.000 NOK (Audit reports and Official schedule of disbursement provided by the Norwegian Embassy)
Main stakeholders e.g.	Golden Valley Agricultural Research Trust (GART), Ministry of Agriculture and Cooperatives, Zambia (MACO), Noragric (University of Life Sciences), Zambia National Farmers Union (ZNFU)
Number of beneficiaries targeted	**120,000 farmers** (66,000 new adopters + 53,000 baseline adopters) practising Conservation Agriculture. (source: CFU Proposal 2006)
Intervention description	The proposed Conservation Agriculture (CA) model combines Conservation Farming (CF) annual cropping systems with agro-forestry and perennial crops for farmers to be food secure to catalyse reforestation, and produce crop surpluses for the market. Through a system of Farmer Coordinators and Contact Farmers, CFU provided training to small-scale farmers on Conservation Agriculture methods and provided information and inputs to encourage the production of a more diversified, economically resilient and environmentally friendly crop production model. The method principally introduces the concept of preparing small seed 'basins' to accommodate the planting of seeds, as opposed to wholesale tillage of the land , which is considered to be highly deleterious to natural soil nutrients. In addition it eschews the practice of burning crop residues, in favour of retaining /mulching them, and all animal waste is retained in a composting process. The programme introduced cassava, sweet potato, beans (legumes), jatropha and faidherbia trees to further improve productivity and increase diversification. The programme was executed through a structure of four regional offices, employing mainly CFU extension officers and their supervisors, to conduct the recruitment and training of Lead Farmers, and to coordinate and assist in the training of contact farmers and then ordinary farmers. CFU also trained MACO extension staff, it was engaged in research and collaborated closely with agro-dealers to encourage the sale of Conservation Agriculture machinery and needed inputs. It also increased awareness of CA processes with its collaboration with ZNFU. (source: CFU Proposal 2006. Contract)

Programme background & history	A European Forest Institute study (2000) estimated that the annual deforestation rate in Zambia ranged from 450,000 and 900,000 hectares due to charcoal production, and slash and burn agricultural methods of farming. The Zambian National Farmers' Union (ZNFU) Conservation Farming Unit was established in 1995 in response to the realisation that exploitive farming practises related to maize mono-cropping were leading to declining yields, shrinking incomes and environmental degradation. CF technology has evolved since 1995 thanks to the involvement of various stakeholders such as DFID, IDAD, FAO and MACO to improve productivity, provide farmers' with better economic opportunities and protect the environment. This led to the establishment of the CFU in 1996, who in turn led the development of the CA and CF Farming methods, and started the implementation of the methods, with the support of various donors along the way. NORAD has however become the principle donor. (source: CFU Proposal 2006)

Objectives, results and activities

Overall objectives/ Goal	*Goal - "To increase food security and profitability, enable appropriate responses to emerging economic opportunities, and encourage environmental regeneration and reforestation"* *Purpose – "To increase the number of smallholder farmers in 12 districts of Southern, Central, Eastern and Western Provinces of Zambia that practise Conservation Farming and Conservation Agriculture"* (source: Agreed Project Summary)
Specific objectives	• An increasing number of smallholder farmers in 12 districts have adopted Conservation Farming and Conservation Agriculture. • *(source: CFU Proposal 2006)*
Expected results	• Within five years, 120,000 farmers (66,000 new adopters + 53,000 baseline adopters) practising Conservation Agriculture on at least 50% of their annually cropped land, they produce sufficient food crops to become fully food secure, and they increase their farm income through sale of crops by 40%. • *(source: CFU Proposal 2006)*
Main activities specify agri. Activities for envir. Interventions)	• Farmer Demonstration and Training Systems • Incentive Scheme for Farmer Coordinators and Contact Farmers to promote and teach conservation farming techniques • Development and Provision of Comprehensive Conservation Agriculture Starter Packs • Strengthening of MACO Extension Services • Research and Development • Information Dissemination, Networking and Knowledge Transfer • Creating an Enabling Policy Environment • Access to Carbon Credits *(source: project proposal)*
Process on track ? Main difficulties/challenges	The Consultants conclude that CFU's expansion into new districts is appropriate and recognise that the introduction of simple machinery and the use of herbicides will attract larger number of farmers to adopt CA. However, a possible discrepancy has emerged on the number of adopters, from a census conducted in the Mumbwa Regional Office, and the need for a full census has emerged – included in the recommendations. Part of the reason that this possible discrepancy has arisen is that the M&E system does not make provision for identifying adopters, and changes in their hectarage and yields, an issue addressed in the recommendations. The Consultants find that the other donor-funded projects, which fund the delivery of GRZ's Conservation Farming Extension services, were originally not well coordinated with CFU, resulting in possible duplications in service provision to some farmers, when other farmers are not provided for. This issue was subsequently addressed. (*source: CFU staff interviews)*
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

3.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

3.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The objectives and activities of CAP I are fully aligned with relevant food security policies and strategies as the programme directly addresses the very core of food security, namely achieving far higher levels of crop production (including food crops), and increasing crop diversity and therefore nutritional improvement.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	• Objectives and activities of CAP I are fully aligned with the relevant aspects of Zambia's National Agricultural and Cooperatives Policy 2004-2015 (NACP), its National Food and Nutrition Policy, and the Agricultural Chapter of the National Development Plan. In particular the NACP refers specifically to "*the objective of the land husbandry component is to promote improved and sustainable productivity of farms and agricultural lands. This is achieved by among others the promotion of conservation agriculture and water harvesting technologies".* • Essentially CAP I addresses the very core of food security, namely achieving far higher levels of crop production (including food crops), and increasing crop diversity and therefore nutritional improvement. • (Source: Project Document pp.17-18).
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	• N/A – because updated GOZ Policies and Strategies are available.

3.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The project has been coordinated with national & other donor-funded food security programmes, but not very successfully, and there have been tensions and overlaps (see I-121). This has subsequently been largely resolved, but needs monitoring in the future as the next donor programme is being launched (FISRI).

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded	The project has been coordinated with national & other donor-funded food security programmes, but not very successfully. There were initial tensions with the CAASP project (NORAD Funded) and then the FISRI Programme (EU funding), where 'competitive programmes (executed by MACO) were set up in the same Districts to deliver CF Training and adoption support – but theoretically to farmers in areas not covered by CFU, therefore no duplication.

food security programmes/food security platforms (if available)	CFU allege that that CAASP in particular mainly either duplicated the training to farmers already trained by CFU, or worse persuaded farmers to sign training registers without receiving training. The Noragric monitoring report highlights that the lack of coordination between CAP I and CASPP was obvious. Furthermore "*incentive structure was also not the same in the two programmes which led to farmers selecting the programme which can give the best incentives, or they benefited from the incentives of both programmes. " (source Noragric report 2012)*
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The Project Document has a strong focus on identifying weaknesses / gaps and then filling them. Section 2 identifies the causes and consequences of Food Insecurity in Zambia using three pages, and Section 4 Programme Rationale then links the programme's interventions to the these causes. The programme design then follows the programme rationale. (Project Document – Pp. 6-9, 14-/15 etc.).
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	No information available. The CFU noted that the project elaboration of CAP I had been done in extensive collaboration with relevant stakeholders.

3.1.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The Programme reflects strongly the priorities and needs of final beneficiaries.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The Programme does reflect strongly the priorities and needs of final beneficiaries. Confirmed in discussions with five beneficiaries at their farms in two Districts.

3.1.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

3.1.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The programme design and activities were fully focussed on increased food availability in 12 targeted districts.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The Project Document makes a series of general references to the parlous state of food production, food security and distribution, including future prospects, at National (but not subnational) level. These comments are usually supported by appendices, e.g. Appendix 1 - The Seasonal Hunger Gap Appendix 2 - Seasonality of Maize Prices Appendix 4 - Domestic Maize Production Volumes and Prices.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	This is the purpose of the entire programme. The stated objectives of increased food production, i.e. 120,000 farmers increasing their farm production by 40%, (66,000 new adopters + 53,000 baseline adopters) seems reasonable and achievable at the commencement of the programme. • Indicator/target: "After five seasons, 60 000 farmers, of whom 30% are females, in programme areas have increased their whole-farm production by 40%" • Indicator/target: "After five seasons 60 000 farmer, of whom 30% are females, in the programme area are producing 25% more cereals, legumes and cotton for sale, whilst still satisfying the household's food needs.

3.1.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The programme activities were fully likely to lead to increased food accessibility, through an increase in food crop production and the establishment of "food security gardens" as well as to enhanced purchasing power of the households through the growing of cash crops.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	The Project Document's only direct reference is the reference to the paper "Household level Financial Incentives to Adoption of CF Furthermore, IMCS baseline study 2007 covered aspects of household income, household assets (agricultural equipment and livestock) or the housing situation of the farmers in the programme area.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals	This is one of the prime purposes of the entire programme. The objective of the programme is for 120,000 farmers (both lead farmers and adopting farmers) to increase their farm production by 40%, and if achieved this would indeed contribute to increased level of food accessibility at households and individual levels. Furthermore, food crop production for sale, the programme encourages HH (especially women) to grow food crop

per day) at households/individual levels in targeted areas	for HH diet needs, by promoting "food security gardens": • Indicator/Target of the programme is "18,000 female farmers have their own food security garden"
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	This is one of the prime purposes of the entire programme. One of the expected results, stipulated in the Project Document, (page 41) is that 66000 farming families achieve a 40% increase in income from sale of crops after satisfying household food needs. The additional crops to be grown include cassava, sweet potato, and beans (legumes). • Indicator/Target of the programme is: "that "20% of the 330,000 farming families (equivalent to 66,000 families) in project areas receive a 40% increase in income through the sale of crops after 5 seasons, whilst still satisfying the households' food needs"

3.1.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

This CAP I programme will most certainly lead to a substantial increase of food stability over time, as 60 000+ farmers' output and crop diversity increases substantially, and more and more farmers join the programme.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	The IMCS baseline study of 2007 measured the proportion of farmers that have received food relief (from various organisations) in the last year. Survey results: 44,8% had access to food relief. 29% reported having received food relief in the last year, 12% in the last 2 years, and only 3,7% in the last three years. Geographical differences were highlighted
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	This is one of the prime objectives of the entire programme, as food production increases and the resilience to drought conditions increases (as a consequence of the 'seed basin technology'). One expected result contained in the Project Document is the elimination of food shortages for the 66000 expected adopters. (page 41).

3.1.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

Increased production might contribute to improved nutritional status, **b**ut the programme itself had no activity targeting nutrition specifically. It is likely that a better nutrition status is an indirect outcome of the programme, through production and diversification of food crops.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	The IMCS baseline survey does not contain data on nutrition. The Noragric researcher did include in their baseline study as indicator the number of meals per day.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	The project aims at promoting crop diversity for both the health of soil and for food security and nutritional balance. Cassava, sweet potatoes and legumes are specifically promoted for their richness in protein. Improved nutrition status is an impact indicator of the programme, however, no specific action specifically targets nutrition (e.g. awareness raising on nutrition issues for vulnerable groups) • Indicator/Target of the programme is "Within 5 years 20% of the farming families in project areas have sufficient farm-food available of adequate nutritive value to satisfy the household needs between October 1 and April 30"

3.1.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

3.1.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Both IMCS and NORAGRIC report substantial increases in food availability in their detailed M&E reports. It is difficult to compare the figures in the two sets of M&E reports, as different samples, research methods and reporting formats have been used. The details below set out some of the significant increases reported.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	According to the Noragric report: "the average production of the major crops has increased from 6,557 kg in 2006/2007 season to 7,631 kg in the 2009/2010 season. Maize yields have increased for CA, but since the area under CA is still small, this does not translate into higher total maize production at the farm level. N*oragric reports aclear increase in production for sweet potato (+191%), cassava (+1100%), cowpeas (+102%), groundnuts (68%) and soybeans (+73%). The actual production increase was highest for groundnut which*

increased from 330 kg to 557 kg during the four-year period." (source: noragric report 2012).

The IMICS survey highlights an increase in maize production (in bag per households). It further makes an assumption that yields were at 5.1 metric tonnes (MT) for hoe-CF and at 8.4 MT for ox-CF.

> The 2010 survey shows that the beneficiaries in the study produced a total of 132, 495 (50kg) bags of maize in the *2000/2010* farming season. The overall production per household averaged at 55 bags (50kgs). The production was highest in the Southern region averaging at 67 bags (50kgs) and, lowest in Western region averaging at 45 bags (50kgs) as shown at *Table 10* overleaf.

The IMCS survey also suggest that yields has increased especially for small-scale farmers, ie. producing less than 1MT of maize.

The Noragric also looked at the yield level and the labour demand and compared different CA methods and found that CA gives a better yield than conventional agriculture: "*The survey results of 129 farmers showed yield levels of 1.8, 5.2, 2.3 and 3.8 tons per ha respectively for hand-hoeing, planting basins, ripping and ploughing (Umar et al. 2011).*

- ***On-station experiments*** *by Golden Valley Agriculture Research Trust (GART) showed yield levels of 4.0, 6.3, 5.3 and 5.5 tons per hectare for hoe tillage, basin tillage, ripping and ploughing respectively (Umar et al. 2011).* ***This shows that yield levels in basins are in principle consistently higher than yield levels in other tillage system****.*

As highlighted by the MTR (2011), all this translate into an increase of production; however 2 important and meaningful outcome indicators for the agricultural sector have not been measured by the 2 research teams, cf. as follows.

> In the agricultural sector, the most meaningful efficiency measure is productivity, i.e. yield per unit resource, per ha, per man-day, or per tractor hour. The core activity of CFU is to increase yield per man-day and to increase yield per hectare, for specific crops. The principal development indicators for CFU should therefore be:
>
> - change in yield per man-day
> - change in yield per hectare
>
> These two simple indicators are the only two meaningful measures, for a number of crops, for accessing the efficiency of the overall delivery of CFU performance to farmers. However, there is no mention of such figures in the CAP I documentation.

3.1.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

The introduction of "food security gardens" are likely to have influenced the accessibility of food in the HH (however those cannot be directly attributed to the CAPI support). Interviews and direct observations with a total of five beneficiaries in two districts, at their farms/homesteads, support this assumption and showed ample and varied food stores and livestock.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	The introduction of "food security" gardens, managed by women is likely to have increased the available food per HH. As shown in the MTR, the use of such gardens have increased, however these increase has been done without support from CFU and might therefore not be attributed to the project. Also Interviews and direct observations with five beneficiaries in two districts, at their farms/homesteads, showed ample and varied food stores and livestock.

3.1.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Conservation Farming and Conservation Agriculture practises increase crop resilience during drought periods and the increase in productivity leads to greater yields and therefore food stability. According to the Noragric report, results show that food accessibility has increased, as shown in the reduced periods of food shortage and less use of coping strategy (Noragric report). The main factor contributing to an increased availability is increase of income and food production. The increase of income has translated in an better resilience of livelihood system, e.g. a bigger livestock, more agricultural equipment (hoes, bikes) but also better housing and house equipment (e.g. radio. This must be seen as a direct result of increased food production/diversification of food crops. However, it is not clear what other factors than the use of CA has also influenced this improvement.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	According to the Noragric survey (2012), the number of months with food shortage was reduced from 4.4 months in the baseline year (2007) to 3.2 months in 2010 in the households benefiting from CAP. The reduction was statistically significant (T=5.48, p-value <0.001). Focus group discussants often reported experiencing a reduction in the intensity of food shortage during the common hunger peak period because of green harvest **arising from early planting on conservation agricultural fields.** However, there has practically been no change in the amount of food aid received during these four years. According to the final report CAP (based on IMCS survey), the proportion of CAP beneficiaries that received food relief during the period 2007 to 2010 has however been declining. For example, the proportion that received food relief in the Western region dropped from 4.8% in 2008 to 2.2% by 2010, while those in the Central region had dropped from 12.1% in 2007 to 0.3% in 2010.

I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No explicit evidence seen. However the very nature of the programme, and its success in uplifting production by factors approximating 400%, strongly implies that the need for 'coping strategies' is diminished or eliminated.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	**Income increase** and creation has been one of the main objective of the project as stated in one of the indicator: *"produce 25% more cereals, legumes and cotton for sale while satisfying the household needs within 5 seasons for, 60,000 farmers, of whom 30% are women"* According to the Noragric report there is a significant increase of income among the farmers benefiting from CAPI in comparison to CAP-farmers: "*Income from crops has increased from 1.6 million ZMK in 2006/2007 to 2.47 million ZMK in 2009/2010 representing a 54% increase in income from crops. For non-associate farmers the income from crops increased from 3.31 to 4.10 million ZMK in the same period, representing a 23% increase in income from crops. The income increase is therefore clearly higher for CA farmers.* According to the Noragric monitoring report, 2012, farmers **could accumulate different forms of assets** during the project period: *"Farmers have furthermore been able to accumulate capital in the form of own* **farming equipment, livestock and improved houses** *during the period. (..)* *In 2006/2007 about 8% of the households owned a* ***chaka hoe*** *whereas in 2009/2010 about 32% owned one. The ownership of a ripper increased from 3 to 13% during the same period)."* Also the **livestock increased**: *"There is a slight increase in farmers' ownership of cattle during the project period. 41% of the households owned cattle at the beginning of the period while 49% owned cattle at the end of the period (. The number of heads of cattle per household increased from 3.0 to 4.1*. " The **housing situation** of the farmers improved: "*The households have also improved their houses during the period. Households having a roof with corrugated iron sheets increased from 23% to 34% and a similar trend was observed for having a cement floor. The number of households owning a mobile phone increased from 19% to 62% and ownership of a TV increased from 16-26 %.*" Still quoting the same report, household income income has increased by 62% from 2006/2007 to 2009/2010. However, this increase has mainly been achieved in the last year of the survey. Crop production is the still main source of income for farmers. Household income from crop production, livestock production, wage for agricultural work and non-farm income represents 62, 11, 2, and 25% of the total income respectively. There was a decrease in the income during the 2007/2008 year due to flooding. (source: Noragric report 2012) IMCS data reports that 48% of the maize production was sold and income from the sale of maize averaged to 1.8m

	Kwatcha If it is assumed that each household requires between 0.75 and 1 MT of maize for domestic consumption per year, this analysis indicates that about 72% of the farmers were producing marketable surpluses which they could sale for cash incomes. All the farmers There is a clear trend showing an increase in the proportion of farmers cultivating their fields using draught power whilst also practising CF/CA, indicating increased investment in agricultural assets. This can only occur where the farmers are generating sufficient returns from agriculture. In addition, the proportion of the farmers requiring food relief declined to near zero levels in 2010 (i.e. less than 1%) as against between 5 and 12% recorded in earlier years. The highest proportion of households requiring food relief were in Western region which recorded at 2.2% the sample in 2010, attributed. On average, around 48% of the maize grown was sold for cash income. Farmers in Central region proportionately sold nearly 60% of the total maize production for cash income. The 2010 survey established that agriculture was a significant source of household income, i.e. about, 87.3% of the total survey sample were reliant on farm income from agriculture to meet more than 75% of their needs. This dependency was more prevalent in the Easter and Southern regions. It however also indicated that households are finding agriculture as a viable source of sustained incomes.

3.1.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No data could be found. However, because of the increases in yields and crop diversity it is reasonable to assume nutritional well-being will have been significantly enhanced.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	• No data available on underweight, etc. However, the programme's success in achieving major increases in production strongly implies that there will have been a decrease in the number of underweight/stunted/wasted children and/or an increase in adult Body Mass Index. No information available in the IMCS/Noragric survey nor the MTF or final report The Noragric 2012 report provides information on nutrition (gathered through a 24 hour of recall of food items) which shows that the number of meals per day including pulses increased from 0.6 in 2007 to 1 in 2010 and the percentage of households having a diet with pulses steadily increased from a baseline 46% to 62% in 2010 According to the report, this seems to be the result of a more diversified crop production and growing of crops with more proteins. E.g..tuber production was in 2011 more than 1 ton per HH and the number of farmers growing cowpeas had increased 22-46% during the project period while the corresponding numbers for groundnut was from

	63 to 88% .

Cluster 2: M&E and Documentation

3.1.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

3.1.4.1 Appropriateness of programme M&E design

The logframe of the CAP I presents several shortfalls, related to the formulation of the objectives and especially the formulation of the indicators.A complex M&E Design, relying on internal data collection as well as external data collection was elaborated for the CAP I. However, the team assessed that it was not sufficiently robust for a programme of this nature and size, with several shortcomings as indicated below. In addition the M&E design never envisaged keeping verifiable databases on individual adopters, their CF/CA hectares, their crops and yields, and so results have been hard to measure, and have relied on periodic sample surveys on the same sample population; thus, not capturing new adopters. The criticisms addressed towards the M&E system have been taken into account in the design of the CAP II programme (start mid-2011).

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	The logframe shows only one objective at impact and outcome level before listing a long list of 8 outputs and further activity. In order to have a logical chain, more objectives e.g. 1 per output might be useful. According to the MTR : "*The way the development objectives (=impact) has been formulated, quite a lot has been expected, all at the same time. In fact the development objective contains more than one objective (..) there seem to be five objectives. Not necessarily all of them can be easily combined, some might even be contradictory.* Three indicators are not gender disaggregated indicators. There are no indicators that clearly outline the profitability of agriculture or environmental regeneration, although both these issues are mentioned in the goal. T
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	The CAP proposal plans a multiple layer monitoring and evaluation system. • **Evaluating and refining the efficacy of technologie**s: this will be done by GART • **Monitoring the Delivery of programme activities**: this will be done by contact farmers, farmers coordinators and field officers and regional manager through reports produced after each training session. In these reports, gender aggregated data are collected. Furthermore a qualitative assessment of each demonstration lot will be done. Random checks by CFU are foreseen. • **Evaluating the impact and achievement of the programme objectives**: • MACO is responsible for the achievements related to Cassava, Jatropha and Faidherbia (with 75 camp and block officiers).

	• Logframe evaluation: UMB. Also responsible for the baseline survey The oversight of the monitoring is done by CFU. In practice, the data collection for project activities does not seem to be gathered, reported and followed up systematically. It is unclear how outcome and impact data is gathered internally. As concerns the monitoring of programme's impacts, an external monitoring system has been set up, a "research-based monitoring system". Data collection are performed by Noragric (Norwegian University of Life Sciences). Furthermore, CFU decided to contract a local company to complement the M&E system established by Noragric, IMCS. "*Noragric was given a role at the beginning of the project in relation to design, establishment and implementation of a comprehensive monitoring and evaluation system. Noragric selected about 540 farmers in the first season (later reduced to 440 due to drop-outs) and these farmers were followed through 4 seasons. In addition to a large survey, more specialized surveys were undertaken on labour use, the economics of CA, CA and soil quality, yields in CA and the effect of the Faidherbia albida tree on soil properties. CFU also hired a Zambian consultancy firm (IMCS) in order to include a larger number of farmers. Noragric has met with CFU in an annual meeting to discuss the output from the project and the implications of the findings for project implementation. It is difficult to assess to which degree these recommendations have been taken on board by CFU."* (source: noragric report 2012) CFU does not have an internal M&E unit. According to CFU the reasons for not having a in-house M&E were the following: "*From the inception of CAP I&II the CFU did not attempt to have its own comprehensive in-house "M&E" section as experience suggests that internally generated data with potential for bias would not withstand professional scrutiny in the wider scientific community* The CFU, with the approval of RNE, thus opted for an independent assessment, originally by Noragric and augmented by IMCS as the scope of investigations by Noragric was deemed to be rather narrow.*."* (comments CFU) From what the team saw, it assessed that the data collected was not driven by an original robustly designed M&E framework. The shortfalls of the M&E system of CAP I have been recognised and changed for the CAP II.

3.1.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The Internal M&E strategy and implementation has unusual characteristics, in that different elements are contracted out to two differing firms, and no internal M&E function exists. While outcomes are measured, neither firm measures or confirms outputs or impacts. In particular the number of individuals attending training has been greatly overstated in that one farmer will attend at least four trainings to complete the course (and some will also repeat some training sessions to refresh their knowledge, or learn new techniques); thus the same farmers are counted each time they attend a training, meaning that they are counted between 4 or 5 times. Data reported (some 520 000 attendances at training) imply that this is the number of trained farmers. The number is likely to approximate 120 000. In addition

relationships between the two firms are such that there is no coordination, and Noragric's relationship with CFU is strained, with insufficient communication. The overall M&E function is not sufficiently well organised and operated.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	Funds have been made available to two independent consulting firms to conduct M&E (3.6 % of budget). These firms contract a number of enumerators for data collection. Internally, funds allocated to M&E are not clear as no clear M&E system/staff/department is in place. A Data Management system was introduced by CFU but data input stopped being utilised due to human resources constraints.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	With regards to the "internal" monitoring. the data gathered on the project activities output seemed not to be reported and followed up systematically. The data gathered are on outputs only (number of trainings facilitated); however and seemed not to be used for aggregation. With regards to the external monitoring system timely yearly reports produced by IMCS, Noragric and CFU. These reports refer to gender disaggregated data, but not for every indicator. Several problems arose with the external monitoring system/data collection As highlighted by the MTR, some very relevant indicators (changes in yield per hectare and changes in yield per man day) have not been collected. The relevance of the annual surveys and reports could therefore be improved. Furthermore, the reports produced by IMCS only reports on outputs, discussing of outcome (rate of adoption) and impact is not done (food security and environmental impact). Noragric study of 2012 addresses however the question on adopters, see discussion under I722. Noragric was intended to also capture CA's impact on the soil; the quality of this data collected was questioned by CFU. However, the methodology used by Noragric in the soil sciences studies have been published in international journals as well as assessed by a PhD committee. IMCS produced reports that show the outcomes of the project; however, the impact analysis could be improved. Note that IMCS was not contracted to monitor the outputs. Furthermore, several problem arose during the survey implementation such as discrepancy in data from one year to the other in the IMCS resulting in a change of the enumerators. (from MACO extension officers to university students). Different other weaknesses of the sampling are made evident in the 2010 report. The embassy recognize that due to problems in the M&E system important aspects of the CAP I were not captured.

3.1.4.3 JC 43 Adjustment of programme design and/or implementation modality

The recommendation of the MTR and the final review of CAP I have led to changes in the CAP II design (logframe and M&E system).**Evidence on indicator level**

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	The problems of the M&E system were made evident and changes made, e.g. changes of enumerators in the IMCS survey. Furthermore, the weaknesses of the programme design (logframe) and the M&E system have been acknowledged and taken into account in the design of the CAP II. According to CFU, CAP II puts *"emphasis on increasing hectares by adopters in addition to increasing numbers of adopters. Under CAP II, the CFU has also expanded into new areas within existing Districts"*

3.1.5 EQ5: To what extent have programme results been documented?

3.1.5.1 JC 51 Availability of documentation of results

CFU provided all yearly and mid-term reviews by them produced, IMCS and Noragric reports as well as Orgut's report and Conor Carney's report from Tufts. IMCS produced yearly surveys to the same population group tracking socio-economic results due to CF/CA and some indicators such as the number of adopters, Faidherbia trees planted and extent of crop rotation. Noragric also produced yearly surveys to the same population sample tracking social changes due to CF/CA and partially documenting results in terms of the environmental impact. Mr. Carney produced one report to bring together the results documented by IMCS and Noragric as they reported different findings. Orgut also produced a final evaluation report that discusses the extent to which the objectives were achieved.

The report are well structured and weaknesses discussed. The main problem is the missing data to report on impacts.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	CFU provided all their yearly monitoring reports as well as the reports produced by IMCS and Noragric, plus the midterm review by Quinlan in 2009. The reports show mainly output data and, probably due to the lack of hard data, gives indication on impact changes.(agricultural related =first level of impact and socio-economic impacts (second impact level). The quality of reports could be improved by a better analysis of outcome and impact data. Furthermore, the report structure does not systematically report on all impact indicators of the logframe (probably because there are too many in the CAP I logframe). A systematic reference and comparison to the baseline is only done in the Noragric report, but not in the final 2010 survey report of IMCS. A more analytical reporting and a summary section could improve the quality and readability of the survey report. Lastly, greater emphasis on food security data, profitability data and environmental impact should have been included.
I-512 Existence and quality of	The final monitoring report from Noragric (2012) is of good quality and show results of several years of research. The method of

evaluation reports	data collection seems to be sound and provides output mainly. It tries to give insights on impact indicators, but is constraint by the lack of available data. Hence the report makes careful assumption. The final CAP I report gives a very detailed overview on the input and to some extent output per year. Unfortunately impacts are not reported on.
I-513 Existence and quality of other types of documentation of results	N/A.

3.1.5.2 JC 52: Extent to which intervention results have been disseminated

Dissemination of information has been done on different level: from CFU towards beneficiaries, between the external monitoring institution and towards a wider scientific community. The first can be seen as adequate (although some brochures and handbooks have not been delivered by GART), but no explicit dissemination strategy existed. CFU has managed to spread their CA model within the country through their collaboration with MACO extension officers under CARP and to other countries by collaborating with organisations in Zimbabwe, Malawi and Tanzania. Moreover, CFU has received the attention of some international bodies such as COMESA, SACAU and the World Bank, who has produced a video documentary to report their method of work. The communication between IMCS and Noragric was weak, often inexistent. The dissemination of research results has been done (especially the research done by Noragric), but to a lesser degree than expected. Especially the research done by GART was not published, hence the results were not disseminated further than Zambia.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	CFU has not developed a clear dissemination strategy so far. Moreover, information dissemination was supposed to be done by GART; however, it seems that this partnership has been dormant. Thus CFU dissemination strategy has relied on radio programmes, field days, demonstration plots, training of trainer courses and magazine articles.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	CFU shares individual success stories and these are published in the monthly Zambian Farmer magazine. This magazine publishes these articles as it has a formal contract with CFU. Moreover, CFU maintains an up-to-date website where it publishes articles about conservation farming with a Sub-Saharan focus. The external M&E system of the CAP has been presented at the World Congress on Conservation Agriculture, in a an African conference on CA (Johannesburg), In a conference by IFPRI at in Addis Abeba on food security, in 7 scientific papers, in several meetings in Norway for NGOs and in a regional conference on Climate Smart Agriculture in Zambia. *(source: Noragric)* The Noragric report however highlights; *"The scientific community has lamented over the lack of sound scientific evidence which proves that CA techniques are efficient. Giller et al. (2009, 2011) posed several questions (..) The collaboration between GART and CFU has not been optimal. It appears that the research questions and research design have to a large extent been defined by CFU and that there is limited involvement of GART in this phase. The experiments are conducted partly by GART and partly by CFU. The research results seem mainly to be published in annual reports by GART and there is no publication of the results in national, regional or international journals. This has the consequences that the* ***impact of the results beyond Zambia is very***

	limited. *Stakeholders (policy makers, farmers, donor community) need to be convinced of the positive effects of CA/CF. If major policy makers on agricultural development are not convinced about the merits of the system, they are not likely to invest in scaling up CA. More research is therefore needed the dissemination tools can be seen as appropriate towards the research community.*
I-523 Evidence of articles published, presentations in workshops, conferences	The research done on CAP is published and shared in the scientific community (see 522). The World Bank has produced a video documentary and has partially shared it (available on Youtube). The documentary shows the CA approach and how CFU is organised to achieve a valuable impact in the community. CFU is also considered a leading organisation in Zambia and it is often invited to share their views on farming methodologies by the donor community and other agriculture-focused NGOs. Most importantly, CFU and the Norwegian Embassy have discussed with COMESA the development of a framework to assist member states to adopt CF/CA and it has led to start up interventions in Malawi, Kenya, Tanzania, Uganda and Zimbabwe. The CFU handbook has been translated into local languages. Output 6 of the programme "Information, dissemination, networking and knowledge transfer (GART) had mixed results. No database of organisations promoting CV/CA was created and the yearly distribution of 50 000 technical factsheets on how-to do-it was not done. Handbooks and leaflets were distributed by CFU, though (not GART). According to the MTR, some gaps could be filled by CFU stepping in. *(Source: mid-term review)*
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	No evidence gathered. According to CFU, the CFU in collaboration with GART has established the Conservation Agriculture Association (CAA) which is chaired by MAL with GART as secretariat and with membership including FAO, NGO's and private sector. Its mandate is to harmonise technical recommendations, minimise duplication and keep stakeholders abreast of innovations. CFU is also a member of the CA National Task Force.

Cluster 3: Sustainability and Scaling up

3.1.6 EQ6 To what extent have programmes been sustainable?

3.1.6.1 JC 61 Financial sustainability/economic sustainability

Overall the financial and economic sustainability of Conservation Agriculture is assured, as farmers firstly do not receive incentives to join, and secondly their production and revenue increases, which enables them to become self-sufficient, and afford the necessary inputs.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/	The whole arena of CF /CA has captured the attention of several Development Partners, and there is a major 'competing' programme (CASU – the successor to FISRI) funded by EU. Considering the wide recognition that the CFU enjoys in Zambia

institutions are available for supporting the programme activities after phase out	and the region, as the institution with the most experience in the field of farmer-led extension services and CA, it is likely that new funding possibilities could be found to continue work of the CFU. However, according to MACO, it is not an objective per see to finance CAP, but the CFU adopters, even though those might participate under similar/concurrent programmes or CA financing mechanisms, such as FISRI.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Yes they are because the CFU does not provide incentives to the numerically higher adopter farmers, only knowledge. Increased yields and profits enable adopter beneficiaries to secure the services they require. With regard to Lead Farmers, it is possible that they may be reluctant to provide their training / mentoring services without compensation. However MACO's FISRI programme does provide incentives for Lead Farmers to continue fulfilling their training and mentoring role, and any other successor programme would also need to do so, as part of the cost of the extension effort. According to the Noragric report, farmers can practice CA without any use of input or credit support, but CA would be more sustainable if the input supply system functioned properly. According to the Noragric report some activities have good chances to be taken up by the beneficiaries, such as the cultivation of cassava and sweet potatoes or the use of small plots with basins around homestead for food security purposes.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Commodity prices and exchange rates fluctuate all the time the world over. CF improves productivity and thus insulates farmers from all but the most dramatic fluctuations. CF is increasingly about changing the mindset of beneficiaries so they come to treat farming as a business.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	The beneficiaries are capable of replacing equipment, purchase spares etc. from time to time. The CFU farmers do not benefit from subsidies and are capable of paying the economic cost of replacements.
I-615 Policy changes are not likely to affect programme activities	CF and sustainable farming practices are embedded in national agricultural policies and these are unlikely to change. However if Government cut back on the FRA and FISP subsidy programmes it may well accelerate the adoption of CF, as maize fertilizer and seed subsidies enable farmers to continue with Conventional Agriculture, and they also discourage diversification.

3.1.6.2 JC 62 Institutional and technical sustainability

Long term institutional sustainability of the CFU is not necessarily assured, but should they disappear other institutions (including MACO with support from the FISRI) are very likely to take their place, so overall institutional sustainability is reasonably assured. Technical sustainability is virtually assured as the knowledge and practice of conservation agriculture is becoming increasingly widespread and mainstreamed in Zambia.

Evidence on indicator level

Indicator	Evidence
I-621	See I-611 above. MACO is highly likely to source the required funding from other development programmes (with good chance

Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	of success), or if not forthcoming, start to allocate their own GOZ funds to the continued rollout of CA/CF. According to the Department of Agriculture within MACO, CA/CF is now being mainstreamed as the priority extension service, and will receive Government Funding if donors withdraw. From the MTR (2011) **Institutional** CFU has been set up as a training resource, with demonstration plots and training manuals. It can only be sustainable in this position if other institutions continue to use these services, and even more realistically so if the services are paid for. The only place it may survive in the long term is in the private sector.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	The beneficiaries are farmers and their technical and managerial capacity ranges from excellent through to mediocre as is the case with all farmers. Existing beneficiaries should have no problem. The beneficiaries, both Lead Farmers and Adopter Farmers, have shown conclusively that they have acquired the knowledge and skills needed, and have implemented CA methods successfully, resulting in higher production, more food security and more income. In addition CF is labour intensive in the 1st year, but thereafter the level of labour input returns to normal levels. Therefore there is no incentive to regress to old unproductive methods, and every incentive to continue with the improved CF methods.

3.1.6.3 JC 63 Environmental sustainability

Environmental sustainability is assured as CA/CF methods are designed to minimise damage to the environment or and minimise pressure on scarce natural resources.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	CA/CF methods are designed to minimise damage to the environment or and minimise pressure on scarce natural resources, (and even regenerate them).
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	This is embedded in the core of CA / CF – it achieves climate smart, environmentally sustainable productivity gains.

3.1.6.4 JC 64 Quality of exit strategy

The CFU has not prepared and elaborated a detailed exit strategy in CAP I.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	The CFU has not prepared and elaborated a detailed exit strategy in CAP I. From the MTR: The CAP II Programme is a phasing-out programme that is designed to stop providing support to the CFU after five years. Unless some other donor steps into the picture, CFU might very well cease to exist. Considering the strength of CFU and all the efforts that have gone into building a fully operational extension organization that is up and running, staffed with hundred of competent staff, and in demand, it is of course irrational to plan for its closure. The hope seems to be with the private sector, but that might not work as all experience indicates that farmers are reluctant to pay for extension services. The Team hopes that some solution can be found to keep it going. In the meantime, CFU might be losing key staff, chasing secure jobs elsewhere. The Team would like to urge CFU to be more concerned over its own survival.

3.1.7 EQ7 To what extent have programmes lent themselves to scaling-up?

3.1.7.1 JC 71 Appropriateness of programme design for scaling up

Scaling up was intrinsic in the design of the CFU II programme, both in terms of number of 'adopting' farmers, as well as in innovations in enhancing farming methods.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The CFU is constantly seeking innovations to boost farmer's productivity and many have been introduced over the past few years. CF is about continuous innovation and seeking additional marginal benefits for farmers. Ways of scaling up are consistently being considered, and executed. The CASU programme being a prime example, as well as the CFU-CARP Regional programme under which the CFU will be working with partners in Uganda, Kenya, Malawi and Tanzania.

3.1.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The extent of scaling up has been commendable, with probably / approximately 60 000 – 70 000 farmers now adopting conservation farming. This figure is laudable even if it falls short of the estimate given in the end of programme report (170 000 farmers). The disparity reinforces the need for a census to be conducted of adopters and a formal internal M&E function to be set up.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	There are numerous success stories, and success stories are built into the promotion of the CA/CF and into the training methods. However the identification of sound committed partners is also key to the success. According to the final CAP report, Norway approved funding (4 million NOK) to start pilot CA activities in Mkushi and Mongu Districts, provide technical support to WCS/COMACO, and engage a financial institution to mitigate the financial risks for importers of CF equipment). In 2010, in response to popular demand and in support of COMACO, the CFU expanded its sphere of operations into Lundazi district. The expansion into Mkushi represented a MACO/CFU pilot aimed at exploring the possibilities of greater collaboration with MACO. The structure of the involvement worked along existing MACO extension lines, but using a compressed model of the lead farmer system. In Mongu, the aim was to tailor the standard CAP technical advice to a slightly different agro-ecological zone.
I-722 Evidence of an effective learning process with a high adoption rate	CF involves an intensive learning process, and a change of paradigm within complex social factors. Under such circumstances the adoption rates of 30 – 50%+ are laudable. According to the Noragric survey 2012, 71% of the 120.000 targeted farmers of the project practiced CA in 2009/2010. CA.: *"The average area under CA among all the sampled farmers is 0.52 hectares representing about 26% of their cropped land. For those practicing CA the average area under CA is 0.78 hectares. The area under basins is 0.52 hectares for farmers practicing this method whereas ripping is practiced on 1.21 hectares for farmers using this method. The number of farmers practicing basins has increased from 22% in 2006/2007 to 58% in 2009/2010. The corresponding numbers for ripping are 3% and 21%. The average cultivated area is about 2 hectares per household and there is no significant difference between CA and non-CA farmers in the total size of land area. It appears that it is the poorer farmers that have adopted CA as the CA adopters have 24% less income than the non-CA adopters. In addition, CA adopters have 20% fewer animals per household and 34% fewer oxen per household. Those who possess oxen seem therefore more likely to continue with conventional tillage."* (source. Noragric monitoring report 2012). The study gives furthermore interesting explanations on the factor for adoption: *"Access to labour also has a role in the adoption of CA. CA farmers have 54% more access to labour per hectare. It also appeared that previous participation in CA programmes had a positive influence on the uptake of CA. CA adopters with previous*

	experience in minimum tillage before CAP1 accounted for 38% of households while non-adopters with previous experience before CAP1 in minimum tillage accounted for 8%. CA adopters also seem to be better organized than non-CA farmers as they are members of more agricultural organizations. The access to credit to farmers has been reduced over the period. CA farmers attend nearly twice as many CA trainings as non-CA farmers, but even non-CA farmers attend on average 1.6 trainings per year. It seems therefore that many attend CA training without necessarily making use of the technology. CA farmers consider the training as the most important source of information on CA. "
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	The Government and other donors, particularly the EU, are in (and have been in) the process of scaling up CF / CA. In addition the private sector has been extremely responsive of playing their part in strengthening the supply chains

3.2 Zambia: Community Markets for Conservation (COMACO) Phase Two: Scaling-up Across the Luangwa Valley (ZAM-06061)

General Data

Intervention title	Community Markets for Conservation (COMACO) Phase Two**:** Scaling-up Across the Luangwa Valley
Agreement partner (name)	WCS – Wildlife Conservation Society of Zambia
Type of agreement partner	Initially an NGO (Source: Agreement Summary Report), but from 2010 COMACO was incorporated into a fully registered non-profit company (Source: COMACO 2010/2011 Program Annual Review: A consolidated review of WCS Zambia, COMACO Ltd, and CTC Corporation p.4)
Agreement nr.(s)	ZAM-06061
Country / region	Zambia, Southern Africa
Implementing partner	WCS – Wildlife Conservation Society of Zambia Contac person & contact detail: Dale Lewis: Chief Executive Officer, email: dlewis@itswild.org or dlewis@wcs.org
Programme officer:	Imakando, Liane Moosho (Agreement Summary Report)
Extending agency	Royal Norwegian Embassy in Lusaka Contact person & detail: Mr. Jan Erik Studsrød: Jan.Erik.Studsrod@mfa.no
DAC Sector	Main Sector:311– Agriculture; Subsector: 91 – Agriculture Services (Agreement Summary Report)
Intervention start & end dates	Originally planned 2009-2014 (Agreement Summary Report).
Budget Approved amount Agreed amount Disbursed amount	NK 52.000.000 (Agreement Summary Report) NK 52.000.000 (Agreement Summary Report) NK 33.963.552 (inventory data base, until 2011)
Main stakeholders e.g.	Zambia Wildlife Authority (ZAWA); the Forestry Department; Department of Agriculture; Department of Cooperatives; Veterinary Department; Department of Community Development; Local Government; Local District Councils; individual members of parliament representing constituencies where COMACO operates; Development Aid from the People to the People (DAPP); Chiefs in the Chiefdoms where COMACO operates; institutions that offer technical support; funders of COMACO like Royal Norwegian Embassy, UN World Food Programme (WFP) etc (Source: COMACO 2010/2011 Program Annual Review; p. 14 and field interviews).
Number of beneficiaries targeted	**45.415 total COMACO members** (2010/2011), from which **672 are lead farmers**. The COMACO extension model is based on lead farmers and participating farmers organised into producer groups; using farmer field schools and demonstrations for training. (Source: Mid-term Review, 2011).
Intervention description	Operating as a food-processing and agro-marketing company and with support from the Royal Norwegian Embassy, the COMACO project links small-scale farmers to market-based incentives through a process that encourages environmentally-friendly livelihood practices. The strategy relies on a near vertical integration of farm commodities to finished food-processed products that offers producers sufficient market incentives to affect these behavioral changes. This also relies on an approach that builds a low-cost farmer extension organization around large numbers of farmers structured into farmer producer groups for facilitating a more rapid uptake of new skills for a more resilient adaptation against climate change and market perturbations. Additionally, it operates on a landscape scale that will improve the protection of biodiversity and watershed resources, reduce carbon emissions, and reduce fallow periods for increased sustainability of farm yields and non-timber forest products. (source: MTR Final Report 2011), COMACO 2010/2011 Program Annual Review: A consolidated review of the joint program of WCS Zambia, COMACO Ltd., and CTC Corporation, p. 4)
Programme background & history	With eight years of pilot testing this model throughout much of Luangwa Valley and with a growing body of evidence confirming its effectiveness, COMACO offers a self-financing approach for sustaining increased food crop diversification, household food security, household incomes, and a continued pathway for improving farmer-based land use practices. (source: MTR-Report 2011).

Overall objectives/ Goal	"To realize a healthy Luangwa Valley ecosystem maintained by ecologically safe markets that sustain and integrate social, economic and environmental benefits for resource-poor households in order to increase the resilience of rural people to the effects of climate change and global market perturbations" (source: Agreement)
Specific objectives	• To implement a scalable business model that drives households to collectively and responsibly work together as a community to sustainably increase food and income security through improved resource management and farming practices that promote healthy ecosystem functions and improved conservation of renewable resources across the Luangwa Valley ecosystem. • To provide a well-developed institutional capacity by programme staff and local stakeholders to build broader applications of COMACO under existing national policy frameworks while disseminating results, best practices and lessons-learned for informing potential partners how to replicate the model elsewhere. (source: Agreement and COMACO Phase II Expansion Logframe)
Expected results	• Improved trends for healthy ecosystem functions and conservation success driven by fully sustainable COMACO markets in the east and progressively growing markets in the west that sustain increasing levels of household food security and income • Increased capacity and synergies among COMACO actors to build added value benefits to conservation, markets and lessons learned for promoting adoption of COMACO elsewhere. (source: Agreement, COMACO Phase II Expansion Logframe)
Main activities (specify agri. Activities for envir. Interventions)	• Conservation Farming (CF) and improved farming practices • Crop production facilitation through input and tools distribution for Rice, groundnuts, Soyabeans, and Maize • Commodity processing and marketing - Rice, groundnuts, soya beans, some maize, honey combs, and traditional mushroom • Promoting alternative livelihood activities (Bee keeping, Winter Vegetable Production, Small livestock Production (goat raring and poultry), Traditional mushroom preservation, Fish farming • Training in Nutrition, Health and Family Planning • Tree Planting and Agro-forestry • Poacher transformation (source: MTR Final Report 2011, Staff interviews, Beneficiary interviews)
Process on track? Main difficulties/challenges	The design of Phase 2 includes the expansion of COMACO's activities from the east side of the Luangwa Valley to the west to include areas adjacent to both the North and South Luangwa National Parks. The Consultants conclude that this expansion is entirely appropriate and has resulted in a coherent model for the development of the Luangwa Valley. The findings of the MTR indicated: • the concepts, staff and performance of COMACO are exceptional; • COMACO is perhaps the first organisation to process much more than words in the GMAs; • COMACO is the first organisation to link effectively environmental conservation and smallholder livelihoods development in the GMAs; and, • COMACO's level of sustainability as a donor-funded project is high. • COMACO has the capacity to become a great company: if it is prepared to embrace the market and to take and follow-through the difficult managerial decisions required to achieve the financial sustainability and commercial success necessary to drive and give credibility to its social development goals. However, it should be noted that such a transformation has not yet been achieved successfully in Zambia.(source: MTR Final Report 2011) Main difficulties/challenges: 1. COMACO is a new model which means there is learning which is still going on both by the partner and the donor (Source: Interview with RNE) 2. Sustainability – The co-existence of the business side and the social public good side of the model makes the sustainability of the business component a complex issue, though there is need for clear strategies to distinguish the sides of the model. (Source: COMACO staff interviews at HQ, and RNE) 3. Replicability or scalability of the model – Though currently, the COMACO model is attracting investments from donors due to its impact on the ecosystem and food security, it is yet to be replicated as a Zambian model in other areas outside the Luangwa Valley (Source: Interviews with the RNE)

	4. COMACO activities and results are not known by some NGOs and some relevant government ministries at national level such as the Ministry of Environment and Natural Resources and the Ministry of Agriculture but popular at district and provincial levels. There is need for COMACO to dialogue more with other relevant stakeholders. (Source: RNE and Ministry of Agriculture and Livestock at national level). 5. How to address gender issues in project where 51% of the farmers in the Project are women. Need for gender disaggregated data on each indictor not only on the number of farmers. (Source: 2011 Annual report; RNE) 6. High administrative costs due to expansion which requires more staff, and use of Lead Farmers (LFs) who require to be motivated with a bicycle, t-shirt, and free seed to use on the demonstration plots each is required to establish. (Source: Interviews with COMACO Head Office staff)
List of available documentation for the intervention	See bibliography

Cluster 1 : Contribution to Food Security

3.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

3.2.1.1 JC 11 Alignment with partner country food security policies/strategies if available

Project is aligned with food security policies/strategies: the National Agricultural Policy: 2004-2015, the Agricultural Sector Chapter of the The Fifth National Development Plan: 2006 – 2010, and the National Food and Nutrition Policy of May 2005.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	Aligned with: a) The National Agricultural Policy: 2004-2015 whose aim is "*to facilitate and support the development of a sustainable and competitive agricultural sector that assures food security at national and household levels and maximizes the sector's contribution to Gross Domestic Product (GDP)"* and its specific objectives b) The Fifth National Development Plan: "*Thus tackling poverty requires that adequate environmental protection and natural resource management systems are put in place.*" (FNDP: 2006-2010 page 302). c) The immediate and specific objectives of the National Policy on Environment, May 2005, page 17. *d)* The objectives of the National Food and Nutrition Policy of March 2009 (p.34*)*
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	COMACO is aligned with some Millennium Development Goals (MDGs): Goal1 is "*Eradicate extreme poverty and hunger";* Goal 7 is *"Ensure ensure Environmental Sustainability"* (Source: MDGs Zambia Status Report, 2005*)*

3.2.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The Project is coherent with national food security programmes and programmes of other donors in that it promotes increased yields through use of CF methods, crop diversification, value addition for increased income, and alternative sources of livelihood that are environmentally friendly.

Evidence on indicator level

Indicator	Evidence
I-121	• *WCS will facilitate synergies among a broader set of partners, including District and Provincial Government Authorities, traditional leaders, and local NGOs.*(Project Document, p.6)

Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	• The COMACO Project collaborates with the Fertiliser Input Support Programme implemented by the Ministry of Agriculture and Livestock, the Food Security Pack Programme implemented by the Ministry of Community, Mother and Child Development, and the EU-funded DAPP Food Security Project for People Living with HIV in Serenje. Others are the WFP, the World Bank funded Agricultural Development Support Programme; and District Development Coordination Committees (DDCC). (*Source: Interviews with COMACO staff, DC, DACO, MCMCD staff, DAPP staff).*
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The Luangwa Valley is a national treasure, but it is also an ecosystem increasingly threatened by the way local farmers use their land to seek relief from hunger, poverty and diminishing resources. These practices have led to large-scale land and resource degradation. Growing threats from charcoal-making have stripped away vast areas of forests, and increasing reliance on chitemene farming to grow millet has escalated deforestation due to lack of alternative food crops and better ways to farm. ...Luangwa Valley is at a critical juncture where its fate will increasingly depend on a rural development approach that can successfully bridge food, income and energy needs with conservation requirements of the surrounding landscape..., hence the development of the Community Markets for Conservation (COMACO) Approach. (Source: COMACO Phase II Project Proposal, 15th January 2009; Refer also to COMACO Phase II Overview dated 18th May 2011).
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	WCS's COMACO Project has been linked to other programmes/institutions that are also supported by the Royal Norwegian Embassy (RNE), the Conservation Farming Unit (CFU), and the Non-Governmental Organisation Coordination Committee (NGOCC). The COMACO Phase II Project also collaborates with the Common Market for Eastern and Southern Africa (COMESA) for food security clustering which involves promotion of cassava production, the World Bank funded Agricultural Development Support Programme (ADSP) for soy innovation, ZAWA on poacher transformation, WFP, Care International and USAID. At district level, stakeholders develop work-plans together and coordinate their implementation to avoid duplication. (*Source: Interviews with COMACO Head Office and field staff, Serenje District Agricultural Coordinator – DACO, and other district stakeholders*).

3.2.1.3 JC 13: Relevance of project intervention according to final beneficiaries

Poachers willingly surrender guns and wire snares for them to be trained in alternative livelihood skills while poor, food insecure families are trained in sustainable agriculture practices grow crops they choose.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	Poachers willingly surrender guns and wire snares for them to be trained in alternative livelihood skills while poor, food insecure families are trained in sustainable agriculture practices grow crops they choose (FGDs with beneficiaries). "*Participants choose the crops they grow and are encouraged to diversify their income sources*." (Source: S1 Appendix to COMACO Phase II Overview of 18th May 2011: Fig S1B: Summary demographic and food security statistics of inhabitants of the Luangwa Valley, page)

3.2.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

3.2.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The Project promotes increased food production, outcome 1.7 is to increase depot-level production for key food (cash) crops by 40% (Source: Project Logical Framework).

Evidence on indicator level

<table>
<tr><th>Indicator</th><th>Evidence</th></tr>
<tr><td>I-211
Existence of and reference to adequate analyses of food production and its projection at national and
sub-national levels (targeted areas)</td><td>The table below shows the national food crop production trends for selected crops from 2008 to 2011 (MT)
<table>
<tr><th>Year</th><th>Maize</th><th>Rice</th><th>Groundnuts</th><th>Soya beans</th><th>Cassava</th><th>Sweetpotatoes</th><th>Sorghum</th><th>Millet</th></tr>
<tr><td>2011</td><td>3,020,380</td><td>49,410</td><td>278,775</td><td>116,539</td><td></td><td>146,614</td><td>18,458</td><td>41,602</td></tr>
<tr><td>2010</td><td>2,795,483</td><td>-</td><td>163,733</td><td>111,887</td><td>-</td><td>252,869</td><td>27,732</td><td>47,994</td></tr>
<tr><td>2009</td><td>1,887,010</td><td>41,929</td><td>120,564</td><td>118,794</td><td>-</td><td>200,450</td><td>21,829</td><td>48,967</td></tr>
<tr><td>2008</td><td>1,211,566</td><td>24,023</td><td>70,527</td><td>56,839</td><td>1,160,853</td><td>106,522</td><td>9,992</td><td>33,934</td></tr>
</table>
Source: Agricultural Statistics and Early Warning Unit, Ministry of Agriculture and Livestock (formerly Ministry of Agriculture and Cooperatives)
The latest Living Conditions Monitoring Survey (LCMS) report provides information on food crop production at national level broken down by urban and rural areas and also by province for the following crops: maize, cassava, millet, sorghum, rice, mixed beans, soya beans, sweet potatoes, Irish potatoes, and groundnuts for 2006 and 2010. (*Source: Living Conditions Monitoring Survey, Central Statistical Office, 2006 and 2010*)</td></tr>
<tr><td>I-212
Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)</td><td>The Programme is very likely able to contribute to increased food production as one of its objectives is: A scalable business model that drives households to collectively and responsibly work together as a community to sustainably increase food and income security through improved resource management and farming practices that promote healthy ecosystem functions and improved conservation of renewable resources across the LVE, measured by performance indicator: % farmers achieving food security and incomes greater than K2.5 million through environmentally friendly livelihood approaches linked to COMACO markets. (Source: COMACO Phase II Log frame). Regarding the achieved increased production, please consult the table in I-311.</td></tr>
</table>

3.2.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The Project plans to increase depot-level production for key food (cash) crops by 40% which is very likely to increase food accessibility.

Evidence on indicator level

Indicator	Evidence
I-221	The table below shows data collected in Nov. 2009 at the start of the “hungry season”. Percentages reflect the respondents in a

<table>
<tr><td>Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels
(targeted areas)</td><td>group who provided one or more answers indicating food insecurity to questions regarding: 1). reduction of number of daily meals because of lack of food; 2). consumption of less food than needed because of lack of food; 3). experience hunger because of lack of food; 4). experience weight loss because of lack of food; and 5). go without eating or have just one meal in a day because of lack of food. Answers ranged from 70.4% to 88.7% for all questions for all groups, reflecting no statistically significant variations among groups to any question
Summary statistics on food insecurity:
<table><tr><td></td><td colspan="3">Percentage of respondents indicating HH food insecurity</td></tr><tr><td></td><td>COMACO (n=130)</td><td>Non-COMACO (previous) (n=31)</td><td>Non-COMACO (n=71)</td></tr><tr><td>% of group participants</td><td>93.1</td><td>90.3</td><td>94.4</td></tr></table>Source: S1 Appendix to COMACO Phase II Overview of 18th May 2011: Fig S1B: Summary demographic and food security statistics of inhabitants of the Luangwa Valley.
As a result of high food insecurity in the COMACO targeted areas, food aid is sometimes distributed by WFP (Source: S1 Appendix to COMACO Phase II Overview of 18th May 2011: Fig S1C: Food Aid Distributed in Luangwa Valley 2001 – 2010).
For the East (2010/2011 Program Annual Review Report, p.8; www.itswild.org) indicates that as COMACO membership has been increasing (less than 5,000 in 2007 to 30,000 in 2010 in the East), COMACO crop purchases have also been increasing (about 500 mt in 2007 to about 5,000 mt in 2010) while WFP Maize distribution to COMACO members has been decreasing (from about 3,300 mt in 2007 to about 500 mt in 2010). This is an indication that food accessibility has been improving.</td></tr>
<tr><td>I-222
Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas</td><td>In September 2011, COMACO conducted a yield comparison survey in both West and East areas to ascertain farmers' yields. Results indicate that 74% of households in the region are food secure (9,870 farmers sampled), compared to only 34% households being food secure in 2001 (baseline study with 1,059 households), implying likelihood of increased food accessibility. (Source: 2011 Annual Report).
The table under I-212 above also shows the diversification to cowpeas, groundnuts, sweet potatoes, pumpkin and cassava, an indication that the project contributes to food accessibility. This was also confirmed by farmers who said that the yields had increased as a result of the use of CF methods.</td></tr>
<tr><td>I-223
Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock</td><td>In 2011, COMACO farmers had registered an average income of K610,701 which indicates a 9% increase from 2010 with average income of K558,918. Apart from earning income from crop production, about 10.9% of total farmers[2] were engaged in other income generating activities as shown in the table below.
COMACO Farmers benefiting from Other Income Generating Activities in 2011.
<table><tr><th>Income source</th><th>Average Annual Income (ZMK)</th><th>Number of Farmers</th></tr><tr><td>Fish</td><td>319,615</td><td>14</td></tr></table></td></tr>
</table>

[2] 1,228 farmers generated income from other livelihood activities out of the total sample 11,799 farmers.

production, cash crop production, stable production costs and food prices)		Goat Rearing	287,394	143
		Poultry	99,993	984
		Carpentry	359,667	33
		Other Income	530,944	54
		Total Farmers		1,228
	Source: 2011 COMACO Annual Report)			
	In 2000, the average income from all available sources was $79 per year. In 2010, income had grown to $120 per year from only the sale of commodities. This number does not include the value of the foods consumed during the period when families would have been food insecure and income derived from other sources. (Source: COMACO 2010/2011 Program Annual Review)			

3.2.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Once food production has increased, the project is very likely to lead to increased food stability over time. It targets 80% of registered Producer Group (PG) members to be food secure under outcome 1.7.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	Farming on slopes or on riverbanks where problems of water and soil loss go unchecked now occurs at a growing frequency in many parts of the Valley catchment. Down-river effects are consequential and cost the Zambian Government millions of dollars annually in terms of food relief and repair to infrastructure damaged by floods...It is estimated that over 87% of the Zambian population lives on less than $2/day[3]... Aside from living at increased risks of hunger, disease and poverty, many rural families rely on natural resources to compensate their food and income shortfalls. For most of these people, household savings are not an option for planning against natural disasters arising from climatic variability or family crises, and the small-scale farmer lives almost perpetually on the margin, if not well below the poverty line. (Source: COMACO Phase II Project Proposal, 15th January 2009).
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual	The crop diversification and increased crop production in Section I-212 above, and the increase in income from both crop production and other income generating activities in Section I-223 above are a clear indication that the programme is very likely to contribute to reduced periods of food shortages as people can retain some food or use the income to buy other food in time of food shortages.

3 Country Programme- Zambia 10447.0 (2007-2010); WFP/EB.1/2007/8/2; World Food Program, Executive Board First Regular Session, 19-21 February 2007

level in targeted areas	

3.2.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

The promotion of production of high nutrition value crops like soya beans and groundnuts and training in nutrition offered by the project are likely to lead to enhanced food utilisation resulting in a good nutrition status.

Evidence on indicator level

<table>
<tr><th>Indicator</th><th>Evidence</th></tr>
<tr><td>I-241
Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)</td><td>The nutrition and health status of a child can be a direct indicator of the well-being of the household. It further reflects on the community's nutritional status and is also widely regarded as an important basic indicator of welfare in an economy.
The three standard indices of physical growth that describe the Nutritional status of children are defined as follows:
• Height-for-Age (Chronic malnutrition) – Stunting where <20 = low, 20 – 29 =medium, 30 – 39 = high, >=40 = very high
• Weight-for-Height (Current malnutrition) – Wasting where <5 = low, 5 – 9 =medium, 10 – 14 = high, >=15 = very high
• Weight-for-Age (Chronic and current malnutrition) – Underweight <10 = low, 10 – 19 =medium, 20 – 29 = high, >=30 = very high (Source: LCMS 2006 and 2010, pages 252 and 260)
The Table below shows the actual children classified as stunted, underweight and wasted in Zambia: 2006 and 2010. In both years, stunting is very high while underweight has worsened from low in 2006 to medium in 2010. Wasting or current malnutrition has improved from very high in 2006 to medium in 2010.
Actual children classified as stunted, underweight and wasted in Zambia: 2006 and 2010
<table>
<tr><td>2010</td><td colspan="4">Incidence of physical development indices</td></tr>
<tr><td></td><td>Stunting</td><td>Underweight</td><td>Wasting</td><td>Total No. of children aged 3 – 59 months ('000)</td></tr>
<tr><td>Rural</td><td>48.3</td><td>14.2</td><td>6.4</td><td>809</td></tr>
<tr><td>Urban</td><td>42.3</td><td>10.8</td><td>4.9</td><td>300</td></tr>
<tr><td>Zambia</td><td>46.7</td><td>13.3</td><td>6.0</td><td>1,109</td></tr>
<tr><td>2006</td><td colspan="4"></td></tr>
<tr><td>Rural</td><td>56.6</td><td>6.2</td><td>21.4</td><td>860</td></tr>
<tr><td>Urban</td><td>47.8</td><td>5.2</td><td>15.1</td><td>319</td></tr>
<tr><td>Zambia</td><td>54.2</td><td>5.9</td><td>19.7</td><td>1,180</td></tr>
</table>
Source: LCMS 2006 and 2010 p. 263</td></tr>
<tr><td>I-242
Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in</td><td>From Serenje District where field visits were undertaken, figures were only available for underweight ratio and not for stunted and wasting shown in the table below. It can be observed that there has been an improvement in the children's underweight ratio, though the improvement has been fluctuating. It can, also be deduced that COMACO has been contributing to improved nutritional status due to the promotion of high nutritional value crops like soya beans and groundnuts and the increase in the percentage of farmers producing specific crops as shown in the table under Section I-212 above.
Serenje District underweight ratio trends from 2005 to 2011 for children between 3 – 59 months</td></tr>
</table>

targeted areas	<table><tr><td>*Year*</td><td>*2005*</td><td>*2006*</td><td>*2007*</td><td>*2008*</td><td>*2009*</td><td>*2010*</td><td>*2011*</td></tr><tr><td>*Underweight ratio*</td><td>*22%*</td><td>*19%*</td><td>*10%*</td><td>*4%*</td><td>*7%*</td><td>*5%*</td><td>*3%*</td></tr></table> *Source: Serenje District Hospital: Health Management Information System* "*I retain part of the soya beans for home consumption from which we make soya milk and we add some of it to maize before going to grind it as maize mealie meal (flour. COMACO also teaches us on nutrition)*" (Source: Newton Chinfwembe, farmer, Miswema Depot in Serenje)

3.2.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

3.2.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Maize and rice yields have risen by 29% and 35% respectively between 2008 and 2011 while the yields of all but two (2) crops (sweet potatoes, soy beans) increased since 2008 by an average of 92% as shown in the table in I-311. This is an indicative that increased food availability has been achieved.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	The programme has very much contributed to increased food production in targeted areas as shown in the table under section I-212, and as shown in the table below for the results of a yield comparison survey conducted by COMACO in both West and East areas to ascertain farmers' yields in September 2011. The results show that COMACO farmers had much higher yields in nine (9) out of 11 crops in the West and 12 out of 14 crops in East survey areas, indicating increased food production. In the West, average yield for all crops was 33.4% higher among COMACO farmers versus the control group. COMACO farmer yields have also been growing over the years since 2008. For example, maize and rice yields have risen by 29% and 35% respectively since 2008. The yields of all but two (2) crops (sweet potatoes, soy beans) increased since 2008 by an average of 92%.

Table. Average crop yields(Kg/Ha) and growth of yields since 2008.

Crop Name	2008	2009	2009/08 Growth	2010	2010/09 Growth	2011	2011/10 Growth	2011/08 Growth
Beans	-	833	na	631	na	802	27.1%	na
Cassava	1,249	1,743	39.5%	1,031	-40.9%	2,565	148.8%	105.3%
Cow Peas	417	1,199	187.2%	1,395	16.4%	2,021	44.8%	384.3%
Ground nuts	948	1,178	24.4%	937	-20.5%	1,791	91.1%	89.0%
Irish potatoes	-	-	na	1,200	na	-	na	na
Maize	1,274	1,195	-6.2%	1,660	38.9%	1,644	-0.9%	29.1%
Millet	556	1,048	88.5%	813	-22.4%	945	16.2%	70.0%
Pumpkin	-	1,701	na	1,960	15.2%		na	na
Rice	1,391	1,721	23.8%	1,738	1.0%	1,880	8.2%	35.2%
Sorghum	803	1,139	41.8%	1,191	4.6%	1,387	16.4%	72.7%
Soya beans	1,700	894	-47.4%	638	-28.6%	1,129	76.8%	-33.6%
Sugar beans	-	918	na	-	na	-	na	na
Sunflower	480	1,018	112.0%	1,132	11.3%	1,358	19.9%	182.9%
Sweet potatoes	3,281	1,649	-49.7%	1,360	-17.5%	2,806	106.3%	-14.5%
Vegetables	-	-	na	-	na	4,570	na	na
Average Growth			41.4%		-3.9%		50.4%	92.0%

Source: 2011 COMACO Annual Report

3.2.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

The improved crop yields shown in the table in I-311 are an indication that there has been increased food accessibility at household/individual level due to the Norwegian support. Most of the interviewed farmers also indicated that their meals have improved from 1 or 2 per day to three per day.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in	While the number of meals per day or improved diet at household/individual levels is not included as project indicators, field interviews with farmers, COMACO staff and other stakeholders revealed that the number and quality of meals have been able to improve. Most of the households are able to have three 3 meals per day compared to a situation when some of them would only have 1 – 2 meals per day before farmers began to work with COMACO. Beneficiaries appreciated even the lessons they have learnt on health and nutrition such that it has not just been an improvement in the number of meals, but they try as much as possible to have balanced meals. (*Source: Beneficiaries, COMACO field staff and stakeholder interviews*)

targeted areas	

3.2.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Reduced periods of food insecurity can be deduced from the higher yields (see Section I-311); farmers interviewed attested to the fact that the number of food insecurity months have reduced from 5 to 0 or 1 in most households in seasons when the crop has not been bad.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	"Before we began to work with COMACO, we never used to have food through-out the year. We would only have food from March when we would start eating fresh maize from the crop we planted early up to October the following year when we would finish even what we harvested. But now the number of food insecurity months has reduced from 5 to 0 or 1 in most households. Those households that are still facing food insecurity are the ones who do not follow all the lessons learnt in conservation farming methods we are taught." (Source: FGD, Miswema Depot, Serenje District). Reduced periods of food insecurity can also be deduced from the higher yields (see Section I-311) (*Source: 2011 Annual Report*)
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Due to increased food production (I-311 and I-212), reduced periods of food shortages (I-232), and reduced food insecurity (I-331), there has been a decreasing use of coping strategies in targeted areas. Farmers use income generated (refer to Section I-223 above) to buy assets such as solar panels, beds, radio, small livestock (goats and chickens), and house improvements. (*Source: FGD, Miswema Depot, Serenje*)
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Livelihood systems in the targeted areas have become more resilient and sustainable due to the COMACO Programme: there is livelihood diversification (Sections I-223 and I-212), non-farm/off-farm income (Section I-212), and asset creation (last part of Section I -332). (*Source: 2011 Annual Report and Beneficiary interviews*)

3.2.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

The promotion of production of high nutrition value crops like soya beans and groundnuts, and training in nutrition offered by the Project are likely to lead to improved food utilisation leading to enhanced nutritional well-being.

Evidence on indicator level

Indicator	Evidence

I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	From Serenje District where field visits were undertaken, figures were only available for underweight ratio and not for stunted/wasting and/or increased adult Body Mass Index. The figures shown in the table in Section I-242 show an improvement in the children's underweight ratio, though the improvement has been fluctuating. Figures were not available for other regions.

Cluster 2: M&E and Documentation

3.2.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

3.2.4.1 Appropriateness of programme M&E design

The Project has an appropriate M&E design with a logical framework in place and outcome 5.1 provides for establishment of a data base: "All registered PG members recorded in COMACO PG database with locations linked to maps".

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	The Project developed a logical framework with good quality objectives and indicators at all levels to allow for M&E, but the indicators are not gender disaggregated. (Source: COMACO Phase II Logical Framework). The only gender disaggregated figure reported in the reports is the number of farmers in the programme, although the gender variable is collected on all data collection forms such that all indicators can still be analysed and reported with gender disaggregated data.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	• A M&E system has been put in place. Annual work-plans and budgets are developed with indicators based on the logical framework and these are broken down into monthly work plans by department on which basis budget requests are made and reporting is based. • Feedback mechanisms have also been put in place: data collection form (Farmer Card) has been designed which is filled in by the extension section for each farmer and handed over to M&E section for data entry and analysis and includes data on all project activities. (*Source: Project reports as evidenced by list of documents reviewed, staff interviews*)

3.2.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

There is a fully fledged M&E Unit within the Project with adequate staff at both Head Office and Regional level which coordinates data collection, analysis and dissemination. There is also a budget line for M&E activities.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	• There is a fully fledged M&E Unit within the Project with adequate staff: two officers at Head Office (the Information Systems Manager and a Statistician/Data Manager), a Regional Data Analyst at each Commodity Trade Centre (CTC) and a Data Entry Clerk in some of those CTCs depending on the work-load of the region. • Other resources are allocated to the M&E department: transport, computers, printers, photocopying facilities, stationery etc. (*Source: Interviews with Field M&E staff*) • Out of a total of $7,540,859 total RNE budgeted support to COMACO during Phase II period, $439,477 (5.82%) has been budgeted for M&E activities. This is adequate considering that the best practices prescribe about 5% of project expenditure to be for M&E. (*Source: June 2011 Semi-annual Financial Report*)
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data)	• Data collection is done on a monthly basis and it is in accordance with the indicators in the logical framework. Reports are done on monthly, quarterly semi-annual and annual basis. (*Source: Project reports, interviews with project staff)* • Although information is collected with a gender variable for each farmer card such that analysis of data can be gender disaggregated for all indicators, only the number of farmers are reported disaggregated by gender in all reports. (*Source: Project reports)*

3.2.4.3 JC 43 Adjustment of programme design and/or implementation modality

The Project logical framework outcome 2.6 is "Annual COMACO presentations made to East and West Roundtable meetings" which necessitates adjustments in programme design and/or implementation modalities.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	• When requesting for the 2011 budget, more money than was initially budgeted for was requested for due to the unanticipated increase in the achievement of results (*Source: 2011 Annual Budget Notes: COMACO Phase II Project*). • Due to M&E feedback, the incentive for compliance for the adoption of conservation farming using higher prices for CF-certified farmers versus non-certified farmers only was found to be inadequate. COMACO has now incorporated a "conservation dividend" (CD) mechanism to reward all producer groups that are certified as compliant, whether they sell to COMACO or another buyer. (*Source: COMACO Phase II Overview of 18th May 2011*) • The farmer card for data collection had to be re-designed (*Source: Old and newly designed Farmer Card, and staff interviews*)

3.2.5 EQ5: To what extent have programme results been documented?

3.2.5.1 JC 51 Availability of documentation of results

The Project produces monthly, semi-annual, and annual monitoring/progress reports as well as annual review reports.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	There are appropriate monthly, semi-annual, and annual monitoring/progress reports as well as annual review reports developed from appropriate data bases (*Source: Data base forms, farmer cards, monitoring reports, RNE interviews.*)
I-512 Existence and quality of evaluation reports	A mid-term evaluation report was undertaken in September 2011 and a final evaluation report is planned at the end of the project period (*Source: Agreement; MTR Report*)
I-513 Existence and quality of other types of documentation of results	• A survey was conducted on Valley farmers in 2010; Programme annual review reports; A Household Food Security and Technology Adoption Survey; an Overview of COMACO of May 2011; and an Impact Study of Crop Yields and Poaching Perceptions in COMACO and non-COMACO Control Areas conducted in 2011 (*Source: COMACO 2010/2011 Program Annual Review; COMACO Overview, 18th May 2011; and 2011 Impact study report*)

3.2.5.2 JC 52: Extent to which intervention results have been disseminated

Results are disseminated through the website as per logical framework outcome 2.7, and annual Roundtable presentations for continued cooperation with District and Provincial-level authorities as per outcome 2.6.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	The project has a website: www.itswild.org, holds demonstration plots and field held for farmers, makes brochures for the public, Better Life Book which contains articles on various project activities for training of farmers, and annual review meetings (*Source: staff, beneficiary and key stakeholder interviews, 2011 Annual Report, 2010/2011 Program Review Report, Better Life Book*)
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	The dissemination tools and channels are appropriate in relation to the subjects to be disseminated and the target group (*Interviews with stakeholders and beneficiaries*).
I-523 Evidence of articles published, presentations in workshops, conferences	Articles are published, workshop and conference presentations are made whenever necessary (*Source: 2010/2011 Program Review Report, interviews with the RNE, and observations by the Consultant in the field*)
I-524 Awareness, by relevant stakeholders, of	Some relevant government ministries at national level are not aware about the COMACO results (e.g. Ministry of Environment and Natural Resources and the Ministry of Agriculture and Livestock). However, district level Ministry staff, other district stakeholders as well as the Royal Norwegian Embassy (RNE) staff are aware about the

results and lessons learnt from Norwegian funded agricultural projects	COMACO results (*Source: Interviews with Ministry of Agriculture and Livestock at Head Quarters, District staff, the RNE, and COMACO staff*)

Cluster 3: Sustainability and Scaling up

3.2.6 EQ6 To what extent have programmes been sustainable?

3.2.6.1 JC 61 Financial sustainability/economic sustainability

The Project has developed a strategic business plan that sets CTC needed benchmarks for sustainability (outcome 1.67) while outcome 1.43 states that 100% of CTCs will be tracked and analyzed for their respective performance in meeting sustainability targets on a six month basis (and more frequently if requested by Business Manager). The Project meets about 20% of the costs from its own business resources and 80% from the RNE funding.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	No decision has been made yet by the RNE about whether or not to continue supporting COMACO after the project comes to an end in December 2013. The determining factor of whether funds will be availed depends on how well COMACO develops and articulates clear strategies for the future on the business side and the social side of the model for optimum results of both.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Both staff and farmers interviewed indicated beneficiaries were not yet at a stage where they would be sustainable by the end of the project since they had not yet been very established. A case in point was cited for the oldest areas of COMACO intervention like Mfuwe and Nyimba where the beneficiaries were weaned off, but could not sustain themselves. COMACO had to source for support from the RNE who ended up allowing continued extension support to those regions through the Conservation Farming Unit (CFU) which is also funded by the RNE. (*Source: Interviews with COMACO staff and the RNE*)
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc)	Changes in economic factors can end up affecting the project negatively or positively depending on how the business variables will be affected by those changes. For instance, when seed prices increase, farmers will access less seed and plant relatively smaller areas which would result in low production. If the exchange rate commodity. However, it should be noted that the exchange rate as well as the inflation rate have been relatively stable over the last few years such that no volatile economic changes are anticipated.
I-614 Beneficiaries/ authorities are capable of affording replacement and maintenance	The major stakeholder is the government which will always be in the areas where COMACO operates. Government does not have sufficient funds such that even now, for some field activities on their projects, government staff rely on COMACO transport. (*Source: Interviews with District Government staff from Department of Community Development and Department Forestry*)
I-615 Policy changes are not likely to affect programme activities	Not in the near future, since the activities which COMACO undertakes are core to the national agricultural and environmental policies. (*Interviews with Government staff*)

3.2.6.2 JC 62 Institutional and technical sustainability

The project is staff managerial and technical capacity at both regional and head office level, systems are in place and the board is also in place.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	The major stakeholder is the government which will always be in the areas where COMACO operates. Government, e.g. Ministry of Agriculture and Livestock (MAL) has institutional structures in place. However, in some places some critical positions of camp extension officers are not filled. In addition, one of the weaknesses cited for MAL is the inadequate technical skills for the field officers. As part of the solution, the EU is funding the Performance Enhancement Programme (PEP) for MAL from 2012 to 2012 (*PEP Agreement between the EU and MAL*).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	COMACO has put in place community level institutional structures and trained them. However, though the lead farmers and producer farmer groups have some technical and managerial capacity, that capacity may not be adequate especially in the West where the Project is new. The Project is at a stage where the community institutional structures will not yet be consolidated by the end of the Project period in December 2013. (*Source: Beneficiary interviews, staff interviews, the RNE*)

3.2.6.3 JC 63 Environmental sustainability

Each of the Chiefs where COMACO operates has been made aware of the COMACO process. In addition, Chiefs have been given guidelines for their own premium price incentives for helping meet community-wide conservation targets (e.g. local land tenure policy, eradication of charcoal making, tree planting quotas, etc.). In addition, the Project uses good environmental practices such as conservation farming methods, environmentally friendly alternative livelihoods like bee keeping and mushroom activities, and poacher transformation which contribute to environmental sustainability.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Though environmental impact assessments (EIAs) have not been conducted, the achievement of project results and objectives are not likely to generate damage on environment or increase pressure on scarce natural resources. Activities of the project (CF methods, environmentally friendly alternative livelihoods like bee keeping and mushroom activities, and poacher transformation) add value to the environment. (*Source: Interviews with Department of Forestry, ZAWA Prosecutor, the RNE, COMACO staff, 2011 Annual Report)*
I-632 Good environmental practices are followed in project implementation (use of land,	Good environmental practices are followed in project implementation such as conservation farming methods, environmentally friendly alternative livelihoods like bee keeping and mushroom activities, and poacher transformation *(Source: 2011 Annual Report, 2011 Impact Assessment Report)*

water, energy, etc.)	

3.2.6.4 JC 64 Quality of exit strategy

No exist strategy exists

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	The project does not have an exit strategy. (*Source: Interviews with the RNE, COMACO staff and other field stakeholders*)

3.2.7 EQ7 To what extent have programmes lent themselves to scaling-up?

3.2.7.1 JC 71 Appropriateness of programme design for scaling up

COMACO has developed a number of new products through its business side where its own contribution funds to the project come from as follows: Ellie Crunchies and Yummy Nuggets, Instant Bean Products, Dried Mangoes and Mushrooms, Snack Nuts, Soy Milk, Fruit Jams and Marmalades, and Chicken (Broiler) Feeds from by-products (soy oil, cracked rice).

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	COMACO has developed a number of new products through its business side where its own contribution funds to the project come from as follows: Ellie Crunchies and Yummy Nuggets, Instant Bean Products, Dried Mangoes and Mushrooms, Snack Nuts, Soy Milk, Fruit Jams and Marmalades, and Chicken (Broiler) Feeds from by-products (soy oil, cracked rice)*(Source: 2011 Annual Report*)

3.2.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The Project had developed a number of new products as mentioned in JC 71 above. In addition, the Project in the West was designed as a scale up programme to the one which has been implemented in the East. Some activities which were not there from the beginning like mushroom drying have not been included in the program and there has been crop diversification, increased crop production and increased crop sales. Poaching has also been reduced.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	In the Chisomo GMA where COMACO operates in Serenje, only 2 poaching cases were reported in 2008 and none since while in the nearby Kasanga GMA where COMACO does not operate, cases are reported on a weekly basis. The transformed poachers also attested to improved livelihoods due to involvement in alternative livelihood activities introduced to them by COMACO *(Interviews with ZAWA Prosecutor and Beneficiaries, and 2011 Impact Study of Crop Yields and Poaching*

	Perceptions in COMACO and non-COMACO Control Areas)
I-722 Evidence of an effective learning process with a high adoption rate	The 2011 Impact survey revealed high adoption rate of conservation farming methods of 64% in 2011 versus 62% in 2010 in Mfuwe; 66% versus 65% in Lundazi. The survey also revealed that non-COMACO farmers were learning more about CF from other farmers than from other programmes (*Source: 2011 Impact Study of Crop Yields and Poaching Perceptions in COMACO and non-COMACO Control Areas)*
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	The RNE was willing to continue supporting COMACO activities after the Phase II Project comes to an end but that will depend on COMACO developing a strategy where they clarify the relationship between the social side and the business side of the COMACO, and develop strategies to make the business side sustainable. (*Source: Feedback during the debriefing session from the RNE, and the interview with COMACO staff*)

3.3 Conservation Agriculture Scaling Up for Increased Productivity and Production (CASPP) Project – ZAM-08/031

General Data

Intervention title	**Conservation Agriculture Scaling Up for Increased Productivity and Production (CASPP) Project – FAO-MACO Conservation Agriculture Programme (CAADP pillar I)**
Agreement partner (name)	FAO - Food and Agricultural Organization of the United Nations
Type of agreement partner	Multilateral institutions
Agreement nr.(s)	ZAM-08/031
Country / region	Zambia
Implementing partner	FAO & MACO (Ministry of Agriculture and Cooperatives)
Programme officer:	Sina W.S. Luchen (agronomist)
Extending agency	The Royal Norwegian Embassy in Lusaka
DAC Sector	Main sector: 311 – Agriculture Sub sector: 30 - Agricultural land resources (source: inventory data base. End 2011)
Intervention start & end dates	2009-2010 (source: inventory data base.)
Budget Approved amount Agreed amount Disbursed amount	The Royal Government of Norway contributed US$ 6,067,477 for the two year duration of project (source: progress report) Disbursed amount end 2011: NOK 31.024.141 (source: inventory data base)
Main stakeholders e.g.	FAO (project holder) MACO administration Farming community Agro-dealers (source: revised terminal review report)
Number of beneficiaries targeted	According to the project documentation (terminal review) a total number of **62,720 farmers** received training. Moreover, **45 district and provincial staff**, and **171 camp extension staff** received capacity building measures.
Intervention description	The project was designed to have 8 components: 1. Up-scaling the CASPP model 2. Capacity building of MACO Structures 3. Implementation of IEC Strategy 4. Adaptive Research and Training 5. Development of Market Linkages 6. National Policy on CA 7. Monitoring and Evaluation 8. Programme Management
Programme background & history	1999 the Ministry of Agriculture and Cooperatives (MACO), declared Conservation Farming/Conservation Agriculture (CF/CA) and related technologies a priority for promotion and made a request to the Royal Norwegian Embassy. The major on-going initiative in CA/CF was the CAP funded through the Royal Norwegian Embassy's Climate Change Facility; implemented by the Conservation Farming Unit (CFU). (source: revised terminal review report) The Norwegian Embassy however wanted to mainstream CA into government extension service (MACO) and secure national policy support. The Embassy had limited institutional experience working with the MACO (and it was generally considered to have weak capacity among donors); the Norwegian Embassy therefore included FAO to support in the facilitation and monitoring (providing Technical Assistance). The CASPP was launched on 31st of December, 2008. The intention was to implement the CASPP in partnership with the on-going CAP implemented by ZFNU/CFU. There was however some hostility between the parties, MACO and ZNFU/CFU. The original Plan for CASPP was to have a five year programme starting with a two year programme, but with the intention of continuing beyond this project (Appropriation Document).The plan was that the support should be part of a wider CAADP Sector Programme. The CFU was contracted to provide training of block and extension staff and prepare training materials as well as design and manage input vouchers (LoA, FAO and CFU). The

	five-year CASPP programme never materialized as the Norwegian Embassy pulled out after the first phase due to discontent with the narrative and financial reporting of FAO.

Project objectives and activities & expected results

Overall objectives/ Goal	"The project goal was to contribute to the Government of Zambia's efforts towards an efficient, competitive and sustainable agricultural sector whilst securing a productive environment and well conserved natural resources for sustainable development." (source: revised terminal review report)
Specific objectives	"Greater food security as a result of increased food production and more sustainable use of environmental resources through the application of conservation agriculture and conservation farming practices." (source: revised terminal review report)
Expected results	Component 1: Up-Scaling the CASPP Model • OFFs trained 4 times per year (once they enter the program cycle) on topics related to CA/CF • Participating farmers are trained by OFFs 4 times per year (once they enter the program cycle) on topics related to CA/CF • Lead Farmers receive at least 2 field visits/contacts per month at key points throughout the year from the camp extension worker. • 58,800 Participating farmers receive at least 2 field visits/contacts per month at key points throughout the year from the Lead Farmers. • 2-3 plots per camp established for a total of approximately 210 plots. Plots will be established in line with the roll out of the project in 2 years. • Tree seedlings, live fencing, seeds, fertilizer delivered to Lead Farmers and farmer beneficiaries in a timely manner and utilized according to CA principles in line with the training and extension provided. • Verification to the extent to which the inputs and equipment have been used in accordance with the training/extension. Component 2: Capacity Building of MACO Structures. • 45 district and provincial staff trained on project objectives, approach, and CA/CF concepts 171 camp extension staff trained 4 times per year (once they enter the program cycle) on topics related to CA/CF by CFU/District Extension Officers. Component 3: Implementation of IEC Strategy. • Radio and TV spots prepared for information dissemination • District agricultural information officers active in project promotion Component 4: Adaptive Research and Training. • Adapted technologies provided in a timely manner, especially for regions 1 & 3 Component 5: Development of Market Linkages • Linkages to other service providers explored Component 6: National Policy Dialogue on CA. • National task force established and functioning. • MACO, ZNFU, and MTENR supported through the national coordination unit to mainstream CF/CA activities in agricultural policies and programmes and influencing the climate change adaptation policies and programmes. Component 7: Monitoring and Evaluation • Baseline study conducted to have a starting point for comparing project results. • Independent external assessment undertaken after 2 years of project implementation • Project Results Documented through use of the Monitoring Toolkit • Evaluation of the project undertaken by the FAO evaluation service. Component 8: Programme Management. • National coordination unit established with 1 national coordinator and 4 specialists established. (source: revised terminal review report)
Main activities specify agri. Activities for envir. Interventions)	See above.
Process on track?	Challenges:

Main difficulties/challenges	• The proposed 2 year implementation period was too short • Training of MACO field staff/provincial/district staff was delayed. LoA between FAO and CFU was only signed in June 2009; per diem from FAO was delayed; training was only finalised on November 2009 (Letter from CFU, 5th. May 2010). • Conflicts with CFU regarding selection of follow farmers • Strategy for scaling up from Lead Farmers was not clearly defined • No reporting on number of farmers trained and adopting CA • Problem of narrative and financial reporting to the Norwegian Embassy.
List of available documentation for the intervention	See bibliography

Cluster 1: Contribution to Food Security

3.3.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

3.3.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The CASPP is aligned with the National Agricultural Policy 2004-2015, more specifically the CASP is adhering to the sectorial strategy: promotion of sustainable and environmental sound agricultural practices, including for example conservation farming. The project is also coherent with the National Food and Nutrition Policy 2005-2009 promoting food diversification. Lastly, the CASPP is aligned with Pillar I of the CAADP; CA/CF is perceived as one of the main means to achieve Pillar I, especially in the area of sustainable land management.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	The CASPP is aligned with the National Agricultural Policy 2004-2015, which has the objective: "to facilitate and support the development of a sustainable and competitive agricultural sector that assures food security at national and household levels and maximize the sector's contribution to the Gross Domestic Product. M More specially the CASP is adhering to the sectorial strategy: promotion of sustainable and environmental sound agricultural practices, including for example conservation farming. (source: Agricultural Policy, 2004). H The National Food and Nutrition Policy 2005-2009 has the principal goal: "achieve sustainable food and nutrition security and to eliminate all forms of malnutrition in order to have a well-nourished and healthy population that can effectively contribute to national economic development". With regard to food security, one of the policy measures is to promote increased food diversification, production, processing, storage and consumption (source: National Food and Nutrition Policy). The CASPP was aligned by this policy by promoting the cultivating of legumes (terminal report), and more generally by promoting crop rotation. C The CASPP is aligned with Pillar I of the CAADP as CA/CF is perceived as one of the main means to achieve Pillar I, especially in the area of sustainable land management (Project Proposal).
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Not relevant.

3.3.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The CASPP is coherent with and coordinated with national programmes, thus Conservation Farming/Agriculture (CF/CA) has been a priority of the Government of Zambia since 1999 under the auspice of the Ministry of Agriculture and Cooperation (MACO). FAO has moreover facilitated the formation of CA coordination structures through formation of CA national Task Forces throughout the Southern Africa Region; MACO is the official point in Zambia. CASPP established a platform for sharing experiences on CA. CASPP was deliberately implemented in the same 12 districts where CAP was implemented (but targeting different camps) in order to secure experience sharing; this however led to conflicts between CFU and FAO (CASPP).

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	Conservation farming has been a priority of the Government of Zambia since 1999, through the Ministry of Agriculture and Cooperation (MACO) promotion of Conservation Farming/Agriculture (CF/CA) (source: Terminal Review). FAO facilitated the formation of CA coordination structures through formation of CA national Task Forces throughout the Southern Africa Region in 2007. MACO is the official point for the national CA Task Force in Zambia (project proposal). One of the planned activities of the CASPP was to establish a platform for sharing experiences on CA. The members of the platform were the PS of MACO, members of the Steering Committee, director of Department of Agriculture, and other independent members such as Conservation Farming Unit (CFU), GART, Care, Catholics, Relief Services (CRS), University of Zambia (UNZA) and the donors, (Norwegian Embassy and the EC), later the five PACOs were included. (Terminal Review).
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	According to o the project proposal, MACO has an ambition to scale-up CA/CF. However, the up-scaling has been limited due to the need for constant intense extension to support adoption, limited access to inputs, low involvement of MACO in the CA/CF implementation and lack of the platform for sharing evidence based results. This is the justification for launching the CASPP (project proposal).
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	C CASPP was deliberately implemented in the same 12 district as where CFU implemented the CAP in order to secure synergy and experience sharing. The idea was that within the same districts the two programmes should cover different camps. The CASPP was planned to cover 12 camps in each district, totally 144 camps. Later this led to conflicts where CFU was accusing the CASPP to deliberately select farmers who had already been trained by CFU.

3.3.1.3 JC 13: Relevance of project intervention according to final beneficiaries

CA is considered reflecting the needs of beneficiaries by addressing the problem of continuing yield decline as a result of soil degradation associated with inappropriate farming practices. If correctly adopted, the CA will lead to increased productivity.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	No interviews with beneficiaries were carried out as the project was already phased out. Moreover, it was regarded difficult to identifying CASPP beneficiaries due to the overlap with the CAP and the FISRI. Generally, CA is considered reflecting needs of beneficiaries. Thus, CA addresses the problem of low farm productivity and continuing yield decline as a result of soil degradation associated with inappropriate farming practices and (if correctly adopted) lead to increased productivity.

3.3.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

3.3.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

If correctly applied, CA/CF is likely to lead to increased productivity (food availability) for the targeted farmers. However, the strategy for training of Follow Farmers was not well-elaborated. Whereas the structured and intensive training of Lead Farmers (who also were provided with agri-inputs) was likely to lead to increased productivity, this was far less certain for the Follow Farmers, who received less intensive and structured training and who were not provided with agri-inputs.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The project proposal includes an analysis of the current problems of conventional agriculture in Zambia today: 1) lack of consistent application of best practices in land and crop husbandry; 2) declining soil fertility and erosion due to unsustainable agricultural practices; 3) Increased vulnerability of farming households to natural disasters and the effects of climate change; 4) Increased costs of farming inputs. The project proposal does not include reference to production figures, nationally or sub-nationally.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	The design: The Conservation Farming Unit (CFU) trained 270 field staff and 100 Provincial/district staff. The district core team of Subject Matter specialists then carried out further training of Camp Extension Officers (CEO) who would then train 3,920 Lead Farmers, who again would train 15 farmers each, making the total number of trained farmers 62,720 (terminal review). As noted under I-131, if correctly applied, CA/CF is likely to lead to increased productivity for the targeted farmers. However, the strategy for training of Follow Farmers was not well-elaborated. Thus, whereas the structured and intensive training of Lead Farmers (who also were provided with agri-inputs) was likely to lead to increased productivity, this was far less certain for the Follow Farmers, who received less intensive and structured training and who were not provided with agri-inputs. The Lead Farmers were provided with agricultural inputs to cultivate 0.5 ha.(through vouchers).

3.3.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

By design CASPP could lead to increased food accessibility though increased food availability as the main part of the production presumably is kept for home consumption. ZNFU trained and supported farmers in developing market linkages; the extent to which led to enhanced purchasing power would depend on the overall production increase, i.e. whether there would be a surplus to market and whether high-value crops were marketed. CA production of cotton was also promoted; developing market linkages for this crop was likely to lead to enhanced purchasing power.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food iaccess at household/individual level and its projection at national/sub-national levels (targeted areas)	The project proposal does not include reference to food accessibility.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	By design CASPP could lead to increased food accessibility though increased food availability as the main part of the production is kept for home consumption.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	ZNFU trained 15,239 farmers in developing market linkages and successfully supported 10,537 farmers with market linkages. With regard to food crops, the extent to which this led to enhanced purchasing power of the targeted farmers depended on the overall production increase, i.e. whether there was a surplus to market or whether high-value crops were marketed. CA production of cotton was also promoted; developing market linkages was likely to lead to enhanced purchasing power.

3.3.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

By design CASPP would contribute to reduced periods of food shortage for farmers practicing CA due to increased production (increased food stability).

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No reference to food shortages in the project proposal.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	By design CASPP could contribute to reduced periods of food shortage for farmers practicing CA due to increased production (increased food stability).

3.3.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

By design CASPP could lead to enhanced food security for farmers practicing CA – and dietary diversity by the promotion of legumes for crop rotation.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No reference to this in the project proposal.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	By design CASPP could lead to enhanced food security for farmers practicing CA – and dietary diversity by the promotion of legumes for crop rotation.

3.3.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

3.3.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

3,920 Lead Farmers were trained four times a year. According to the design, each Lead Farmer should train 15 farmers. According to the Terminal Review Lead Farmers only trained 5-7 farmers. The target of 75% adoption (outcome indicator) was thus not achieved; moreover, the adoption rate is lower than 50% as not all Follow Farmers adopted the CA; or they did not apply it in the correct way. According to the baseline and post-harvest surveys there was a production increase from an average of 1.3. tons per hectare (baseline) to 2.5 tons/ha (using planting basins) and 2.4 tons/ha (ripping) and 2.1 tons/ha (conventional tillage) in the post-harvest survey. The average crop yield thus exceeded the outcome target of the log frame: 50% increase of average crop yields.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	3,920 Lead Farmers (or Own Farmer Facilitators, OFF) were trained four times a year. According to the design, each Lead Farmer should train 15 farmers. However, the Lead Farmers interviewed as part of the terminal review only trained 5-7 farmers. This suggests that the target of 75% adoption (outcome indicator) was not achieved, and that the adoption rate is lower than 50% as not all participating (follow) farmers adopted the CA; or they did not apply it in the correct way (Terminal Review). Lead Farmers received inputs for two years (improved seed maize, fertilizer, legumes, CA equipment, seedlings for 0,5 ha), Participating (follow) farmers did not receive inputs, this might be a reason for lack of interest of these farmers (Terminal review). Lead Farmers and 140 CEOs received agri-input through vouchers (first paper and then electronic). A baseline survey with a sample of 1044 farmers in the 12 districts covered by CASPP was carried out. In addition a post-harvest survey was conducted. The baseline survey only covered the CASPP whereas the post-harvest survey covered both the CASPP and the Farmer Input Support Response Initiative (FISRI), funded by the EC. The data of the CASPP and the FISRI were divided in the surveys. The post-harvest survey included a sample of 479 farmers. The baseline showed a very low average yield for maize, 1.3. tons per hectare. The post-harvest survey covering the agricultural season 2009/2010 showed an average of 2.5 tons/ha (using planting basins) and 2.4 tons/ha (ripping) and 2.1 tons/ha (conventional tillage) (source baseline and postharvest surveys). The average crop yield thus exceeded the outcome target of the log frame: 50% increase of average crop yields.

3.3.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

Data not available.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at	Data not available in baseline and post-harvest surveys.

household/individual levels in targeted areas	

3.3.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

According to the Post-harvest survey, the sampled farmers produced 10 months consumption requirements (on average); the indicator is not included in the baseline survey and it is therefore not possible to assess the outcome of the project.

Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	According to the Post-harvest Survey, the sampled farmers produced 10 months consumption requirements (on average), with minimum 3 months and maximum 15 months (Post-harvest Survey). Unfortunately, the indicator is not included in the baseline survey and it is therefore not possible to assess the outcome of the project.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Data not available.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Both the baseline and the Post-harvest Survey include information on different types of household income, including non- and off-farm incomes, however the information in the two surveys are not directly comparable. End-of programme surveys should report directly on the same indicators as the baseline in order to be able to show the outcome and impact of the programme. This is not the case here.

3.3.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

The CA production focused on maize and cotton and thus there was less focus on food diversification (leading to enhanced nutrition) than expected. No data was available regarding food utilization.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or	The CA production was limited to maize and cotton and thus there was less focus on food diversification (leading to enhanced nutrition) than expected . No data was available regarding food utilization.

increased adult Body Mass Index in the targeted areas,	

Cluster 2: M&E and Documentation

3.3.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

3.3.4.1 JC 41Appropriateness of programme M&E design

The log frame was not well-defined; the Overall Objective was too broadly defined (sustainable agricultural sector); the project objective (greater food security) is appropriate; however the indicators are not food security indicators. The output indicators are relatively well-defined. No gender disaggregated data are in place.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	A log frame was in place and included in the project proposal. The log frame was not well-defined. The Overall Objective (impact) was too broadly defined (sustainable agricultural sector); it could have been defined as contributing to the national plan of 50% coverage of CA by 2015. The indicator (75% of districts reporting increased food production) was appropriate as indicator (at this level). The project objective (greater food security) is relatively well-defined, however it cannot be taken for granted that increased production leads to enhanced food security. Moreover, the indicators are not food security indicators – (CA adoption, increased yield, reduced abandonment of exhausted land). The output indicators are relatively well-defined. No gender disaggregated data are in place (log frame).
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	M&E was the responsibility of MACO. An evaluation team consisting of the Camp Extension Officers (CEOs), district CA core team, the provincial staff, the national coordination team and the M&E expert at MACO. Data were collected at the camp sites and district level using the FAO CA Tool kit. Apparently no M&E strategy was in place.

3.3.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The human and financial resources made available for M&E were insufficient; only one MACO staff (who also had other duties) was available for M&E. The M&E budget included funds for a baseline survey and Inception report; there was no financial support to additional M&E staff or for the follow up survey (post-harvest). Baseline and post-harvest surveys were conducted; however, the data collected were not always directly comparable. Data on production and productivity for each farmer was available (collected) at farm level; but there was little effort by the M&E team to aggregate and analyse these data. In addition, there was no uniform reporting style at district level. The data of the post-harvest survey were gender disaggregated; this was not the case for the baseline survey.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	Only one MACO staff was available for M&E; this person also had other duties (interview with MACO project manager). The CASPP included an M&E budget of 45,000 US$ for a baseline survey (30,000) and an Inception report (15,000) respectively. There was no financial support to additional M&E staff or for the follow up survey (post-harvest) (Project Proposal Budget). In general, the human and financial resources made available for M&E were insufficient.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Baseline survey with a sample of 1044 farmers in the 12 districts covered by CASPP was carried out. The baseline survey only covered the CASPP whereas the post-harvest survey covered both the CASPP and the Farmer Input Support Response Initiative (FISRI), funded by the EC. The results of the two programmes were separated in the survey. The baseline and post-harvest data were however not always directly comparable. Moreover, some of the indicators of the CASPP project log frame were not included in the surveys. Data on production and productivity for each farmer was available at farm level, but the data was not analysed. There was little (no) effort by the M&E team to aggregate and analyse data on CA performance collected at farm level. In addition, there was no uniform reporting style at district level (Terminal Review). M&E data could not be made available during the mission. The reason for the lack of correlation at national level was lack of capacity as well as the fact that the assigned MACO person also had many other tasks to cater for (interview with MACO representative). The same problem prevails for the FISRI programme. FAO was expected to develop an M&E plan, which could then be implemented by MAL; however, only raw data are available (Interview with EC programme officer). T The data of the post-harvest survey were gender disaggregated; this was however not the case for the baseline survey.

3.3.4.3 JC 43 Adjustment of programme design and/or implementation modality

Accordingly there was no adjustment of plans as a consequence of the M&E results. However, plans were adjusted when it turned out that there was an overlap with CFU with regard to Lead Farmers being trained by the extension workers.

Evidence on indicator level

Indicator	Evidence
nI-431	Monitoring data were collected, but not correlated/analysed. According to information from the previous agronomist there was no adjustment of plans as a consequence of the M&E results. However, plans were adjusted when it turned out that there was an

Evidence and quality of adjustments of plans as a consequence of M&E results	overlap with CFU with regard to Lead Farmers being trained by the extension workers (CFU claims that this was a deliberate strategy of the CASPP to show better results; FAO and MACO staff claim that this due to some farmers wanting to exploit opportunities by participating in both projects). It was not possible to establish the number of persons who participated in both programmes.

3.3.5 EQ5: To what extent have programme results been documented?

3.3.5.1 JC 51 Availability of documentation of results

The Norwegian Embassy was not content with the narrative/financial reports of FAO as the organization did not report on achievements according to the plan. The financial management of the project appeared to be poor. At the time of the latest disbursement, 4 mill. NOK were unspent. Only two years after the last disbursement (September 2012) the unspent funds were reimbursed by FAO. The Norwegian Embassy wanted a Mid-Term Review as they were not content with the progress of the project; however, FAO and MACO objected and the Mid-Term Review was never conducted. A Terminal Review was conducted by the end of the project. Adaptive Research and Training was an integral part of the CASPP with the aim of testing the adaptability of potential CA technologies and disseminate the findings to the extension staff.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	There are no correlated monitoring data or data base (apart from the baseline, pre-planting and post-harvest surveys). The annual meeting 2009 between MACO/FAO and the embassy was cancelled as the activities has barely started. The Norwegian Embassy was not content with the narrative/financial reports of FAO as the organization was not reporting on the achievements according to the plan. The work plan and budget for 2010 was not approved when submitted the first time as it did not allow a comparison of achieved 2009 outputs and remaining activities for 2010 (Mandate for Annual Meeting with FAO 13th May 2010). The financial management of the project appeared to be poor. According to letter from Jan Erik Strudsrød (dated 10/11) the last payment to FAO took place In August 2010; by November 2011, the embassy had still not received proper notification that the funds were received, neither a proper financial management report or progress report since the last disbursement. At the time of the latest disbursement, 4 mill. NOK were unspent. Two years after the last disbursement (September 2012) the unspent funds were reimbursed by FAO (letter from Norwegian Embassy 29.10.2012). Several important documents were not available: final report; agreed minutes from Steering Committee and Annual Meetings. According to information from the Embassy, agreed minutes were not prepared from the meetings as agreement could not be reached.
I-512 Existence and quality of evaluation reports	The Norwegian Embassy wanted a Mid-Term review as they were not content with the progress of the project. According to the Norwegian Embassy, FAO objected and since it was not part of the agreement, the Mid-Term Review was never conducted. MACO resisted the review in 2010 on the ground that it would distract the work (letter of 22nd June 2010 from Director of MACO). A Terminal review was conducted by the end of the project (finalised March 2011). The Terminal Review was conducted by the same consultants, who conducted the Baseline and Post-Harvest Surveys.

I-513 Existence and quality of other types of documentation of results	Adaptive Research and Training was an integral part of the CASPP and was contracted to the Zambian Agriculture Research Institute (ZARI) through a Letter of Agreement (LoA). The overall aim was to test the adaptability of some of the potential CA technologies and disseminate the findings to the extension staff. The title of the adaptive research trial was: "Economic and agronomic evaluation of Bets Bests to increase adaption nu small scale farmers in Zambia". The trial provided a comparative analysis of the economic benefits of green manure. A report on the research was prepared in December 2010 to January 2011. According to the Terminal Report, the results were widely disseminated to the extension staff in time for inclusion in subsequent agricultural season. However, the ZARI was not able to complete the research trial within the project period (continued into the 2010/2011 agricultural season) as the time frame was too short for the trial. Final conclusions were only released one year after the end of the project (Terminal Report pp.26-27).

3.3.5.2 JC 52: Extent to which intervention results have been disseminated

An Information, Education, Communication (IEC) Strategy was included as a component under the project. 24 radio and TV spots were prepared and broadcasted. CFU was contracted to reproduce CFU CA reference and training materials (and hoe and oxen hand books) for MACO Block/Camp Extension officers and Lead Farmers.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	An An Information, Education, Communication (IEC) Strategy was included as a component under the project. The objective was to create awareness about CA farming practices both among the general population and policy makers through the media (TV and Radio). The project proposal gives only limited information regarding the strategy (no other information was available) and therefore the quality cannot be assessed.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	Thr Through the National Agriculture Information Systems (NAIS) in part through the National Information Service Officers at district level, 24 radio and TV spots were prepared and broadcasted. In addition a television footage was prepared by ZAMCOM after visiting 6 of the districts; project staff also took part in several radio programmes (Terminal Review p.26). Radio and TV spots are regarded as appropriate dissemination tools in Zambia. As As part of the project, CFU was contracted to reproduce CFU CA reference and training materials (and hoe and oxen hand books) for MACO Block/Camp Extension officers and Own Farm Facilitators (Lead Farmers). (LOA; FAO and CFU). 5000 of each training material was produced (interview with CFU). The training materials appeared to be of high quality.
I-523 Evidence of articles published, presentations in	No information was available.

workshops, conferences	
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	The results of CASPP were generally known among national stakeholders involved in CA implementation, e.g. the EC.

Cluster 3: Sustainability and Scaling up

3.3.6 EQ6 To what extent have programmes been sustainable?

3.3.6.1 JC 61 Financial sustainability/economic sustainability

Farmers trained under the CASPP continued under FISRI 1 (May 2009-June 2011), FISRI II (May to December 2011) and FISRI III (July to April 2012), funded by the EC and implemented by FAO. Funds for supporting the programme activities have thus been available. CA is a flagship of Zambia and the political support to CA is thus likely to continue.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	The farmers trained under the CASPP continued under FISRI 1 (May 2009-June 2011), FISRI II (May to December 2011) and FISRI III (July to April 2012), funded by the EC and implemented by FAO. The first FISRI was designed as a Food Facility Project based on the CASPP model (interview, EC representative). Funds for supporting the programme activities after phase out have thus been available.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Access to agricultural input caused conflict during the project implementation. Lead Farmers were provided with the inputs; Follow Farmers were not provided with the inputs. This affected the adoption rate (Terminal Review). The agricultural inputs were however generally regarded affordable.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	It is likely that the results can be maintained if economic factors change.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Repetition – 612

I-615 Policy changes are not likely to affect programme activities	CA is a flagship of Zambia and political support is thus likely to continue. The objective of MACO is that 50% of all farmers are practicing CA by 2015.

3.3.6.2 JC 62 Institutional and technical sustainability

The government institutional structures (MACO) are weak in terms of financial management and M&E. Managerial and technical capacity of FAO is currently also very weak. Despite this the CA programme is being continued (FISRI), funded by the EC. The number of Follow Farmers and thus the adoption rate cannot be established; therefore it is difficult to establish whether the Follow Farmers have the required capacity. The Lead Farmers are expected to have the required technical capacity.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	The government institutional structures are weak (MACO) in terms of financial management and M&E. Managerial and technical capacity of FAO is currently also very weak; a new Emergency Coordinator who arrived in October 2012 is in charge of the programmes, no technical staff is currently in place, only an accountant. A new EC-funded programme (to follow the FISRI) starting from 2013 is currently under preparation, but has been put on hold due to an investigation of the financial management of FAO under the previous phases (information from EC Delegation).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	The number of Follow Farmers is not established and thus the adoption rate cannot be established. Thereby it also difficult to establish whether the Follow Farmers have the required capacity. The Lead Farmers are expected to have the required technical capacity.

3.3.6.3 JC 63 Environmental sustainability

The objective of CA is to improve the fertility of the soil and thus the project is generally environmental sustainable.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on	The objective of CA is to improve the fertility of the soil (as well as generating increased yield) and thus the project is generally environmental sustainable.

scarce natural resources	
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	CA is based on three main practices: minimum tillage; residual cover and crop rotation, which are all good environmental practices.

3.3.6.4 JC 64 Quality of exit strategy

No exit/phase out strategy was prepared.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	No exit/phase out strategy was prepared (FAO staff, Terminal Review report).

3.3.7 EQ7 To what extent have programmes lent themselves to scaling-up?

3.3.7.1 JC 71 Appropriateness of programme design for scaling up

3.3.7.2 The design of the programme is based on the principle of scaling up- from Lead Farmers to Follow Farmers. However, it appears that there was no clear strategy for the scaling up.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The design of the programme is based on the principle of scaling up- from Lead Farmers to Follow Farmers. However, it appears that there was no clear strategy for the scaling up. Under FISRI currently being implemented, the number of districts was scaled up from 12 to first 21 and then later to 31 districts. The programme is still implemented in the same districts as CAP II. FISRI.

3.3.7.3 JC 72 Extent of scaling up of programme activities (potentially/achieved)

CA adoption rate has not been measured; no M&E data exists. The Terminal Review pointed to an adoption rate (by Follow Farmers) of less than 50%; which is very low.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	Success histories with Lead Farmers exists, however as mentioned earlier the scaling up (to Follow Farmers) has not been successful.
I-722 Evidence of an effective learning process with a high adoption rate	The CA adoption rate has not been measured (no M&E data exists). Based on interviews during the field visits the Terminal Review pointed to an adoption rate of less than 50% (Terminal Review). This is a very low adoption rate.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	CA is the flagship of the country and political support at the highest level exist.

3.4 Norway-Netherlands Delegated Agricultural Support (ZAM-03/143)

General data

Intervention title	Norway-Netherlands Delegated Agricultural Support
Agreement partner (name)	Netherlands Ministry for Development Cooperation (source: Agreement Summary Report)
Type of agreement partner	Public Sector/other donor countries
Agreement nr.(s)	ZAM-03/143 (source: Agreement Summary Report)
Country / region	Zambia
Implementing partner	Royal Netherlands Embassy, Lusaka Contac person & contact detail:
Programme officer:	Odd Erik Arnesen (NORAD) Odd.Arnesen@norad.no
Extending agency	Royal Norwegian Embassy in Lusaka Contact person & detail: Mr. Jan Erik Studsrød: Jan.Erik.Studsrod@mfa.no
DAC Sector	Main Sector:311– Agriculture Subsector: 20 – Agricultural Development (source: Agreement Summary Report)
Intervention start & end dates	Originally planned 2004-2008 (source: Agreement Summary Report)
Budget Approved amount Agreed amount Disbursed amount	 70.000.000 (source: Agreement Summary Report) 70.000.000 (source: Agreement Summary Report) 40.493.049 (source: inventory data base, until 2007)
Main stakeholders e.g.	private sector
Number of beneficiaries targeted	No information available
Intervention description	Norwegian financial contribution will support an interlinked group of projects and programmes targeting commercial/private sector agricultural development, and associated education/training, research and technology development. The focus of delegated support under this Arrangement will be within the broad context of private sector development of agriculture, with particular focus on programmes that will contribute to development of agriculture as an economic growth sector. (source: Appropriation Document)
Programme background & history	The Mid-term review of the current MoU between Norway and Zambia concluded that the agricultural sector should remain a significant sector for Norwegian support to Zambia. Norway and a group of seven donors have, as a part of the HIP-initiative (Harmonisation in Practise), agreed with Zambia that donor support should be more co-ordinated, and those donors will enter into joint Agreements with Zambia for relevant sectors and programmes. In line with the desire to improve donor co-ordination and to harmonise working procedures, it was agreed that Norway could channel its support to the agricultural sector through other donors. The Netherlands and Sweden have been significant supporters of agricultural development in Zambia, and are in the process of expanding their programmes. Several programmes have been jointly funded by two or in some cases three of the countries, with co-ordination taking place on a case-by-case basis. Sweden and The Netherlands have therefore been seen as the most natural candidates to handle Norwegian delegated support to the sector. An attempt at sector-wide co-ordination of support to the agricultural sector in Zambia was made in the late 90's, in the form of the "Agricultural Sector Investment Programme – ASIP". That attempt is widely regarded as a failure, partly due to being overambitious and not well focused, but also due to underestimating the complexities of sector-wide co-ordination of support to a sector where the majority of activities are commercial in nature, and therefore belong in the private sector. (source: Appropriation Document)

Project objectives and activities & expected results

Overall objectives	LDT: promote emerging innovative opportunities and market linkages Transform the Trust into a centre of excellence for the development & promotion of sustainable

	dairy, beef, goat/sheep and pig production units, especially for breeding & draft animals, GART: Strengthen GART as a centre of excellence for innovative and market oriented research and development, Develop competitive mechanised production systems, based on conservation farming technologies ACF: To provide a forum for dialogue and consultation on government policies and programmes among key stakeholders and contribute to information sharing, coordination and networking between stakeholders, to monitor and evaluate the implementation of government policies and programmes and undertake agricultural policy analysis and research, to provide an efficient and effective institutional structure that is responsive to stakeholder needs NZTT: Provide the practical and commercially oriented training and graduates that the export horticulture require ZNFU: strengthen ZNFU's ability to be more proactive and respond more effectively to farmers' needs so as to better carry out its core task: promotion & protection of the interests of its memberscb cxvbcxvb
Specific objectives	LDT: Transform LDT into diary, beef, goat/sheep and pig production units, especially for breeding & draft animals, Provide training in livestock development production systems through long term certificates courses, in-service training & short term tailor made courses ZNFU: Strengthen the head office, strengthen the functioning of DFAs, promote ZNFUs regional and international linkages with other farmer organisations and corporate bodies
Expected results	LDT: • Production units transformed into commercially viable & contributing to training & Head office expenses • Minimum 8.200 pigs, 1420 cattle, 480 dairy cattle, 400 dairy goats, 2000 donkeys & 500 oxen produced for emerging & small-scale farmers • Information on sustainable, innovative & market-oriented livestock production systems generated & disseminated • Provided training in proven livestock development production systems, through long term certificate courses and short term tailor-made courses • Certificate and short term courses of international standard are offered • Encouraged use of training facilities by other learning GART: • Created synergies with international and national partners in research, development, promotion and marketing • GART's commercial farms contribute 55% of the overall budget • Skills of GART's staff strengthened and safeguarded • Soil fertility improvement • Crop-livestock integration • Organic farming • Knowledge transfer ZNFU: • Improved ZNFU-DFA liaison unit capacity • Enhanced ZNFU research and business development capacity • Enhanced ZNFU capacity in regional and international linkages • Improved DFA capacity and information flow • Improved market and trade capacity for DFAs and commodity associations ACF: • Improved dialogue between the agricultural sector & Gov NZTT: • 2ha of roses under production • 20ha of vegetable in full production • 12 smallholder demonstration plots operational • Farm workshop operational • Put in place a set of courses meeting the industry needs • Capacity building of staff, Offer of reasonably priced courses • Completion of audit criteria for ZEGA code of practice, recruitment of staff and auditing of ZEGA members • Organic material prepared for diploma courses and production plots
Main activities (specify agri. Activities for envir. Interventions)	LDT: training, commercial operations, research & development services, improvement & promotion of small ruminants, promotion of non-traditional feed sources, preparation of extension material packages, community-based livestock marketing, conservation of farm animal genetic resources, community-based animal health care, community-based natural resources management, animal draft power promotion

	GART: develop activities under AGRIFU, carry out special studies and value adding technologies, make the agricultural and industrial promotion of guar, create industrial linkages with Unilever, make silage for small holder producers, secure professional input from international organizations, explore cooperation with relevant institutions, make commercial investments for production, upgrade staff skills and provide support in HIV NFU: produce & distribute ZNFU's newsletter, web maintenance & update, Zambian farmers' magazine, develop a members' database, strengthen operations of information centers support to ZNFU's regular meetings & congresses, assessments of market & input requirements, manage the innovation fund, formulate position papers, produce farm enterprise budgets, economic performance updates & analysis, manage consultancy services, organize exchange visits & participate in international meetings. ACF: stakeholder consultations, policy advisory services, M&E, information management & sharing NZTT: complete rose planting, purchase greenhouses, recruit staff and provide training, complete packing & grading facility, export rose production under NZTT name, purchase vegetable equipment & complete irrigation system, recruit personnel for packing & fading facility, purchase & install drip units, and complete demo plots, incorporate CF in demonstration plots, purchase workshop equipment, complete workshop rehabilitation, recruit & train personnel, identify training need & develop /amen courses
Process on track? Main difficulties/challenges	Completed programme LDT: difficulties to generate profit for all units NZTT: trust dissolved ACF: sustainability issues since project end GART: some sustainability issues / competition of commercial farming activities with local small scale farmers ZNFU: sustainability issues
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

3.4.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

3.4.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The programme was in line with the priorities of the main national policies and strategies of Gov. in terms of both food security (indirectly) and alignment for improved delivery of donor aid.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	The delegated cooperation arrangement between the Netherlands and Norway is consistent with the priorities and strategies of the 5th National Development Plan, the National Agriculture Strategy and with the aims and objectives of the Joint Assistance Strategy for Zambia, all of which prioritise food security.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	The overall objective of the programme is to support public private partnerships in the agricultural sector, namely Livestock Development Trust for Livestock (LDT), Agricultural Consultative Forum, Golden Valley Agricultural Research Trust (GART), NRDC/ZEGA (NZTT), Zambian National Farmers' Union (ZNFU). LDT is a PPP which objective is to promote environmentally friendly livestock development initiatives in order to improve productivity and add value to raw production of livestock. ACF promotes dialogue and consultation on GOV policies and programmes as a tool to influence policy making of the Ministry of Agriculture (including food security) GART contributes to the optimisation of production, commerce, trade and crops and by-products through integrated agricultural research for development NZTT enhances the capacity of Zambia in export horticulture through a partnership between the Zambian Export Growers Association and the Natural Resources Development College aiming at providing training activities (full diplomas, part time certificates) ZNFU support is to promote the development of agriculture by organising farmers into associations and making representations on behalf of members to Government for matters relevant to their members

3.4.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The implementation approach through delegated support enabled full coordination of donor support as Norway was a silent partner and was an effective method for reducing transaction costs and coordinating agricultural interventions (and indirectly food security programme).

Evidence on indicator level

Indicator	
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	Yes, Norwegian support has been fully delegated to the Embassy of the Netherlands; this was put into effect with the establishment of the Agricultural Growth Partnership that aims to provide a strengthened strategic framework for the coordination and harmonisation of all agricultural programmes, especially between and amongst donors, GOV and the private sector (source: ex-post review ZAM-03/143)
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The delegated support came at a time (2004) when Norway was down scaling its support in the agricultural sector. This arrangement was therefore viewed as a way to reduce management costs without a total withdrawal from the agricultural sector.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	As Norway was a 'silent' partner, it had no relationship whatsoever with the supported institutions (GART, ACF, NZTT, ZNFU, LDT). The arrangement of delegated cooperation was considered a simple and effective way to harmonise donor support and increase impact of supported activities through combined funds. The overall programme proposal was in line with Dutch development priorities (no mentioning of Norway's specific priorities in the agricultural sector).

3.4.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The main beneficiaries of each intervention were the institutions themselves. There was little reference to their final beneficiaries except for ZNFU which included an analysis of its members' base so as to draft its proposal.

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The focus of this delegated support was to build capacity of institutions active in the agricultural sector through PPP. Priorities of the institutions are mentioned in I-112. There was no prior analysis of the final beneficiaries' requirements (e.g. no baseline survey to design each support proposal). ZNFU project proposal included a comprehensive assessment / description of its members' needs (farmers), which was reflected into the document.

3.4.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

3.4.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

Although none of the projects mentions explicitly food security as a prime objective, GART's planned activities and support to farmers in research on improved farming systems was likely to contribute to food security. ACF lobbying position is also highly likely to improved food security.

Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	There is no document referring to food security projection or food production in any of the 5 project proposals.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Although it was never mentioned specifically, all 5 projects were highly likely to increase food production directly to improved production systems / rehabilitations of institutions' infrastructures and increased capacity building, and indirectly through knowledge transfer to their final beneficiaries or influencing GOV policies and strategies. A 2006 external evaluation of GART concluded that the centre was 'contributing to poverty reduction, food security and agricultural development through supporting farmers to move faster from self-sufficiency to market-oriented production: GART's focus is on 'intermediate farmers, small-holder conservation farming equipment, 'poor-man's crops and exploiting backward and forward linkages' (source: GART independent assessment – IFDC) There was no intervention logic (log frame) for any of the projects (ZNFU had actual work plans based on activities and indicators)

3.4.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

There is no direct or indirect information on food access in any of the projects. One might assume at national level that farmer's trainings by LDT, NZTT, GART will ultimately create more performing farmers.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No information.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	No information; never measured; not relevant.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	One of the objectives of LDT was to promote improved livestock and make it available to farmers for increased income generation. The institutions had some components on formal training of students (LDT, NZTT) or building capacity of farmers on improved land husbandry techniques (GART, ZNFU) or policy influencing (ACF) that indirectly and on a long term basis would enable income generation and improve food security of Zambian farmers. GART activities were focussing on ways to upgrade the small holder to commercial farmer through innovation farming systems.

3.4.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Food stability was not mentioned in any project as an objective or as a result. GART's research activities in farming systems were likely to contribute to food stability though.

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection	Never mentioned in any of the project documents.

at national/subnational levels (targeted areas)	
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Never mentioned in any document. However, GART had several activities that were focussing on research on improved farming systems as a strategy to reduce the effects of shocks and testing those through contact farmers (source: GART progress report 2004). GART is organising farmers' field days.

3.4.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

There was no reference to nutrition in any project; nutrition status was not measured and there were no activities linked to nutrition.

Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No reference on nutrition in any project.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	There is no direct or indirect link between the projects and the nutritional status of the beneficiaries. Improving nutritional status was not an objective in any of the 5 projects.

3.4.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

3.4.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Food production of the commercial component of GART has increased substantially, NZTT's declined and the farming activity was terminated. For LDT, project support (till 2008) and GOV support (till today) were necessary to sustain the production level seen today.At beneficiary level, there was no measurement of food availability increase although it is assumed for GART related activities on conservation farming.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	Never measured for NZTT, ACF, LDT with regards to their final beneficiaries (farmers) One might assume that ACF has improved food security overall at national level through its lobbying activities (e.g. FISP, CADP facilitations, improvement of GOV strategy in cassava) as was ZNFU through the LIMA, IFC, ZANACO initiatives Some activities of GART resulted in on-farm, demonstration programmes for low-input technology (subcontracted activity with Conservation Farming Unit). At institutional level, GART, NZTT and LDT were engaged in commercial farming activities (not benefiting farmers) as a way to ensure sustainability: - NZTT: greenhouses (2ha of roses) and horticulture farmland (20ha) experienced substantial productivity gains in 2005 then decreased substantially due to a strong Kwacha and air freight constraints, resulting in greenhouses lease and reorientation to field production to the domestic market - GART significantly increased the productivity of commercial farm activities - LDT has increased the production level of the Keembe farm and Palabana dairy farm up to financially breaking even at some time; however, decreases of production were common over the 4 years period (and up to today) (disease, poor management, little commercial approach) so that funds form the programme and GOV (especially since project closure) had to be regularly diverted to sustain the farms' operations.

3.4.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

There is no evidence.

Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No evidence.

3.4.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Food stability was not measured in any project.

Evidence on indicator level

Indicator	Evidence

I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	Not measured in any project.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Not measured in any project. It is assumed that conservation farming activities by GART (CFU subcontracted) are decreasing the use of coping strategies by farmers.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Not measured in any project It is assumed that conservation farming activities by GART (CFU subcontracted) are increasing the resilience of targeted farmers.

3.4.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No information.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No evidence in any project.

Cluster 2: M&E and Documentation

3.4.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

3.4.4.1 Appropriateness of programme M&E design

M&E systems varied from institution to institution; there was little evidence of result / impact monitoring in any of the institutions. M&E was most advanced for GART and ZNFU because the programme had allocated financial resources for that purpose.

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	As a silent partner, Norway was not monitoring the programme. The Netherlands embassy was. Activity monitoring by each institution was done as per approved annual work plan; there was no log frame for any of the projects; indicators were mostly absent or when present were not SMART except for all activities related to commercial farming (production / income increases). For ACF, there has been little evidence of the institution actually monitoring changes in GOV policies due to lobbying activities; ACF was reporting on implemented activities (paper drafting, stakeholder incl. GOV meetings); it also conducted sector-wide surveys to monitor final beneficiaries viewpoints (e.g. out-grower scheme operators in 2005) in relation to GOV role in sustaining equitable growth (source: ACF 2004 semi-annual report) For ZNFU, there were targets to attain (activities) and indicators for measurement. M&E was to be carried out by the Secretariat itself. For LDT, monitoring was to be done through tracking “key performance indicators” (as per 2004 annual report) although these were not mentioned afterwards. There were no indicators on gender but for ZNFU and GART: • ZNFU was monitoring the beneficiaries including gender data when relevant; • GART had a specific project component on cross-cutting issues including gender (favouring female scientist and professionals although there was no specific target)
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	Part of the programme support to ZNFU was to strengthen M&E functions of the institution through capacity building of staff and the component on DFAs creation that would enable ZNFU presence on the field, improved service delivery to its members and feedback from its members There was no information on M&E systems in other institutions but regular progress reports.

3.4.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

M&E implementation varied from institution to institution, being centralised for ACF and decentralised (as per staff in charge of activities/ project components) for GART, ZNFU. These modalities reflected the management culture of each institution. There was no evidence of a M&E system in NZTT.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	With re. to GART, all senior professional staff were trained in Project Monitoring and Evaluation through a course at GART conducted by the National Institute for Public Administration (NIDA). For ZNFU, see I-412. With ZNFU, a Liaison Officer was to cause meetings of the Committee of Management, hence a decentralised M&E system at ZNFU. In ACF, an M&E staff was made available full time during the entire programme. There was no evidence of an M&E system in NZTT possibly because the Trust was relying too much on NRDC staff (source: 2004 NZTT PPT).
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	LDT planned to carry out a baseline survey in small scale farmer's communities that should benefit from LDT with monthly, quarterly and annual M&E. Subsequent reports do not mention these (assuming it would be the number of enrolled students for training facilities, vaccine distributed from Balmoral, livestock production/productivity at Keembe, Palabana farms, etc.). As ZNFU rolled out DFAs in 2004/5, a baseline study was done to 'develop empirical data and information to help ZNFU ascertain the current status of selected key performance indicators arising from the planned interventions' (source: 2006 end or year report – ZNFU); it was not related to food security. The liaison Officer at ZNFU was in charge of organising monthly meetings of the Committee of Management (there was no PMU)

3.4.4.3 JC 43 Adjustment of programme design and/or implementation modality

NZTT never managed to be profitable despite trying several approaches and the trust was dissolved by programme's end. LDT attempted to reach profitability by first increasing profitability of commercial activities that in turn would fund training components. When it turned out not to be feasible, LDT approached -was approached by- GOV in order to operate a restructuring of its non-viable activities through devolution to GOV of the activities. There were no changes for the other institutions.

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a	*For NZTT, the trust was dissolved by programme's end due to financial non-sustainability of the activities* *With re. to LDT, there have been numerous adjustments of activities and strategy changes in order to ensure financial sustainability of the farms and training facilities but to no avail (e.g. drastic farms staff reductions, attempts to separate from non-*

consequence of M&E results	*viable structures [e.g. Palabane training centre, Balmoral vaccine production unit] by involving GOV* *No adjustment plan for ACF, GART, ZNFU.*

3.4.5 EQ5: To what extent have programme results been documented?

3.4.5.1 JC 51 Availability of documentation of results

All 5 institutions provided abundant information on the progress of their respective components, but the programme components lacked logical frameworks against which progress could have been measured more formally.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	All institutions drafted (very) narrative progress or quarterly report in addition to annual reports although the progress of implementation lacked a more straightforward format like a log-frame. (ZNFU has an internal database of members and agri-business enterprises)
I-512 Existence and quality of evaluation reports	A comprehensive ex-post evaluation was carried out in 2009. Some institution specific evaluations were carried out (although no doc. could be recovered).
I-513 Existence and quality of other types of documentation of results	Technical reports were produced by GART. ACF is still producing 4-5 briefs and notes per year, even though donor support has dropped considerably since 2008/9 resulting in little or no follow-up with the members. No information on NZTT, LDT and ZNFU

3.4.5.2 JC 52: Extent to which intervention results have been disseminated

Interventions results were disseminated most efficiently by GART and ZNFU for which an entire project component was dedicated; this enabled the organisation to be recognised at national level. Although ACF's activities have slowed down due to less donor funding, it is also recognised at national level as the key institution /platform to discuss issues related to agriculture.

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of	ZNFU's strategy on dissemination was DFA dependant (decentralised). At central level ZNFU produced communication guidelines towards the media.

dissemination strategies	An entire component of the project was the edition of the Zambian Farmer Magazine although it lacked well researched and written articles by experts in the agriculture sector. At some point during implementation, there have been plans to liaise with GART on issues of ZNFUs interest published in the year book so as to republish them in ZNFU's magazine. ZNFU formulated position papers (e.g. on VAT, tax & budget issues) with lobbying activities at the Ministry of Agriculture. GART has been disseminating research results through contact farmers (as testers) as well as GART Year Book. There was no dissemination strategy for LDT and NZTT. ACF strategy was to 1st produce briefs and notes re. issues of concern/interest raised by its members and 2nd convey these to relevant stakeholders (often GOV) for action. Since support ended, ACF is focussing mainly on the 1st step (publication of notes) and slowed down considerably the 2nd.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	All 5 institutions have(had) a web site for the public in general. DFAs from ZNFU adopted dissemination tools as/when viewed appropriate; these were therefore different per DFA: most used study tours, publication of monthly newsletters to attract potential members and inform existing members (although it had no effect on small scale farmers due to the illiteracy rate) ZNFU at central level publishes production estimates from members surveys.
I-523 Evidence of articles published, presentations in workshops, conferences	GART published numerous scientific articles through its GART Year Book although it recognised that the quality had to be improved; GART publishes also technical bulletins and manuals (proven technologies). ACF core functions are to lobby relevant stakeholders and therefore organised numerous conferences, seminars, workshops (up to several /month during the programme). It nowadays organises several meetings per year. There is no evidence of articles by LDT and NZTT. ZNFU was very prolific in disseminating information on its organisation, members' interests, etc. (newsletters, magazine, radio/TV programmes, etc.)
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	GART was recognised by FAO as a regional knowledge centre in Southern Africa for conservation farming. Through this programme, ZNFU has grown from a farmer's union into a national leading institution representing the interest of Zambia farmers. One major lesson learned from the programme is that PPP are feasible when firm co-funding arrangements with public partners are made and active participation and commitment from these exist. This was not the case for these trusts. Since the programme was terminated, there seems to be renewed interest of GOV in taking over several strategic functions of LDT (namely the vaccine production centre and training activities).

Cluster 3: Sustainability and Scaling up

3.4.6 EQ6 To what extent have programmes been sustainable?

3.4.6.1 JC 61 Financial sustainability/economic sustainability

GART and ZNFU took advantage of programme funding to strengthen their position as financially more independent institutions. LDT (as NZTT) never managed to become financially independent and is still struggling today requiring massive GOV support. ACF is still relying on donor support and is currently orienting itself towards developing partnerships with other stakeholders (project approach) to continue financing lobbying activities.

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	One of the objectives of the programme was to transform these PPP into financially sustainable institutions: GART has managed to increase income considerably from commercial farming activities reaching up to 55% of the overall budget by programme's end. NZTT was dissolved due to unprofitability of its farming activities. ACF is entirely donor dependent for core funding as the membership fees constitute a minute portion of its annual budget. LDT has never been financially sustainable even though some farms have the potential to be viable. ZNFU is still supported by donors; the concept of sustainability was still discussed by project's end; at the time of the mid-term review, ZNFU was covering 25% of its expenditures from its own internally generated resources (source: 2009 ex-post evaluation).
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	ACF has reduced considerably its activities (including staff separation in 06/2012) due to financial constraints; since programme closure, it has still produced briefs and notes but has less funds for convening members for meetings and lobbying activities
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	In addition to internal management issues, strategies changes, LDT has been always dependant on external factors for sustainability. Unlikely for GART. Not relevant for ZNFU and ACF.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Not relevant.
I-615	LDT is currently being transformed due to renewed interest of GOV in several LDT activities: the trust should ultimately cease

Policy changes are not likely to affect programme activities	vaccine production and training activities.

3.4.6.2 JC 62 Institutional and technical sustainability

LDT has not taken advantage of the programme to become technically stronger. ACF remains constrained by donor support although it managed at some point (until 2012) to increase its analytical capacity. ZNFU and GART ended reinforced technically and able to capture donor funds.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	NZTT was dissolved. LDT still remains weak institutionally with strong links with GOV. Management strategy remains unclear even in 2012 with still transfers of resources from one farm to the other jeopardising the viability of the individual farms. New GOV programmes plan to increase the capacity of some farms while at the same time, there is evidence of limited technical and managerial capacity of the staff. ZNFU has acquired the capacity to continue its activities through donors funding although several activities were scaled down. The same can be said for GART (increased professional staff and assets) although it is now in a better position due to substantial farming income that funds most of its back office expenses. By project's end, ACF had expanded its range of activities (projects, surveys) and contracted more staff (although their contracts were terminated by 2012)
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	No information / not relevant.

3.4.6.3 JC 63 Environmental sustainability

The programme had no particular negative effect on the environment.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on	Very likely for GART and ZNFU which advocated conservation agriculture.

environment or increased pressure on scarce natural resources	
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	GART (through contact farmers) and ZNFU (through CFU) managed to divulge good environmental practices (conservation farming).

3.4.6.4 JC 64 Quality of exit strategy

Norway through this silent partnership was not able to monitor each project and intervene to direct the institutions towards sustainability paths.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	For ZNFU and ACF, no clear exit strategy was defined while for the other projects, the exit strategy consisted in the development of income generation through commercial exploitation of (training) farms and service deliveries. The overall programme monitoring lacked effective mechanisms and leverage to timely direct the supported organisations towards a responsible exit strategy thereby enhancing the sustainability of the organisation and its services.

3.4.7 EQ7 To what extent have programmes lent themselves to scaling-up?

3.4.7.1 JC 71 Appropriateness of programme design for scaling up

Scaling-up has been considered by both GART and ZNFU by the time the programme was ended.GOV has initiated discussions on scaling up (and down scaling) several LDT components like farms running at break-even costs.

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and	Due to lack of donor support, ACF has scaled down its activities and re-centred itself on additional activities due to project closure to ensure core funding through specific surveys and research activities. It recently (2012) had to separate 2 staff (research & M&E) due to funding constraints further reducing its outreach. For GART, ZNFU and LDT scaling up will require external funding (donor/GOV for GART – donor for ZNFU – GOV for LDT).

methods with an added value over existing methods, etc.	GART research results can easily be scaled up through donor/GOV funding. LDT scaling up was not on the agenda at programme's end although by 2011/2, GOV was showing interest for scaling up Keembe piggery and Palabane dairy station. ZNFU scaling up was summarised in the new strategic plan (by 2007/8) which required extensive donor funding.

3.4.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Except for GART and ZNFU, most organisations did not by themselves plan for activities scaling up.

Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	Conservation farming by ZNFU and GART can be considered as success stories that can easily be scaled up (with additional funding).
I-722 Evidence of an effective learning process with a high adoption rate	As above although none of the organisations measured any adoption rate. GART has developed successfully proven technologies which have a potential for high adoption rate. Not relevant for ACF.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	There is agreement among all stakeholders (including GOV) on the usefulness of ACF in checking GOV actions, policies and strategies. However, the balance between being too close to GOV or too independent has not yet been strategically found by ACF. GOV has recently shown interest in scaling up the activities of Keembe and Palabane commercial farms. (LDT) although there is little agreement on the method of scaling up (e.g. GOV plans to provide more livestock heads while senior farms managers insist on scaling up the premises first).

3.5 Zambia: Norway-Sweden Delegated Agricultural Support (ZAM-03/142)

General data

Intervention title	**Norway-Sweden Delegated Agricultural Support** Project title: AgricultureSupport programme – ASP in Zambia
Agreement partner (name)	SIDA – Swedish International Development Cooperation Agency
Type of agreement partner	Public sector other donor countries
Agreement nr.(s)	ZAM-03/142 (source: inventory data base)
Country / region	Zambia Operational areas: Central province (Kabwe, Kapiri Mposhi) Southern Province (Choma, Linvingstone) Eastern Province (Petauke, Chipata) Northern Province (Mpika, Kasama)
Implementing partner	Under the auspices of the Ministry of Agriculture and Co-operatives (MACO) but managed by a consortium of consulting companies (rural economic expansion Services Ltd., Gibcoll Associates Ltd., HJP International Ltd., RuralNet Associates LTd. and Ramboll Natura AB (as lead consultant). Team leader: Otteby Olle, olleo@asp.org.zm (closed project) Niras (ex-Ramboll Natura): niras@niras.dk
Programme officer:	
Extending agency	Royal Norwegian Embassy in Lusaka Contact person & detail: Mr. Jan Erik Studsrød: Jan.Erik.Studsrod@mfa.no
DAC Sector	Main Sector:311– Agriculture Subsector: 20 – Agricultural Development (source: inventory data base)
Intervention start & end dates	Originally planned: 2003-2007 (source: programme doc) De facto period: 2003-2008 (source: End of programme Report)
Budget Approved amount Agreed amount Disbursed amount	 50 000 000 50 000 000 49 985 339 NOK (source: inventory data base); Norwegian support was limited to the years 2006-2008 The overall programme budget from 2003-2008 was SEK 346.510.334, from which the embassy contributed SEK 49,5 million (source: End of Programme report)
Main stakeholders e.g.	Target group: small-scale farmer, local authorities, private sector
Number of beneficiaries targeted	**44,000 small scale farming households** in selected agricultural camps and local service providers needed for the development of these households. *(source: ASP, End of Programme Report)*
Intervention description	The programme seeks to build on concepts of demand-driven, participatory processes and integrated rural development with the focus on empowerment of the small-scale farmer/potential entrepreneur to function in a competitive market. ASP's role is one of facilitating and brokering linkages, and offering assistance and support, to promote, stimulate and enhance participatory agriculture sector development. This approach requires commitment from participating farmers in the form of time and other resources, but it fosters ownership and long-term sustainability. (source: programme design doc)
Programme background & history	The Agriculture Support Programme, ASP, is a five-year programme under the auspices of the Ministry of Agriculture and Co-operatives (MACO), funded by the Swedish International Development Cooperation Agency (Sida) and managed by a Consortium of consulting companies. The Consortium consists of Rural Economic Expansion Services Ltd, Gibcoll Associates Ltd, HJP International Ltd., RuralNet Associates Ltd. and Ramboll Natura AB as the lead consultant. (source: programme design doc)

Project objectives and activities & expected results

Overall objectives	Long term objective: Poverty reduction Short term: To contribute to improved livelihoods among target households (20,000 by 2005 and 40,000 by 2007) through increased food and nutrition security and incomes mainly through sale of agricultural related produce and service (Logframe, revised 2005)
Specific objectives	**Component 1:** (Development of) a critical mass of self-confident and emerging entrepreneurs, who identify and sustainably exploit business opportunities mainly on their farm, with adequate women headed household representation *Specific outcomes:* • Improved application of business and management skills in ASP areas • Improved tri-partite linkages to entrepreneurship and business development in ASP areas. • Functional savings and investment schemes (set up) • Increased access to financial services (credit) • Increased Insurance of businesses among target groups **Component 2:** Increased and sustained production and productivity from crop, livestock and non-traditional enterprises – based on environmentally sound management of the natural resource base *Specific outcomes:* • Households expand and diversify their farm production • Sustained use of improved seed and planting materials. • Improved linkages between farmers and other stakeholders (seed industry) • Landraces conserved and used • Increased adoption of environmentally friendly land husbandry practices • Increased security of land use under traditional tenure system • Increased adoption of relevant practices from experimentation / demonstration plots • Increased adoption of HIV/AIDS coping strategies for farmers **Component 3:** Better market access created and conditions for sustainable business development and economic diversification improved, through better community based infrastructure *Specific outcomes:* • Identified projects successfully completed on time • Sustainable utilization and management of infrastructure by the concerned group • Improved access to other infrastructure support funds **Component 4:** Improved service delivery and outreach through increasing the capacity among the relevant entities supporting farmers and groups *Specific outcomes:* • Improved provision of marketing and agribusiness services better prices at the farm level, more value added and increased employment in ASP areas • Risk Fund utilised by 2005 • ASP beneficiaries expand into agribusiness and other support roles • Expanded agribusiness investment giving increased marketing opportunities and improved input supply to ASP beneficiaries • Improved provision of information services on marketing, agribusiness and crosscutting issues • Improved provision of information services on marketing, agribusiness and crosscutting issues • Improved provision of participatory extension services by public, local and private organizations • Strengthened capacity of SCCI to ensure sustainable quality control and effective regulation of the seed sector • Improved organizational capacity and empowerment among hhs nd farmer groups to manage services • Basic schools develop functioning outreach programmes • Increased integration of HIV/AIDS activities in support entity activities • Increased environmental integration among support entities • Increased Gender mainstreaming among support entities **Component 5:** An adequate and structured system provided for planning, implementation,

	facilitation, monitoring, documentation, management and dissemination of lessons and experiences, policy and feedback
Expected results	**Component 1** • Increased awareness, knowledge and skills in tri-partite linkages to service providers • Increased knowledge in business and management skills, with adequate women-headed household representation • Increased awareness, knowledge and linkages regarding savings, investments and credit • Increased awareness, knowledge and skills about enterprise insurance **Component 2** • Improved and diversified crop husbandry/production practices • Improved seed production and distribution systems developed • Improved and diversified livestock husbandry practices • Increased Non-traditional farmenterprises (agro forestry, apiculture, aquaculture, etc) • Improved LM&CF technologies & practices • Increased number of experimentation / demonstration plots by farmers, buyers and processors • Improvements in land tenure arrangements are planned • HIV/AIDS coping strategies are incorporated **Component 3** • Improved and economically focused community-based infrastructure identified, approved, constructed and/or rehabilitated • Increased knowledge and skills on management, utilization and maintenance of infrastructure by the concerned group • Increased knowledge about other infrastructure support funds among SSF groups **Component 4** • Improved knowledge and skills in business management among public, local & private organizations • Risk Funds in place being effectively managed and being availed of • Risk Fund performing sustainably • Establishment of Information Centres (AICs) • Improved knowledge and skills about PEA among public, local & private organizations • Agribusiness actors established and strengthened • Improved capacity among local authorities to provide services • Improved knowledge and application of democracy, good governance and human rights among hhs and formation of farmer associations • ASP Outreach programme at Basic schools developed • Increased HIV/AIDS awareness, knowledge and integration among support entities • Increased environmental awareness, knowledge and integration among support entities • Increased gender awareness, knowledge and mainstreaming among support entities improved knowledge and application of democracy, good • governance and human rights among hhs and formation of farmer associations **Component 5** • An efficient integrated programme planning, management and learning system developed • ASP facilitation cycle developed and disseminated to stakeholders • A functioning M&E and documentation system developed • ASP lessons and experiences disseminated • Responsive system for policy lobbying, advocacy and feedback created
Main activities (specify agri. Activities for envir. Interventions)	na
Process on track? Main difficulties/challenges	Project completed.
List of available documentation for the intervention	See Bibliography

Cluster 1: Contribution to Food Security

3.5.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

3.5.1.1 JC 11 Alignment with partner country food security policies/strategies if available

ASP was aligned with GOV policies at the time; in particular food security through increasing production, productivity including conservation agriculture. The ASP approach 'farming as a business', was new but the results it aimed at were in line with GOV policies.

Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	ASP was designed at the time (2003) in the context of the 2002-2004 Poverty Reduction Strategy Policy (PSRP) with the objectives to increase food security and income generation. PRSP was to focus on "expanding production, productivity, and competitiveness in the agricultural sector to meet both the challenges of local and international demands" and on "identifying and promoting products with competitive advantage, provision of affordable credit…" as well as the identification of viable markets. Output 5 of PRSP focussed on "Targeting the Establishment of Support System for Food Security" through "1. Promotion of the use of low-input and conservation farming technologies, 2. Selecting target farmers who meet criteria, 3. Distributing required enterprise inputs on time and 4. Providing extension messages to support the enterprises. (Source: 2002-2004 PRSP) PRSP was already setting grounds for the ASP 'Farming as a Business' approach.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Not relevant

3.5.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

There is no evidence that ASP was coordinated with any other interventions, except that it originated from several past SIDA funded interventions; it was independently implemented with little or no input from central MACO and was therefore at odds with the Paris declaration. This was done because SIDA had had several past interventions embedded in MACO with poor results and favoured a new type of implementation: resource allocation by an independent implementation structure ('consultant') but co-execution by local MACO staff and the consultant.

Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	No evidence (desk & interviews). Still, several approaches adopted by ASP were reflecting GOV priorities and activities carried out by other stakeholders (e.g. ASP land conservation component originating from Conservation Farming Unit).
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The ASP is a rationalisation of previous diverse SIDA supports (Economic Expansion in Outlying Area Programme [EEOA], SCAFE, supports to Conservation Farming Unit [CFU], Multiplication & Distribution of Seeds Project [MDSP]); Norway provided support because the objectives of ASP (income generation & reduction of food insecurity) are in line with Norway's support in the agricultural sector.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	No evidence at central level; the programme was being implemented by a consultant – independently – in contradiction with the Paris Declaration on harmonisation & alignment. Joint field missions and joint implementation with DACCO staff and CEOs.

3.5.1.3 JC 13: Relevance of project intervention according to final beneficiaries

ASP methodology was innovative in the sense that farmers were deciding on their priorities, the activities they wanted to achieve, how to implement these to attain their objectives. ASP would provide tools and methods to the farmers for that purpose (how to plan, look for financial resources, external support, etc.).

Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The programme is highly relevant and reflects the needs of beneficiaries: its approach is participative: 'farming as business': beneficiary communities follow a 8 step cycle: 1. Community participation (PRA & formation of farmers' focussed groups), 2. Opportunity identification (formulate a vision for the group and adopt a business focus), 3 needs assessment, 4. Training, exposure & networking, 5. Action planning (plan activities), 6.resources mobilization (loan, revolving fund), 7.implmentation, 8. Evaluation. At steps 2 & 3, farmers decide what kind of activity they want to undertake: livestock diversification (dairy, goat, pig) through SLIC and maize & other crops production / intensification; at phase II, additional coping strategies were adopted: bee keeping, mushroom trading, piece work trading.

3.5.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

3.5.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

Likely that food security can be achieved; main objective is that food security should be achieved for 80% of the target group.

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No information.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	Highly likely, but not measured.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	Highly likely because one of the objectives of the programme is income generation (source: programme document).

Evidence on indicator level

Indicator	Evidence
I-211	No information.

Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Very likely at local level: main objective of the programme is to achieve food security for 80% of targeted HH (source: project document).

3.5.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

Project is likely to lead to increased food accessibility; objective is income-generation.

Evidence on indicator level

3.5.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Project is likely to lead to increased food stability based on maize intensification. .

Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No information.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	Very likely through supporting agricultural diversification AND maize intensification (source: 2004 annual report).

3.5.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

Through crop and livestock diversification, ASP is likely to lead to improved food use resulting in improved nutritional status.

Evidence on indicator level

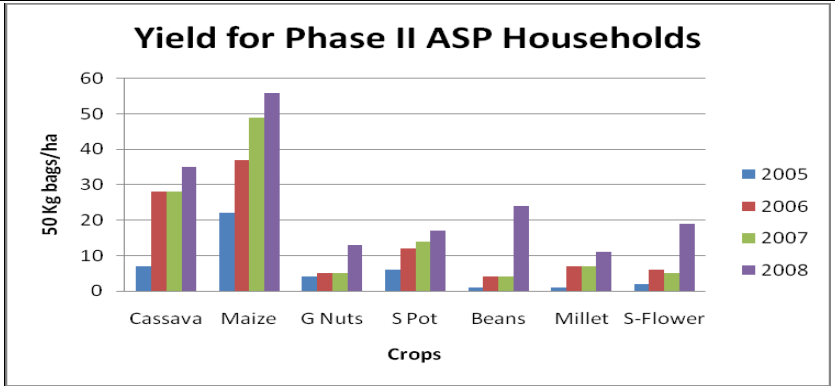
Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	ASP tried to facilitate an increased diversity in the diet, to move away from the connotation for the households to think that food equals maize to improve on the nutritional quality of the food. Secondly a more diverse diet also means a more diverse and thus more resilient farming system and providing a better platform for farming as a business. ASP differentiated between foods mainly providing energy from those providing proteins and others providing vitamins and minerals. Typical energy foods were maize, cassava and sweet potatoes, proteins were supplied by pulses and animal products while vitamin food fell under the categories of different types of fruits and vegetables (source: food security document).
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	Very likely through improved increased crop production/diversification and livestock diversification.

3.5.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

3.5.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

Food availability has been substantially increased because of increased input supply and conservation agriculture: 2.5 times for maize and several times for other crops that were supported by ASP.

Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	 Substantial increase in food production (X2 for maize) (X5-10 for other crops thanks to crop diversification & improved land husbandry).

3.5.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

ASP beneficiaries were by the end of the program having about 2/3 of required vitamin, protein and energy. Diet analysis was not done during the initial baseline study and therefore cannot be compared.

Evidence on indicator level

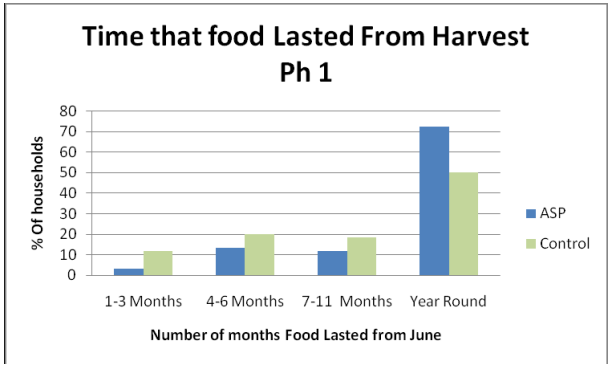
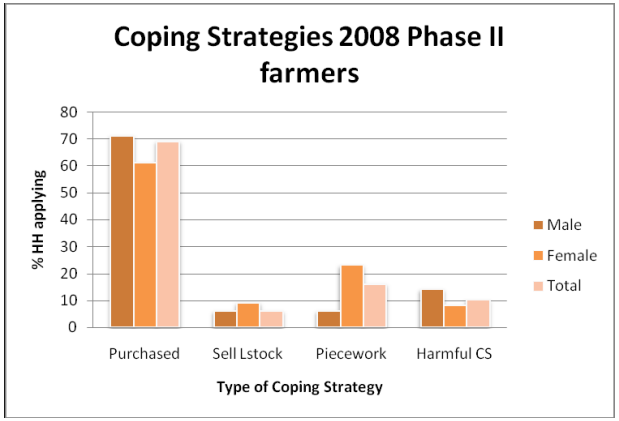
Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	By 2007 (1 year before closure), the protein secure households were 64%, the vitamin secure 73% while the energy secure were 62% (no baseline analysis was done) (source: food security document).

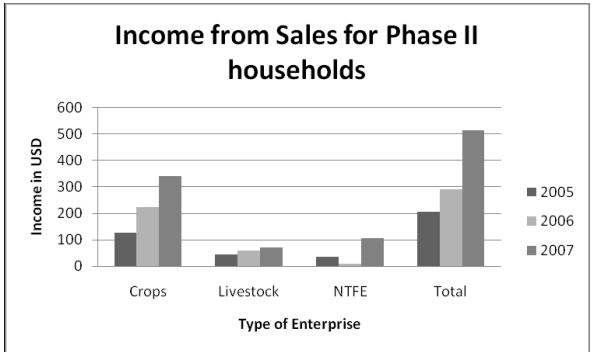
3.5.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The lean period has substantially decreased for ASP beneficiaries in comparison with non-ASP beneficiaries: in particular, 70% of beneficiaries were food secure all year around against 50% for non-ASP beneficiaries, not taking into account the additional benefits in income from selling crops, livestock and non-agric. products.

Evidence on indicator level

Indicator	Evidence
I-331	Detailed analysis of the food security situation in 2003 (baseline study) within the programme areas (source: annual report

Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	2004). Baseline 2002/3: food security 45% (target: 90%); food & nutrition security: 34% (target 80%)  For Phase I farmers (2003-2006), if the 7 to 11 months (12%) is added to the 71% (target was 80%) who have food all year round there is a manageable food security situation for more than 80% of the ASP households. Income generation activities should also improve the overall food security status (+/-65% for control group). Food security was directly dependant of the level of entrepreneurship of the farmer (farming as a business approach).
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Due to the 2004 drought, the programme was reoriented in supporting several coping strategies (bee keeping, mushroom trading, piece work trading).  The proportion of female headed households purchasing food was slightly less than the male headed ones. Women seemed to be more inclined to selling livestock and doing piece works than men but were less likely to engage in harmful coping strategies

	(source: food security document).
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Income generation:  Income has more than doubled (2.5X) for participating farmers.

3.5.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No data available.

Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No data ; not measured.

Cluster 2: M&E and Documentation

3.5.4 EQ 4To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

3.5.4.1 Appropriateness of programme M&E design

Originally, M&E was cumbersome and too much data was being collected without much added value. Data collection has always been gender specific

Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	MILS (Management Information Learning System) component: in charge of collecting and analysing all the data (poor indicators resulting in downscaling MILS in 2005 with a revised and more simple M&E system). Data collection was gender specific.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	See above (MILS component). 2002/3 baseline study carried out and subsequent close monitoring of 4.400 farmers (out of 44.000).

3.5.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

Data was collected at camp level by CEOs supported by facilitation team staff; this enabled a close monitoring of selected farmers and following-up their involvement in the programme; over 10% of beneficiaries have been closely monitored.

Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	8 facilitation teams (4 provinces X 2 [1Team leader, 4-6 District Coordinators, ASP facilitators, 20-30 CEO]) Over 250 staff.
I-422	Annual data collection re. food security & nutrition data, levels of development related to farmers' entrepreneurial skills ; data

Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	disaggregated per gender

3.5.4.3 JC 43 Adjustment of programme design and/or implementation modality

After 2 years, the M&E system was overhauled with the introduction of SMART indicators for food security analysis

Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	In 2005, MILS was redesigned (downscaled): SMART indicators were identified for food security analysis: assets, on-farm employment, production surplus, meal intake & selected food availability (Carbohydrates, vitamin) (source: revised programme implementation document).

3.5.5 EQ5: To what extent have programme results been documented?

3.5.5.1 JC 51 Availability of documentation of results

Comprehensive documents on the programme (periodic & technical) were produced and are still available on the internet.

Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Annual reports available. End of programme report available. Detailed food security / infrastructure end of programme reports available.
I-512 Existence and quality of evaluation reports	No evaluation report was recovered but a comprehensive post-ASP consultative process report was available with recommendations.
I-513 Existence and quality of other	Many technical documents (setting-up out-grower schemes/SACCOS, handbooks for facilitators, etc.) are still available.

types of documentation of results	

3.5.5.2 JC 52: Extent to which intervention results have been disseminated

Regular communication activities included a (consultant) website, brochures and magazines. Monthly meetings were done at both provincial and central level with MACO.

Although a communication strategy was designed by the end of the programme, few activities were actually implemented to divulge ASP results (in particular to MACO).

Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	A (comprehensive) communication strategy was designed in 2007 focussing on all stakeholders (MACO staff, general public, beneficiaries, etc.); however, the financial means did not match its ambitions and it was not adequately implemented.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	As part of the 'Farming as Business' approach, different means of communication were used: exposure visits, demonstrations, study circles. Few efforts carried out to divulge results by the end of the programme, especially to MACO.
I-523 Evidence of articles published, presentations in workshops, conferences	Still operational website by the consultant (Ramboll): many technical & periodic reports are available. A quarterly magazine was produced in 2004, 2005, 2006.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	There was little or no awareness by MACO at central level. At local/regional level, DACCO and CEO staff empowered themselves with several ASP tools (conservation agriculture, farming as a business approach, carrying out PRAs, study circles, etc.

Cluster 3: Sustainability and Scaling up

3.5.6 EQ6 To what extent have programmes been sustainable?

3.5.6.1 JC 61 Financial sustainability/economic sustainability

Many activities that would have sustained ASP results were implemented late (particularly linking value chain stakeholders, SACCOS – saving & credit groups)

Outgrower groups are still operational though (provision of input by a proactive farmer to members of his group).

Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	There was no taking over after ASP was phased out.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Service delivery to farmers was supported by ASP; e.g. 788 out-grower schemes were developed ; linkages to micro-credit organisation (MBT, FINCA) were developed; a credit scheme was developed Business management models were developed for chicken, goat, fish, outgrowing, cottage processing of sunflower, meat processing, irrigation (source: end of programme report). Except for outgrower schemes still operational today, ASP was unable to consolidate these activities by the end of the programme.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Results like conservation farming, livestock diversification are not easily affected by economic factors; results related to SACCOS, marketing, input supply. Still by today, outgrower schemes were operational.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Not relevant for crops and livestock. The infrastructures supported by ASP (markets, culverts) were either not used or not maintained (and quickly degraded).
I-615 Policy changes are not likely to affect programme activities	Not like to affect programme activities.

3.5.6.2 JC 62 Institutional and technical sustainability

There was no taking over of ASP by MACO; MACO did not own ASP and was not empowered of it by the end of ASP; there was little or no capacity building of MACO staff in terms of management; MACO staff at district level took advantage of ASP technical input and is still using some of the tools and methods till this day.

Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	At local level, DACCO and CEO acquired technical skills ('farming a business', conservation farming, use of PRAs). As ASP was run independently from MACO, managerial skills of MACO (at local, regional, central level) were not improved.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Yes for farmers with the greater entrepreneurial skills: mainly outgrower schemes (+/-700 groups X 10 farmers).

3.5.6.3 JC 63 Environmental sustainability

The project is expected to be environmental sustainable.

Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Not likely because of diversification activities.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	The programme promoted crop & livestock diversification and also Conservation Farming which was adopted by farmers (mostly those with greater entrepreneurial skills).

3.5.6.4 JC 64 Quality of exit strategy

An exit strategy was designed progressively phasing out according to the development level of beneficiaries (level of entrepreneurial skills).

MACO was not empowered of ASP results by the end; the idea of technical backstopping of central MACO staff came too late (2007/8) for enabling them to acquire ownership of ASP results.

Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	An exit strategy was designed in 2005 when MILS was downscaled: Key features: early start, explanation to farmers about the limited duration of ASP, no hand-outs, phasing-out gradual & progressive, phasing-out guided by behavioural change of beneficiaries, higher priority to capacity building & sustainability aspects (source: revised programme implementation document) No strategy was designed for empowering central MACO and allow taking over; this was recognised as a ASP weakness (source: end of programme report).

3.5.7 EQ7 To what extent have programmes lent themselves to scaling-up?

3.5.7.1 JC 71 Appropriateness of programme design for scaling up

Several tools are nowadays being used by donors through new interventions (e.g. rating of entrepreneurial skills, conservation agriculture)

Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	Rating of entrepreneurial skills of farmers (individual follow-up) is used by other donor funded programmes Conservation Farming, use of PRAs have been widely scaled up in the country. 'Farming as a business' approach could be potentially scaled up.

3.5.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

There was little of no scaling up by the time ASP ended. ASP innovative tools are being used by other donor funded interventions.

Evidence on indicator level

Indicator	Evidence
I-721	Success stories mentioned in the 2004/5/6 ASP magazines.

Evidence of success stories which can easily be scaled up	'Farming as a business' approach is a success story by itself.
I-722 Evidence of an effective learning process with a high adoption rate	The methodology (individual monitoring at HH level) enabled a high adoption rate of techniques mainly for level 4 & 5 farmers (strong business skills).
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	As the programme was not owned by MACO, there was no scaling up. Still, the approach (farming as a business, PRAs, rating of entrepreneurial skills) was copied into newer interventions: IFAD's Small Holder Production & Productivity Programme, Finland's Programme for Luapula Agricultural and Rural Development