

LUSIP-GEF Sustainable Land Management Project

(LUSLM)

Project Mid-Term Evaluation Report

Final Report

Report Compiled by: Oliver Chapeyama
P.O. Box 320184, Tlokweng
Botswana

November/December 2012



TABLE OF CONTENTS

TABLE OF CONTENTS.....	1
LIST OF ACRONYMS	2
EXECUTIVE SUMMARY	4
1. INTRODUCTION AND BACKGROUND TO THE PROJECT.....	9
1. INTRODUCTION AND BACKGROUND TO THE PROJECT.....	10
1.1 Background.....	10
1.2 Introduction.....	10
1.3 Relevance of LUSLM to GEF Programmes	11
2. PROJECT EXECUTING ARRANGEMENTS	12
2.1 LUSLM Project Outcomes.....	12
3. SCOPE AND OBJECTIVES OF THE EVALUATION	13
3.1 Key Evaluation Principles.....	15
4. PROJECT PERFORMANCE AND IMPACT	15
4.1 Assessment of Project Results under Component 1: Sustainable Land Management Approach Promoted at National Level.....	15
4.2 Assessment of Results under Component 2: Land Resources Planned and Used Sustainably 17	17
4.3 Assessment of Results under Component 3: Alternative Livelihoods.....	19
4.4 Assessment of Results under Component 4: Project Managed Effectively and Results Disseminated Appropriately	20
5. ASSESSMENT OF PERFORMANCE AND RATINGS	21
5.1 Attainment of Objectives and Planned Results.....	21
Table 3: IFAD ENRM PRINCIPLES AND LUSLM PROCT OBJECTIVES.....	21
5.2 Sustainability.....	23
5.3 Catalytic Role of GEF Support	25
5.4 Stakeholder Participation/Public Awareness	25
5.5 Country Drivenness	25
5.6 Project Design and Outputs.....	26
5.7 Implementation Approach and Adaptive Management	26
5.8 Financial Planning and Control.....	27
5.9 Role of Implementing and Execution Agencies.....	27
6. OVERALL PROJECT ACHIEVEMENTS	27
7. LESSONS LEARNED AND RECOMMENDATIONS	31
7.1 Lessons Learned.....	31
7.2 Recommendations.....	31
8. ANNEXES.....	34
Annex 1: Evaluation Terms Of Reference.....	34
Annex 2: List of People Consulted/Interviewed.....	61
Annex 3: List of Documents Reviewed	63
Annex 4: Recommendations Regarding Staff Positions.....	64
Annex 5: LUSLM ProjectPriority Outcomes for 2015	66
Annex 6: Revised Project Logframe.....	70
Annex 7: LUSLM Project Boundary Map.....	78

LIST OF ACRONYMS

ACAT	Africa Cooperative Action Trust
ADEMU	Agricultural and Environmental Management Unit
BD	Biodiversity
CC	Climate Change
CDP	Chiefdom Development Plan
EA	Executing Agency
GEF	Global Environment Facility
GoS	Government of Swaziland
IA	Implementing Agency
ICIPE	International Centre for Insect Physiology and Ecology
IFAD	International Fund for Agricultural Development
KDDP	Komati Downstream Development Project
LD	Land Degradation
LDS	Lutheran Development Services
LUSIP	Lower Usuthu Smallholder Irrigation Project
LUSIP-GEF	Lower Usuthu Smallholder Irrigation Project-Global Environmental Fund Project
LUSLM	Lower Usuthu Sustainable Land Management Project
MoAC	Ministry of Agriculture and Cooperatives
MoF	Ministry of Finance
MEPD	Ministry of Economic Planning and Development
MNRE	Ministry of Natural Resources and Energy
MRDYA	Ministry of Regional Development & Youth Affairs
MTEA	Ministry of Tourism and Environmental Affairs
NPM	National Project Manager
NSC	National Steering Committee
NPM	National Project Manager
PAD	Project Appraisal Document
RDA	Rural Development Area
REASWA	Renewable Energy Association of Swaziland
SEA	Swaziland Environment Authority
SEAP	Swaziland Environmental Action plan
SLM	Sustainable Land Management
SNTC	Swaziland National Trust Commission
SWADE	Swaziland Water and Agricultural Development Enterprise
TADB	Tinkundla Administration and Development Bill
TT	Technical Task Team
UNCBD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States Dollars

Table 1: Project Data Sheet

GEF Project ID	3390
Country: Project Title:	LUSIP-GEF Sustainable Land Management Project
Project duration:	4 Years
Commencement:	July 2010
Completion	June 2014
GEF Implementing Agency:	IFAD
Project Executing Agency:	Ministry of Agriculture, SWADE
GEF Strategic Objective:	LD-SP1, BD-SP7, CC-SP4
GEF Strategic Programmes:	Land Degradation, Biodiversity, and Climate Change.
IFAD Priority:	Strategic Objective 5 of the 2011-2015 Strategic Framework ‘A natural resource and economic asset base for poor rural women and men that is more resilient to climate change, environmental degradation and market transformation
Budget	
Cost to the GEF trust fund:	USD 1,972,830
Co-Financing:	USD 8,670,800

EXECUTIVE SUMMARY

The problem of land degradation has been topical in Swaziland for a long time. The main driver of land degradation have been identified as increasing human population densities in the rural farming areas, increasing livestock populations on poorly managed rangelands and extensive deforestation. Land degradation perpetuates the cycle of poverty in that poor rural communities will not be able to produce enough food for themselves due to poor soils which they continue to mine in the quest for survival. The same poor rural households do not have access to sustainable energy forms and so depend on biomass energy which also contributes to land degradation through deforestation.

In response to this cycle of poverty the Government of Swaziland developed and submitted a proposal for financial support to introduce sustainable land management practices in pilot sites around the country. Lessons with the implementation of SLM initiatives from these sites would be packages and disseminated to other parts of Swaziland and further afield.

Swaziland was awarded a GEF grant in 2010 for the implementation of a project with the objective to:

- promote development and mainstreaming of a harmonised, cross-sectoral approach to SLM at the national level;
- reduce land degradation, biodiversity loss and mitigate climate change in the Lower Usuthu River Basin area through the application of sustainable land management practices which will contribute to adaptation to climate change;
- improve the livelihood opportunities, resilience and food security of rural communities.

Project implementation is through three programme components covering the promotion of a harmonised policy for sustainable land management; reduction of land degradation and biodiversity loss through the application of sustainable land management practices which will contribute to adaptation to climate change; and increase livelihood options for rural farmers in the Lower Usuthu Basin. A fourth project component was to promote effective project management.

Project implementation started in July 2011 which was a year after the signing of the grant agreement. Effectively the project has only been in active operation for just over one year. Despite this delay and the short implementation time frame, a number of significant achievements have been made by the LUSLM project as shown in the Table and summarised in the sections below:

Table 2: Overall Project Achievements

Criterion	Evaluator's Comments	Summary	Evaluator's Rating
A. Attainment of Project Objectives and Results (overall rating) Sub criteria (below)			3.
A. 1. Effectiveness- overall likelihood of impact achievement	Project components address areas in which the project is likely to have huge impacts. With only one year into implementation the policy work is well under way, innovative ways to promote SLM are being developed and Alternative livelihood options are being identified. If these are managed as recommended in the report some dramatic impacts can be foreseen in the project area.		3
A. 2. Relevance	The LUSLM project addresses issues of land degradation, reduced food security and vulnerability to climate change which are all critical issues in Swaziland. Further the project is aligned to the three IFAD focal Areas of Biodiversity, Climate Change and		5
A. 3. Efficiency	The Project has largely been in mobilization phase with little expenditure recorded. Even with this little expenditure building blocks for efficient project delivery are already in place.		3
B. Sustainability of Project Outcomes (overall rating) Sub criteria (below)			4
B. 1. Financial	Additional resources will be mobilised from IFAD and other GEF sources through LUSIP II and GoS commitment to the project through in-kind contributions such as staff time.		3
B. 2. Socio Political	Project implementation through CDPs and its targeting of poverty and improving access to markets will ensure socio political sustainability. A potential threat is that the project might fail to change land tenure systems in Swaziland.		3
B. 3. Institutional framework	The use of Chiefdoms as planning entities and involvement of other sectors will promote institutionalization of project results at local community level. The approach made to the National Land Board will ensure that project		4

Criterion	Evaluator's Comments	Summary	Evaluator's Rating
	goals are recognized at the highest political level in the country.		
B. 4. Environmental	The project addresses land degradation which is a critical environmental issue in Swaziland. The overall synergy with IFAD's ENRM Policy also points to likelihood of environmental sustainability of the project.		5
C. Catalytic Role and Replication	The GEF funding will play a catalytic role in mobilizing other resources to support the project in future. It is expected that the project will be replicated into other areas impacted by LUSIP I and the areas targeted by LUSIP II.		4
D. Stakeholder Participation/ Public Awareness	The project has enlisted the participation of a broad range of stakeholders at national as well as at project level. Public Awareness is on the increase with the publication of banners, Stories from the Field as well as radio and TV informational. The proposed Media and Communication Strategy will further enhance public awareness.		4
E. Country Ownership/ Drivenness	The project was designed by Swazi citizen working in the environment and development sector. The project is coordinated by nationals while at the project sites, it is implemented in response to local needs		5
F. Achievement of Outputs and Activities	A very strong foundation for the achievement of Outputs and Activities. The next two years should witness a ramping up of activity under the project.		3
G. Preparation and Readiness	Project design identified critical issues for Swaziland which has assisted with quick mobilization of the project.		4
H. Implementation Approach and Adaptive Management	The NSC has been almost inactive over the past year but is now mobilized. The LUSIP I Project Manager and the LUSLM Project Manager were innovative in arranging for secondment of staff from LUSIP to LUSLM which allowed for quick mobilization. The mobilization of other sectors through involvement of field staff will also assist with implementation. Over the next two years, the project will need to jointly plan its activities with		3

Criterion	Evaluator's Comments	Summary	Evaluator's Rating
	LUSIP II to ensure integration of approaches to rural development.		
I. Monitoring and Evaluation (overall rating) Sub criteria (below)	Not rated as PICO Consulting has just started work and there is no Monitoring and Evaluation plan developed. The only plan available is the one in the PAD which needs updating. Project Management to develop an M&E Plan for implementation by all staff as recommended by the end of the first quarter of 2013.		
I. 1. M&E Design	n/a		
I. 2. M&E Plan Implementation	n/a		
I. 3. Budgeting and Funding for M&E activities	n/a		
J. Financial Planning and Control	Managed by SWADE on behalf of the project. There are issues of lack of attention from SWADE.		3
K. IFAD Supervision and Backstopping	IFAD has provided the necessary supervision and backstopping. Two missions were held in 2010.		4
Overall Rating	The LUSLM Project has laid a strong foundation for achieving results. This should improve with the prioritization of activities that has been made for the remaining period of implementation. The issue of staffing and the operationalization of the Steering Committee will need to be resolved as quickly as possible to allow for this.		4

GEF Performance Description: 6= Highly Satisfactory; 5= Satisfactory; 4= Moderately Satisfactory; 3= Moderately Unsatisfactory; 2= Unsatisfactory; 1= Highly Unsatisfactory

Key Observations and recommendations

Observations

- a) All the institutions that facilitate project implementation including the National Steering Committee, the Technical Task Team and most importantly the Project Management Team are in place. The effectiveness of the National Steering Committee in guiding project implementation has been affected by the failure of most of its members to attend meetings who instead delegate this duty to proxies who in most cases do not have the necessary authorities to make decisions on behalf of the institutions they represent.
- b) With respect to the Project Management Team, the LUSIP 1 Project Manager and the LUSLM Project Manager displayed a sense of adaptive management when they negotiated the secondment of staff from the LUSIP I project to LUSLM albeit on a shared basis. This allowed for quick project mobilisation because the seconded staff were familiar with the project area and did not need long to adjust to the environment. This explains why there already are activities like

permaculture gardens in some Chiefdoms and communities have already been mobilised to initiate land rehabilitation works in others.

- c) The situation with project staffing will however need to be regularised as the LUSIP contracts that they are serving under are due to expire. The evaluation team has identified staff positions that they consider to be critical for LUSLM project implementation and recommended to the Permanent Secretary that they be awarded full time contract to facilitate uninterrupted project implementation. The recommendations have been adopted by the Steering Committee. What is outstanding is the drawing up of contracts for these staff members by SWADE. The institutionalisation of Sustainable Land Management will require the creation of an enabling policy framework. The project has recruited technical advisory services to review the national legislative framework for land management and recommend an appropriate process towards developing this framework. Approaches have now been made to the National Land Board, a body set up by His Majesty the King to advise him on all matters relating to land management and administration, who have requested that they be kept informed on progress regarding this work.
- d) The project has put the greatest effort into ensuring that the potential beneficiaries of the LUSLM project are mobilised for project implementation. Project staff has visited all eleven Chiefdoms in the project area to inform residents about the project. This is a necessary first step in the development of Chiefdom Development Plans. Following these visits, training courses in SLM have been conducted in communities such as Mamba where physical works to rehabilitate degraded lands are now being put in place by community members. In Gamedze area thirteen communities have established permaculture gardens and are preparing to embark on community agroforestry projects with the support of the project. Broader afforestation projects are being implemented through the schools.
- e) A major limiting factor to development in the LUSLM project area is the shortage of water. The project has introduced water harvesting training to supplement the local level livelihood enhancement initiatives such as fruit tree growing, beekeeping and the reintroduction of indigenous varieties of poultry.
- f) The project has also embarked upon the commercialisation of livestock farming. This is perhaps the most ambitious of all the initiatives that have been introduced given the traditional and social values of cattle among rural farmers in Swaziland. Cattle have a higher social value than economic value in Swaziland as indeed in other parts of rural Africa.
- g) Despite the quick mobilisation and very commendable progress achieved with introducing the project to potential beneficiaries, effective project management at LUSLM has been hampered by administrative bottlenecks which were inherited from the design of the project. First, the Project Manager could not recruit staff since the PAD had recommended that the project use seconded staff from government entities. This arrangement would have meant that the National Project Manager would have had to work with people that she had no control over.

Recommendations

- h) Given the delayed start in project implementation, the evaluation recommended that Project Management identify a priority list of “must implement” activities that they could focus on for the remainder of the implementation period. This list has been produced and will be tabled at the first Project Steering Committee meeting of 2013 for adoption.
- i) Given the relevance of the LUSLM project to rural development imperatives in Swaziland the evaluation also recommends that consideration be given to extending the project implementation period by at least a year past the current close out date. This will allow the project to consolidate the gains that it will have made and turn the products into lasting results. The extension will also allow for the consolidation of the lessons from the project for use in steering the implementation of LUSIP II.
- j) Closer collaboration with LUSIP II is also recommended as the new programme begins planning for the extension of the current programme. This will facilitate the integration of SLM considerations into the operations of the larger project and not have them implemented as an add-on. In this same vein the lessons from Komati Downstream Development Programme and LUSIP I will also need to be consolidated and documented and used to inform planning for LUSIP II.

Overall, the project is adjudged to be making good progress towards achieving its objectives and is rated as Moderately Satisfactory.

1. INTRODUCTION AND BACKGROUND TO THE PROJECT

1.1 Background

1. More than 70% of Swaziland's population depend upon subsistence agriculture for their survival with the most common form of agriculture being subsistence crop and livestock farming. Swazi national land is also communally owned which does not provide any incentives for farmers to practice sustainable land management. Most livestock areas are therefore overgrazed and deforested resulting in widespread soil erosion and land degradation. Rural farmers who continue using these degraded lands remain trapped in poverty and also become increasingly vulnerable to the impacts of climate change.
2. The Government of Swaziland (GoS) has been addressing problems of rural poverty through the introduction of new farming practices, including irrigation development aimed at enhancing food security and address poverty among rural farmers. The Komati Downstream Development Programme (KDDP) in the north of the country and the Lower Usuthu Smallholder Irrigation Programme (LUSIP 1) in the south are cases in point.
3. These development programmes however resulted in unintended negative impacts in the surrounding areas with increasing pressures on grazing lands due to the fact that farmers who benefitted from irrigation development simply moved their livestock into neighbouring grazing lands. Cattle and other livestock have more of a social than economic value in Swazi society so farmers do not destock in response to diminishing grazing land.
4. Losses of woodlands to irrigation development also meant farmers went further to source fuel wood and construction timber resulting in widespread environmental degradation in the areas surrounding irrigation developments.

1.2 Introduction

5. It was in response to this situation that the Government of Swaziland approached the Global Environmental Facility for funding for Sustainable Land Management in the areas surrounding the LUSIP project in the south of the country. The decision to use IFAD as the Implementing Agency was motivated by the fact that the organization was already working in the area on irrigation development and the investments made under this project would therefore constitute co-financing. Attaching the SLM project to the LUSIP project also made programmatic sense at the time as replication of experiences and results from the project was expected to become easier.
6. The Lower Usuthu Smallholder Irrigation– Global Environment Facility, Sustainable Land Management (LUSIP-GEF SLM) Project (now branded the Lower Usuthu Sustainable Land Management Project (LUSLM) was developed to address and reduce land degradation and biodiversity loss and mitigate climate change through the application of sustainable land management practices in Southern Swaziland. In addition to contributing to adaptation to and mitigation of climate change at local community level, LUSLM SLM project also targets ensuring that local people's

livelihoods benefit from improved the natural resource management leading to improved food security through sustainable land management practices.

7. Specific SLM practices that the project is promoting include minimal tillage, conservation agriculture, rangeland management approaches which raise biomass productivity, and afforestation. The project is targeting smallholder farmers located around Siphofaneni, Sithobela, Mtfongwaneni and Lubulini constituencies, which surround the main LUSIP project area.(See Project Area Map in Annex 6) The Project goal is stated in the Project Document as: To reduce land degradation and biodiversity loss in the Lower Usuthu River Basin area through the application of sustainable land management practices. The Project objectives as stated in the Project Document are:
 - To promote development and mainstreaming of a harmonised, cross-sectoral approach to SLM at the national level;
 - To reduce land degradation, biodiversity loss and mitigate climate change in the Lower Usuthu River Basin area through the application of sustainable land management practices which will contribute to adaptation to climate change;
 - To improve the livelihood opportunities, resilience and food security of rural communities.
8. The Project was designed in 2008 and the Swaziland Ministry of Agriculture was assigned as the lead Project Executing Agency due to the focus on sustainable land management.
9. GEF approval was secured on 4 June 2009 with grant funding of USD 1,972,830 and co-financing of USD 8, 670,800 for a total of USD 10, 643,630. The Grant Agreement was signed in March 2010 and operations under the project commenced in July 2011 following the recruitment of the National Project Manager.

1.3 Relevance of LUSLM to GEF Programmes

10. The project conforms closely to GEF's Operational Strategy with the objectives and eligible activities aligned to three Focal Areas (FA) Strategies: Land Degradation, Climate Change and Biodiversity. Regarding Land Degradation, the project will promote Strategic Objective 2 of the LD FA, "To upscale sustainable land management investments that generates mutual benefits for the global environment and local livelihoods", and the expected outcomes will include benefits for the communities from applying and disseminating SLM practices, and the systematic application, at national scale, of sustainable, community-based farming and forest management systems. The proposal fits into Strategic Program 1, "Supporting sustainable agriculture and rangeland management", working in areas of intense competition for land resources that are prone to severe soil erosion and loss of soil fertility.
11. The project is aligned to Strategic Objective 8 of the Climate Change Focal Area: "To support pilot and demonstration projects for adaptation to climate change", through enhancing the resilience of and increasing the capacity of local communities within the project area to cope with the adverse impacts of climate change on the land resource, and promoting sustainable energy production from biomass.
12. The project is consistent with the GEF Biodiversity Focal Area Strategy as it directly supports Strategic Objective 2: "To mainstream biodiversity conservation in production landscapes/seascapes and sectors", and the implementation of the

Strategic Programme 7, “Prevention, control and management of invasive alien species”, in the project area.

13. Finally, the project was also a constituent part of the Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (SIP), contributing to its long-term Program Goal and Intermediate Results.

2. PROJECT EXECUTING ARRANGEMENTS

14. The Implementing Agency (IA) for this project was IFAD and the Executing Agency (EA) is the Swaziland Ministry of Agriculture and Cooperatives. The Swaziland Water and Agricultural Development Agency (SWADE) administers the Project on behalf of the Ministry of Agriculture and Cooperatives. A national project management office headed by a full-time National Project Manager (NPM) is responsible for day to day project administration and implementation. The national project management office is based in SWADE’s LUSIP offices at Siphofaneni, from where on-the-ground activities are implemented. The NPM is supervised by the national programme Coordinator who is a permanent staff member at MoA.
15. The NPC and NPM operate under the guidance of a Technical Task Team and National Steering Committee whose responsibilities are to facilitate inter-sectoral coordination and mainstreaming of SLM across government. It was expected that through this approach, sustainable land management would be more effectively streamlined into government operations. The NSC was made up of representatives of MOAC, SEA, SNTC, MNRE and also SWADE and the national environmental NGO “umbrella” group YongeNawe. GoS has also mobilised government, non-governmental and private sector entities to execute specific elements of the project. These include Swaziland National Trust Commission (SNTC), NGOs (namely World Vision, REASWA, ProBEC, and Africa Cooperative Action Trust (ACAT)) which participate in the implementation of various project elements.
16. The TT and NSC are accountable to the GoS Ministries collaborating on the project and also the GEF Focal Point, who in turn is accountable to IFAD and ultimately the GEF for implementation of the project.

2.1 LUSLM Project Outcomes

17. The LUSLM project is being implemented through four broad components as follows:

Component 1 – Sustainable Land Management Approach Promoted at National Level

This component focuses on promoting development and mainstreaming of a harmonized, cross-sectoral approach to SLM at the national level, to overcome national level barriers and improve the legal and policy framework for SLM.

Outcomes:

- 1.1 Legal and operational framework for SLM improved;
- 1.2. Use of land resources planned sustainably

Component 2 – Sustainable Use of Land Resources

Under this component, local communities will be assisted to better plan and manage their land resources, based on the unit of Chiefdoms. This component focuses on raising SLM awareness, skills and ecological literacy of local people. There will be capacity-building for local level staff in the project area including extension officers, NGOs and the private sector. On the ground activities to be undertaken under this component will use participatory approaches, demonstration plots and farmer visits.

Outcomes

- 2.1 Land use plans implemented;
- 2.2 Degraded land restored and sustainably managed;
- 2.3 Vulnerability to climate change decreased;
- 2.4 Biodiversity loss reduced

Component 3 – Alternative Livelihoods

This component complements the larger LUSIP project by supporting communities with the application of SLM and conservation measures to generate additional sources of income to alleviate poverty and reduce pressure on natural resources.

Outcome

- 3.1. Alternative sources of livelihood that are compatible with sustainable use of land resources promoted

Component 4 – Project Management

This component will facilitate operationalization and efficient functioning of LUSLM project management structures, with a focus on documentation of lessons learnt facilitated through an effective and efficient knowledge management system.

Budget

The total cost of the project is US 10,643,500 of which US\$2,280,000 was GEF financing.

Cost to the GEF Trust Fund: US\$1,973,000 (excluding fees)

Government of Swaziland Contribution: US\$2,320,800

Contributions from beneficiaries: US\$ 183,000

IFAD Contribution: US\$6,166,900

3. SCOPE AND OBJECTIVES OF THE EVALUATION

- 18. This report is a record of the process, findings lessons and recommendations of a Mid-Term Evaluation of the LUSLM project that was conducted by an independent evaluator between October and December 2012. The evaluator visited Mbabane Swaziland where he interviewed Project Steering Committee members and overlapped with an IFAD Mission that was assessing both the larger LUSIP I project and the LUSLM GEF project. The evaluator also visited the Project site at Siphofaneni and field sites at Mamba and Gamedze Chiefdoms to review project activities on the ground.
- 19. The GEF Monitoring and Evaluation Policy, 2006, requires that all projects funded above a US\$ one million threshold should be subjected to an independent Mid-Term and Terminal Evaluation. This requirement is in addition to on-going monitoring and evaluation processes that are implemented during project implementation. Part V of the

LUSLM Project Appraisal Document provides for the performance of the Mid-Term Evaluation.

20. The objective of this Mid Term Review was to assess the linkages and synergies achieved between the GEF components and the parent LUSIP project while assessing project performance and the implementation of planned project activities and planned outputs against actual results. In doing this the evaluation was to examine the extent and magnitude of project impacts that may have been realised to date as well as to determine the likelihood of future impacts. The evaluation was also intended to synthesize lessons learned that may help in the design and implementation of future IFAD GEF initiatives. In addition, the evaluation was to also establish whether the methodology adopted for the implementation of the **LUSLM** project contribute to IFAD's ENRM Policy and Climate Change Strategy with specific reference where appropriate to the ENRM Core Principles and Best Practice Statements.

21. The Mid-Term Review was conducted using a mix of methods including the following:

- a) A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to IFAD and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the Steering Group meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) IFAD monitoring and evaluation policy documents
 - (e) Swazi national rural development plans and policy pronouncements; and
 - (f) Relevant material published on the project web-site.

Through the review of these documents the reviewer was able to understand the background and context of the project, project implementation mechanisms, project management systems employed as well as the constraints experienced in project implementation which might have affected achievement of results.

- b) Interviews with project management and technical support teams, supported by complementary field visits as appropriate. Interviews were conducted to obtain direct feedback from project management on progress achieved as well as problems experienced in project implementation. Field visits were also conducted to various project sites to confirm the results that were claimed by the project management in their reports. Secondly and perhaps more importantly, the evaluator conducted field visits in order to establish contact with project beneficiaries and obtain their views on the impact the project was having on their lives. Recommendations for Future IFAD actions and programmes would be based on the findings from these field visits.
- c) Interviews and telephone interviews with intended users of the project outputs and other stakeholders involved, including Government of Swaziland entities, non-governmental organizations and civil society organizations. The consultant also consulted project management units managing specific activities under the LUSLM project as well as those working on related initiatives in the field such as LUSIP I, LUSIP II, KOBWA and KDDP with the intention of gaining an understanding of the project linkages with these initiatives.
- d) Interviews were conducted with the IFAD Regional Climate and Environmental Specialist (RCE), the IFAD Supervision Team Leader and key representatives of the Executing Agencies and other relevant staff as a way of keeping them

informed and consulted throughout the evaluation. This was done principally during the Project Supervision and Implementation Support Mission in October 2012.

3.1 Key Evaluation Principles

22. The evaluation was conducted using key principles that seek to establish project performance through assessing what the project has achieved against what would have happened even if the project had not been implemented. As much as possible, the evaluation was based on evidence collected both from the field and through interviews with stakeholders. Where empirical evidence was lacking, the evaluator used his own knowledge of the Southern African development imperatives to reach conclusions as to the value added of the project. These conclusions were always confirmed with project principals in Swaziland.

4. PROJECT PERFORMANCE AND IMPACT

23. As stated in the introductory section above, the LUSLM Project was approved by GEF in June 2009 and the grant agreement was signed in June 2010. Project operations only started in July 2011 after the recruitment of the National Project Manager. Project staff only came on board in October of 2011. At the time of the evaluation therefore, the project had only been operational for just over one year. As a result of this delayed start up many project activities had not been under implementation long enough for them to have had discernable impacts on the intended beneficiaries. The assessment of project performance was therefore conducted with this background in mind.
24. The LUSLM Project is delivered through the implementation of activities under three interrelated programmatic components all coordinated by project management structures defined under component 4. These four components are described in paragraph 7 above. The expectation at design stage was that the realization of the results under the three programmatic components would result in the achievement of the project goals which was stated as: **To Reduce land degradation, maintain and enhance biodiversity and mitigate and adapt to climate change through the application of sustainable land management practices.** The sections below provide an assessment of progress made towards the attainment of this goal under each of the project components. An overall assessment of the extent to which the project has met its intended objectives and planned results will then be made at the end of this process. This assessment will be based on a set of criteria that has been developed by IFAD.

4.1 Assessment of Project Results under Component 1: Sustainable Land Management Approach Promoted at National Level

- 24 The role of the National Steering Committee (NSC) in project guidance needs to be strengthened. Most substantive members do not attend meetings, preferring to send representatives who are not empowered to make decisions at meetings. This has left the Project Manager and her team unable to proceed with some critical actions that were needed to move activities forward. A good example of this is the failure of the project to hire of project staff on a full time basis which has adversely affected staff morale at the project. Attention has been paid to this through an on-going review of the Project Logframe with a call to have the Committee become more active.

- 25 Land degradation has been identified as a major management issue that threatens sustainable development in Swaziland. Even though strategies and action plans for sustainable land management are available in the country they are scattered across the breath of government rendering them ineffective in addressing the problem. This lack of consolidation in one place also means that implementation of these strategies is difficult. Any results produced are spread so thinly across the spread of institutions involved they do not readily show on the ground. In a lot of cases, activities meant to rationalize issues relating to land and sustainable development take a long time to produce results. The Swaziland Land Policy which has been under development for the past ten years is a case in point. The LUSLM project's approach to this problem was to mobilize a cross-sectoral multi-stakeholder Land Policy Task Force (LPTF) to supervise and provide support to the development of multi-stakeholder Land Policy Task Force (LPTF) to supervise and provide support to integrated approaches to enhance the national policy environment and create awareness of sustainable land management. The Ministry of Agriculture and Cooperatives, Ministry of Natural Resources and Energy, Ministry of Housing and Urban Development, the Swaziland Environment Authority and the Swaziland National Trust Commission were thus mobilized to spearhead the review of relevant SLM related policies and legislation with a view to recommend coordinated approaches to sustainable land management in the country.
- 26 A private sector company, The Community Forest Network Consultants (CFN), had been contracted to conduct the review and had produced an Inception Report at the time of the Mid-Term Review. Among the key issues emerging from the work done so far is the widespread recognition of shortcomings in the land administration systems, emerging informal land markets and poor awareness of policy and legislation. When this consultancy was mobilized it was realised that the Ministry of Natural Resources and Energy had also contracted a consulting team to do similar work. Efforts were being made to ensure that these two consulting companies collaborated in conducting their work to avoid unnecessary duplication over the issue. Communication had also been initiated with the National Land Board, whose members are appointed by His Majesty the King, to ensure that they are kept informed of progress with this exercise. This is an important issue because issues relating to land are extremely emotive in Swaziland given the fact that all national land is held in trust for the Swazi nation by His Majesty.
- 27 Communication of sustainable development approaches to the eleven Chiefdoms that are involved in the LUSLM project had been completed by the time of the Mid-Term Review. The LUSLM project had worked closely with the sister projects under SWADE-LUSIP 1 and 2 in the chiefdom development planning and policy dialogue relating to land tenure security. All three teams have been involved in joint policy dialogue, lesson learning and implementation of activities on these issues.
- 28 The Chiefdom Development Plans that were being developed under LUSIP I LUSIP II and LUSLM did not have a legal basis and were therefore un-enforceable at local level. This situation required broader consultation and involvement by the Ministry of Tinkundla Administration and Development which was developing a Tinkundla Administration and Development Bill (TADB) which could provide the required legal framework for the CDPs. Land use planning and tenure security issues relating to grazing plans and livestock development which are being addressed under the GEF project, LUSIP 1 and 2 will thus need to be supported more broadly by IFAD if sustainable results are to be achieved under this Component. The IFAD East and

Southern Africa land tenure team needs to be mobilized to provide this support over the remainder of the project with funding from the LUSLM project.

4.2 Assessment of Results under Component 2: Land Resources Planned and Used Sustainably

- 29 The purpose of the activities implemented under this component was to assist farmers in the dryland areas of southern Swaziland with better planning and management of their land resources to enable them to realise the greatest sustainable benefits from this resource. Chiefdom Development Plans have been developed in tandem with raising awareness of SLM through improved ecological literacy of the local population. Training programmes have also been implemented with a view to enhancing community awareness of the levels of burdens and benefits that are inherent in land resource management arrangements.
- 30 The project has introduced activities for the restoration of degraded lands as a way of re-establishing ecosystem functions and agro-ecosystems through the reintroduction of lost biodiversity. The communities in Mamba Gamedze, Mkweli, Phonjwane, Lesibovu, Mphumakadze, Nceka, Mahashulane and Zulwini have been trained and have now embarked on these initiatives and are rehabilitating gullies caused by overgrazing that are threatening roads and arable lands in their areas. Up to 654 farmers (121 men and 323 women) have been trained in various aspects of SLM, permaculture, food processing, conservation agriculture, rangeland management, agroforestry and afforestation.
- 31 The evaluator visited Gamedze and Mamba areas during the field visits to project sites where he met with community members who are participating in these activities. The assessment of what is going on in the field is that community members have started taking on board the conservation ideas such as conservation agriculture that have been introduced by the project and implementing projects like permaculture gardens. Such initiatives are likely to take root as the benefits from them are immediate and go directly to the household.
- 32 The training provided to farmers is expected to prime them for the development of Chiefdom Development Plans (CDP). The Gamedze Chiefdom has been identified as one area where a CDP will be developed next. Already, thirteen homesteads in the area have permaculture gardens and some households have started planting live fences in preparation for the introduction of agroforestry projects. This is an area where initial planning started under LUSIP I. and requires.
- 33 The Gamedze area shows the impact that champions can have on community development processes. Young women have grasped the idea of permaculture gardens which they have established next to their homesteads thereby influencing the adoption of this innovation by older women who have hitherto grown vegetables the conventional way. Sbulelo Gamedze of Madlenya area has been involved in permaculture since July 2012. She points to a number of benefits from this activity including better nutrition for her family and reduced dependence on the markets for supplies of vegetables for her family.
- 34 Mr. Gamedze, a prominent farmer in the area is a living demonstration of what is possible with a little investment into technology in agriculture. Due to his higher level of education that most farmers in the project area Mr. Gamedze had adopted a variety of sustainable farming methods on his five (5) hectare plot. The practices he has

introduced include water conservation, conservation agriculture, integrated crop and livestock farming and the rearing of indigenous chickens all of which are being promoted by the project. Today he produces all his food requirements and has excess for sale from managing his land and water resources sustainably. The project has also involved Mr. Gamedze in community mobilization through which he has hosted project beneficiaries on his plot and demonstrated what he has been able to achieve.

- 35 Woody vegetation has all but disappeared in the areas that received spill over livestock from the irrigation development under LUSIP I resulting in widespread degradation of resources. The LUSLM project has introduced a reforestation programme to help stem this process and promote soil enhancement. At the time of the evaluation more than three hundred trees have been planted at Gucuka High School as a start to a programme that is targeting all the schools in the project area. Additional trees have also been planted as part of the land rehabilitation projects in the Mamba area. The trees planted are expected to serve multiple purposes including carbon sequestration which will in turn promote resilience to climate change among the participating communities.
- 36 Capacity building initiatives have been introduced among community development support extension agencies to enhance their ability to assist communities with their development programmes. Training of Trainers workshops have been organized for extension workers from government institutions, non-governmental organisations, parastatal organisations and private sector organisations that operate in the project area. The utility of collaboration across sectors in working with communities was emphasized in these training workshops. The evaluator witnessed one such training workshop involving fifty (50) participants during the October mission. The LUSLM project expects to continue mobilizing these “development foot soldiers” to promote project implementation over the next two years.
- 37 Rangeland management and livestock commercialization has been introduced through setting up of demonstration sites in association with MoA for farmers to learn that livestock is a commercial commodity that can be used to sustain livelihoods. This is a very important intervention in Swaziland where cattle are considered an investment rather than a marketable commodity. It remains to be seen how much progress will be achieved with this initiative given the fact that it is targeting changing traditional beliefs and behaviour that are at the core of Swazi society.
- 38 Livestock commercialization includes promoting dairy farming and small stock development which has hitherto not received much attention at local community level. Goats and pigs are being introduced as alternative livestock while traditional indigenous chickens have also been introduced as a way of improving access to markets and nutrition among rural communities. The Chiefdom assessment in Luhlanyeni has been structured to include all these aspects in the development of the CDP.
- 39 Livestock development is a multifaceted phenomenon given the social values attached to cattle in Swaziland. There is therefore need for more focused attention to this aspect of land management including studies to assess the real impacts of livestock and range management practices following the introduction of irrigation in the south of Swaziland. The contribution of increased livestock populations to the rate of gully erosion in the area surrounding the irrigation area is one aspect that should be assessed by the project since some of the land rehabilitation work that has been embarked upon involves gully reclamation. The LUSLM project also needs to assess

other livestock and grazing management systems like the Holistic Resource Management Programme in Zimbabwe which claims that increasing livestock numbers in grazing lands might be beneficial to rangeland ecology.

- 40 SLM and water resources management are closely related so the project has embarked upon rainwater harvesting to improve availability of water for food production in the dry areas of the south of Swaziland. Thirty-nine (39) farmers out of the one hundred project participants have been trained in rainwater harvesting techniques and permaculture in Madlenya area.
- 41 The reforestation and afforestation components of SLM have been introduced through the environmental clubs in schools in the project area. Trees are being introduced to provide shade and windbreaks while the growing of fruit trees is intended to add a nutrition dimension to the activity. Gucuka High School in Mamba area has an active tree planting programme which is championed by an Environmental Club. The expectation is that school pupils will adopt these practices and take them to their homes for implementation.
- 42 Community afforestation initiatives are being introduced in tandem with the dissemination of efficient cook stoves. An MOU has since been signed between the project and ProBEC, a subsidiary of Swaziland Electricity Company and Renewable Energy Association of Swaziland (REASWA) for the dissemination of and research into fuel efficient stove and other alternative sources of energy such as biogas.

4.3 Assessment of Results under Component 3: Alternative Livelihoods

- 43 The project is supporting projects such as beekeeping and raising indigenous chickens as a way of diversifying income generating activities which will contribute to poverty alleviation through improved access to markets by rural populations. Activities under this rubric are those that do not require a lot of land. Thabiso Khumalo of Siphofaneni area is a thirty-three year old farmer who is involved with the alternative livelihoods initiatives that are supported by the LUSLM project. He has been involved in raising indigenous chickens for sale since December 2011 and has realised more benefits from this activity than he did when he was engaged in full time formal employment. In his own testimony, Thabiso says that agricultural productivity sustains livelihoods better than formal employment. For more telling results to be achieved from these activities the project needs to establish linkages with other on-going initiatives targeting similar results. These include the IFAD funded Innovative Beef Value Chain Development schemes in southern Africa.
- 44 Ninety eight farmers (23 men and 66 women) have been trained in bee keeping in Mphumakadze, Vikizijula, Madyeya and Mkweli. Bee-keeping could be enhanced by sending the leaders among these trainees to the International Centre for Insect Physiology and Ecology (ICIPE) in Nairobi which has a world renowned record of using insects to promote alternate livelihoods among rural communities.
- 45 The project should also continue promoting learning among community groups involved in the activities they are supporting. An effective way of doing this is through exchange visits among the communities within Swaziland itself. Community groups should be exposed to the lessons learnt from the implementation of the livelihood enhancing activities under the KDDP and LUSIP 1 projects. The Lead Farmers Register that is being produced in each Chiefdom in the project area provides

a very useful basis for planning exchange visits and identifying trainees to attend courses indicated in the paragraph above.

4.4 Assessment of Results under Component 4: Project Managed Effectively and Results Disseminated Appropriately

- 46 Project Management under LUSLM project has continued to suffer from lack of movement on the recruitment of Component Managers. At the time of the Mid-Term Evaluation only the National Project Manager had a full time contract with all other staff operating on contractual arrangements they moved over to the Project with from SWADE. This arrangement has knocked staff morale very heavily especially as SWADE contracts are running out.
- 47 In response to a specific request from the Acting Principal Secretary of the Ministry of Agriculture the evaluation team recommended that the following staff positions be offered full time contracts and retained until project termination: Project Manager, Sustainable Agriculture Development Officer, Livestock Development Officer, Communications Officer, Environmental Officer, Administrative Assistant and Office Cleaner. Although the position of Monitoring and Evaluation was highlighted as critical to project implementation in the LUSIP-GEF Project Document, the evaluator recommended that this role be filled through intermittent input by contracted experts whose inputs would be managed so that they coincides with the production of necessary M&E reports. The recommendations are attached to this report as Annex 5. These recommendations should be implemented without further delay to allow for more driven project implementation.
- 48 The NSC needs to expedite the implementation of the recommendation and agreed to action from the IFAD Mission of March 2012 which was to the effect that the implementation of the LUSLM project should be closely coordinated with those of the LUSIP I and II projects. However, project administration will need to be improved to avoid the delays which have slowed the procurement of staff which has negatively impacted project performance. A good example of this is the continued delay by SWADE in awarding contracts to project staff despite an agreement having been reached at the Steering Committee meeting held in October that this should be done.
- 49 Project expenditure continues to be very low due to the fact that most of the activities that have been implemented to date are process related at the same time as they are all starting up due to the late start of the project. On the advice of the evaluator the Project Management team has identified priority “must do” activities to be implemented between now and the end of the project as a way of targeting “low hanging fruit” that could have the effect of delivering on some critical project objectives. The targeted implementation of these activities should see financial expenditures rise considerably over the next two years. The priority list of activities is shown in Annex 5 to this report.
- 50 The LUSLM project was mobilized to work in an area where baseline data was not readily available for assessing progress towards intended objectives. Current initiatives to define project boundaries will facilitate baseline setting. Working together with the Geographic Information Systems Unit at LUSIP I, the project should establish baseline information early in 2013. Project Management has been advised to start using the GEF Monitoring and Evaluation Tracking Tool template for the establishment of this baseline across all three programmatic components. Project

management are developing the Tracking Tool. This process will need to be assessed in follow up IFAD missions to ensure that the project is meeting GEF needs.

- 51 The PICO Consulting team that has been contracted to develop the project Knowledge Management and Learning System has started work on the Project Monitoring and Evaluation System but will have to revise the focus to cover all project staff as the decision has now been made that the Project will not recruit a dedicated Monitoring and Evaluation Officer. This activity will be completed by end of December 2012.
- 52 Communication activities have continued over the past year generating materials and Stories from the Field for dissemination to stakeholders. A Project brief which summarises the project objectives and progress to date has been produced. In addition, brochures, fact sheets and banners have also been produced for dissemination to the public. This would be made easier through the Information Resource Centre that the project is considering establishing. Finally, the Project has it in its plans to develop a Media and Communication Strategy based on the communication needs assessment conducted early in 2012.

5. ASSESSMENT OF PERFORMANCE AND RATINGS

5.1 Attainment of Objectives and Planned Results

- 53 The assessment of the evaluation is that the LUSLM project objectives are relevant to Swaziland as they seek to address topical issues of land degradation, biodiversity conservation and climate change adaptation. Project elements are also aligned to GEF priorities as well as with at least nine of IFAD/s ten core principles of its policy on environment and natural resources management. The synergy between IFAD and LUSLM objectives is shown in Table 3 below.

Table 3: IFAD ENRM PRINCIPLES AND LUSLM PROCT OBJECTIVES

SYNERGY BETWEEN IFAD ENVIRONMENT AND NATURAL RESOURCES MANAGEMENT CORE PRINCIPLES AND LUSLM PROJECT OBJECTIVES

IFAD CORE PRINCIPLE	LUSLM OBJECT
Scaled-up investment in multiple-benefit approaches for sustainable agricultural intensification	Support to intensive livestock and crop farming on dry land
Recognition and greater awareness of the economic, social and cultural value of natural assets	Linking Natural Resources management with social and economic development in the Chiefdoms
‘Climate-smart’ approaches to rural development	Promoting resilience to Climate Change through reforestation initiatives
Greater attention to risk and resilience in order to manage environment- and natural-resource-related shocks	Promoting sustainable natural resources management (including rehabilitation of degraded lands) as a way of managing environmental risk
Engagement in value chains to drive green growth	Promoting access to markets for natural products such as honey and indigenous chickens, goats and pigs. Also promotion of market strategies for cattle

Improved governance of natural assets for poor rural people by strengthening land tenure and community-led empowerment	Consultancy to review land tenure arrangements
Livelihood diversification to reduce vulnerability and build resilience for sustainable natural resource management	Livelihood diversification through development of options such as bee-keeping and rearing of indigenous chickens
Equality and empowerment for women and indigenous peoples in managing natural resources	Promotion of participation of women in all project activities
Increased access by poor rural communities to environment and climate finance	Increased access to finance through LUSLM and other GEF opportunities
Environmental commitment through Changing its own behaviour.	

- 54 The Terms of Reference for the Mid-Term Evaluation require that the evaluation assess the magnitude of impacts realised by the project to date or assess the extent to which the project impacts will be realised in future. The evaluator observes that the LUSLM project has only been operational for a period of just over a year so it is too early in the project cycle for the project to have produced any impacts. The assessment of results under each of the project components discussed in the section above shows that the project has been engaged in processes through which community groups have been mobilised and organised into functional groups that have started implementing a variety of activities under each of the project components. Support is still required from the LUSLM project for these initiatives to begin having measurable impacts on the communities that are involved. The opportunities for these impacts to be realised will be enhanced with an extension of the project close out date to compensate for the one year delay in project start up. The project has however introduced a lot of initiatives under each component most of which are at initial stages of mobilization. The work that has been initiated under **Component 1** to review policies and legislation related to SLM looks set to produce results which will effectively contribute to the dialogue on access to and land management in Swaziland. This work will however require an active National project Steering Committee to yield the required results.
- 55 The engagement established with the National Land Board will ensure that findings and recommendations from the project on this important issue are likely reach the highest political levels in the country where decisions regarding land are made.
- 56 The Project has a mixed bag of activities that are on-going under **Component 2**. The evaluation is of the opinion that the initiatives that have been introduced will be effective where they benefit the individual households directly. It is therefore expected that interventions such as permaculture gardens will become institutionalized especially where the project participants have been taught how to process the various vegetable products by World Vision.
- 57 Tree planting activities have been implemented in Southern Africa over the past twenty years with checkered results. Most rural people consider trees a free natural

good and do not normally plant trees to replace the ones that they have cut down which explains the widespread deforestation across rural areas. A major constraint that frustrates even the most avid tree planters is the scarcity of water during the dry seasons. The impacts of the innovation of using schools as an entry point still needs to be assessed as the trees will largely go unattended during school holidays.

- 58 An innovation under this component is the provision of capacity building training to both communities and services providers such as extension workers they live within their areas.
- 59 The most serious questions regarding effectiveness and likelihood of success remain in the project elements targeting commercialization of livestock farming as it goes against the cultural grain with respect to livestock.
- 60 Fuel efficient cook stoves have had little success as a replacement of the open fire. There are social reasons why rural communities with no access to electricity will continue using firewood. The open fire hearth is a centre of social interaction among family members. Any projects that target the improvement of efficiency in the use of firewood should as much as possible involve rural women in their design to ensure that this important social aspect is incorporated.
- 61 The inclusion of Component 3 as part of the project results framework was creative as it provides scope for diversification of livelihood options for rural residents. All that is required to make this a very effective intervention is that the project management team looks beyond what is known in Swaziland to identify new innovative ideas for adaptation to the Swaziland environment.
- 62 Efficiency of project delivery relates to any delays that were experienced with project start up, project implementation as measured against resources deployed and appropriate use of science to inform decision making with regards to new initiatives being introduced to farmers. The project started a year and a half late with limited staff thereby detracting from its efficiency. This might be grounds enough for a project extension. Project expenditure is still low as on-the ground activities have not been initiated except in schools. The project is however set to improve on its efficiency in programme delivery with the approval of staff positions and the identification of priority activities for the remainder of the implementation time frame.
- 63 Overall therefore the issues identified for attention under the project are assessed to be relevant. Although the project has only been operational for one year, a lot of activities are already being implemented with some showing promise of yielding good results. The majority of interventions especially under Component II will require long implementation lead times before any results begin to show.

5.2 Sustainability

- 64 The question as to whether project intervention results are sustainable over the long term is considered under the following aspects: Financial Sustainability Socio-political Sustainability, Institutional and Environmental Sustainability.
- 65 **Financial Sustainability:** The project funding includes the GEF component, GoS component and co-financing by other partners. The GEF component has already been committed while the GoS direct contribution is still to be accounted for. However government's commitment to the project has been demonstrated by the release of up to fifty field officers to attend the two week long Training of Trainers workshop that

was conducted by the project in Manzini in October 2012. Beneficiary community groups however look at the project as the primary source of support without them contributing anything significant. Should GEF funded be exhausted or withdrawn it is unlikely that the project will continue at the same pace. The LUSLM Project Management is therefore encouraged to continue identifying additional sources of financing to compliment what has already been committed to the project.

- 66 **Socio-political Sustainability:** The LUSLM project is being implemented against the backdrop of a larger IFAD funded LUSIP I project which is widely viewed as having “brought development” to southern Swaziland through provision of water, infrastructure and modern homes for those that have been compensated for being displaced from their original homes. Community groups in the LUSLM project area therefore expect the same levels of benefits because they have been made to carry the burdens of LUSIP I.
- 67 The project focus on land management presupposes a certain level of control over all aspects of land management including allocation. This aspect of the project and any initial results that are beginning to show will depend upon the extent to which they are allowed to develop without being questioned by the Royal establishment which is ultimately accountable and responsible for what happens with the land resources in Swaziland.
- 68 The project has identified livestock commercialization as one aspect to be advanced. This is in a society where livestock especially cattle have more of a social than economic value. Changing this mind set among the people will take a long time. As one farmer in Mamba stated in response to a question about overgrazing: “If we find ourselves without adequate grazing we will move our cattle to the mountains rather than reduce the size of our herds”. It is unlikely that the LUSLM project will be able to resolve the problems relating to overstocking in the short timeframe that it will be implemented over. The GoS should therefore address this issue as part of a broader and more comprehensive rural development strategy involving all the sectors that have a bearing on rural livelihoods. The study on the legislative framework that impinges on access to land and other resources that the project is supporting should yield useful baseline data for this purpose.
- 69 There are therefore significant socio-political threats to the sustainability of the project which will need to be managed if outputs are to develop into project results.
- 70 **Institutional Sustainability:** The LUSLM project has been grafted onto Swaziland national institutions following the realization that it was responding to nationally important concerns. The NSC is composed of national government agencies working in the area of SLM while at the project site the project is delivered through government and non-governmental institutions as well as community level institutions such as Chiefdoms. The project has also positioned itself to empower individual citizens within the framework of local level institutions. From the institutional framework perspective therefore it is expected that the approach adopted by the project will ensure that the results achieved are adopted by the institutions involved.
- 71 **Environmental Sustainability:** The project is built upon the national and international environmental management framework developed over the years in Swaziland. Land reclamation and rehabilitation and afforestation activities under the project are expected to enhance environmental sustainability and community resilience to climate change. There are moves to broaden the consideration of

environmental impacts of such projects to include transboundary management frameworks which will introduce an additional layer of sustainability into the project.

5.3 Catalytic Role of GEF Support

- 72 GEF support under the LUSLM project focuses on promoting sustainable land management through the reduction of land degradation and introducing to the involved community groups alternative livelihood options that contribute to the reduction of biodiversity loss. The lessons produced at the project sites are then collected and collated for replication in other parts of the country. The GEF is therefore supporting the creation of new knowledge and lessons for use in similar circumstances elsewhere. The LUSLM project includes learning and demonstration as vehicles for engendering change in the way communities relate to their environment thereby promoting innovation at the local level.
- 73 It is expected that the direct benefits community groups participating in the project will get in the form of new production systems, new markets for their products and improved nutrition are enough of an incentive for them to continue driving project goals. Community empowerment especially that of women, will also introduce a new institutional framework for development planning and implementation in Swaziland. These empowered community leader are expected to become champions for change for change and development in their home areas and further afield. The young women that now run permaculture gardens in Gamedze Chiefdom and beginning to influence the older generation to adopt the technology are the true Champions that the project has developed.
- 74 Although it is still early days in the project delivery, there are numerous pointers to the project outputs being replicated to other areas. The project is designed as a pilot project to test new approaches to SLM and packaging results from these tests for dissemination to other areas within the project area or further afield.
- 75 From the above assessment, it is clear that the GEF investment in LUSLM is catalytic funding for the development of projects in other areas of Swaziland and further afield.

5.4 Stakeholder Participation/Public Awareness

- 76 The LUSLM project is driven by stakeholders at various levels. At the national level, Technical Task Force made up of critical SLM related institutions to guide project implementation which is coordinated by a NSC. At the field level Programme Management have invested their time to mobilize the participation of government, civil society and private sector stakeholders for their input into the project in support of communities. At the community level, there is further disaggregation of stakeholders into women and men to ensure that benefits and results emanating from project implementation are directed to appropriate beneficiary group.
- 77 There have also been some very successful public awareness campaigns that have preceded the discussions of developments of Chiefdom Development Plans. Through such consultative forums, it has become generally easier for the project to be adopted by community groups for implementation.

5.5 Country Drivennes

- 78 The LUSLM project was motivated by Swaziland government officials having witnessed serious environmental degradation in the country. The GEF Focal Point for

Swaziland conceived the idea and a proposal was developed for funding. The original implementation plan which would have seen various projects elements being managed by staff in specific Ministries was intended to promoted ownership of project results. It is clear therefore that the LUSLM project is a product of Swaziland for Swazi citizens. A possible blight on this classical ownership arrangement, is the tendency for the NSC members not to attend meetings themselves but sending proxies who are not authorized to make decisions. This has now been addressed through an amendment of the project workplan that will require the attendance of the appropriate officials at meetings.

5.6 Project Design and Outputs

- 79 The project objectives and components were stated very clearly in the project document making it possible for the quick mobilization that has resulted in the initiation of the various activities described above. Had this not been the case the National Project Manager and her team would have found it difficult to kick start the project and deliver what is now on-going.
- 80 Due to clarity of design and alignment of the project with both GEF and IFAD Strategic Objectives the outputs so far have the merit and authority to start influencing or at best get requisite institutions begin to engage in dialogue on land policy changes. Already the National Land Board has requested that they be kept informed of the findings and recommendations on the land policy analysis study that is being funded by the project.

5.7 Implementation Approach and Adaptive Management

- 81 The LUSLM Project Appraisal Document was as thorough and clear as any other such document developed for GEF endorsement. The project objectives were clearly laid out as were the implementation mechanisms and responsibilities of various organisations. The NSC was identified as the supervisory body while a Technical Task Force was established to assist the National Project Manager in project implementation.
- 82 The responsibilities and reporting lines of the Project Management Team were also clearly laid out in the PD. Being responsible for day to day administration and management of the project placed the NPM in the position to be able to adapt to management situations as they arose. Right at the beginning of the project, it was clear that the proposal to have Ministries second personnel to work with the NPM to implement specific project components was going to introduce confusion in the project due to lack of accountability and people being pulled away from the project to attend their day-to-day work.
- 83 The National Project Manager responded to this by changing this arrangement and instead requesting the appointment of full time component managers who would report to her. While this request was granted and staff were recruited to work on the project, administrative hitches have been experienced which have adversely impacted on staff morale and threaten to affect project implementation.
- 84 Due to the late start in project implementation it was realised that the project would not be able to deliver on all the activities that were agreed upon at project inception. In response to this, the LUSLM Project Management has drawn up a priority list of activities that would form the focus of project implementation between the Midterm

evaluation and project close out. Focusing on this priority list will help focus project implementation on critical activities for the achievement of project objectives. This focused approach will also promote greater efficiency in the use of available financial resources.

5.8 Financial Planning and Control

- 85 Project Finances are administered by SWADE in terms of the organization having been delegated the responsibility to manage the GEF project finances and administrative procedures including recruitment of staff and general procurement by the Ministry of Agriculture.
- 86 Due in part to late project start up and problems with staff recruitment and procurement of critical assets like vehicles project implement depends on staff using their own vehicles or just nit attending to work that needs to be done.
- 87 Financial disbursement has suffered due to these delays with the project having spent only 8% of their total budget after one year since mobilization. This is very low burn rate which might influence decisions; especially in government.

5.9 Role of Implementing and Execution Agencies

- 88 **IFAD** is the designated Implementing Agency for the LUSLM project. This status comes with responsibilities to ensure smooth project management and implementation on the part of the project Management team and the GoS. All plans developed by the PM, be they planning documents or financial management reports are expected to be sent through IFAD for approvals and no objections.
- 89 IFAD also mount Project Implementation audits on a quarterly basis and produce Aide Memoire which detail the specific findings during a mission and recommend actions to be taken in relation to the project. This fiduciary responsibility has been followed since the mobilization of the LUSLM project with comprehensive Aide Memoir produced following each visit.
- 90 The Government of Swaziland through the Ministry of Agriculture and Cooperatives in the designated Executing Agency for the project. The MoAC has in turn delegated SWADE the role of administrator for the project. In this respect SWADE handle all the financial management for the project as well as procurement including hiring of personnel.
- 91 This arrangement has not worked optimally for the project as the Project Manager has found herself reporting to SWADE for administrative issues and to Government for technical issues. This division is not always possible as the two are closely intertwined. So –solutions.....
- 92 Management changes at SWADE since the project started have also resulted in confusion with each new manager requiring that things be done differently. Since the resignation of the substantive CEO in 2010, there have been four different Acting Chief Executive Officers at SWADE

6. OVERALL PROJECT ACHIEVEMENTS

- 93 Overall project performance is adjudged to be **Moderately Satisfactory** (4). Given the relevance of the issues the project was set up to address effective implementation mechanisms were put in place to address them. However, due to the delayed start up

and lukewarm support from the National Steering Committee it is unlikely that the project will achieve the objectives set at design. While the project has laid a strong foundation for the realization of project impacts over the remaining two years there is a risk that this will not be achievable on the current implementation timeline. Consideration therefore needs to be made by IFAD and GoS of a one year no-cost extension to the project for it to realise the results that are possible with the work done so far.

94 Of particular interest regarding this project is the potential that it has to impact upon rural household incomes. Beneficiaries who have embarked upon permaculture are already realizing financial returns from their gardens albeit in the form of substituted purchases. With concerted organization and clearly defined market linkages, these farmers could start selling their produce on the formal markets in the project area and further from where they would realise income that they currently do not have.

95 The dialogue on land that has been opened through this project will go a long way towards developing mechanisms for empowering rural farmers through better defined land rights.

Table 4: Overall Project Achievements

Criterion	Evaluator's Comments	Summary	Evaluator's Rating
A. Attainment of Project Objectives and Results (overall rating) Sub criteria (below)			3.
A. 1. Effectiveness- overall likelihood of impact achievement	Project components address areas in which the project is likely to have huge impacts. With only one year into implementation the policy work is well under way, innovative ways to promote SLM are being developed and Alternative livelihood options are being identified. If these are managed as recommended in the report some dramatic impacts can be foreseen in the project area.		3
A. 2. Relevance	The LUSLM project addresses issues of land degradation, reduced food security and vulnerability to climate change which are all critical issues in Swaziland. Further the project is aligned to the three IFAD focal Areas of Biodiversity, Climate Change and		5
A. 3. Efficiency	The Project has largely been in mobilization phase with little expenditure recorded. Even with this little expenditure building blocks for efficient project delivery are already in place.		3
B. Sustainability of Project Outcomes (overall rating) Sub criteria (below)			4
B. 1. Financial	Additional resources will be		3

Criterion	Evaluator's Comments	Summary	Evaluator's Rating
		mobilised from IFAD and other GEF sources through LUSIP II and GoS commitment to the project through in-kind contributions such as staff time.	
B. 2. Socio Political		Project implementation through CDPs and its targeting of poverty and improving access to markets will ensure socio political sustainability. A potential threat is that the project might fail to change land tenure systems in Swaziland.	3
B. 3. Institutional framework		The use of Chiefdoms as planning entities and involvement of other sectors will promote institutionalization of project results at local community level. The approach made to the National Land Board will ensure that project goals are recognized at the highest political level in the country.	4
B. 4. Environmental		The project addresses land degradation which is a critical environmental issue in Swaziland. The overall synergy with IFAD's ENRM Policy also points to likelihood of environmental sustainability of the project.	5
C. Catalytic Role and Replication		The GEF funding will play a catalytic role in mobilizing other resources to support the project in future. It is expected that the project will be replicated into other areas impacted by LUSIP I and the areas targeted by LUSIP II.	4
D. Stakeholder Participation/ Public Awareness		The project has enlisted the participation of a broad range of stakeholders at national as well as at project level. Public Awareness is on the increase with the publication of banners, Stories from the Field as well as radio and TV informational. The proposed Media and Communication Strategy will further enhance public awareness.	4
E. Country Ownership/ Drivenness		The project was designed by Swazi citizen working in the environment and development sector. The project is coordinated by nationals while at the project sites, it is implemented in response to local needs	5
F. Achievement of Outputs and Activities		A very strong foundation for the achievement of Outputs and Activities. The next two years	3

Criterion	Evaluator's Comments	Evaluator's Rating
	should witness a ramping up of activity under the project.	
G. Preparation and Readiness	Project design identified critical issues for Swaziland which has assisted with quick mobilization of the project.	4
H. Implementation Approach and Adaptive Management	The NSC has been almost inactive over the past year but is now mobilized. The LUSIP I Project Manager and the LUSLM Project Manager were innovative in arranging for secondment of staff from LUSIP to LUSLM which allowed for quick mobilization. The mobilization of other sectors through involvement of field staff will also assist with implementation. Over the next two years, the project will need to jointly plan its activities with LUSIP II to ensure integration of approaches to rural development.	3
I. Monitoring and Evaluation (overall rating) Sub criteria (below)	Not rated as PICO Consulting has just started work and there is no Monitoring and Evaluation plan developed. The only plan available is the one in the PAD which needs updating. Project Management to develop an M&E Plan for implementation by all staff as recommended by the end of the first quarter of 2013.	
I. 1. M&E Design	n/a	
I. 2. M&E Plan Implementation	n/a	
I. 3. Budgeting and Funding for M&E activities	n/a	
J. Financial Planning and Control	Managed by SWADE on behalf of the project. There are issues of lack of attention from SWADE.	3
K. IFAD Supervision and Backstopping	IFAD has provided the necessary supervision and backstopping. Two missions were held in 2010.	4
Overall Rating	The LUSLM Project has laid a strong foundation for achieving results. This should improve with the prioritization of activities that has been made for the remaining period of implementation. The issue of staffing and the operationalization of the Steering Committee will need to be resolved as quickly as possible to allow for this.	4

GEF Performance Description: 6= Highly Satisfactory; 5= Satisfactory; 4= Moderately Satisfactory; 3= Moderately Unsatisfactory; 2= Unsatisfactory; 1= Highly Unsatisfactory

7. LESSONS LEARNED AND RECOMMENDATIONS

- 96 The LUSLM project was beginning to show signs of real success at the time of the evaluation having been in operation for a year. A number of lessons can be distilled from this experience for use on other projects.

7.1 Lessons Learned

- 97 **Projects that target changing peoples' mindsets especially in relation to their livelihoods require dedicated staff working on issues on a full time basis. This way, responses to beneficiary needs can be mobilized quickly and follow up actions can be put in place immediately the need for them is identified.** Upon coming on board, the Project Manager recruited Component Managers to manage project implementation. Their dedicated focus on specific aspects of the project allowed for quick mobilization and introduction of the project to community groups. Had the project used the management model detailed in the Project Appraisal Document of working through seconded staff from various Ministries and using consultants for specific inputs into implementation processes, not as much progress would have been achieved.
- 98 **Rural development projects are multi-dimensional and require the engagement of a range of diverse but related service providers for them to yield effective results.** Project Management on the LUSLM Project has realized the value of partnerships in the implementation of this project. The efforts that have been made to enlist the inputs of various extension workers in the project area and getting them trained in project management is already bearing fruit as some stakeholders are now running their own programmes using the LUSLM project as a vehicle for delivery of their own results. For example, the training provided by World Vision on food preparation has added value to investments made in establishing permaculture gardens.
- 99 **Community Groups learn more effectively from examples set by people in similar circumstances.** The sharing of experiences among various community groups through exchange visits and field training exercises has expedited learning, improved environmental literacy and encouraged the uptake of new ideas among project participants. More could be achieved through exposing project beneficiaries to what has happened in other parts of the region.
- 100 **Projects need to target issues that are relevant to peoples' livelihoods for them to be quickly taken up. In such cases project need not cost a lot of money for them to be adopted at community level.** The LUSLM Project addresses issues of biodiversity loss, land degradation and water stress which are at the centre of livelihoods of most farmers in rural Swaziland. The options that these projects have offered have been quickly adopted as they are seen to be contributing to improvement of livelihoods.

7.2 Recommendations

- 101 There are clear indications that the LUSLM project will begin to impact on peoples' lives over the next two years. For this to happen there are a number of actions that need to be taken at various levels. These are presented below as recommendations. The Project had up until the Midterm evaluation taken on all the actions and project suggestions identified at design stage and used to develop the Project Appraisal Document. This had the effect of dispersing the energies of Project Managers over a large portfolio of activities resulting in limited impact. On the recommendation of the Evaluator, Project Management has identified a list of priority actions that they propose to focus on between now and the end of the project in an effort to

focus project implementation on those activities that are most likely to yield results in the time that remains.

Recommendation: The National Steering Committee should, at their next meeting, adopt the list of priority actions and activities identified by the Project Management Team for implementation between now and the end of the project and use these as the basis for allocating financial resources and refocusing project implementation.

- 102 Project staff that was seconded from LUSIP I to the LUSLM project were still on temporary contracts at the time of the evaluator's second field visit at the end of November 2012. This was despite the recommendations that have been made by IFAD field missions and the evaluator that this situation be regularized to allow staff to focus on the work that needs to be done. This situation continues to frustrate staff and keeps them from focusing on their work.

Recommendation: The recommendation to have staff transferred from SWADE to the LUSLM project confirmed in their positions on the basis of recommendations from the evaluation team should be implemented without further delay. SWADE should award contracts to all staff identified as critical for project implementation by the end of January 2013 at the latest.

- 103 The LUSLM project mobilized for operations only in July 2011. This resulted in the loss of one year of project implementation time. Even if staff were confirmed in their positions as recommended above, it is unlikely that project implementation will catch up with the intended targets.

Recommendation: It is recommended that IFAD consider granting the project a one year no-cost extension to compensate for the lost implementation time. The structure of the project and the number of staff required in the extension phase will need to be agreed upon by IFAD and GoS. This discussion should be based on the prioritised list of activities proposed by Project Management following the November evaluation team mission.

- 104 LUSLM was introduced to address land degradation, loss of biodiversity, overgrazing and the impacts of climate change all of which are further entrenching poverty among rural dwellers. Some of these impacts were as a result of development planning activities introduced by LUSIP in the south of the country. The ideal approach would have been to integrate the LUSLM project elements into the planning processes at LUSIP I to ensure that the current problems being experienced do not arise.

Recommendation: It is recommended that LUSLM and LUSIP I and LUSIP II Project Management engage in joint planning exercises to ensure the dovetailing of their activities to facilitate up-scaling of lessons learnt to date from the implementation of precursor initiatives. This is more so now that planning has started for LUSIP II.

- 105 The LUSLM project is addressing issues such as land degradation which are topical over most of Southern Africa. There have been initiatives already undertaken in other parts of the region to address this issue from which LUSLM project beneficiaries could learn. These beneficiaries could also benefit from expert training in how to get some of the proposed alternative livelihood options off the ground.

Recommendation: The LUSLM project should arrange a study tour for project beneficiaries to Zimbabwe to visit the Matetsi Holistic Resource Management Centre to expose them to different views regarding the impacts of livestock on rangelands. Project Management should also contact ICIPE in Nairobi to arrange for training of the Lead Farmers identified in activities such as beekeeping so these initiatives can be made sustainable.

- 106 The project has so far not needed huge sums of money to get programmes and activities going. As the project moves into the next phase, it is projected that there will be greater need

for resources to implement activities on the ground. In this first phase it GoS did not meet their commitment of co-financing which is required if the project is to be implemented at the same scale as originally planned.

Recommendation: It is recommended that GoS continue to meet their commitment regarding co-financing under the grant agreement with IFAD in a timely manner. Project Management through the National Steering Committee should also go out to mobilise resources from additional sources including the private sector.

8. ANNEXES

Annex 1: Evaluation Terms Of Reference

Terms of Reference

Terminal Evaluation of IFAD-GEF Project ID 3390

Lower Usuthu Smallholder Irrigation Project (LUSIP)

LUSIP-GEF Sustainable Land Management Project

1. PROJECT BACKGROUND AND OVERVIEW

GEF Project ID: 3390
Project duration: 4 Years
 Commencing: July 2010
 Completion: June 2014
Country: Project Title: LUSIP-GEF Sustainable Land Management Project
GEF Implementing Agency: IFAD
Other Executing partners: Ministry of Agriculture, SWADE
GEF Strategic Objective: LD-SP1, BD-SP7, CC-SP4
GEF Strategic Programmes: Land Degradation, Biodiversity, and Climate Change.
IFAD Priority: Strategic Objective 5 of the 2011-2015 Strategic Framework 'A natural resource and economic asset base for poor rural women and men that is more resilient to climate change, environmental degradation and market transformation
Cost to the GEF trust fund: 1,973,000
Co-Financing: 8,670,800
In-Kind Contribution: To be confirmed

Project rationale

Despite its small size, the Kingdom of Swaziland enjoys an unexpected richness of biodiversity as a result of its location and its great variation in landscape, geology and climate. This unique biodiversity heritage, still well preserved, is under serious threat as a result of an increasing population, climate change and agricultural practices. Agriculture is still the backbone of Swazi economy. The primary land use in Swaziland is extensive grazing, both communal and commercial, covering 70 % of the country area, with cultivation using another 20 %. Pressure for land is increasing from intensive agriculture and human settlements. The climate is subtropical, ranging from sub-humid to semi-arid, with separate seasons. Drought and extreme climatic episodes have accentuated in recent years.

These combined forces have resulted in severe degradation of soil and land resources across the country, a problem widely recognized. Land degradation also reflects institutional, social and political problems, such as land and livestock tenure arrangements, lack of conservation practices on communal lands, inequitable access to land and land insecurity, and overlapping and inefficient policies. Unsustainable use of land is the most important factor contributing to erosion and degradation, which can be seen in practices such as overgrazing, road construction, fuel wood collection, alien plant infestations, bush encroachment and urbanization. Climate variations are also increasing the land degradation rates.

The Lower Usuthu Smallholder Irrigation – Global Environment Facility, Sustainable Land Management (LUSIP-GEF SLM) Project is an initiative aimed at reducing land degradation and biodiversity loss and mitigate climate change through the application of sustainable land management practices. This will contribute to adaptation to, and mitigation of climate change. The LUSIP-GEF will also ensure that local people's livelihoods benefit from the improved stewardship of the natural resource base, leading to improved food security through the continued use of SLM practices,

including minimal tillage, conservation agriculture, rangeland management approaches which raise biomass productivity, and afforestation. The project emphasises optimal environmental management and community empowerment as critical for a sustained improved quality of life. The project is targeting smallholder farmers located around Siphofaneni, Sithobela, Mtfongwaneni and Lubulini constituencies, which surround the main LUSIP project area.

The Project goal as stated in the Project Document was: To reduce land degradation and biodiversity loss in the Lower Usuthu River Basin area through the application of sustainable land management practices

The Project objectives as stated in the Project Document are:

- To promote development and mainstreaming of a harmonised, cross-sectoral approach to SLM at the national level;
- To reduce land degradation, biodiversity loss and mitigate climate change in the Lower Usuthu River Basin area through the application of sustainable land management practices which will contribute to adaptation to climate change;
- To improve the livelihood opportunities, resilience and food security of rural communities.

Relevance to GEF Programmes

The project conforms closely to GEF's Operational Strategy, the objectives and eligible activities under three Focal Areas (FA) Strategies: Land Degradation, Climate Change and Biodiversity. Regarding Land Degradation, the project will promote Strategic Objective 2 of the LD FA, "To upscale sustainable land management investments that generates mutual benefits for the global environment and local livelihoods", and the expected outcomes will include benefits for the communities from applying and disseminating SLM practices, and the systematic application, at national scale, of sustainable, community-based farming and forest management systems. The proposal fits into Strategic Program 1, "Supporting sustainable agriculture and rangeland management", working in areas of intense competition for land resources that are prone to severe soil erosion and loss of soil fertility.

The proposal will also contribute to Strategic Objective 8 of the Climate Change FA, "To support pilot and demonstration projects for adaptation to climate change", enhancing resilience and increasing the capacity of local communities within the project area to cope with the adverse impacts of climate change on the land resource, and fitting into Strategic Programme 4, "Promoting sustainable energy production from biomass".

The proposal is also consistent with the Biodiversity FA Strategy, supporting directly Strategic Objective 2, "To mainstream biodiversity conservation in production landscapes/seascapes and sectors", and the implementation of the Strategic Programme 7, "Prevention, control and management of invasive alien species", in the project area.

The project will be also a constituent part of the Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (SIP), contributing to its long-term Program Goal and Intermediate Results.

Executing Arrangements

The Implementing Agency (IA) for this project was IFAD and the Executing Agency (EA) and Ministry of Agriculture and Cooperatives. A national project management office (NPMO), headed by the full-time national project manager (NPM) has been created in SWADE's LUSIP offices at in Siphofaneni, from where on-the ground activities are implemented.

The LUSIP-GEF National Project Manager (NPM) oversees the work of the project executing agencies, namely SWADE, MOAC, SNTC, NGOs (namely Technoserve, REASWA, ProBEC,

Community Dynamics), under the overall supervision of and reporting to the National Project Coordinator (NPC), who is a permanent, full-time member of MOAC staff (see Chart 1 in Project document). The project M & E Consultant is working under the guidance of and reports to the NPC and NPM. The NPC and NPM liaise and reports to the small Task Team and the National Steering Committee (NSC). The Task Team and Steering Committee were established during the Project Preparation Phase, to facilitate vital intersectoral functions – to promote SLM across the key GoS Ministries, with representatives of MOAC, SEA, SNTC, MNRE and also SWADE and the national environmental GO “umbrella” group YongeNawe.] The TT and NSC are accountable to the GoS Ministries collaborating on the project and also the GEF Focal Point, who is in turn, is accountable to IFAD and ultimately the GEF for implementation of the project

Planned Outputs and Outcomes

The LUSIP-GEF project is being implemented under four broad categories as follows:

Component 1 – Sustainable Land Management Approach Promoted at National Level

This component focuses on promoting development and mainstreaming of a harmonized, cross-sectoral approach to SLM at the national level, to overcome national level barriers and improve the legal and policy framework for SLM.

Outcomes:

- 1.1 Legal and operational framework for SLM improved;
- 1.2. Use of land resources planned sustainably

Component 2 – Sustainable Use of Land Resources

Under this component, local communities will be assisted to better plan and manage their land resources, based on the unit of Chiefdoms. This component focuses on raising SLM awareness, skills and ecological literacy of local people. There will be capacity-building for local level staff including extension officers, NGOs and the private sector. On the ground activities to be undertaken under this component will use participatory approaches, demonstration plots and farmer visits.

Outcomes

- 2.1 Land use plans implemented;
- 2.2 Degraded land restored and sustainably managed;
- 2.3 Vulnerability to climate change decreased;
- 2.4 Biodiversity loss reduced

Component 3 – Alternative Livelihoods

This component complements the LUSIP by supporting communities applying SLM and conservation measures to generate additional sources of income to alleviate poverty and reduce pressure on natural resources.

Outcome 3.1 Alternative sources of livelihood compatible with sustainable use of land resources provided

Component 4 – Project Management

This component will facilitate operationalization and efficient functioning of LUSIP-GEF project management structures, with a focus on documentation of lessons learnt facilitated through an effective and efficient knowledge management system.

Budget

The total cost of the project is US 10,643,500 of which US\$2,280,000 was GEF financing.

Cost to the GEF Trust Fund: US\$1,973,000 (excluding fees)

Government of Swaziland Contribution: US\$2,320,800

Contributions from beneficiaries: US\$ 183,000

IFAD Contribution: US\$6,166,900

3 Objective and Scope of the Review

The objective of this Mid Term Review is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will also synthesize lessons learned that may help in the design and implementation of future IFAD GEF initiatives. For this project special attention should be paid to the linkages/synergies achieved between the GEF components and the parent LUSIP project. The evaluation will focus on the following main questions:

Does the methodology of the **LUSIP GEF** project contribute to IFAD's ENRM Policy and Climate Change Strategy¹. Specific reference where appropriate should be made to the ENRM Core Principles and Best Practice Statements:

4 Methods

This Mid-Term Review will be conducted as an in-depth evaluation using a participatory mixed-methods approach, including field visits to the project site, during which the IFAD-Regional Climate and Environmental Specialist (RCE), the Country Programme Manager (CPM), and the IFAD Supervision Team Leader, key representatives of the Executing Agencies and other relevant staff are kept informed and consulted throughout the evaluation. It is envisaged that the review will complement Supervision and Implementation Support Mission planned for the 25 September 2012 to 19 October 2012. Noting that the Supervision missions will complete their activities by 12 October and the wrap-up for the MTR should be conducted by the RCE as lead with the Ministry of Agriculture.

The consultant will liaise with the IFAD Evaluation Office, the RCE and the CPM/Supervision Team Leader on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. In addition, the consultant should engage with the Operational Focal Point when feasible and relevant. The draft report will be delivered to the CPM² and the RCE, who will then distribute the report to the Director of IFAD Evaluation Office, Director of Environment and Climate Division (ECD) and key country stakeholders and representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to the RCE for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

- e) A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to IFAD and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the Steering Group meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) Relevant material published on the project web-site : -----
- f) Interviews with project management and technical support teams, supported by complementary field visits as appropriate
- g) Interviews and telephone interviews with intended users of the project outputs and other stakeholders involved, including Governments, especially Parties to the biodiversity-related conventions and other MEAs, and agencies and organizations involved in developing and

¹http://www.ifad.org/climate/policy/enrm_e.pdf

<http://www.ifad.org/climate/strategy/e.pdf>

² As per email 3/5/2012 from Kevin Cleaver to PDMT and ECD staff on 'GEF grants implementation'

delivering the indicators, such as UN agencies and programmes, international organizations, NGOs and research/academic institutions. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with field visits to the project sites and electronic surveys.

- h) Interviews with the RCE, CPM and Fund Management Officer, and other relevant staff in IFAD dealing with project related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

Key Evaluation Principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "*what happened?*" and "*what would have happened anyway?*". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgments about project performance.

5 Project Evaluation Parameters and Ratings

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the **eleven categories (A-K)**³ defined below.

It should be noted that many of the evaluation parameters are interrelated. For example, the 'achievement of objectives and planned results' is closely linked to the issue of 'sustainability'. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of 'catalytic effects/ replication' and, often, 'country ownership' and 'stakeholder participation'.

The **ratings for the parameters A-K will be presented in the form of a table (see Annex 1)**. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

6	= Highly Satisfactory
5	= Satisfactory
4	= Moderately Satisfactory
3	= Moderately Unsatisfactory
2	= Unsatisfactory
1	= Highly Unsatisfactory

A. Attainment of Objectives and Planned Results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness*: Evaluate the **overall likelihood of impact achievement**, taking into account the "achievement indicators", the achievement of outcomes and the progress made towards impacts. IFAD's Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 1) to establish this rating.

³However, the views and comments expressed by the evaluator need not be restricted to these items.

- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies and country priorities? The evaluation should also assess whether the outcomes specified in the project document and or logical framework are actually outcomes and not outputs or inputs. Ascertain the nature and significance of the contribution of the project outcomes to the wider portfolio under GEF 4's Strategic Priority/Goals.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the project, to the project's achievements. Did the project build on earlier initiatives; did it make effective use of available scientific and/ or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The review will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The review should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROTI method** described in Annex 1 will also assist in the evaluation of sustainability.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks, and environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of project outcomes and onward progress towards impact? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? An assessment of the co-financing and leveraged resources is required. To what extent are the outcomes and eventual impact of the project dependent on continued financial support?
- *Socio-political*. Are there any social or political risks that may jeopardize sustenance of project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public/ stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework*. To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/ benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency

and the required technical know-how are in place, partnerships developed and engagement with the private sector.

- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The MTR should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

C. Catalytic Role and Replication:

The catalytic role of the GEF is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and showing how new approaches and market changes can work. GEF aims to support activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of GEF activities: (1) “**foundational**” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

In this context the evaluation should assess the catalytic role played by this project by consideration of the following questions:

- INCENTIVES: To what extent have the project activities provided incentives (socio-economic/ market based) to contribute to catalyzing changes in stakeholder behaviour?
- INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviours?
- POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from Government and/ or other donors? (This is different from co-financing.)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the project would not have achieved results)?

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up

(Note: the **ROtI analysis** should contribute useful information to address these questions)

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects: *replication proper* (lessons and experiences are replicated in different geographic area) or *scaling up* (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If no effects are identified, the evaluation will describe the strategy/ approach adopted by the project to promote replication effects.

D. Stakeholder Participation/ Public Awareness:

This consists of three related and often overlapping processes: (1) information dissemination, (2) consultation, and (3) “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. Note: the RoTI analysis should assist the evaluator in identifying the key stakeholders in each step of the causal pathway from activities to objectives. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses with respect to the achievement of the intended outcomes and objective of the project..
- Assess the degree and effectiveness of collaboration/ interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

E. Country Ownership/ Drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership and commitment. Specifically, the evaluator should assess whether the project was effective in providing and communicating information improve decisions relating to selection of appropriate biodiversity indicators in each country.

F. Achievement of Outputs and Activities:

- Delivered outputs: Assessment of the project’s success in producing each of the programmed outputs, both in **quantity and quality** as well as **usefulness and timeliness**.
- Assess to what extent the project outputs produced so far have the weight of authority / credibility, necessary to influence policy and decision-makers, particularly at the national or regional levels.

G. Preparation and Readiness:

Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation?

Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

H. Implementation Approach and Adaptive Management:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed and whether the project document was clear and realistic to enable effective and efficient implementation.
- Assess the role of the various committees established and the project execution arrangements at all levels policy decisions: (1) Steering Group; (2) day to day project management in each of the country Executing Agencies.
- Assess the extent to which the project responded to the mid-term evaluation.
- Evaluate the effectiveness, efficiency and adaptability of project management and how well the management was able to adapt to changes during the life of the project.
- Identify administrative, operational and/ or technical problems and constraints that influenced the effective implementation of the project.

I. Monitoring and Evaluation:

The review shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The MTR will assess whether the project is meeting the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 below). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

(1) M&E Design. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

The evaluator should use the following questions to help assess the M&E design aspects:

SMART-ness of Indicators

- Are there specific indicators in the logical framework for each of the project objectives and outcomes?
- Are the indicators relevant to the objectives and outcomes?
- Are the indicators for the objectives and outcomes sufficient?
- Are the indicators quantifiable?

Adequacy of Baseline Information

- Is there baseline information?
- Has the methodology for the baseline data collection been explained?
- Is desired level of achievement for indicators based on a reasoned estimate of baseline?

- Was the appropriate tracking tool completed during project inception and has it been updated⁴. The Reviewer needs to ensure and update version of the Biodiversity TT is completed and attached to the review.

Arrangements for Monitoring of Implementation

- Has a budget been allocated for M&E activities?
- Have the responsibility centers for M&E activities been clearly defined?
- Has the time frame for M&E activities been specified?

Arrangements for Evaluation

- Have specific targets been specified for project outputs?
- Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

(2) *M&E Plan Implementation.* A MTR should verify that:

- An M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logical framework or similar);
- Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- That the information provided by the M&E system is being used during the project to improve project performance and to adapt to changing needs;
- And that projects had an M&E system in place with proper training for parties responsible for M&E activities.
- Biodiversity Tracking Tool updated during the MTR process

(3) *Budgeting and Funding for M&E Activities.* The MTR should determine whether support for M&E has been budgeted adequately and is being funded in a timely fashion during implementation.

J. Financial Planning and Control:

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant IFAD Fund Management

⁴Please note that new tracking tools have been developed for BD and need to be used for the midterm review. The tool and guideline can be downloaded from <http://www.thegef.org/gef/node/4465>. Tracking tools are also now available for LD and may help in the review and can be downloaded from <http://www.thegef.org/gef/node/4403>

Officer of the project (table attached in Annex 2 “Co-financing and leveraged resources”).

K. IFAD Supervision and Backstopping:

The purpose of supervision is to work with the Executing Agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/ substantive issues in which IFAD has a major contribution to make. The reviewer should assess the effectiveness of supervision and administrative and financial support provided by IFAD including:

- (i) The adequacy of project supervision plans, inputs and processes;
- (ii) The emphasis given to outcome monitoring (results-based project management);
- (iii) The realism/ candour of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (iv) The quality of documentation of project supervision activities; and
- (v) Financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 5).

L. Complementarity with IFAD Strategies and Policies:

IFAD aims to undertake GEF funded projects that are aligned with its strategy. Whilst it is recognised that IFADGEF projects designed prior to the production of the IFAD Strategic Framework 2011-2015⁵ would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of GEF projects with IFAD’s Strategic Framework will not be formally rated, however, the evaluation should present a brief narrative to cover the following issues:

Linkage to IFAD’s Overarching Goal and Strategic Objectives The IFAD Strategic Framework specifies desired results in five strategic areas. The desired results are termed Strategic Objectives. Using the completed **ROtI analysis**, the evaluation should comment on whether the project makes a tangible contribution to any of the Strategic Objectives specified in the IFAD’s MTS. The magnitude and extent any contributions and the causal linkages should be fully described.

South-South Cooperation is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

Scaling Up: An additional brief narrative on the following would be most welcome “Scaling up is regarded as expanding, replicating, adapting and sustaining successful policies, programs or projects in geographic space and over time to reach a greater number of rural poor.”

M. Overall Project Achievement

In addition, we recommend including a rating on the *overall project achievements* as an overarching criteria which provides a consolidated overview of project achievements. We refer to the IOE Evaluation Manual on how to determine this rating⁶.

⁵http://www.ifad.org/sf/strategic_e.pdf

⁶Page 43, http://www.ifad.org/evaluation/process_methodology/index.htm)

6 **Review Report Format and Review Procedures**

The report should be brief, to the point and easy to understand. It must explain; the purpose of the review, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The review will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Chapter 3 of this TOR. ***The ratings will be presented in the format of a table (Annex 1) with brief justifications based on the findings of the main analysis.***

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to review findings will be appended in an annex. The review report shall be written in English, be of no more than 30 pages (excluding annexes), use numbered paragraphs and include:

- i) **A Project Identification Table:** Identify: (1) Project ID, (2) Title, (3) Location, (4) Start and End Date, (5) Mid-Term Evaluation (if applicable), (6) Executing and Implementing Agencies, Partners, (7) and Budget.
- ii) An **Executive Summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- iii) **Introduction and Background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that an Evaluation/Review report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology;
- iv) **Scope, Objective and Methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- v) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the reviewer and interpretations of such evidence. This is the main substantive section of the report. The reviewer should provide a commentary and analysis on all eleven evaluation aspects (A – L above);
- vi) **Conclusions and Rating** of project implementation success giving the reviewer's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);
- vii) **Lessons (to be) Learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
 - Briefly describe the context from which they are derived;
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where).
- viii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In order to make the evidence trail transparent we would advise that the main

recommendations are cross referenced to the main conclusions and the main conclusions cross-referenced to the relevant sections of the evaluation report.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high **quality recommendation** is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available;
2. Commensurate with the available capacities of project team and partners;
3. Specific in terms of who would do what and when;
4. Contains results-based language (i.e. a measurable performance target);
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

ix) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Review Terms of Reference (**TOR**),
2. A **list of interviewees**, and evaluation timeline,
3. A **list of documents** reviewed/ consulted,
4. Summary **co-finance information** and a **statement of project expenditure by activity**,
5. Details of the project's 'impact pathways' and the '**ROtI**' analysis,
6. The expertise of the evaluation team (**brief CV**).

MTR reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by RCE.

Examples of IFAD GEF Mid Term Review Reports are available at <http://www.ifad.org/evaluation>.

Review of the Draft Review Report

Draft reports shall be submitted to the Chief of Evaluation. The Chief of Evaluation will share the report with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The ECD/IFAD staff and senior Executing Agency staff are allowed to comment on the draft review report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Where, possible, a consultation is held between the evaluator, Evaluation Office Staff, the Task Manager and key members of the project execution team. The consultation seeks feedback on the proposed recommendations and lessons. IFAD Evaluation Office collates all review comments and provides them to the evaluator(s) for their consideration in preparing the final version of the report.

7 Submission of Final Mid Term Review Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent directly to:

Kevin Cleaver
Associate Vice President, Programme Management Division
International Fund for Agricultural Development
Via Paolo di Dono 44
00142 Rome, Italy
e.mail: K.Cleaver@ifad.org

The Director of PMD will share with the IFAD IOE, ECD and the CPD.

The final Mid Term Review report may be published on the ECD website and printed in hard copy. Subsequently, the report with an updated tracking tool will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

8 Resources and Schedule of the Evaluation

This MTR will be undertaken by an International consultant ‘Oliver CHAPEYAMA’ contracted by the IFAD ECD in collaboration with the Country Programme Office for Swaziland. The contract for the reviewer will begin on 1 October 2012 and end on 21 December 2012 (30 days spread over 12 weeks). The evaluation process will be broken down as follows:

- review of documentation (inception report) – 5 days.
- Fieldwork (interviews in Swaziland), stakeholder workshop? – 10 days (preparation and implementation).
- Report preparation, response to stakeholder comments etc – 10 days.

The evaluator will submit a draft report on **10 November 2012** to Swaziland Country Programme Management Office, the IFAD Regional Climate and Environmental Specialist, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to IFAD RCE for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **22 November 2012** after which, the consultant will submit the final report no later than **21 December 2012**.

In accordance with IFAD/GEF policy, all GEF projects are evaluated/reviewed by independent evaluators contracted as consultants for EOU through ECD/Country Programme Office. The evaluators should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project. The evaluator will work under the overall supervision of the Chief, Evaluation Office, IFAD. The evaluator should have a Master's degree or higher in Agricultural Sciences/Economics or Natural Resource Management or from a related field and at least 10 years of experience working with international policy concerning the natural environment and capacity building. The reviewer should possess a sound understanding of Agriculture, Rural development, strategic policy development, legislation and have the following minimum qualifications: (i) experience in information management and capacity building for information-related issues; (ii) experience with management and implementation of global projects and in particular with a particular emphasis on use of the internet to access information relevant to decision-making; (iii) experience with project evaluation. Knowledge of IFAD country programmes and GEF activities is desirable. Fluency in oral and written English is a must.

9 Schedule Of Payment

The reviewer will receive an initial payment covering the travel costs upon signature of the contract. The final payment of 100% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and is **inclusive** of all expenses such as travel, accommodation and incidental expenses.

In case, the reviewer cannot provide the products in accordance with the TOR, the timeframe agreed, or his/her products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet IFAD's standard. In case the evaluator fails to submit a satisfactory final product to IFAD, the product prepared by the evaluator may not constitute the evaluation report.

Annex 1

Overall ratings table

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of Project Objectives and Results (overall rating) Sub criteria (below)		
A. 1. Effectiveness- overall likelihood of impact achievement		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project Outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework		
B. 4. Environmental		
C. Catalytic Role and Replication		
D. Stakeholder Participation/ Public Awareness		
E. Country Ownership/ Drivenness		
F. Achievement of Outputs and Activities		
G. Preparation and Readiness		
H. Implementation Approach and Adaptive Management		
I. Monitoring and Evaluation (overall rating) Sub criteria (below)		
I. 1. M&E Design		
I. 2. M&E Plan Implementation		
I. 3. Budgeting and Funding for M&E activities		
J. Financial Planning and Control		
K. IFAD Supervision and Backstopping		
Overall Rating		

Rating of project objectives and results

Highly Satisfactory - 6: The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory -5: The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory-4: The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory -3: The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory - 2The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory - 1: The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

Ratings on sustainability

Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal Evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives/ or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for Sustainability sub criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Highly Likely – 6: There are no risks affecting this dimension of sustainability.

Likely - 5: There are minor risks that affect this dimension of sustainability.

Moderately Likely - 4: There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely - 3: There are moderate risks that affect this dimension of sustainability.

Unlikely - 2: There are significant risks that affect this dimension of sustainability

Highly Unlikely - 1: There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an “Unlikely” rating in any of the dimensions then its overall rating **cannot be higher** than “Unlikely”, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

Ratings of project M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on “M&E Design”, “M&E Plan Implementation” and “Budgeting and Funding for M&E activities” as follows:

Highly Satisfactory - 6: There were no shortcomings in the project M&E system.

Satisfactory - 5: There were minor shortcomings in the project M&E system.

Moderately Satisfactory - 4: There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory -3: There were significant shortcomings in the project M&E system.

Unsatisfactory - 2: There were major shortcomings in the project M&E system.

Highly Unsatisfactory - 1: The Project had no M&E system.

“M&E Plan Implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will **not be higher** than the rating on “M&E plan implementation.”

All other rating

All other ratings will be on the GEF six point scale.

Annex 2

Table showing final actual project expenditure by activity to be supplied by the IFAD Fund management Officer.

COUNTRY:SWAZILAND					DATES			
GRANT : GEF FSP 13 / SZ					APPROVAL: 16 Jul 2009			
					AGREEMENT: 01 Aug 2009			
RECIPIENT: THE KINGDOM OF SWAZILAND					EFFECTIVE: 01 Aug 2009			
PROJECT: LOWER USUTHU SMALLHOLDER IRRIGATION PROJECT					ORIG. CLOSING: 10 Feb 2015			
COOP. INST. : INTERNATIONAL FUND FOR AGRICULTURAL DEVELOPMENT					EXTENSIONS: 1 Feb 2015			
DIVISION: EASTERN AND SOUTHERN AFRICA			REGION : AFRICA					
STATUS: EFFECTIVE			COMPLETION: 01 Aug 2013		Proj. Comp. Date 31 Mar 2012			
FINANCING:					LAST CLOSING: 01 Feb 2014			
					INFORMAL CLOSING:			
ALL AMOUNTS ARE EXPRESSED IN USD					SUSPENSION:			
Category Description -----		%Fin Fx Lx.		Allocated	Disbursed	% Disbrs.	Committed	Available Balance
97Z	ADVANCE OF FUNDS			0.00	816 000.26	100.00	0.00	-816 000.26
1 A	NATIONAL CONSULTANTS	100	100	506 200.00	0.00	0.00	0.00	506 200.00
1 B	INTERNATIONAL CONSULTANTS	100	100	7 800.00	0.00	0.00	0.00	7 800.00
2	TRAINING	100	100	806 400.00	0.00	0.00	0.00	806 400.00
3	TECHNICAL ASSISTANCE	100	100	347 600.00	0.00	0.00	0.00	347 600.00
4	VEHICLES AND MATERIALS	100	100	54 700.00	0.00	0.00	0.00	54 700.00
5	PROGRAMME UNIT STAFF	100	100	215 200.00	0.00	0.00	0.00	215 200.00
6	OPERATION AND MAINTENANCE	100	100	34 920.00	0.00	0.00	0.00	34 920.00
TOTAL IN USD :				1 972 820.00	816 000.26	41.36	0.00	1 156 819.74

Annex 3

Review of the draft report

The draft report will be delivered to the CPM⁷. The CPM will circulate the report to RCE, who will then distribute the report to the Director of IFAD Evaluation Office, Director of Environment and Climate Division (ECD) and key country stakeholders and representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to the RCE for collation and the consultant will be advised of any necessary or suggested revisions. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Review Report

All IFAD evaluation/review reports are subject to quality assessments by the Evaluation Office. These are used as a tool for providing structured feedback to the evaluator. The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	IFAD EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
IFADP additional Report Quality Criteria	IFAD EO Assessment	Rating
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

$$\text{Quality} = (2*(0.3*(A + B) + 0.1*(C+D+E+F)) + 0.3*(G + H) + 0.1*(I+J+K+L))/3$$

The Totals are rounded and converted to the scale of HS to HU

⁷ As per email 3/5/2012 from Kevin Cleaver to PDMT and ECD staff on 'GEF grants implementation'

Rating system for quality of Terminal Evaluation reports:

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

Annex 4

Minimum requirements for M&E

Minimum Requirement 1: Project Design of M&E⁸

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
 - a description of the problem to address
 - indicator data
 - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART indicators GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

[TE Note: The remainder of the original of this text repeats the “M&E during Project implementation” part of Section I of ToRs above, and so is not included again here]

⁸<http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

Expectations regarding the role of the GEF task managers in GEF project supervision and a list of documentation relevant for the evaluation of project supervision (provided to evaluator by IFAD GEF)

Project start-up phase

- GEF Documentation
- Co-financing arrangements
- Project Document, QE and CPMT documents
- PPG expenditure report signed off by CFS

Inception mission and workshop

- Preparation
- Review of institutional arrangements and project implementation responsibilities
- Workshop including providing training (important to discuss at inception how project will be evaluated at exit)
- First Steering Committee meeting
- Revised project implementation, M&E or supervision plan as necessary.

Project implementation

- Grant Agreement
- Audit Reports
- AWPBs, Withdrawal Applications and Disbursement Reports from LGS
- Steering committee meeting preparation and attendance
- MTR and Supervision Mission Reports
- GEF PIR, AMR
- Any available M&E, Thematic, KM reports

Project completion

- Clearance of terminal report and review of final audited financial statement
- Completion Report
- Support to Evaluation Office for Terminal Evaluation

(if applicable) Possible additional documents;

- Milestone Extension documentation

(if applicable) Has a formal revision of project activities or objectives occurred?

- Project revision documentation

(if applicable) Has a formal budget revision occurred?

Budget revision documentation

Annex 5 Review of Outcomes to Impacts analysis

This Annex examines the project's "impact pathways" and its "theory of change" or "intervention logic", according to the GEF methodology known as the "Review of Outcomes to Impacts" or ROTI analysis. The methodology is given as an annex in the Terminal Evaluation Terms of Reference, but instead of including it with the body of the ToRs in Annex 1 of the present report, it is reproduced below (adapted very slightly for the context). The results of the application of this analysis to the 2010BIP project are then described.

Extract from MTE ToRs: Introduction to the theory of change/impact pathways, the ROTI method and the ROTI results score sheet

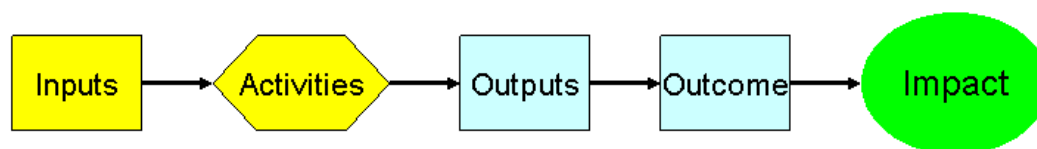
Terminal Evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', 'Impact Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (TOC) / impact pathways

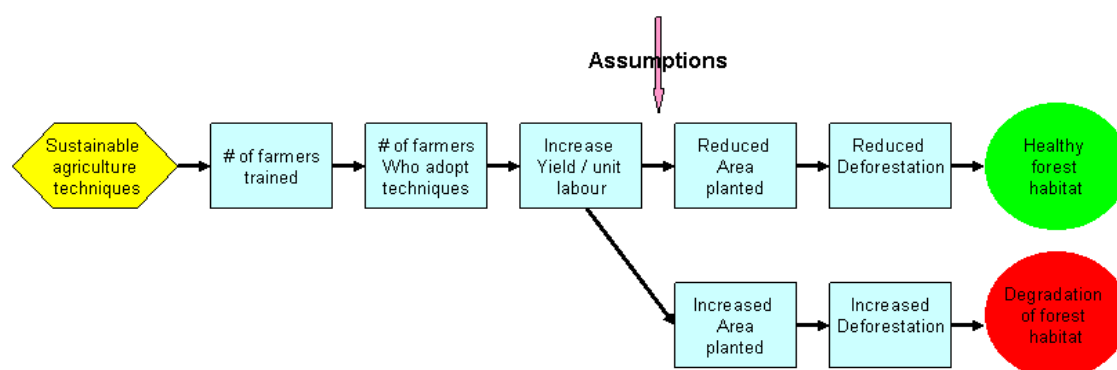
Figure A5-1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure A5-1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in figure A5-2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure A5-2. An impact pathway / TOC for a training intervention intended to aid forest conservation



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)⁹ and has three distinct stages:

- (a) Identifying the project's intended impacts;
- (b) Review of the project's logical framework;
- (c) Analysis and modelling of the project's outcome-impact pathways.

The **identification of the project's intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method¹⁰. The aim of this stage is to develop and understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impacts often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure A5-3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

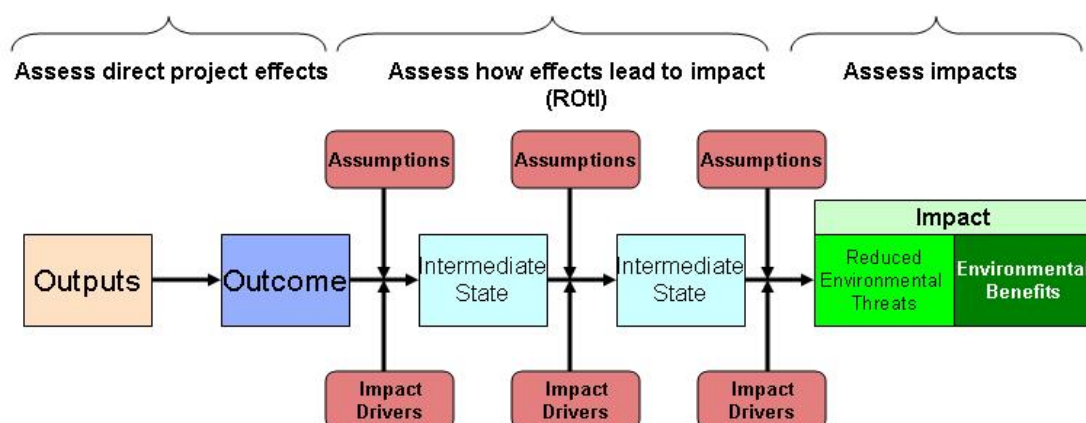
⁹GEF Evaluation Office (2009).ROtI: Review of Outcomes to Impacts Practitioners Handbook.
http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

¹⁰Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within IFAD Terminal Evaluations.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via ‘intermediate states’ to impacts, the impact pathways need to be carefully examined and the following questions addressed:

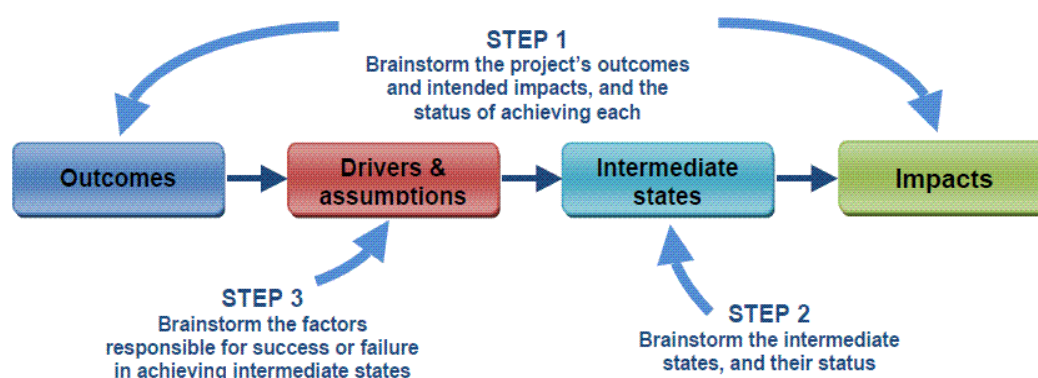
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each ‘step’ in the impact pathway?

Figure A5-3. A schematic ‘impact pathway’ showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009)



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project’s theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure A5-4 below shows the suggested sequence of the group discussions needed to develop the TOC for the project.

Figure A5-4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of

implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROtI method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According to the GEF guidance on the method; *“The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.”*

For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table A5-1).

Table A5-1. Rating scale for outcomes and progress towards ‘intermediate states’

Outcome rating	Rating on progress toward intermediate states
D: The project’s intended outcomes were not delivered.	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding.	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two-letter rating, e.g. AB, CD, BB. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six-point rating scale used in all IFAD project evaluations in the following way (a + score above moves the double-letter rating up one space in the six-point scale).

Table A5-2. Shows how the ratings for ‘achievement of outcomes’ and ‘progress towards intermediate states’ translate into ratings for the ‘overall likelihood of impact achievement’ on a six-point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

The ROTI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the ‘results metrics’ for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Scoring guidelines

The achievement of **outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These are not rated: projects generally succeed in spending their funding.

Outcomes:

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they had gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved. People attended training courses but there is no evidence of increased capacity. A website was developed, but no-one used it. (Score - D)

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because intended end users had no access to computers. People had meetings that led nowhere. Outcomes hypothesized or achieved, but either insignificant and/or *no evident linkages forward* to intermediary stages leading towards impacts. (Score - C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C

emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score - A)

Intermediate stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. (Score - D)

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public-private sector relationships. (Score - C)

Barriers and assumptions are successfully addressed. Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. (Score - B)

Scaling up and out over time is possible. Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. (Score - A)

Impact: Actual changes in environmental status. “Intermediate stages” scored B to A; measurable impacts achieved at a globally significant level within the project life-span. (Score - ‘+’)

Annex 2: List of People Consulted/Interviewed

Mr. Bongani Masuku	Acting PS, MoA
Mr. Zuke	Swaziland Environmental Authority
Ms. Sithembiso Hlatshwako	Head, Energy and Environment- UNDP Swaziland
Mr. Jameson Vilakazi	Director- SEA and National GEF Focal Point
Mr. Dumisani Ngomezulu	A/Chief Executive Officer-SWADE
Mr. Patrick Dlamini	Ministry of Agriculture
Mr. Sam Sithole	Project Manager-LUSIP I
Mr. Jerry Nxumalo	LUSIP II Technical Coordinator
Ms. Lynn Kota	LUSLM Project Manager
Mr. Norman Mavuso	Community Development Officer LUSLM
Gcina Dlamini	Land Use Planning Officer-LUSIP 1
Winnie Hlatshwayo	Soil Specialist
Ketane Mazibuko	Community Development and Gender Officer
Clement Gamedze	Community Development Officer
Sindiswe Mkoko	Community Development-Gender in Development Officer
Bonginkosi Tfwala	<u>Agribiz Development Officer</u>
Menzi Dlamini	Ninkundla Secretary, Sipofaneni
Minah Zwane	Assistant Community Development Officer
Fikhile Lukule	Social Welfare Officer
Kathazile Magagula	Senior Regional Officer, Ministry of Tinkundla and Regional Administration

PARTICIPANTS AT CAPACITY BUILDING TRAINING WORKSHOP

Alphons Ndlangamandla	MOA (Veterinary Services)
Sifiso Ngwenya	MoA (Animal Production)
Sbongile Dhladhla	MoA (Poultry)
Aaron P. Dlamini	MoA
Cyril Dlamini	MoA (Beef and Goats)
Henry Nxumalo	MoA (Extension)
Siphumelele Nqwawe	MoA (Extension)
Nonhlanhla Shabalala	MoA (Home Economics)
Zinhle Gama	World Vision
Msutfu Fakudze	Conserve Swaziland (Environmental Coordinator)
Mboni M. Masilele	SNTC
Moses Dlamini	SNTC
Sikelela Magagula	Conserve Swaziland
Nombuso Dlamini	MNRE
Gugu Mthimkhulu	REASWA
Melusi Mbuli	SEA
Philisile Masebula	Ministry of Tourism
Lucky Dlamini	Ministry of Tourism
Mthunzi Dlamini	Swaziland Dairy Board

MADYENYA COMMUNITY DEVELOPMENT COMMITTEE

Pumzile Ngcamphalala	Member
Gertrude Matse	Chair
Nkosimphile Gadlela	Member
Bethusile Dlamini	Secretary
Nesta Gamedze	Treasurer
Zweli Gwebu	Member
Thuli Matsenjwa	Member
Dlelapi Gamedze	Member

SIHLANGWINI SUSTAINABLE LAND MANAGEMENT PROGRAMME COMMITTEE

Saweile Dlamini	Chair
Philile Tfwala	Vice Chair
Nomsa Tfwala	Secretary
Tholakele Skondze	Vice Secretary
Purity Tfwala	Member
Emelina Mamba	member
Joseph Mamba	Member
Winnie Magagula	Member
Nqobile Mamba	Member

SIHLANGWINI ENVIRONMENT COMMITTEE

Mfampela Skhondze	Chair
Philile Tfwala	Vice Chair
Mrs Slomo Tfwala	Secretary
Bella Mamba	Member
Ncomo Gwebu	Member
Mr. Aaron Mamba	Traditional leader's Representative

IFAD MISSION MEMBERS

Luoise Mcdonald	
Stephen Towmlow	Climate and Environmental Specialist
Harold Liversage	Land Tenure Specialist
Godfrey Wanjohi	Financial Management Consultant

Annex 3: List of Documents Reviewed

1. LUSIP GEF Project Document
2. IFAD Evaluation Manual (2009)
3. GEF Evaluation Office (2009): The ROtI Handbook: Towards Enhancing the Impacts of Environment al Projects; Methodological Paper Number 2
4. IFAD Environment and Natural Resources Management Policy Document
5. LUSIP-GEF Quarterly and Financial Report (April-June and July-September 2012)
6. LUSIP-GEF IFAD Mission Aide Memoires (March and October 2012)
7. Stories from the Field Publications (Poultry and Indidenous Poultry) Annex 4: Recommendations on Staffing

Annex 4: Recommendations Regarding Staff Positions

LUSIP-GEF Sustainable Land Management Project

- A. The following positions are considered critical for advancing project objectives between now and project termination in 2014.**

Project Manager

This is a critical management position as it provides overall guidance to project implementation. This position should be retained.

Sustainable Agriculture Development Officer

The rangelands in the LUSIP-GEF project area are experiencing increased pressures as a result of the relocation of livestock to the area by the beneficiaries of the irrigation development under LUSIP 1. This pressure has resulted in increasing land degradation as evidenced by widespread loss of vegetative cover, gully erosion and river sedimentation all of which threaten the productivity of the land and food security in the area. The Sustainable Agriculture Development Officer engaged under the LUSIP has introduced innovative approaches to food production such as permaculture which are already positively impacting upon household food security in the area. In addition, the officer is also promoting sustainable land management practices which will directly address the problems of land degradation. The Sustainable Agriculture Development position is therefore considered critical for the achievement of project objectives and should be maintained on the staff list.

Livestock Development Officer

The rearing of livestock is central to Swazi culture where cattle have both social and economic value. The natural tendency among rural Baswati is for them to increase livestock numbers so as to enhance the benefits they get from this activity. It is therefore unimaginable that rural populations in the country will reduce the numbers of cattle that they own without the institutionalisation of adequate alternative livelihood options. In this regard, it is important that alternative livestock management practices that promote both economic benefits and sustainable land management are introduced in the project area. The role of the Livestock Development Officer recruited under LUSIP-GEF in this is considered critical. The position should therefore be retained.

Communications Officer

The LUSIP GEF project was designed to address the environmental and land management problems that have arisen from agricultural development projects implemented in Swaziland over the past fifteen years. It is considered important that the lessons from this project are collected, documented in a systematic way and disseminated as widely as possible so that

they can be used to influence the designs of follow-on projects. In this case these lessons will be of immediate use in the on-going design of the LUSIP II project. The Communications Officer recruited under LUSIP-GEF has started producing valuable communication products which can be used as suggested. This position is considered critical for the realisation of the LUSIP-GEF project and should be retained on the staff establishment.

Environmental Officer

The LUSIP GEF staff portfolio includes the position of Environmental Officer. This position is considered critical for assessing the potential environmental impacts of proposed agriculture and rural development projects and advising project beneficiaries on ways of mitigating the perceived and real impacts of climate change on their livelihoods.

Administrative Assistant

The project requires its own internal administrative support to facilitate smooth operations. The responsibilities under this position need to be expanded to include the tracking of financial expenditures, a responsibility which is currently being handled through SWADE. It is important that the project maintain its own records of financial management so they can account for these to IFAD and not depend solely on SWADE.

Office Cleaner

This is a vital position for any office and should be maintained.

B. The following position is not considered critical to the achievement of Project Objectives

Monitoring and Evaluation Officer

Although this position is highlighted as critical to project implementation in the LUSIP-GEF Project Document, the evaluator is not convinced that it is necessary to have a full time M&E Officer on the project staff. This role can be adequately handled through intermittent input by contracted experts. The timing of these inputs will need to be managed so that it coincides with the production of necessary M&E reports. The data from these reports will be used for the production of Communication products as discussed above.

Annex 5: LUSLM Project Priority Outcomes for 2015

Hierarchy of Objectives	Key Performance Indicators to 2014	Priority outcomes for 2015	Activities to be carried out in 2015
LUSIP Goal Reduction of poverty and sustained improvement in the standard of living of the population of the project area	<ol style="list-style-type: none"> 30% of farmer households in the project area reporting increased food security 20% decrease in the percentage of farmer households in project area in the poorest wealth group 20 % of the farmer households in the project area with improved living conditions 	<p>Increase in the % of households reporting food security and with improved living conditions (at least 60%)- coverage of more communities.</p>	<ul style="list-style-type: none"> Coverage of more communities in training on, and in implementation of SLM practices for improved productivity, and in other entrepreneurial projects (bee-keeping, indigenous poultry farming, goat production, dairy farming)
LUSIP-GEF Environmental Objectives Reduce land degradation, maintain and enhance biodiversity and mitigate and adapt to climate change through the application of sustainable land management practices	<ol style="list-style-type: none"> In each of the 11 chiefdom, degraded lands are reduced by a total of X % Biodiversity is maintained or enhanced in each of the 11 chiefdoms on X % of croplands, rangelands and forests Carbon stock has increased above and below ground in each of the 11 chiefdoms on 20 % of croplands, rangelands and forests 	<p>Increase in the number of rehabilitated lands, resulting in biodiversity conservation and maintenance in croplands, rangelands and forests. (Rehabilitation of more of the identified degraded lands in the project area)</p> <p>Increase in carbon stocks in the chiefdoms (in</p>	<ul style="list-style-type: none"> Continuation of carbon benefits measurement Community training and community application of SLM activities in more communities. Facilitation of community climate change adaptation techniques (water conservation and harvesting techniques, adaptation of drought resistant crops etc)

Hierarchy of Objectives	Key Performance Indicators to 2014	Priority outcomes for 2015	Activities to be carried out in 2015
		<p>croplands, rangelands, forests and below ground)</p> <p>Decrease in alien invasive species in grazing areas in the Mamba Chiefdom(it is the biggest Chiefdom in the project area, and the most IAPS infested)</p>	<ul style="list-style-type: none"> Community training in land rehabilitation techniques and implementation of land rehabilitation and re-use projects in Mamba and Nceka. (Chiefdoms where the most highly degraded areas have been identified) Community training in IAPS eradication and facilitation of the re-use of previously infested rangelands.
1. SLM approach promoted at the national level	1. National policies are reviewed and harmonized (process initiated) with respect to consistency with the SLM approach	<p>Benefits of using SLM practices understood by communities and firmly supported by traditional authorities for sustainability beyond project period.</p> <p>SLM practices carried out by all communities in project area</p>	<ul style="list-style-type: none"> Awareness raising on SLM policies and legislations across the country, and enforcement of same by local traditional authorities.
2. Land resources managed	2. 4 chiefdoms of the project area have developed SLM plans considering the different views and addressing the different needs of women and men; all 4 of the plans started with implementation	<ul style="list-style-type: none"> The rest of the chiefdoms (5) have 	<ul style="list-style-type: none"> Establishment of community committees

Hierarchy of Objectives	Key Performance Indicators to 2014	Priority outcomes for 2015	Activities to be carried out in 2015
sustainably	3. 20% of households in the project area have developed and are implementing their individual household visions.	<p>developed and are implementing SLM plans.</p> <ul style="list-style-type: none"> 20% more households in the project area have developed and are implementing their visions 	<p>to lead the development of Chiefdom plans in 4 communities</p> <ul style="list-style-type: none"> Community training for transformation Facilitation of the development and implementation of community plans Facilitation of the Gender and Action Learning System (GALS), at the household level
3. Alternative livelihoods promoted	<p>4. In each of the 11 chiefdoms a 10% of households have SLM-related businesses established, allowing communities to generate additional income</p> <p>5. In each of the 11 communities X % of farmer households generate additional income by SLM-related businesses</p> <p>6. In each of the 11 communities 10% of households use fuel-saving stoves and other alternative energy sources (in particular biogas)</p>	<ul style="list-style-type: none"> Increase in the number of households with SLM businesses and generating an income (at least 20% in each of the 11 Chiefdoms) Increase in the number of households using fuel efficient stoves and biogas 	<ul style="list-style-type: none"> Community training in bee keeping ,dairy farming, goat production, indigenous poultry production etc. Awareness raising on the benefits of fuel efficiency, and alternative fuel sources
4. Project managed effectively and results disseminated	<p>1. An efficient and effective management system with clear functions of all partners is in place and applied</p> <p>2. Capacities of all key partners are strengthened in order to support farmers and farmer organisations in changing land management practices</p>	<ul style="list-style-type: none"> Increase in the number of community development 	<ul style="list-style-type: none"> 2 more training of trainers workshops, with more focus on on-the-field coaching and

Hierarchy of Objectives	Key Performance Indicators to 2014	Priority outcomes for 2015	Activities to be carried out in 2015
	<p>3. LUSIP-GEF information and results shared and disseminated using a wide range of appropriate media and approaches, including farmer field visits, newsletters, stories from the field, IFAD and IMAWESA websites, radio, TerrAfrica knowledge base, and also at scientific conferences and seminars</p>	<p>facilitators trained to support farmers to increase their productivity through the use of SLM practices</p> <ul style="list-style-type: none"> • Wide sharing of information, lessons learnt and results in Swaziland and beyond 	<p>mentoring</p> <ul style="list-style-type: none"> • More interviews with beneficiaries focusing on their experiences on the projects. • More radio and TV programs on project information and results • More farmer field exchange visits • Publication of project results through scientific papers (through collaboration with academic institutions)

Annex 6: Revised Project Logframe

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
LUSIP Goal Reduction of poverty and sustained improvement in the standard of living of the population of the project area	4. 30% of farmer households in the project area reporting increased food security 5. 20% decrease in the percentage of farmer households in project area in the poorest wealth group 6. 20 % of the farmer households in the project area with improved living conditions	<ul style="list-style-type: none"> • Project M & E system • Local and national socio-economic, poverty and food security statistics at baseline, midterm and project completion. 	
LUSIP-GEF Environmental Objectives Reduce land degradation, maintain and enhance biodiversity and mitigate and adapt to climate change through the application of sustainable land management practices	4. In each of the 11 chiefdom, degraded lands are reduced by a total of X % 5. Biodiversity is maintained or enhanced in each of the 11 chiefdoms on X % of croplands, rangelands and forests 6. Carbon stock has increased above and below ground in each of the 11 chiefdoms on 20 % of croplands, rangelands and forests 7. 20 % of the farming households of the 11 chiefdoms apply at a minimum of 30 % of their croplands SLM practices 8. X % of the communal rangelands and forests are managed according to SLM principles	<ul style="list-style-type: none"> • Baseline assessment. • Project M & E system • MTR • Final External Evaluation • National statistics (disaggregated to local level). • Project, local, national and regional assessments of ecosystem functioning, land degradation, climate change mitigation and biodiversity. • GEF and other global assessments 	<ul style="list-style-type: none"> • Strong commitment to address land degradation within the context of sustainable development and poverty alleviation a priority at national and local levels. • Absence of serious environmental events (drought leading to more severe food shortages, flooding, fire), crop and livestock shocks (e.g. pests and diseases). • Explicit references to SLM / BD / CC may or may not imply action; actual impacts of policies and measurement of effectiveness may take

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
			<p>longer than the life of the project</p> <ul style="list-style-type: none"> Political and economic stability in Swaziland and the wider Southern Africa region.
Component 1: SLM approach promoted at the national level			
Outcome 1.1: Legal and policy framework for SLM improved			
Output 1.1a: SLM Steering Committee organised and coordinating inter-sectoral dialogue on SLM	<ol style="list-style-type: none"> The National SLM Steering Committee's members meet according to the plan and steer the project in strategic terms The National SLM Steering Committee coordinates the intra- and inter-sectoral dialogue and agreements between different government agencies and other stakeholders on SLM 	<ul style="list-style-type: none"> Project operational reports. Project M & E system. Workshop report. Minutes of the NSC Schedule of Decisions taken 	<ul style="list-style-type: none"> Steering committee members remain committed. Government and other agencies continue their stated commitments to mainstream SLM. Timely circulation of schedule of decisions to stakeholders
Output 1.1b: SLM policies reviewed	<ol style="list-style-type: none"> Policies with respect to SLM reviewed and inconsistencies and gaps identified 	<ul style="list-style-type: none"> Project operational reports Minutes of Steering Committee meetings Project M & E Reports Legislative, policy, strategy and action plan 	<ul style="list-style-type: none"> Government and other agencies continue their stated commitments to mainstream SLM. Government and other agencies co-operate in review.

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
		documents of concerned Ministries <ul style="list-style-type: none"> Reviewed policies and laws 	<ul style="list-style-type: none">
Output 1.1c: Policies related to SLM approach harmonized	<ol style="list-style-type: none"> A minimum of 2 national policies are harmonized (process initiated) with respect to consistency with the SLM approach 	<ul style="list-style-type: none"> National policies Project M & E System Reviewed Bills & Acts 	<ul style="list-style-type: none"> Government is committed to harmonize national policies Timely completion of the review process Dual System of governance may cause delays
Outcome 1.2: Implementation framework for SLM improved			<ul style="list-style-type: none"> Strong commitment to address land degradation within the context of sustainable development and poverty alleviation a priority at national and local levels.
Output 1.2a: National level policies on SLM communicated to local level	<ol style="list-style-type: none"> Number of chiefdoms reached during communication of National level policies. Number of communications and advocacy tools developed. 	<ul style="list-style-type: none"> Communication Strategy Document published. Project M & E Reports. 	<ul style="list-style-type: none"> Government and other agencies continue their stated commitments to mainstream SLM
Output 1.2b: By-laws and guidelines for SLM developed and agreed at the local level	<ol style="list-style-type: none"> Number of community development plans developed. 	<ul style="list-style-type: none"> Reports of stakeholder consultations Project / Participatory M & E Reports 	<ul style="list-style-type: none"> Government and other agencies continue their stated commitments to mainstream SLM.

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
		•	
Component 2: Land resources managed sustainably			
Outcome 2.1: Chiefdom Development Plans developed.			<ul style="list-style-type: none"> Local primary stakeholders appreciate “win-win” potential of SLM to restore their degrading lands. Involvement of local stakeholders and communities in land use planning unrestricted.
Output 2.1a: Chiefdom sustainable land management plans developed	1. Number of SLM plans developed. (in 4 chiefdoms by PY 2 and further 4 by PY 4) Quality of community participation in the development of SLM plans. (number of participants gender, age etc).	<ul style="list-style-type: none"> Project M & E Report. Participatory M & E systems. Completed SLM plans 	<ul style="list-style-type: none"> Local secondary stakeholders committed to sharing benefits of SLM. Local primary stakeholders appreciate “win-win” potential of SLM to restore their degrading lands, protect BD and cope with CC – and that land use planning is vital first step.
Outcome 2.2: Chiefdom sustainable land management plans			<ul style="list-style-type: none"> Local primary stakeholders appreciate “win-win” potential of SLM to restore their

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
implemented			degrading lands. <ul style="list-style-type: none"> • Involvement of local stakeholders and communities in SLM planning unrestricted.
Output 2.2a: Local communities' rangeland and livestock management improved	1. Extent of rangeland in the project area under improved management. 2. Number of communities/chiefdoms practicing sustainable rangeland management. 3. Increased Livestock productivity (Calving rate, mortality rate, body condition scores) based on the current baseline	<ul style="list-style-type: none"> • Project M & E Reports • Participatory M & E system • Dip tank records 	<ul style="list-style-type: none"> • Local livestock owners willing to adopt alternative stock-keeping regime. • Funds permitting • Effective and efficient team on the ground • Supplementary feeding
Output 2.2b: Sustainable land management approaches applied in smallholder cropping areas	1. Percentage of farmers in the 11 chiefdoms exposed to SLM technologies. 2. Number of SLM technologies adopted by farmers in the Project area.	<ul style="list-style-type: none"> • Project / Participatory M & E Reports 	<ul style="list-style-type: none"> • farmers adopt new technologies in crop production. • Food provided by WFP reduces incentives to adopt SLM.
Output 2.2c: Afforestation / reforestation / forest conservation activities to increase tree cover	1. Percentage of farmers who planted trees 2. Number of chiefdoms that have established nurseries. 3.	<ul style="list-style-type: none"> • Tree coverage as measured by high resolution satellite imagery. 	<ul style="list-style-type: none"> • Improved management of range fires to reduce damage to young trees • Communities willing to plant trees.
Output 2.2d: Invasive alien species control programme in place	1. Number of Farmers are trained to eradicate IAPS in infested areas. 2. Number of chiefdoms and area cleared.	<ul style="list-style-type: none"> • Project / Participatory M & E Reports 	<ul style="list-style-type: none"> • Farmers are aware of negative impacts of IAPS • Willingness of Farmers

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
	3.		to participate in IAPS control programme
Output 2.2e: Biodiversity is maintained and enhanced	1. Number of tree species planted per household 2..Number of conservation areas are enriched with endangered indigenous trees species	<ul style="list-style-type: none"> • Project / Participatory M & E Reports • SLM Plans (Conservation and Tree Planting) 	<ul style="list-style-type: none"> • Local community motivated. • TA support Conservation concept
Output 2.2f: Degraded land rehabilitation measures are in place	1. Percentage of rehabilitated areas within the PDA	<ul style="list-style-type: none"> • Project / Participatory M & E Reports 	<ul style="list-style-type: none"> • Motivated local community
Component 3: Alternative livelihoods promoted			
Outcome 3.1: Alternative sources of livelihood compatible with sustainable use of land resources provided			<ul style="list-style-type: none"> • Local community motivated. • Involvement of local stakeholders and communities unrestricted. • Appropriate incentives developed.
Output 3.1 a: Small-scale businesses related to processing of SLM products are set-up	1. Number of farmers who set up small-scale businesses.	<ul style="list-style-type: none"> • Reports of participatory activities • Project / Participatory M & E reports 	<ul style="list-style-type: none"> • Willingness of farmers to venture into small businesses.

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
Output 3.1 b: Fuel wood efficiency and use of alternative energy sources promoted	1. Number of households using fuel efficient wood stoves and other alternative energy sources. . 2.	<ul style="list-style-type: none"> Project / Participatory M & E reports. 	<ul style="list-style-type: none"> Options identified continue to be commercially viable. Household acceptance of alternative energy sources. Households able to afford the fuel efficient wood stoves
Component 4: Project managed effectively and results disseminated appropriately			
Outcome 4.1: LUSIP-GEF project management structures are operational and effective			<ul style="list-style-type: none"> Strong commitment to address land degradation within the context of sustainable development and poverty alleviation a priority at national and local levels.
Output 4.1a: Project management operational	1. Functions of project staff and partner organisations are clearly defined 2. The project has an efficient operational administrative structure 3. The project has developed viable financial procedures which allow for a flexible implementation of project measures and these are applied 4. The project has developed a knowledge management, learning and monitoring framework which is applied in practice	<ul style="list-style-type: none"> Project M & E system Project / Participatory M & E systems Project Supervision and Mid-Term Review reports 	<ul style="list-style-type: none"> National and local partners work together to implement planned project

Hierarchy of Objectives	Key Performance Indicators	Means of Verification	Assumptions and Risks
Outcome 4.2: Capacities of all key stakeholders are strengthened			
Output 4.2a: Capacities of key partner organisations are strengthened	<ol style="list-style-type: none"> 1. Number of field-level staff of partner organisations that have participated in capacity development trainings 2. Number of field-level staff that have received on-the-job coaching and mentoring by peers and experienced coaches between training sessions 	<ul style="list-style-type: none"> • Project M & E System 	
Output 4.2b: Capacities of farmer organisations are strengthened	<ol style="list-style-type: none"> 1. In all of the 11 chiefdoms, at least 5 % of the farmers have experimented with innovative SLM technologies 2. In each of the 11 chiefdoms, there are at least 2 farmer groups engaged in collective learning and exchanging knowledge on SLM technologies 	<ul style="list-style-type: none"> • Reports of exchange visits • Media reporting 	

Annex 7: LUSLM Project Boundary Map

