



Enabling poor rural people  
to overcome poverty

Independent Office of Evaluation

Republic of Zambia

Forest Resource Management Project

PROJECT PERFORMANCE ASSESSMENT



November 2012





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**Report No. 2669-ZM**

**Document of the International Fund for Agricultural Development**

Photos of activities supported by the Forest Resource Management Project

Front cover: School equipped and enlarged by the project in Mwense district.

Back cover: Mushrooms from Mwense district (left); Children collecting mushrooms in Mwense district (right).

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## **Preface**

*The Forest Resource Management Project in the Republic of Zambia facilitated the formation of village resource management committees and producer groups; communities acquired valuable knowledge and skills under the project's various training programmes in areas such as forestry protection, bee-keeping, rattan and bamboo production, and opportunities were created for women members to manage money and gain greater control over resources and access to knowledge. However, the project benefitted only a fraction of the original target population and scored limited achievements towards increasing the incomes of poor people who depend upon forest resources for their livelihoods.*

*In spite of the efforts at the output level, the project did not achieve most of its objectives, mainly constrained by a complicated legal and institutional context, insufficient focus on value chains and marketing of the products promoted, and weak project management. Key recommendations for future operations focus on ensuring realistic institutional foundations, proven technical and commercial potential of income generating activities and ownership of the project as well as improving monitoring and evaluation systems design and functionality.*

*This Project Performance Assessment was conducted by Catrina Perch, Evaluation Officer, with contributions by Denis Wood, consultant (agricultural specialist), and Rose Fumpa Makano, (public policy specialist). Internal peer reviewers from the Independent Office of Evaluation of IFAD – Fabrizio Felloni, Senior Evaluation Officer, Anne-Marie Lambert, Senior Evaluation Officer, and myself, provided guidance and comments on the draft evaluation report. Linda Danielsson, Evaluation Assistant, provided administrative support to the evaluation.*

*The Independent Office of Evaluation is grateful to IFAD's East and Southern Africa Division and the Government of the Republic of Zambia for their support and insightful inputs at various stages throughout the evaluation process and the support provided to the mission.*



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Ashwani Muthoo  
Acting Director  
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Feeder road in Solwezi district.

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# Currency equivalents, weights and measures

## Currency equivalents

Currency Unit = Zambian Kwacha (ZMK)

US\$1 = 5,125.00 ZMK

(1 February 2012)

## Weights and measures

1 kilometre = 0.62 miles

1 hectare = 10,000m<sup>2</sup> (0.01km<sup>2</sup>)

## Abbreviations and acronyms

EIRR	economic internal rate of return
GTZ	German Technical Cooperation Agency <sup>1</sup> (Now GIZ = <i>The Deutsche Gesellschaft für Internationale Zusammenarbeit</i> )
FRMP	Forest Resource Management Project
IFAD	International Fund for Agricultural Development
IOE	Independent Office of Evaluation of IFAD
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
PCR	Project Completion Report
PCRV	Project Completion Report Validation
PFU	Project Facilitation Unit
PPA	Project Performance Assessment
UNOPS	United Nations Office for Project Services

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<sup>1</sup> On January 1, 2011 *Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH* became a fusion with three other German organizations: German Development Service ([Deutscher Entwicklungsdienst](#), DED), Society for Technical Cooperation ([Deutsche Gesellschaft für Technische Zusammenarbeit](#), GTZ), and the International Training and Capacity Building.

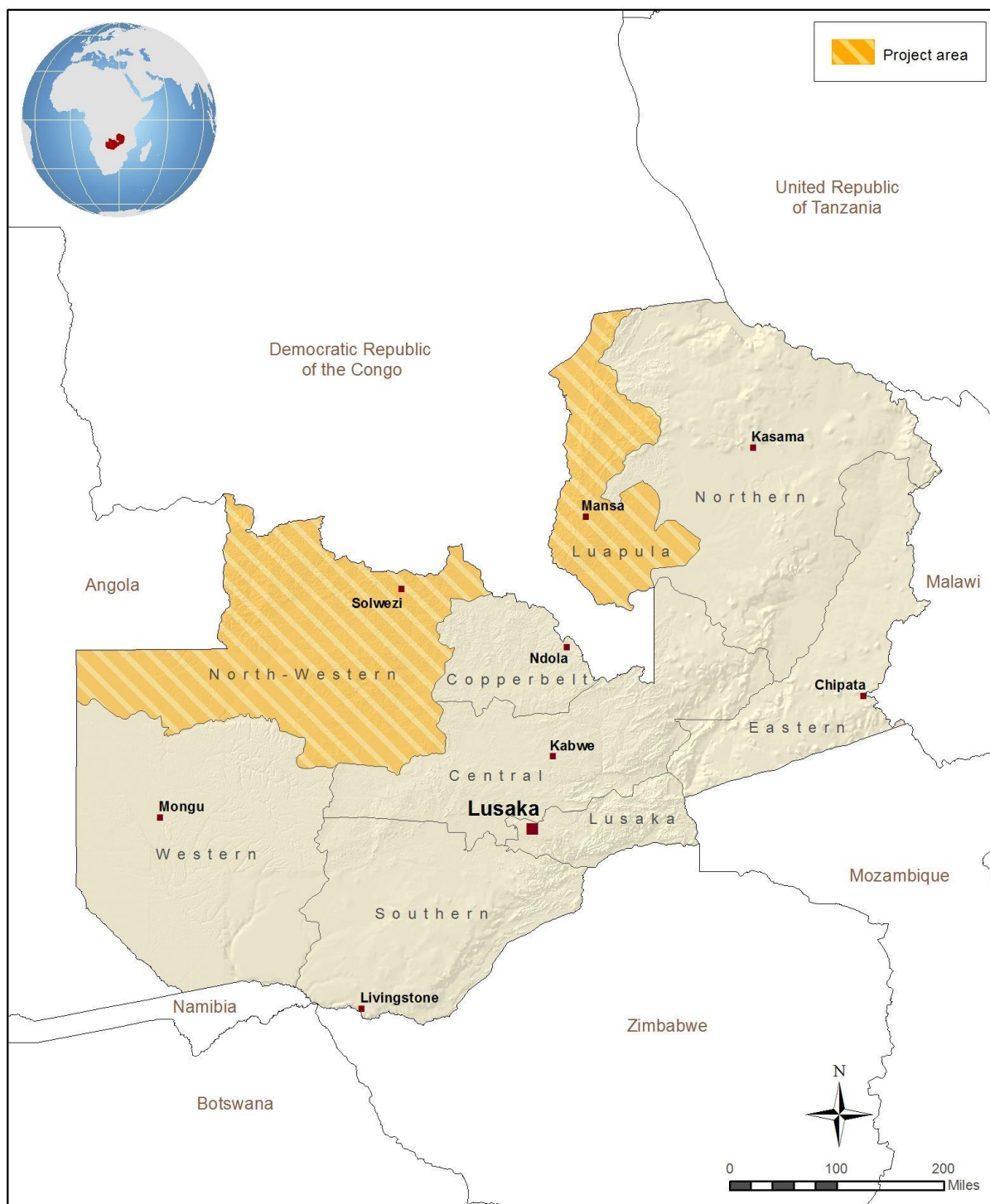


# Map of the project area

## Republic of Zambia

### Forest Resource Management Project

#### *Project performance assessment*



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

Map compiled by IFAD

14-03-2012

## Executive summary

1. The objective of the project performance assessment (PPA) of the Forest Resource Management Project (FRMP) in Zambia was to assess the overall results of the project and generate findings and recommendations for the implementation of ongoing operations in the country and the design of future operations. This assessment builds upon the previous project completion report validation and adds findings from a mission to Zambia conducted in November 2011.
2. The project started in 2002 and ended in 2007, one year earlier than foreseen. It was cofinanced by IFAD, the German Development Service and a grant from the Irish Government. The FRMP aimed to address some of the complex relationships between poverty, damage to the fragile environment and the sustainable forest resource use. The total cost of the FRMP was US\$15.9 million, with the IFAD loan amounting to US\$12.63 million.
3. In striving to achieve the overall goal of increasing the incomes of poor people who depend upon forest resources for their livelihoods, the project scored a number of successes. The FRMP facilitated the formation of village resource management committees and producer groups. Communities acquired valuable knowledge and skills under the project's various training programmes in areas such as forestry protection, bee-keeping, and rattan and bamboo production. Opportunities were created for women members to manage money and gain greater control over resources and access to knowledge; however, the lack of concrete targets and indicators made it difficult to assess the scale at which this was happening. The project also supported the rehabilitation of feeder roads and facilitated the construction of social infrastructure, thus bringing health and education services closer to the communities.
4. The FRMP experimented with the use of public-private partnerships, and although the project faced some difficulties in the practical application of this model, it was an important stepping stone for implementing the Government's related agenda.
5. However, for several reasons, the project did not achieve the main results expected. Although the FRMP objectives remain highly relevant, there was no consensus between IFAD and the Government of Zambia with regard to the overall conceptual framework and purpose of the project. The Government of Zambia felt that the project should focus on the regeneration of the country's depleted forest resources, while IFAD's objective was specifically to raise the income of the poor in the project area. In addition, there was no consensus or agreed strategy on how to address the policy inertia emanating from the Government's failure to establish the Zambia forestry commission. Failure by the design team to address these critical issues as well as legislative, policy and institutional challenges resulted in the project being formulated and implemented in a constrained environment.
6. Partly as a result of the above, the project also suffered a long gestation period and numerous delays in implementation. The efficiency of the project was also affected by the lack of clarity in the contractual obligations of the contracted agencies. This led to confusion and the duplication of roles and responsibilities between the project facilitation unit and the contracted agencies. The direct recruitment of staff to the project facilitation unit instead of using seconded staff from the Forestry Department resulted in unforeseen expenditure. The institutional design features were also affected by hasty recruitment and the lack of technical expertise within the contracting agencies.
7. While the project was effective in mobilizing people into various groups such as village resource management committees, area resource management committees and producers' groups, it failed to develop robust institutions and systems for the long-term management and preservation of forest management arrangements. Similarly, the project invested considerable resources in training beneficiaries in sustainable forest management practices, but failed to meet its stated objectives of

supporting beneficiaries to embark on the development of sustainable income-generating activities.

8. The PPA noted that there was a dearth of reliable information on rural poverty impact for the project period. Based on the information available, there was no evidence to suggest that the targeted increase of 30 per cent in household income and net assets was achieved. Similarly, despite the project's income-generating activities – such as *chikanda* propagation (a local orchid delicacy), *munkoyo* processing (a local brew) and mushroom preservation – there was very limited evidence improved food security as a result of non-timber forest products.
9. The single most critical factor affecting the sustainability of the income-generating activities relates to the inadequate development of linkages between the producers and their markets. The efforts to ensure this were too little, too late. Overall, the mission noted that despite IFAD's attempts to obtain assurances from the Government to support the project, the long-term sustainability of the project was affected by the Government's reluctance to integrate the project activities into its annual budget and maintenance programmes.
10. The following broad recommendations need to be taken into consideration when developing future IFAD operations in Zambia.
11. **Recommendation 1.** Project design must be based on a realistic institutional analysis and foundation. Where the institutional structure that provides the cornerstone of a project is not yet in place, IFAD should refrain from starting operations until the new structure has been set up.
12. **Recommendation 2.** Income-generating projects must be based on activities that have proven technical and commercial potential. An important finding that was highlighted in the project mid-term review and remained valid at the end of the project was that individuals and groups only adopt income-generating activities if the activities are commercially and technically attractive. Future projects should ensure that: (a) cost-benefit and value chain analyses during project design are undertaken in a timely manner; (b) private-sector stakeholders familiar with specific activities are involved in implementation from the start to ensure that the project has solid technical and commercial foundations; and (c) due attention is given to facilitating market linkages.
13. **Recommendation 3.** Ensure that the institutional framework is owned by the Government by ensuring that the design process is undertaken within an inclusive partnership and that appropriate support and capacity-building is provided. The FRMP sought to respond to the general trend of private-sector involvement and decentralization in its institutional framework. However, this set up was not fully owned by the Government, who believed that it would have been more appropriate for the project to have been placed with them. In order for an innovative framework to work, it must be accompanied by the appropriate support and capacity-building for all stakeholders. In the case of FRMP, the Forestry Department would have benefited from more support in overseeing and monitoring the project activities, including appropriate resources to carry out its duties properly.
14. **Recommendation 4.** Improve Monitoring and Evaluation (M&E) system design and functionality. Despite attempts to generate impact data, the FRMP M&E system had constraints that characterize IFAD M&E systems in general. These related to the limited scope of the data (focusing on activity and output level), excessive complexity (about 280 indicators), low-quality data (inaccuracies) and weak institutional capacity. In order to address these issues, IFAD should apply a two-pronged strategy whereby more complete data are collected, coupled with continued support by IFAD to build project management competencies in all processes related to M&E (data collection, analysis, reporting, etc.). This may require more proactive support from IFAD in these.



Tie and dye activities promoted by the project in Solwezi district.

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# Republic of Zambia

## Forest Resource Management Project

### Project Performance Assessment

#### I. Objectives, methodology and process

1. **Background.** The Peer Review of IFAD's evaluation function, undertaken in 2010, recommended that IOE transform its approach to project evaluations by introducing: Project Completion Report Validations (PCRVs) and Project Performance Assessments (PPAs). The PCRV consists of a desk review of the project completion report (PCR) and of any other supporting documents.<sup>1</sup> The PPA is undertaken shortly after the PCRV and involves field visits.
2. The Forest Resource Management Project (FRMP) in the Republic of Zambia was selected for a PPA, among other reasons, in order to help build up an evidence base for the planned Zambia Country Programme Evaluation to be undertaken by the Independent Office of Evaluation (IOE) in 2014-2015. Moreover, the recently agreed Zambia Country Strategic Opportunities Programme (2011-2015) highlights that opportunities for exploring a project for commercialization of non-timber forest products could be undertaken between 2013-2015. This PPA has therefore been identified in collaboration with the East & Southern Africa Division and the findings and recommendations of this evaluation will inform any new project in the country. Finally, this PPA takes place nearly 4 years after project closure which provides an opportunity to better capture impact and sustainability of the operation.
3. **Objectives** of the PPA are to: (i) assess the results and impact of the project under consideration; and (ii) generate findings and recommendations for the design of future and implementation of on-going operations in the country.
4. **Methodology.** The PPA followed key methodological fundamentals stipulated in the IOE Evaluation Manual<sup>2</sup> and the guidelines for PCRV and PPA<sup>3</sup>. A six-point rating system<sup>4</sup> is applied to all evaluation criteria, as described in annex V.
5. The PPA relied on extensive desk review of available documents<sup>5</sup> undertaken for preparation of the PCRV. Particular attention was paid to the appraisal and post appraisal reports, Mid-Term Review (MTR), supervision reports, and the impact assessment and PCR conducted by the Government. This data provides the basis for most of the evaluation's assessment, and is supplemented with data from the mission interviews and field visits.
6. Although efforts were made, through the MTR and the impact assessment, to provide key impact data on productivity and income, these were greatly hampered by the lack of relevant monitoring data collected. In addition, no control groups had been established to better assess the impact of the project on its target group.
7. During the evaluation's field work, primary data were collected to verify available information and reach an independent assessment of programme performance and impact. Given the time and resources available, no quantitative survey was undertaken. The information gathered was therefore mainly of a qualitative nature

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<sup>1</sup> The PCRV performs the following functions: (i) independent verification of the analytical quality of the PCR; (ii) independent review of project performance and results through desk review (including ratings); (iii) extrapolation of key substantive findings and lessons learnt for further synthesis and systematisation exercises; (iv) identification of recommendations for future project phases; and (v) drawing recommendations to strengthen future PCRs. A copy of the PCRV prepared for the FRMP is available upon request.

<sup>2</sup> [www.ifad.org/evaluation/process\\_methodology/index.htm](http://www.ifad.org/evaluation/process_methodology/index.htm).

<sup>3</sup> For further information on the methodology please refer to annex IV

<sup>4</sup> 6 – highly satisfactory; 5 – satisfactory; 4 – moderately satisfactory; 3 – moderately unsatisfactory; 2 – unsatisfactory; 1 – highly unsatisfactory.

<sup>5</sup> See annex VII.



and focused on a restricted set of topics identified during the desk review.<sup>6</sup> Data collection methods included individual interviews, group discussions and direct observations during visits to programme sites.<sup>7</sup>

8. **Process.** The PCR of FRMP was prepared by IOE in October 2011 and shared with the East and Southern Africa Division of IFAD for comments. The PPA mission<sup>8</sup> was undertaken in November 2011 in close cooperation with the Government of Zambia and the IFAD country office. The mission included field visits to FRMP sites, interactions with government authorities, former and current staff of the three Contracted Agencies (Africare, Keepers Zambia Foundation and Brian Colquhoun, Hugh O'Donnell and Partners),<sup>9</sup> beneficiaries and other key informants. At the end of the mission, a wrap-up meeting was held at the Ministry of Mines and Natural Resources<sup>10</sup> to share preliminary findings from the assessment.
9. The draft PPA report was exposed to the IOE internal peer review process for quality assurance and subsequently shared with IFAD's East and Southern Africa Division and the Government of Zambia for comments before being finalized and published.

## II. The project

### A. The project context

10. Independent since 1964, Zambia is a landlocked democratic country with an estimated population of 13 million people and enormous economic potential grounded in its rich endowment of natural resources. The country's macroeconomic management has improved tremendously, with inflation decreasing since 2004 from 17.5 per cent, to 8.5 per cent in 2010. To achieve this, government has sought to pursue tight fiscal and monetary policies that have helped to create a stable economic environment and laid ground for a rise in investments, especially in the mining sector, and economic growth.
11. Despite recent positive economic improvements, Zambia remains a poor country, with a GDP per capita of US\$1,253 (2010),<sup>11</sup> and a Gini coefficient of 52.6<sup>12</sup> (2006) and improvements in social conditions for the Zambian population only occurring slowly. In addition, population growth is increasing pressure on natural resources and contributing to their depletion. Extreme poverty in rural areas is much higher (78 per cent) than in urban areas (28 per cent).<sup>13</sup> The poor performance of agriculture continues to keep the rural population in poverty given that, according to the 2005 Labour Force Survey, over 94 per cent of people living in rural areas are employed in agriculture.<sup>14</sup> Despite vast potential and stated commitments to diversification, the mining sector continues to dominate the economy.
12. The country's Fifth National Development Plan 2006-2010 (FNDP) identifies wealth creation through sustained economic growth as the most important element in fighting poverty. It places high priority on sectors that have the best potential to stimulate growth and on sectors that best address the needs of poor people – agriculture, education and health, for example. The Zambia Forestry Action Plan (ZFAP) was adopted in August 1997 as a 20-year framework (1997-2018) for the

<sup>6</sup> The desk review identified the following topics to be focused on by the PPA: relevance, efficiency and institutional management.

<sup>7</sup> See annex VI for a list of persons met during the field visits.

<sup>8</sup> The PPA mission consisted of Catrina Perch, IOE Lead Evaluator, and Denis Wood and Rose Fumpa Makano, IOE consultants.

<sup>9</sup> The mission was not able to meet with any staff of the former Project Facilitation Unit (PFU) as the project closed in 2008 and at present staff has dispersed.

<sup>10</sup> Following the presidential election of 20 September 2011 the Forestry Department was moved in November 2011 from the Ministry of Tourism Environment and Natural Resources to the Ministry of Mines and Natural Resources.

<sup>11</sup> <http://data.worldbank.org/indicator/NY.GDP.PCAP.CD>.

<sup>12</sup> Sixth National Development Plan (2011-2015).

<sup>13</sup> <http://data.worldbank.org/indicator/SI.POV.RUHC>.

<sup>14</sup> Country Evaluation of the Implementation of the Paris Declaration in Zambia phase II, Ministry of Finance and National Planning, February 2011.

sector's development. It is based on the principles of sustainable forest management, capacity building, stakeholder participation, private sector involvement, gender balance in forestry development and cross-sectoral approaches. It underscores the extent to which poverty, population growth, economic growth, and environmental degradation are inter-related and it highlights the need to design programmes that take these linkages into account. It also recognizes the importance of forests to agriculture, biological diversity, water, mining, transportation, energy and tourism, pointing out that decisions made in these and other sectors often are the cause of forest depletion.

13. Zambia's Vision 2030 envisages the country attaining prosperous middle income status by the year 2030. For this to happen, the economy needs to grow at an annual average rate of about 6-7 per cent, slightly higher than the rates of five per cent plus, attained during the past five years.<sup>15</sup>
14. **Project rationale.** FRMP aimed to address some of the complex relationships between poverty, damage to the fragile environment and the sustainable utilization of forest resources. It sought to do this by addressing: i) poverty in the forest areas; ii) the income crisis for agricultural and rural producers; and iii) a declining trend in the forest resource base. The project sought to balance the private financial imperatives of households to earn a living with the need to preserve their shared resource base for the future.
15. **Project approach.** The central thrust of the project was to encourage private sector productive activities (e.g. income generating activities) while making users responsible for the management of their local forest resources. In this light, the pivotal feature of the project design was the institutional development of some effective communal or joint management arrangements.
16. **Project objectives.** The overall goal, of FRMP, was to increase the incomes of the poor people who depended upon the exploitation of forest resources. The project had four specific objectives: (i) develop robust institutional arrangements that regulate overall and local forest uses to enhance and conserve the environment; (ii) build up knowledge about existing forest resources and appropriate harvesting and production technologies through improved harvesting, processing and harvesting of forest products; (iii) improve living conditions of forest dwelling communities by reducing their social and economic isolation through support and upgrade of social infrastructure and access to basic social services; and (iv) bring about an immediate increase in the incomes and assets of poor households dependent on forest resources.
17. **Project area and target groups.** At design the project was to be implemented in two provinces: i) Luapula; and ii) the North Western Province which were among the poorest in the country.<sup>16</sup> The selected areas included a large proportion of the country with relatively complete forest cover on poor agricultural land. The original project design aimed at covering about one third of the population in 11 districts, totalling some 40,000 households of which 7,800 were women headed, or 200,000 people in total. Each district would be divided into Working Areas consisting of 600-800 households. At full development there was to be five Working Areas in each district (55) in total. However, at the time the project became effective a decision was made to increase the number of districts to 14 districts in both Provinces (7 districts in each Province)<sup>17</sup> with 70 Working Areas instead of 55.

<sup>15</sup> According to the World Bank database Zambia attained a growth rate of 7.6 per cent in 2010.

<sup>16</sup> According to the Post Appraisal Report 80 per cent of the population in the North-Western Province and 83 per cent in Luapula Province were at the time of the design of the project categorized as 'core poor'. The poor in the North-Western Province and Luapula Province accounted for nearly 20 per cent of the poor people in Zambia while containing only 10 per cent of the country's total population.

<sup>17</sup> In North Western Province the districts were Solwezi, Mufumbwe, Kabompo, Mwinilunga, Kasempa, Zambezi, Chayuma. In Luapula province the districts included Mwense, Nchelenge, Chiengi, Kawambwa, Samfya, Milenge and Mansa.

18. The target group were poor smallholders relying on a mix of mainly subsistence agriculture and non-agricultural activities. Special emphasis was to be given to the most vulnerable communities or groups in the context of the availability of forest resources and the willingness to engage in communal management.

Table 1

**Project information**

<i>Country: Republic of Zambia</i>
<i>Project Title: Forest Resource Management Project</i>
Project approval date: 09 December 1999
Project effectiveness date: 26 June 2002
Project closing date: 31 December 2007
Total cost: US\$15.9 million
IFAD loan : US\$12.6 million
Lending terms: Highly concessional
Contribution of Government: US\$0.9 million
Contribution of beneficiary: US\$0.6 million
Co-financier German Development Services (DED): US\$1.7 million
Co financier (Republic of Ireland) : US\$0.1 million
Cooperating institution: United Nations Office for Project Services (UNOPS)

19. **Project components and cost.** FRMP had three components: (i) Community Development in Forest Areas, comprising four subcomponents, namely, communal management of forest resources, large scale natural resource mapping, social infrastructure development, and feeder road rehabilitation. This component had a cost of US\$6.9 million; (ii) Sustainable Income Generation including a subcomponent of rural financial services development: US\$6.8 million; and (iii) Project Facilitation: US\$1.06 million. The German Development Service provided in kind support that was limited to technical assistance, whilst a grant from the Irish Government was aimed at assisting in the introduction of appropriate technology for women beekeepers.
20. **Implementation arrangements.** The executing agency was the Forestry Department under the Ministry of Tourism Environment and Natural Resources. FRMP was supervised at the central level by the Project Steering Committee<sup>18</sup> who provided overall conceptual policy guidance to the project. The Project Facilitation Unit (PFU) based in Lusaka undertook management and coordination. Implementation was outsourced through Contracted Agencies. Keepers Zambia Foundation and Africare were engaged to oversee the implementation of Communal Management of Forest Resources and Sustainable Income Generation (bee products development, bamboo and rattan products and other forest products) in the North-Western Province and in the Luapula Province respectively. Brian Colquhoun, Hugh O'Donnell and Partners supervised the Feeder Roads Rehabilitation subcomponent. The CA for implementing the Rural Financial Services Development subcomponent was never identified and as a result this subcomponent was not implemented. The project was technically supervised by the

<sup>18</sup> The Post Appraisal Report stated that the Project Steering Committee would indicatively comprise the following: Permanent Secretary (PS) (Ministry of Tourism, Environment and Natural Resources); PS North Western Province, PS, Luapula Province, Director Forestry Department (to be replaced by the Director General Zambia Forestry Commission), Director Ministry of Tourism Environment and Natural Resources Planning & Information Department (as member Secretary), Director Ministry of Agriculture, Food & Fisheries (Agriculture Department), representatives of Ministry of Finance & Economic Development, Provincial Forestry Action Plan II, Contracted Agency-North West Province, Contracted Agency-Luapula Province, Contracted Agency –Social Infrastructure Development/Feeder Roads Rehabilitation. A representative of the Participating Financial Institutions (alternating) and any others co-opted by the Chairperson.

United Nations Office for Project Services (UNOPS) who administered the loan on behalf of IFAD.

21. **Monitoring and evaluation (M&E) system.** The foundation of FRMP's M&E system and impact assessment was the logical framework, prepared by the appraisal team, the Management Information System, and the Monitoring & Evaluation Manual. According to the original plans,<sup>19</sup> the PFU was to ensure that all project staff, including Contracted Agencies, were involved in monitoring the project's progress and performance in their respective areas of interest during field visits. The PFU Project monitoring officer was to be responsible for the orderly collection of monitoring data, collation of the information and compilation of comprehensive monitoring and progress reports on a quarterly basis. The Community institutions were responsible for keeping records on their activities and feeding this information into the Management Information System. Regular review meetings were to be held by each community institution to assess progress in implementing planned activities.
22. A National Management Specialist was hired for six months to design M&E procedures for the project. The MTR mission noted that the PFU had failed to establish and maintain an appropriate Management Information System which made it very difficult to monitor the Project's actual progress.<sup>20</sup> Furthermore, the poor quality of M&E data available from either the PFU or from the Contracted Agencies in North-Western Province and Luapula Province indicated that the procedures were less than user-friendly. The MTR mission proposed that the FRMP should change the M&E system and set up a new set of impact indicators. These should focus less on numerical service delivery targets as they had, up until then, failed to reflect the actual performance of Producer Groups and consequently made it difficult to evaluate impact of the FRMP.
23. The Project Monitoring Officer (M&E specialist) left the PFU in August 2005 and was only replaced in March 2007 with the technical assistance from the German Development Service (DED). By then the log frame had been revised, partly in order to be compliant with IFAD's Result and Impact Management System, and revised indicators were based on first and second level indicators and were disaggregated by sex. According to the 2007 supervision report this resulted in 280 indicators: too many for easy management. A move was then made towards a more community based monitoring system, and the Forestry Department and CA staff were trained in this. The mission had access to two log frames: 1) the dynamic log frame in the Post Appraisal Report; 2) the revised logframe of 2006 as reported in the PCR. The mission counted 97 indicators in the latter. FRMP produced a baseline study (2003); a pre-midterm impact assessment (2005); an impact assessment (2008) and the project completion report (2009). However, none of these reports provided any information on the status of the project in relation to the indicators.

## **B. Project implementation**

### **Changes to project design**

24. The first change during implementation was the increase in the number of districts in the programme area at the time when the project became effective from 11 districts to 14. This change was not captured in any loan amendment.
25. The second change occurred after the Mid-Term Review (MTR) when, due to depletion of funds, a reprioritisation of activities had to take place. Specifically, the MTR recommended focusing the remainder of the project on feeder roads, social infrastructure development and improving the marketing of bee products. It was further recommended to convert the rural finance services activities, which had not

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<sup>19</sup> Post Appraisal Report (main report), 1999.

<sup>20</sup> MTR, page 19, 2006.

been implemented, to small investment grants.<sup>21</sup> These recommendations were consistent with the project objectives, however, the recommendation to refocus on bee products and addressing marketing constraints through work with market intermediaries was according to IFAD not fully implemented.<sup>22</sup>

26. The third change during implementation related to the project completion date. The project was originally scheduled to complete on 30th June 2008 and the loan closing date was 31<sup>st</sup> December 2008. However, due to a recommendation made by the UNOPS follow up mission to the MTR in 2006, it was concluded that the finances had been depleted which required the project completion date to be adjusted to 30th June 2007 and the loan closure date 31<sup>st</sup> December 2007.<sup>23</sup>
27. After the MTR the project experienced a period of 8-9 months of partial suspension. It is not entirely clear what the reasons for this were. The PSR mentions that follow-up to the MTR recommendations, in a difficult environment where the resource envelope was shrinking as a result of local currency appreciation, required further prioritisation. The same report also mentions that there was some reluctance to follow up on the MTR. It was furthermore stated that lack of clear guidance in the MTR may have been a reason for this, however the PPA mission disagrees with this argument as the MTR included a detailed discussion of the various options regarding the way forward. More particularly three options were discussed: i) closure of the project; ii) concentrate almost exclusively on the Social Infrastructure Development and Feeder Roads Rehabilitation subcomponents, and to phase out the other project activities; iii) for FRMP to remain similar to the Post Appraisal Report but modify it in the light of experience to date (i.e. shift from formal Joint Forestry Management to informal co-management (beneficiaries and FD) of forest resources and focus on marketing linkages (see paragraph 26). The latter was the preferred option by the midterm mission team.
28. Finally, the logframe was reviewed after the MTR to simplify indicators and become compliant with IFAD's Result and Impact Management System.

### **Implementation results**

29. Details of the physical progress of FRMP are given in annex VIII of this report. The following paragraphs provide a brief discussion of the main activities and results achieved.
30. **Community development in forest areas.** There were four main types of outputs under this component: (i) develop community institutional capacity to manage local forest resources – a range of activities were undertaken, including mobilising the community into groups (e.g. Producer Groups, Village Resource Management Groups, Area Resource Management Groups, marketing associations etc.), training of farmers (e.g. forest management and protection, entrepreneurship, leadership, HIV/AIDS), establishing local inventories and mapping, undertaking household surveys, developing joint forest resource management plans; (ii) generate and distribute large scale natural resource maps for North-Western Province; (iii) upgrade social infrastructure; and (iv) rehabilitate feeder roads.
31. A total of 789 Producer Groups were formed (77 per cent of targets) and 49 Participatory Rapid Appraisals carried out (20 per cent of targets). Based on the Participatory Rapid Appraisals the Producer Groups made work plans that were incorporated into the WA plan by the Village Resource Management Committee of which 124 were established (51 per cent of targets). The establishment and training of Area Resource Management Committees (32 established i.e. 46 per cent of target) and Village Resource Management Committees were done in anticipation

<sup>21</sup> These changes were captured in an amendment to the loan of January 2007.

<sup>22</sup> Back to the Office Report: Mission to Zambia and Zimbabwe, 30 May-1 July 2007.

<sup>23</sup> According to the PCR UNOPS decision to recommend early closure based on depletion of funds was a serious error (See PCR, page 8). This decision was later reflected in the amendment to the loan of January 2007.



of sharing of the revenue obtained from the exploitation of forest resources between government and community, under the new Forestry Act. At the district level the work plans from the various Working Areas were to be consolidated and incorporated into the provincial work plan. However, only two Joint Forest Management Plans were developed (Kikonge and Mufumbwe). A lack of guidelines on Joint Forestry Management and legal clarity on benefit sharing and ownership were a major hindrance in the effective implementation of this component.

32. A total of 5,469 (33 per cent of target) farmers were trained in forest management and a further 2,416 (46 per cent of target) in forest protection. There were also 3203 farmers trained in entrepreneurship (65 per cent of target), which helped them in pricing their products.
33. Natural Resource Mapping in North Western province was undertaken and this was to feed into the forest inventories needed for Joint Forest Management Plans. However, due to the small scale of the maps little use has been made of them, as they were not relevant for carrying out community based forest inventories.
34. At project design 55 Social Infrastructure Developments were planned for. These were to be undertaken with a 25 per cent community contribution. In effect only six were implemented (2 clinics, 2 schools and 2 honey cottages). This was done with the active participation of the local community who provided labour and materials.
35. FRMP foresaw improving 400 km of local feeder roads through spot improvements and not full rehabilitation. However, due to the cost of construction materials, and the general bad state of the roads, there was a need to undertake full rehabilitation. Consequently, only 213 km were fully rehabilitated. The construction work was done in conjunction with the communities, who provided labour and benefited from the wages earned.
36. **Sustainable income generation.** Under this component three main activities were planned namely beekeeping, bamboo and rattan products and other forest products (palm weaving, tie and dye, chikanda,<sup>24</sup> pit sawing, mushrooms, medicinal plants, carpentry and munkoyo).<sup>25</sup> A number of common outputs to all the activities included conducting participatory adaptive research, providing extension on harvesting, processing and marketing, replanting and processing (e.g. bamboo), and developing small manufacturing enterprises. There was also a rural finance subcomponent.
37. Beekeeping activities were aimed at increasing revenue from honey and beeswax, the most important non-timber products in Zambia. Through better extension and training, producers were to be encouraged to adopt better technologies (e.g. non-destructive hives) and to improve marketing arrangements. In each WA field extension staff, known as product promoters, were to be trained by the Contracted Agencies backstopped by Technical Assistance provided by the German Development Service DED as grants funds. At the time of the project appraisal report, it was estimated that 3,750 people would be involved in traditional and improved bark hives, and a further 3,570 would adopt more modern multi chamber hives. According to the PCR 321 beekeeping groups were formed (67 per cent of target) and 5,938 beneficiaries participated in the groups (87 per cent of target).
38. For bamboo and rattan products 55 groups were formed (39 per cent of target) and 624 beneficiaries (50 per cent of target) received training in rattan regeneration while 21581 (54 per cent of target) seedlings were raised and planted. Two documents on the research on bamboo and rattan were produced representing 50 per cent of the target.

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<sup>24</sup> A local orchid delicacy.

<sup>25</sup> A local brew (can be alcoholic as well as non-alcoholic).

39. With respect to other forest products 8,339 beneficiaries (281 per cent of target) were mobilised into a total of 409 groups. A number of different training sessions were held on palm weaving (47 per cent of target); tie and dye (80 per cent of target); chikanda growing (313 per cent of target); pit sawing (110 per cent of target) carpentry (78 per cent of target), etc. As can be seen pit sawing and chikanda were the most popular activities (surpassing their targets) whereas other activities did not reach their targets.
40. The rural finance component, which according to the PCR, allocated approximately US\$600,000, in the form of credits for production and processing of forest produce, and an additional US\$250,000, for developing the institutional capacity of two existing financial intermediaries in the private sector, was not implemented. The reason for this was apparently the lack of suitable participating Financial Institutions that could offer services within the stipulated budget.
41. **Project facilitation.** FRMP was implemented through three Contracted Agencies and supervised by forestry department staff at district and provincial level. Key technical staff at these levels received some specialized training and their capacity was strengthened.

#### Key points

- The overall goal of FRMP was to increase the incomes of poor people who depended upon the exploitation of forest resources.
- FRMP was structured around 3 components: (i) community development in forest areas; (ii) sustainable income generation activities; (iii) programme facilitation.
- The majority of targets were not met. The planned subcomponent on rural finance was not implemented. The social Infrastructure development subcomponent was only partially implemented.
- The project coverage area was increased from 11 districts (55 WA) in both Provinces to all the 14 districts (70 Working Areas).
- The project was closed in December 2007, a year earlier than anticipated, based on a recommendation made by UNOPS who concluded that the finances had been depleted.

### III. Review of findings<sup>26</sup>

#### A. Project performance

##### Relevance

42. **Objectives.** Poverty reduction has been a priority of the Government of the Republic of Zambia since the attainment of the country's political independence in 1964. In 2002, the government articulated its strategy for reducing poverty in the Poverty Reduction Strategy Paper. The FRMP's development objectives were, in general, consistent with Zambia's Poverty Reduction Strategy Paper for the period 2002 to 2004.<sup>27</sup>
43. At the sectoral level the FRMP's objectives were relevant to Zambia's National Environmental Action Plan of 1994 which recognised the need for adopting policies aimed at maintaining ecosystems, ecological processes and protecting the biological resources of the country. The FRMP objectives were overall consistent

<sup>26</sup> See annex V for a summary of definitions of evaluation criteria used by the Independent Office of Evaluation.

<sup>27</sup> The strategic focus of the Poverty Reduction Strategy Paper was to: (a) promote private-sector driven growth; (b) create and expand the poor's opportunities to earn a decent income, in a sustainable way, so that they are able to meet the basic necessities of life; (c) strengthen public sector management by building capacity for social and economic management; (d) develop intervention strategies that promote rural development; and (e) develop intervention strategies that will promote fiscal and monetary policies that will stimulate economic growth at sustainable levels.

with major IFAD documents such as IFAD's Strategic Framework for (2002 to 2006) and IFAD's Country Strategic Opportunities Programme for Zambia for (1998-2002). However, one lesson was not fully taken into consideration in the new design and implementation. Particularly, the Country Strategic Opportunities Programme called for *"a better understanding of group formation objectives and processes and avoiding a mechanistic approach which results in artificial, unsustainable groups"*.

44. According to the appraisal report only 8 per cent of the households in the target area were not classified as poor and the key determinants of rural poverty were: lack of access to resources, geographic isolation from services and markets; lack of productive assets; and lack of labour. While the project made use of participatory processes to ensure that the needs of the poor were responded to insufficient attention was being paid to the demand of certain forest and non-forest products reducing the income generating potential for the poor.
45. **Project design.** FRMP was identified in 1995, appraised in 1998, first negotiated, unsuccessfully, in 1998, then post-appraised, renegotiated and approved by the Board in 1999. The difficulties in conceptualizing the project were the result of IFAD and Government of Zambia having different views about the overall purpose of the project, and on the arrangements for capacity building in the planned Zambia Forest Commission which was to be responsible for implementation. On the former, Government of Zambia wanted the project to focus on regeneration of depleted forest resources. IFAD wanted to raise the incomes of the poor.<sup>28</sup> Other areas of disagreement related to the outsourcing of services to NGOs. Furthermore, the GRZ was interested in strengthening the grant element as much as possible.<sup>29</sup> The project was seen as the launch for Zambia Forest Commission, which was to introduce an effective, market-based approach and greater stakeholder involvement in managing and sharing the benefits from forest resources.
46. According to a study undertaken by FAO the single most critical issue facing the forestry sector in Zambia was the Government's failure to establish the Zambia Forest Commission.<sup>30</sup> The government's failure in this respect, and the stalemate that blocked the 1999 Forest Act, resulted in the project being implemented under an old regime of statutes, contrary to the project design assumptions which anticipated a policy environment that supported participatory forest management approaches. This risk was identified in the Post Appraisal Report. The Post Appraisal Report states that risk would be reduced through careful selection of working areas and through awareness creation. These measures however, were insufficient as a mitigation strategy. In the absence of a proper legal framework a number of issues related to ownership, rights and responsibilities and benefit sharing of the forest resources remained unresolved and hence in the case of FRMP the involvement of beneficiaries in the Joint Forest Management<sup>31</sup> proved to be too optimistic.<sup>32</sup>
47. Furthermore, the policy inertia (the fact that legislation was drafted but to date still not adopted) suggests that there was not sufficient commitment on the part of the

<sup>28</sup> Office Memo- Request for Amendment to the Project Loan Agreement, 19 January, 2007.

<sup>29</sup> Out-going fax from IFAD to the Ministry of Environment and Natural Resources, July 23, 1999.

<sup>30</sup> Linking National Forest Programs and Poverty Reduction Strategies- Zambia, FAO, 2007.

<sup>31</sup> Because the forest estate in Zambia is too large for any one body to police or manage, joint forest management is seen by many as the best option to tackle the high rate of deforestation and environmental degradation. Although the National Forestry Policy provides a supportive framework, the concept has no legal basis from which to operate. (As noted earlier, the Government has not yet issued the order to commence *Forest Act 1999*.) Communities involved in the pilot programme, therefore, cannot implement the plans they developed jointly with government because there are no provisions to share revenues. Given poverty levels in the country, such incentives and the possibility of earning income are key factors to engaging local residents in forest management. Another problem is the lack of legislative authority to expand the Joint Forest Management to other sites, despite keen interest to do so (FAO 2007).

<sup>32</sup> MTR 2006.

Government to implement the FRMP under a new policy framework.<sup>33</sup> Ownership of the project was thus questionable from the design stage. In hindsight, it may be considered that IFAD's approach to design a project, without a proper mitigation strategy, that depended on a legal context that never materialized, was too risky.

48. The Post Appraisal Report refers to a number of lessons drawn from a cohort of IFAD supported projects/programmes, in Zambia.<sup>34</sup> There is also evidence that a number of consultative stakeholder workshops were held during the preparatory phase of the project design in order to apply a demand driven approach. Nevertheless, discussions with stakeholders suggested, that the design may have merited from further consultation in order to avoid the perception by the GRZ that parts of the process was top heavy and IFAD driven. For example, there does not seem to have been a shared understanding between IFAD and the GRZ on the use and motive for Producer Groups.<sup>35</sup> The innovative institutional set up, which included outsourcing services to NGOs and the private sector, was never fully owned by the Government.
49. Other design weaknesses included an overly supply-oriented approach with little attention being paid to the demand for forest and non-forest products. Despite the fact that the annexes to the Post Appraisal Report included a very detailed description of each of the sustainable income generation activities promoted by the project including, strengths and weaknesses, marketing remained a weak point for most of the activities. Apart from honey, bees wax and perhaps chikanda,<sup>36</sup> the income generating potential of the promoted products was generally limited, and some activities may therefore not have been relevant (e.g. tie and dye, munkoyo).<sup>37</sup> There was also a tendency to promote the use of sophisticated equipment/technologies that could not be produced locally and were too expensive for the communities to purchase (e.g. protective clothing and smokers).<sup>38</sup>
50. In terms of geographic coverage, the project design team chose to support many small interventions over a large geographical area. This approach has its merits when piloting activities as it allows a project to adopt different approaches and obtain experience in different agro-ecological and cultural settings. The downside to this approach though, is that a relatively limited budget is diluted over a large area and that the delivery costs become very high. These high delivery costs were exacerbated by trying to respond to political pressures to increase the geographical coverage.
51. The targeting approach of the FRMP was explicit. The President's Report (1999) recognized that "the beneficiaries would be poor smallholders relying on a mix of mainly subsistence agriculture and non-agricultural activities". During the selection process special emphasis was to be given to the selection of female headed households that had a high dependence ratio and insufficient land under food production. In addition, emphasis was to be given to selecting areas with a high

<sup>33</sup> IFAD's Office of Evaluation noted at design stage that the ownership of the project was still uncertain and needed to be resolved prior to loan signing (see Per Eklund's comments, 10 October, 1998).

<sup>34</sup> In particular the Smallholder Services Rehabilitation Project, and the North Western Province Area Development Project. Main lessons were that: (i) efficient implementation and management should be decentralized to the programme area; (ii) IFAD's target groups should have a strong interest in generating cash income and savings from agriculture; (iii) with a few exceptions, input supply no longer requires support from the Government; (iv) local infrastructure development must respond to community interests and commitment, with a clear understanding reached regarding the provision of adequate resources for road maintenance before roads are rehabilitated; and (v) with limited positive experience gained from agricultural extension activities, there was a need to develop extension approaches and methods suitable to the country's changed economic and institutional framework.

<sup>35</sup> Annex 1 of the Post Appraisal Report stated that the objective of the formation of Producer Groups would be to enable producers to better address common issues such as the purchase of inputs and tools and equipment and to benefit from economies of scale. It further stated that the main purpose of the formation of Producer Groups related to training activities, marketing and credit issues but advised that the project "tread cautiously" as the farmers' feeling of responsibility and solidarity is within the family. Page 26, 1999.

<sup>36</sup> Back to the Office Report Kris B. Prasada Rao, 18 November 2005.

<sup>37</sup> IOE had highlighted the risks and uncertainty in overestimating the response of the farmers to take up new technology as well as uptake of proposed organizational arrangements, (See Per Eklund's comments) 1998.

<sup>38</sup> MTR, 2006.

incidence of malnutrition. Remote communities that were far from markets and mainly engaged in subsistence production would also be given priority. The PPA mission considers that the approach of targeting the core poor population may not have been the most appropriate strategy, given the low level of literacy and general difficult environment. The MTR suggested that targeting the less poor might have been a quicker bridge to build, rather than uniformly addressing the poor by using the same approach. It further states that there was a need to facilitate growth of a strong local private sector.<sup>39</sup> The PPA mission supports the view that a more differentiated targeting approach including both core poor, vulnerable but viable, as well as emergent entrepreneurs, may have been a better strategy for FRMP.

52. At the time of the design FRMP was relevant to existing national and planned legislation and strategies. However, the assumptions on which the project was built did not materialise and without any mitigation strategy in place this consequently affected the implementation. The project also faced a number of other design constraints that reduced its relevance and the level of ownership within the government. Finally, the lack of implementation of the Zambia Forest Commission and adoption of the Forest Bill suggests that forestry was not a priority to all sections of the government. The overall relevance of the project is therefore considered to be moderately unsatisfactory (3).

### **Effectiveness**

53. The following paragraphs discuss the various achievements related to each FRMP objective.

#### **Specific objective 1: Developing robust institutions and systems for the management and preservation of forest management arrangements**

54. This objective was primarily covered by component 1, on communal management of forest resources. FRMP was, in terms of numbers, initially fairly successful in mobilising people into various groups such as Village Resource Management Committees, Area Resource Management Committees, and Producer Groups. However, there were several weaknesses in the process: (i) Village Resource Management Committees and Area Resource Management Committees did not have any practical relevance in the absence of Joint Forest Management Plans; (ii) the Participatory Rapid Appraisal exercises gave varied results because of high turnover of staff within the Contracted Agencies and raised expectations which did not fit with the mandate of the project. This in turn resulted in community members having doubts about the community plan, and eventually dropping out; and (iii) the non-implementation of the Rural Finance component diminished community morale and trust.
55. The PPA mission had access to one of the two Joint Forest Management plans developed (Kikonge). The plan is well written, however, too ambitious given the level of resources available to the community to implement it. It is equally ambitious on behalf of the forestry department (e.g. there is an expectation that forestry department would undertake monthly monitoring visits which seems highly unlikely given that the Department has no resources to do this even for the protected forest areas under its mandate).<sup>40</sup>
56. The mission did not come across any evidence of a continuing planning process or strong institutions at the community level.

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<sup>39</sup> MTR, annex 4, page 8.

<sup>40</sup> Page 13, Ministry of Tourism, Environment and Natural Resources Management Plan for Kikonge Forest Management Area. April 2007.



**Specific objective 2: Building up knowledge about existing forest resources and appropriate harvesting and production technologies through improved processing and harvesting of forest products**

57. The project invested considerable resources in training beneficiaries in sustainable forest management (e.g. forest policy, Forest Act, Joint Forest Management, awareness raising, forest fires and management). The project did not monitor or evaluate the capacity built; hence it is difficult to say to which extent this has taken place. However, from discussions with beneficiaries it is clear that they have been sensitised to issues such as forest preservation and early burning. However, most of the beneficiaries felt it was difficult to apply the concept in practice due to, primarily, a lack of resources.
58. The FRMP also worked towards enhancing the technical capacity of beneficiaries by building knowledge and skills in beekeeping, bamboo and rattan production, pit sawing and the harvesting and processing of non-forest products such as mushrooms and chikanda. While the PPA mission noted that beneficiaries were able to speak about the various technologies in a knowledgeable manner, and understood the value of the knowledge and skills imparted, they have yet to take full advantage of the knowledge acquired and use it to increase their productivity. For example, the PPA mission identified problems relating to poor maintenance of the hives resulting in the hives being eaten by termites.
59. In terms of rattan and bamboo products designs improved and new products were developed leading to substantial improvements in prices.<sup>41</sup> However, there is uncertainty about the scale of the success (out of a group of 28 producers trained, only three (3) rattan product producers remained)
60. The PPA mission identified a number of challenges related to the other activities. Market constraints were characteristic for most of the products as commercial buyers were reluctant to travel to the Working Areas to buy the products. This was because production volumes were low and thus uneconomical (e.g. mushrooms). The need for capital injections applied to several activities (e.g. carpentry and pit sawing). In addition, pit sawing required the pit sawyers to pay for the pit sawing license and timber production fees through the forest department.
61. From the PPA mission's discussions with stakeholders there was some evidence of a less than appropriate targeting of the training. For example some beekeeping and rattan training took place in areas that were not suitable for this activity. The mission also questions whether the length of the training was appropriate (e.g. five days to become a carpenter is probably too short).
62. Staff at the forestry department noted that some beneficiaries kept receiving training despite not showing any signs or willingness to take up the activities. The PPA mission concurs with this assessment and the results are to some extent reflected in the limited level of uptake of many of the income generating activities introduced by the project.

**Specific objective 3: Improving living conditions of forest dwelling communities by reducing their social and economic isolation through support and upgrade of social infrastructure and access to basic social services**

63. The achievements of social infrastructure developments have been covered in paragraph 35. Community members in Working Areas that did not benefit from the social infrastructure development subcomponents originally planned complained that there was either no social infrastructure or that it was in a poor state. The PPA mission confirmed this sentiment. There were also examples of the community having mobilised materials and labour that were not translated into any social

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<sup>41</sup> From ZMK10,000 before the project to between ZMK 87,000 and ZMK 350,000 each after the project training

infrastructure development due to the early project closure. In some instances the work was finished by the Zambia Social Investment Fund or nearby mining companies.

64. The project design included a subcomponent on feeder road rehabilitation (see paragraph 36). However, the cost of construction materials had increased between the time of the appraisal and implementation and the bad state of the roads meant that there was a need for full rehabilitation rather than the planned spot improvements. In addition, the selected roads for rehabilitation included bridges, the costs of which had not been incorporated into the feeder roads rehabilitation contracts. The construction works were done in conjunction with the communities, who provided the labour. This approach was considered efficient as the communities benefited from the wages accrued to them during the construction period.

**Specific objective 4: Bringing about an immediate increase in the incomes and assets of poor households dependent on forest resources**

65. The rural financial subcomponent was not implemented. This was due to a lack of participation of suitable Financial Institutions that could offer services within the stipulated budget. This severely destabilised the effectiveness of the programme. The MTR proposed a change in this subcomponent from provision of credits to small investment grants to groups. This, however, never materialised. The 2007 supervision reports highlighted that a new governmental rural financial service programme would be launched (the rural finance project) and that consequently no further action would be required. However, this project clearly came too late to be of use to most of the FRMP beneficiaries. The result of not implementing the rural finance component was that the morale of the communities, whose expectations were not met, dampened. During the PPA mission it was clear that the PFU and the FRMP's CA did not explore the possibilities of using the National Credit and Savings Bank as a participating financial institution. The National Credit and Savings Bank has a nationwide network of branches with a representation in each district.
66. Overall, the project was not effective in reaching its objectives. The project positively benefitted only a fraction of the population originally intended through its efforts to improve the living conditions of forest dwelling communities by reducing their social and economic isolation and the non-viability of certain economic activities as well as the non-activation of the rural finance component hindered the leap from training to actual production with very limited results in terms of improved incomes and assets. Apart from design weaknesses, the main constraints identified related to lack of attention to facilitating market linkages. Except for very few exceptions (e.g. beekeeping), most of the targets were not reached. The project ended up being implemented in only 28 of the planned 70 Working Areas and overall only 40 per cent of its targeted activities were reached. Based on the documentation reviewed and field observations the overall effectiveness is rated unsatisfactory (2).

**Efficiency**

67. The FRMP had a long gestation period and suffered from numerous delays. Project preparation took five years (1995-1999). This was followed by a further two-year delay, following signing of the Loan Agreement in early 2000. The loan to the Government of Zambia for the execution of the FRMP became effective 30.6 months after board approval. This was slower than IFAD's global average (12.4 months), the average for East and Southern Africa Division (11.6 months) and the average of IFAD-funded loans in Zambia (13.3 months).<sup>42</sup>

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<sup>42</sup>This figure was calculated in 2011.

68. The project closure date was brought forward by one year to 31<sup>st</sup> December 2007.<sup>43</sup> The early closure of the project reduced the possibility of the project in achieving the impact intended among the target groups. It was clear, from the field visits, that the project closure was abrupt and left target groups with no indication as to the way forward and with a number of unfulfilled expectations. However, given the overall weak management that the project faced from the start to the end, it is questionable how much the project could have achieved had it been allowed to continue for one more year.
69. Below is a discussion of the key deficiencies in terms of the efficient implementation of the project.
70. **Institutional design.** The design of the PFU/FRMP was intended to pilot institutional arrangements and to transfer the experience to the planned Zambia Forest Commission.<sup>44</sup> In hindsight this institutional set up had some short comings. First, the management of the project was anchored in PFU and the three Contracted Agencies with their head offices in Lusaka and operational offices in the provinces leading to a multiplicity of overhead costs. Additionally, the PFU, intended to be a lean structure, comprised 5 staff members - a lot considering that their role was to facilitate.
71. Second, there was duplication and confusion between the PFU and the Contracted Agencies over their respective roles and responsibilities due to lack of clear contracts that stated what activities the Contracted Agencies were supposed to undertake.<sup>45</sup>
72. Third, the initial proposal in the Post Appraisal Report to second Forestry Department staff to fill the posts in the PFU was changed to directly recruit staff. This decision had huge cost implications that had not been foreseen in the Post Appraisal Report (from an average salary of US\$1,800 a year to US\$2,000 a month).<sup>46</sup> Additional salary increases and terminal benefits (US\$367,000) to PFU staff followed.
73. Fourth, recruitment was done hastily both at PFU and Contracted Agencies, and the Contracted Agencies lacked the technical expertise required resulting in reliance on forestry staff or on recruiting staff from the forestry department. All in all, despite the fact that the Contracted Agencies were hosted at the forestry department at provincial level, a mutually supporting relationship between the forestry department, Contracted Agencies and the PFU did not occur.
74. **Other management issues.** There were a number of other weaknesses in the management of the project. These included the non-compliance with certain loan covenants (e.g. failure to establish and maintain an appropriate Management and Information System; failure to prepare Credit By-laws and Subsidiary Agreements under the Rural Financial Service Development subcomponent), weak internal financial management procedures, and the non-reconciliation of the IFAD loan statement and the Programme Accounts.<sup>47</sup> Examples of non-compliance with the Loan Agreement included the failure to establish and maintain an appropriate Management Information System, the failure to prepare Credit By-laws and Subsidiary Agreement under the Rural Financial Services Development

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<sup>43</sup> See paragraph 25 and footnote 23 on the reasons for the early closure.

<sup>44</sup> MTR, annex 1, page 2.

<sup>45</sup> According to the MTR annexes (page 3) the contracts contained specific details regarding the regarding Financial Operations and Reporting but only the most general details concerning the activities to be undertaken. The contracts simply state that "the Project shall mean the activities as described in the Post Appraisal Report"

<sup>46</sup> IFAD agreed to a decision that the PFU staff would be hired directly rather than seconded, and that they would be paid salaries according to the current UNDP rates for project staff. The MTR highlighted that IFAD should have insisted on a budget revision but this was not done. UNOPS advised PFU during its first supervision mission (2003) that they should look for savings from other project components to cover the additional PFU costs but by mid-term no action had been taken.

<sup>47</sup> Office Memorandum from Ides Willebois, 19 January 2007.

subcomponent, and the difficulty in identifying a suitable low cost agency to implement the Social Infrastructure Development sub-component.

75. Other examples of weak management included the fact that after the MTR the project came to a standstill and that a Work plan and Budget was never approved for 2006. In addition, the accounting systems were inadequate and unable to guarantee accuracy and timeliness of reporting.<sup>48</sup>
76. There were also problems with procurement. The President's Report envisaged that procurement for the IFAD loan would be carried out under the responsibility of the PFU in accordance with IFAD's Procurement Guidelines. However, this was changed and instead PFU became subject to the Ministry of Tourism Environment and Natural Resources procurement regulations. This meant that all project purchases over US\$1,100 had to be made through the Ministry of Tourism Environment and Natural Resources procurement and Supplies Unit causing significant delays in particular of the social infrastructure development component.
77. **Management of funds.** According to the PCR 73.18 per cent of the project budget was spent by project closure.<sup>49</sup> Actual project management cost (of the project facilitation component) was 30 per cent of total project costs, considerably higher than the estimated seven per cent at appraisal.<sup>50</sup> This figure is also higher than the average management costs of IFAD projects which are around 12-15 per cent.
78. The PCR did not compute the Financial Rate of Return and the ERR. Nor did the PCR conduct an analysis of the cost-effectiveness of the various components based on actual investment costs and achieved outputs. According to the PCR the total number of beneficiaries that benefited from the FRMP was 135,000. This was below the 200,000 threshold envisaged by the Post Appraisal Report.
79. Despite the absence of the Financial Rate of Return and ERR (in the PCR), the low achievement of targets and benefits, the delays incurred and the subsequent cancellation of subcomponents, there are strong indications that this was not an efficiently run project. With PFU expenses being much higher than expected (US\$ 1.06 million at appraisal against US\$ 3.56 million actual expenditures) to the detriment of the other components (e.g. income generation), it can be concluded that the project had high maintenance costs and spent little on the actual investments. Based on the above this criterion is rated as unsatisfactory (2).

## **B. Rural poverty impact**

80. There are weaknesses in the information available on rural poverty impacts. Despite the considerable effort which went into impact assessments, there is little information on household income or expenditure, and limited data on increases on Non Timber Forest Products per household. There has been no monitoring of environmental impacts. Trend data is not available for the duration of the project and, most importantly, there are no control groups. There has been little disaggregation of data, so it has not been possible to analyse the extent to which specific positive trends were present throughout the target area or limited to particular types of villages or households. This posed considerable challenges to the PPA.

### **Household income and assets**

81. Although there is little quantitative data available, discussions with beneficiaries and staff of the Contracted Agencies suggests, that with a few exceptions, the target (30 per cent increase in households annual total cash income per capita) increase in incomes per WA has not been achieved.<sup>51</sup> This argument is based on

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<sup>48</sup> Office Memorandum from Jens Soerensen, former CPM of Zambia, 25 January 2007.

<sup>49</sup> PCR, annex IV, page 38. LGS states the figure of 82 per cent at completion.

<sup>50</sup> President's Report, 1999, page 8.

<sup>51</sup> This confirms the findings of the MTR, 2006.

field observations of uptake of the income generating technologies among the beneficiaries.

82. According to the impact assessment study, of the 68 households interviewed, approximately 60 per cent of respondents reported that they were able to acquire domestic consumer durables and household assets such as radios, tools and bicycles as a result of FRMP. During the field visits there was no tangible evidence to suggest that beneficiary assets from non-forest activities had markedly increased. The rating for this domain is therefore unsatisfactory (2).

### **Human and social capital and empowerment**

83. According to the Impact Assessment the knowledge that the communities acquired from various training programmes (e.g. forestry protection, bee keeping, rattan and bamboo production) was of significant value. During the PPA mission it was evident, from the focus group discussions, that the trainings had initially played an important role in the formation, strengthening and empowerment of producer groups and processors aimed at maximizing gains from their primary production. However, despite acquiring this knowledge, there is little evidence to suggest that community members and /or individuals are utilising this knowledge to produce and market forest based resources in a sustainable manner.
84. Apart from skills training, the FRMP attempted to transform the organizational capacities of the target communities through sensitisation, community mobilisation and group formation. The FRMP facilitated the formation of Village Resource Management Committees, Producer Groups and marketing associations. Although the formation of these local institutions empowered some of the communities to register their groups as legal entities, these groups became dysfunctional after the project ended. Their failure to function was largely due to the fact that most groups were never formally linked or embedded into the local government and private sector governance and marketing structures.
85. In addition to the above, the FRMP supported the rehabilitation of feeder roads and facilitated the construction of social infrastructure. Health and education services were brought closer to the communities. This has reduced the time spent by children travelling to and from schools albeit for a limited number of people. The PCR does not give an estimate of the number of children that have benefited from the reduced time spent on travelling to and from their new IFAD supported school. Based on the above the rating is moderately unsatisfactory (3).

### **Agricultural productivity and food security**

86. The PCR states, that most communities in the Working Areas continued with subsistence farming producing only moderate quantities of produce for sale. Although the FRMP's economic empowerment activities (chikanda propagation, munkoyo processing and mushroom preservation) increased the probability of improved food security there is very limited evidence of improved food security from non-timber forest products.
87. Production levels of non-forest products remained low. For example, in the Lubunda Community in Mwense, the average number of beehives for nine community members dropped from 148 bark hives during the project to 71 bark hives at the time of the PPA mission's visit. This 52 per cent drop in the number of beehives suggests that the production levels of honey fell by at least 52 per cent and there was no evidence of bark hives being replaced with a different technology. The reasons for the drop in beehives seem to be related to lack of proper maintenance.
88. Despite the drop in the productivity in honey production, there are a number of success stories in some of the Working Areas. For example, a community member in the Lubunda Community that makes and sells mats in the Lusaka market earns a net income of ZMK2,650,000 (US\$530) per 300 mats sold. Assuming that he

makes 1,200 mats per annum, his net income would be US\$2,120 per annum. A group of three rattan producers that have re-located their business to the Provincial capital Mansa earn ZMK72,000,000 or the equivalent of US\$14,400 per annum. It is not known how widespread such success stories are but observations from the field suggests that they were not frequent. Based on this the rating is unsatisfactory (2).

### **Natural resources, environment and climate change**

89. The design of FRMP was driven by the need to protect the environment against uncontrolled economic exploitation. It was expected that the project interventions would have a sizeable impact on slowing down forest depletion, if not reversing it in some locations<sup>52</sup>. The revised logframe from April 2006 did not include this purpose explicitly, but had a number of verifiable performance indicators, under community development in forest areas (e.g. number of wildlife species maintained or increased, per cent of Village Resource Management Committees applying early burning in surrounding forest, 5 households using fire wood for conserving technologies). From the documentation that the PPA mission was presented there has been no systematic monitoring of these indicators or on any other issues related to the natural resources and environment.
90. The PCR acknowledged that shifting cultivation remains the main method of growing food but that it has minimal effect on the forest resources due to the sparse population. Field visits and discussions with Forestry Officers suggest a different picture. The PPA mission noted that despite the sparse population coverage, and in spite of the new production technology supported by government, and seed and fertilizer subsidies, soils are still heavily leached and the movement of fields and settlements is, and will be, occasioned by the exhaustion of suitable woodland for cutting and burning.
91. The PCR further states that FRMP did not in any way contribute to natural resource over exploitation. However, it would appear that natural resource conservation on the other hand was not actively promoted as had been the original purpose. The project's main contribution on this relates to awareness creation and the development of two Joint Forest Management Plans.
92. No M&E of the capacity built was undertaken, but from the PPA discussions with beneficiaries, it is clear awareness on natural resource management has been created. Many, however, felt that the principles remain challenging to implement. An illustration of this is that the two Joint Forest Management plans developed are not being enforced due to lack of resources.
93. Although the FRMP did not explicitly mention climate change mitigation as one of its objectives, indirectly the project design was positively contributing to enhancement of the forest stock by supporting better management of forest resources thereby addressing climate change by enhancing the carbon sink.
94. While the project has contributed to creating awareness of the issues in the communities which is an important first step in changing habits and attitudes, it seems unlikely that the project would have contributed significantly to reversing the on-going trend of forest degradation. The rating for this criteria is therefore 3 (moderately unsatisfactory).

### **Institutions and policies**

95. The preparation of FRMP proceeded in parallel with the Government of Zambia's new environmental policy reforms, which aimed to revise legislative frameworks and institutional set-ups for the sector. According to the MTR the rationale for IFAD to support sector reform was appropriate and a sector approach, rather than a stand-alone project approach, was expected to bring about other positive

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<sup>52</sup> Forest Resource Management Project – Post Appraisal Report, 1999.

outcomes that were not specifically addressed in the Post Appraisal Report. Although FRMP did not have any specific ambitions in terms of finalising the draft Forest Bill of 1999 or the establishment of Zambia Forest Commission the project was seen as the launch project for Zambia Forest Commission that would introduce effective, market based approach and greater stakeholder involvement. In the event, the project in itself was not able to spearhead this process, which stalled early on, and to date remains unresolved.

96. The severe delays in developing Joint Forest Management guidelines had, according to the MTR, in turn affected the willingness of communities to enter into any Joint Forest Management agreements. As the FRMP had no stated objectives in this regard IFAD cannot be held accountable for this and it could be argued that the legislative, regulatory and institutional issues were beyond the control of the project. However, the MTR recommended that continued support to the reform of the sector through a process of dialogue and debate should be provided by FRMP. There is no evidence of this taking place. This may have presented a missed opportunity for IFAD to reorient the Forestry Department's and the Ministry of Tourism Environment and Natural Resource's existing policies, by-laws, regulations and decentralisation policies in favour of the poor. This argument should be seen in light of the Country Strategic Opportunities Programme (1998) which mentions that land tenure issues should be an area of policy dialogue with the Government.
97. Institution building has already been covered in paragraph 55 and 73-76 and was overall not successful.
98. The domain of "institutions and policies" had a less than remarkable impact as the FRMP's contribution to developing national regulatory frameworks and institutions was limited. The rating is moderately unsatisfactory (3).
99. **Overall rating for rural poverty impact.** In sum, based on data in the impact assessment and PCR , as well as further information collected during the field visit, the PPA rates the overall poverty impact of FRMP as 3 (moderately unsatisfactory), pulled up by, in particular, the achievements in human and social capital and empowerment.

## C. Other performance criteria

### Sustainability

100. The concept of sustainability focuses on the likelihood of the benefit streams generated by the investment to continue after the project closure.
101. The objective of creating **robust institutions** was affected by the legal context (see paragraph 46), which in turn made some of the groups promoted by the project irrelevant (e.g. ARMCS and Village Resource Management Committees). This in turn impacted on the communities' commitment to their continuance. In addition, the sustainability of the supported beneficiary organizations was affected by the availability of human and financial resources to continue the activities of the FRMP (e.g. implementing the Joint Forest Management plans by ensuring patrolling of the forest). The PPA mission did not come across any signs of the District councils taking up this responsibility and allocating sufficient resources.
102. With respect to the **feeder roads** the absence of funds and reliable mechanisms for road maintenance, limit the sustainability of these investments. The communities have not been trained in maintenance and the Road Development Agency, which now has the national responsibility for all public roads, is not well placed to deal with remote feeder roads. Given the District Councils resource constraints the sustainability of the feeder road component is questionable.
103. For the **income generating activities**, the key questions regarding their sustainability include the following: Will the groups and community based institutions be financially self-sustaining and even improve their capital base? Will



the Producer Groups continue to be managed efficiently and will they continue to offer the services rendered during the implementation phase of the FRMP? Are Producer Groups and Marketing Associations likely to introduce and promote new products as demand unfolds? There is no single answer to these questions. Performance and success rates have been varied. However, the PPA noted that among the communities visited a very small percentage of the groups formed are still in existence and working successfully of which the beekeeping groups are the most likely to be sustained.

104. The single most critical factor in ensuring the sustainability of the SIG relates to the development of market linkages between the producers and the various markets. The efforts to ensure this were too little, too late. In addition, the sustainability of this component was dependent on marketing margins and, in particular, the costs of transportation. Transport costs in Zambia are notoriously high and constitute between 60 and 70 per cent of marketing costs. For example, a bamboo mat producer in Mwense spends ZMK700,000 to transport a bundle of 250-300 mats from Mwense to Lusaka. This figure constitutes some 67 per cent of the producers total marketing costs of ZMK1,050,000. Given the high transport costs from the rural areas, the prospects of sustainability are of concern.
105. Other aspects of sustainability that are of concern include that the supported groups were insufficiently prepared or "solid enough" to stand on their own without the continued support of government or other externally funded programmes. After discussions with various beneficiary groups, the PPA noted that all the beneficiary groups are by nature private enterprises and that a certain level of "group mortality rate" is accepted at the end of the project. However, neither the design nor the evaluation guidelines, provide for any benchmarks for defining satisfactory survival rates. For example, the nature and extent of the "group mortality rate" in most was closely linked to the promise of loans rather than to the genuine interest of the groups in forest-based income generating activities.
106. As alluded to earlier, at the district level, sustainability is and will continue to be affected by the degree to which the Forestry Department and the District Councils would take up the FRMP's responsibilities and adopt the FRMP model. Regrettably, the PPA mission did not encounter any encouraging examples of how the Forestry Department or the District Councils would allocate resources and undertake capacity building programmes after the FRMP had been prematurely closed.
107. The prospects of institutional sustainability of the FRMP's beneficiary groups are of concern. On the positive side, the PPA noted that there are still some groups, albeit very few, that have formal structures with democratically elected office bearers in place. While the elected members understand their roles and specific functions, there is no genuine commitment by elected committee members to enhance the sustainability of their groups.
108. The PPA mission notes that sustainability prospects for the IFAD investments made in the FRMP are weak. Despite attempts by IFAD to obtain assurances from government to support the project, the long term sustainability of the FRMP has been constrained by government's reluctance to integrate the activities of the project into their annual budget and maintenance programmes. Based on the above, the sustainability of the FRMP is rated as unsatisfactory (2).

### **Innovation and scaling up**

109. **Innovation.** The appraisal report states that one of the project's innovative features would be its "low profile" and the use of contracted NGOs as the principal implementing partners. In addition, the project would be administered by a small and lean PFU that would generate and manage the Contracted Agencies and would be a supernumerary and temporary agency of the Ministry of Tourism Environment and Natural Resources. According to the PCR, the FRMP introduced a number of interventions in the Working Areas, most of which relate to institutional processes

and participatory approaches. The PCR notes that the most outstanding innovation was the mobilisation of communities in the Working Areas into Producer Groups, beekeeping interventions, mushroom processing, rattan and chikanda propagation. It is further highlighted that some of the activities initiated by FRMP were established in the Working Areas for the very first time, making an impact in a short time, under strenuous working arrangements.

110. According to IFAD's evaluation methodology, the term "innovation" is defined as "a process that adds value or solves a problem in new ways". To qualify as an innovation, a product, idea, or approach needs to be new to its context and needs to be useful and cost-effective in relation to a goal and be able to "stick" after pilot testing". The PPA mission notes that participatory approaches and the mobilisation of communities are not new concepts to the rural areas of Zambia. These concepts were introduced in the late 1960's when the cooperatives were used as a tool for mobilising communities. Neither is the use of NGOs by donors and government a new "innovation" to Zambia. What is innovative, however, is the use of an "output-based" performance contract between government and a local and international NGO that is aimed at increasing the efficiency of service delivery of infrastructure and social services. The overarching goal of performance-based contracts is to ensure that the contacted NGOs channel funds in a way that provides incentives for improving the delivery of services to the intended target group. The FRMP had the hallmarks of an output-based performance contractual arrangement with the Contracted Agencies although the application was poorly designed.
111. **Scaling up.** The PCR observes that the beekeeping stands out as a viable economic venture that can be replicated in other areas, and that the construction of honey cottages as bulking centres, will go a long way in promoting the packaging standards and establish proper and dependable marketing strategies.
112. The PCR also mentions that processing and packaging of non-wood forest production obtained from the forest production free of charge is another innovation that can be replicated in other areas. However, some modification would be needed regarding the selection of packaging materials for honey to figure out the next steps in the development process. The mission did not come across sufficient evidence to suggest that this would be viable to up-scale or that this has indeed taken place.
113. Overall, the main innovation that the project introduced relates to the institutional set up as said above. This set up though, did not provide successes for scaling up. However, it did provide some useful lessons. The PPA mission's view is that the FRMP was an important stepping-stone in conceptualizing and implementing the government's agenda for introducing Public Private Partnerships. There are several advantages that the Public Private Partnerships approach can bring to forestry operations and management. Business and NGOs can provide financial and technical resources and expertise that would not otherwise be available in the sector. Another advantage of the Public Private Partnerships concept is that the private sector may be more successful in providing the marketing and operational expertise necessary to compete in the highly competitive market place. The first lesson learned is that the availability of qualified and locally-based partner agencies in remote areas is limited. The second lesson is that use of partner agencies from outside can be very costly and beyond the financial capacity of government and, in particular, the District Councils. Overall the rating for innovation and scaling up is rated as moderately unsatisfactory (3).

### **Gender and women's empowerment**

114. The loan agreement specified that the government should ensure that women were represented in all project activities and that they received appropriate benefit from the project outputs (1999). Specific promotional activities for women were anchored in the sustainable income generation component and involved promotion

of village top-bar hive technology which was to target 300 females in North-Western Province. The loan agreement mentioned that, wherever relevant, gender specific data would be collected. This appears to have taken place to some extent (e.g. number of women who participated in training). However no specific gender related targets or indicators were formulated. According to the PCR, the project benefited 22,444 women<sup>53</sup> (16 per cent) out of a total of 135,000<sup>54</sup> beneficiaries this figure does not point to special emphasis of women headed households or mainstreaming of women into all project activities.

115. The following paragraphs provide a more detailed assessment of the FRMP against IFAD's three corporate gender objectives, namely: (i) expand women's access to and control over fundamental assets such as capital, land, knowledge and technologies; (ii) strengthen women's agencies – their decision-making role in community affairs and representation in local institutions; and (iii) improve women's well-being and ease their workloads by facilitating access to basic rural services and infrastructure.
116. With regard to the first corporate gender objective, the Irish grant enabled the establishment of a number of bee keeping women's groups benefitting a total 6,105 women.<sup>55</sup> This activity helped break down some of the social norms related to beekeeping.<sup>56</sup> Furthermore, the 2007 supervision report noted that, this activity benefitted women by enabling them to buy honey from others and selling it on. This activity, had the potential of reducing women's dependence on their husbands for basic needs, and increase their responsibilities in their homes and communities as it allowed women to manage money and have greater control over their financial resources. From the small sample<sup>57</sup> that the mission visited it was apparent that many of the women's groups are no longer functioning. However, it would appear that some women are still producing honey on an individual basis. The PCR reported that women's incomes at household level had greatly improved but refrained from providing any supporting figures and the mission did not see any evidence of this. The project also introduced other activities, such as tie and dye, which were more traditionally women's activities however from the mission's observations it is clear that these have not taken off in any great scale due to market constraints. From the discussions held with the community members it seems that the project had been successful in introducing knowledge of new technologies and the women met by the mission spoke confidently about these.
117. With regard to the second corporate gender objective, the Impact Assessment (2007) noted that ...*"women are fairly represented in community governance structures including Producer Groups, Executive Committees, Village Resource Management Committees, ARMCs and marketing associations"*.<sup>58</sup> The mission observed that most of these groups had dissolved but that women had played a role while they were active. Women appear to have been represented in most committees, though they were generally fewer in numbers and remained overshadowed by men when it came to making presentations or during discussions.<sup>59</sup>
118. IFAD's third corporate objective is to improve women's well-being and ease their workloads by facilitating access to basic rural services and infrastructure. The

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<sup>53</sup> It is not clear whether this figure includes indirect beneficiaries.

<sup>54</sup> Including 5600 indirect beneficiaries.

<sup>55</sup> PCR annex V.

<sup>56</sup> More specifically the 2004 supervision report mentioned that certain norms were broken as a result of the project in terms of how bee-keeping was viewed which was traditionally a man's business. More specifically, the introduction of top bar hives did not require women to climb up the tree as was the case with the traditional hives and considered inappropriate for women.

<sup>57</sup> The mission visited the following communities in the North-Western Province: Kikonge Working Area (WA), Shilenda WA, Lubunda WA, and Matanda WA.

<sup>58</sup> Page 18.

<sup>59</sup> Supervision report, 2006.

FRMP-supported social infrastructure, namely schools and in particular health facilities contributed to improving women's access to primary health facilities. However, these facilities did not directly ease their workloads. Nor did they help reduce the time spent on travel for domestic tasks (i.e. collecting water and firewood, trips to the grinding mill to produce flour for domestic consumption and to local markets, etc.).

119. Overall, FRMP provided opportunities for women members to manage money and have greater control over resources and access to knowledge. This in turn had the potential of giving the women a greater voice in family matters accompanied by growth in self-esteem and self-confidence. In this way, the programme was responsive to balancing the traditional gender roles within the target communities in line with Millennium Development Goal number 3.<sup>60</sup> However, the lack of concrete targets and indicators makes it difficult to assess the scale at which this was happening. In view of the above and the low percentage of women reached by the project as reported in the PCR gender equality and women's empowerment is assessed as only moderately satisfactory (4).

## **D. Performance of partners**

### **IFAD**

120. Although the PCR does not specifically address IFAD's performance, discussions with various stakeholders suggest that there were a number of strengths and weaknesses in IFAD's performance. Some of IFAD's strengths were the hosting of a number of consultative stakeholder workshops during the preparatory phase of the project design. IFAD also sought to incorporate lessons learned from IFAD supported projects in Zambia. For example, lessons learned from the Smallholder Services Rehabilitation Project and Phase II of the North Western Province Area Development Project provided realistic insights into the constraints and opportunities related to production promotion, group formation and the provision of credit in marginal agro-economic conditions.
121. IFAD took action to ensure the implementation of the recommendations of the four (4) supervision missions and one (1) implementation support and follow-up mission.
122. IFAD's performance had a number of shortcomings. First, given the long project formulation phase and the disagreements between IFAD and GRZ at design stage it may be considered too risky an approach for IFAD to have embarked on a project which lay outside of IFAD's main expertise and dealt with a new administration in a Ministry that had not previously executed an IFAD project. IFAD may be criticised for applying a design that spread the relatively limited resources over a vast geographical area. This resulted in high delivery costs. The MTR indicates that IFAD should have been more proactive in insisting on a budget revision as the expenditures of PFU rose. It furthermore notes that, while no individual, or agency, can be held entirely responsible for the over expenditure, it reflects a degree of collective irresponsibility and poor institutional design. The mission had access to two Project Status Reports from 2007 and 2009. The first report did not include a section on risk and in the 2009 report this criteria was not reported on. There are indications that IFAD was aware of the problematic project implementation and took some remedial action albeit possibly too late to have a real effect. For example the mid-term review considered the possibility of recommending closure, but in the end this route was not taken.<sup>61</sup> Two supervision missions were organised

<sup>60</sup> According to the Zambia Millennium Development Goals Progress Report (2011), acceleration is required for Zambia to reach its goals for MDG 3 in 2015.

<sup>61</sup> The main reasons being that feeder roads rehabilitation and social infrastructure development were judged to be progressing well, and that the project could make much more progress in improving the marketing of bee products, the forest resource-based products with the highest potential (Office Memorandum 19 January 2007).

following the MTR. The first seeking to assist GRZ to plan follow-up to the mid-term review and prepare a budget, the second to review implementation progress focusing mainly on social infrastructure development and sustainable income generation.

123. The project design also included inadequate logical frameworks and overly optimistic assumptions about the capacity of beneficiaries and partner organizations. The overly optimistic estimation of community interest and commitment to joint forest management and income generating activities affected the FRMP's ability to achieve sustainable results. Finally, the problematic design phase suggests that despite attempts on IFAD's part to create ownership of the project this was not entirely successful. IFAD must take much of the responsibility for the weak project design. Overall, IFAD performed moderately unsatisfactory (3).

### **Government**

124. According to the PCR the Government of Zambia made a total contribution of US\$1,997,618 to the project. Of this figure, taxes amounted to US\$1,416,170 whilst cash contributions amounted to US\$581,707. Government's contribution was 124.47 per cent above the amount initially agreed upon at project appraisal. The PCR does not provide further analysis of this aspect.
125. Although the Government's contribution at 124.47 per cent was above the US\$889,914 that was initially agreed, the PPA mission rates Government's overall performance as unsatisfactory. There are several reasons for this rating. According to the MTR, Government did not deliver in terms of creating a legislative, institutional and policy framework that would be conducive to poverty reduction through the use of forest resources. Similarly, Government did not drive the implementation process towards agreed targets. According to the PSR the Ministry of Tourism, Environment and Natural Resources did not facilitate implementation of the MTR recommendations nor did the Ministry observe some of the loan covenants in a satisfactory manner.
126. Over the implementation period, the PSRs indicated that performance rating of the FRMP was hampered by moderate problems in the technical, managerial and financial arenas. Problems occurred in the disbursement of funds, in the procurement of project assets and in project staffing. For example, the lack of professional staff at the PFU had a severe impact on the implementation of the project. Delays and, in some cases, the non-responsiveness of the PFU to certain aspects of project implementation affected the performance of the project. In addition, the quality of facilitation and cooperation from the PFU was a source of concern which in turn affected the operations of the Contracted Agencies.
127. Overall, Government monitoring was inconsistent for much of the project's implementation period. There was also concern with regard to capacity and performance of both the PFU and the Forestry Department with regard to data collection and reporting at headquarters. Given the above, the Government's performance is rated as unsatisfactory (2).

### Key points

- The relevance, effectiveness and efficiency of the project are rated as unsatisfactory pulled down in particular by project design weaknesses, the level of achievements of the project objectives and the administrative costs and the overall cost overruns.
- The rural poverty impact is rated as moderately unsatisfactory pulled up in particular by the achievements in human and social capital.
- Sustainability is rated as unsatisfactory. The level of ownership by the local population and the financial sustainability of the project are low. While the maintenance of the schools has been secured through the PTAs and the health clinics through the Ministry of Health, the O&M for roads remains a challenge.
- IFAD's performance is rated as moderately unsatisfactory because of design weaknesses and insufficient follow up whereas the Government's performance is unsatisfactory.

## E. Overall project achievement

128. The project impact was weak overall. The project was only implemented in half of the targeted areas and impacted on very few people. It did not have the expected impact in terms of regulating the use of forest resources neither did it have the expected impact in terms of creating income generating activities. The fact that one credit line never started seriously impeded the impact of the income generating activities and put into question the validity of the initial capacity building effort that for many beneficiaries could not be put into practice because of lack of seed funding to start their own businesses or upscale their production. The overall project achievement rating is unsatisfactory (2). In giving this rating the evaluators have benefitted from reviewing the project four years after its closure and made an overall judgement based also on the fact that all PPA ratings for the evaluation criteria covered are either moderately unsatisfactory or unsatisfactory, apart from gender which is merely moderately satisfactory.

## IV. Conclusions and recommendations

### A. Conclusions

129. The following are the key issues emerging from the evaluation of the FRMP.
130. **An uncertain policy framework and design weaknesses.** The FRMP was formulated and implemented in an environment that was wrought with legislative, policy and institutional constraints. As a result of Government's failure to establish the Zambia Forest Commission, the proposed institutional framework for implementing the FRMP was flawed as it had no legal authority to implement the FRMP under the National Forest Policy or the Zambia Forestry Action Plan. To attempt to strengthen the linkages between forestry and poverty alleviation by engaging in an ambitious project such as the FRMP without having a mitigation strategy and with the legislative, policy and institutional framework in the forestry sector in disarray was too risky a venture for both IFAD and the Government (paragraph 46).
131. A key design feature of the FRMP was the need to increase the incomes of poor people who depended upon the exploitation of forest resources. In seeking to achieve this goal, the design team underestimated the challenge of establishing or promoting viable forest-based enterprises. An important element that was missing in the design of the project was the need to develop value chains for the forest-based products (paragraph 49).
132. The pro-poor criteria were not sufficient to optimise poverty reduction. In supporting forest-based microenterprise development, there is a difficult choice between the approach of targeting those with a high probability of succeeding as



microenterprises and the approach of addressing the needs of all and sundry even though the likelihood for success is limited or poses significant challenges of sustainability. The FRMP design team applied the latter approach. This approach is consistent with IFAD's targeting goals that attempt to reach out to groups in difficult and remote geographical locations.<sup>62</sup>

133. Whilst IFAD's targeting approach has social justification, this approach leaves producers, microprocessors and microenterprises with very bleak prospects of sustainability (paragraph 51).
134. The FRMP did not have a national coverage. However, the project targeted a vast geographical area. Given the relatively limited project budget, IFAD support could only address selected needs of the beneficiaries. The rationale for the ambitious area coverage was to reach as many poor people as possible. Both the North Western and the Luapula Provinces had population densities of 4.6 and 15.3 persons per square kilometre, respectively at the time of the project's formulation. The downside of this design approach was that the project delivery costs increased markedly (paragraph 50).
135. **FRMP was neither effective nor efficient in reaching its objectives.** Due to various delays, funding cuts and poor implementation the project's effectiveness was low. FRMP incurred management cost over runs of 293 per cent and as a result of weak management the project was cut short by one year. Except for very few exceptions (e.g. beekeeping), most of the targets were not reached. The project ended up being implemented in only 28 of the planned 70 Working Areas and overall only 40 per cent of its targeted activities were reached. The non-viability of certain activities as well as the non-activation of the rural finance component hindered the leap from training to actual production with very limited results in terms of improved incomes and assets. The social infrastructure targets were not met leading to non-fulfilment of beneficiary expectations. (paragraphs 69, 82).
136. **The institutional set up was new but in line with the current thinking of the time.** The institutional framework was prepared at a time when there were wide scale policy changes in Government of Zambia when the emphasis of the new government and donors was on reducing dependence on line agencies of government and increasing the role of the private sector. Given that the Forestry Department was relatively inexperienced in managing large and complex projects this was perhaps not the right Ministry to test such an approach. To some extent the approach resulted in lack of ownership of the project by the Forestry Department. On the other hand the FRMP institutional set up was an important stepping stone in conceptualizing and implementing the government's agenda for introducing Public Private Partnerships (paragraph 116).
137. **Concerns about sustainability.** The sustainability of FRMP suffered from not having the right kind of institutional framework in place and hence the benefits of the Joint Forest Management plans were only implemented in two Working Areas and not sustained. In addition the incentives for a large part of the beneficiaries were not sufficient for them to continue with their income generating activities post project. This was in part due to limited market opportunities and the non-implementation of the rural finance subcomponent. Currently, no maintenance is taking place of the roads (paragraph 107-111).
138. **M&E remained a weak point throughout the duration of the project.** The information collected was not easily aggregated and made it difficult to quantify the incremental impacts that could reliably be attributed to the project despite several attempts to ensure this (paragraphs 21--23, 95).

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<sup>62</sup> IFAD Targeting Policy, Reaching the Rural Poor, 2006.

## B. Recommendations

139. This section gives a number of broad recommendations on important issues for future IFAD operations in Zambia.

**Recommendation 1: Project design must be based on realistic institutional foundations**

140. In the case of FRMP the institutional and legal context that had been foreseen never materialised which seriously hindered the achievement of the main objectives. IFAD should refrain from embarking on projects which have as their corner stone a proposed institutional structure until that is in place Paragraph 136).

**Recommendation 2: Income generating projects must be based on activities that have proven technical and commercial potential**

141. An important finding which was highlighted in the MTR, but was valid at the end of the project as well, was that individuals and groups will only adopt income generating activities on a sustainable basis if the activities are commercially and technically attractive. With the exception of beekeeping and a few localised products like Chikanda none of the products promoted under the Project have been adopted on any significant scale. It is raising false hopes to promote products that prove to be commercially non-viable. Future projects should ensure that:
- a. Cost-benefit and value chain analyses during the project design process are undertaken;
  - b. The private sector stakeholders familiar with the particular activities are involved in implementation from start in order to ensure that the project has solid technical and commercial foundations; and
  - c. Due attention must be given to facilitating market linkages (paragraph 137).

**Recommendation 3: Ensure that the institutional framework is owned by the government by ensuring that the design process is undertaken in an inclusive partnership and providing appropriate support and capacity building**

142. Whilst the FRMP sought to respond to the general trend of private sector involvement and decentralisation in its institutional framework this set up was not fully owned by the government, who felt the project should more appropriately have been placed with them. In order for an innovative framework to work it should be accompanied by appropriate support and capacity building for all the stakeholders. In the case of FRMP the Forestry Department should have had more support in overseeing and monitoring the project activities, including appropriate resources to carry out its duties properly (paragraph 142).
143. **Recommendation 4: Improve M&E system design and functionality.** Despite attempts to create impact data the FRMP M&E system had some constraints which characterise IFAD M&E systems generally.<sup>63</sup> These related to limited scope of the data (focusing on activity and output level), excessive complexity (about 280 indicators), low data quality (inaccuracies) and weak institutional capacity. In order to address these issues IFAD should apply a two pronged strategy where the right data is collected coupled with continued support by IFAD to address project management competencies in all processes related to M&E (data collection, analysis, reporting etc.). This may require IFAD to consider providing more proactive support in these areas (as has been the case for financial management and loan administration) (paragraph 144).

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<sup>63</sup> Annual Report on Results and Impact of IFAD Operations, 2008.

## Rating comparison

<i>Criteria</i>	<i>PMD ratings<sup>a</sup></i>	<i>PPA rating<sup>a</sup></i>	<i>Rating disconnect</i>
<b>Project performance</b>			
Relevance	3.5	3	-0.5
Effectiveness	3	2	-1
Efficiency	2	2	0
<b>Project performance<sup>b</sup></b>	3	2.3	-0.7
<b>Rural poverty impact</b>			
Household income and assets	2	2	0
Human and social capital and empowerment	3	3	0
Food security and agricultural productivity	3	2	-1
Natural resources, environment and climate change	4	3	-1
Institutions and policies	3	3	0
Rural poverty impact <sup>c</sup>	3	3	0
<b>Other performance criteria</b>			
Sustainability	4	2	-2
Innovation and scaling up	4	3	-1
Gender equality and women's empowerment	4	4	0
Overall project achievement <sup>d</sup>	3	2	-1
<b>Performance of partners<sup>e</sup></b>			
IFAD	3	3	0
Government	3	2	-1
Average net disconnect			-0.58

<sup>a</sup> Rating scale: 1 = highly unsatisfactory; 2 = unsatisfactory; 3 = moderately unsatisfactory; 4 = moderately satisfactory; 5 = satisfactory; 6 = highly satisfactory; n.a. = not applicable.

<sup>b</sup> Arithmetic average of ratings for relevance, effectiveness and efficiency.

<sup>c</sup> This is not an average of ratings of individual impact domains.

<sup>d</sup> This is not an average of ratings of individual evaluation criteria but an overarching assessment of the project, drawing upon the rating for relevance, effectiveness, efficiency, rural poverty impact, sustainability, innovation and scaling up, and gender.

<sup>e</sup> The rating for partners' performance is not a component of the overall assessment.

## Basic project data

			Approval (US\$ m)		Actual (US\$ m)	
Region	East and Southern Africa	Total project costs	15.995		12.092	
Country	Republic of Zambia	IFAD loan and % of total	12.633	79%	12.651 (PCR p. 2)	79%
Loan number	ZM-520	Borrower	0.908	5.7%	1.997 (PCR p. 28) 0.582 (PCR p. 16)	16.5% or 4.8%
Type of project	Agricultural development	Beneficiaries	0.641	4%	1.50 (PCR p. 16)	12.4%
Financing type	F	Cofinancier: German Development Service (DED)	1.689	10.6%	0.599	5.0%
Lending terms	Highly concessional	Cofinancier: Republic of Ireland (DCI)	0.123	0.7%	0.60	5.0%
Date of approval	09/12/1999	Cofinancier				
Date of loan signature	16/02/2000	Cofinancier				
Date of effectiveness	26/06/2002	Other sources	None		None	
Loan amendments	One <sup>A</sup>	Number of beneficiaries	40,000 (direct) households		40,000 (direct) households (PPMS) 106 956 (PCR)	
Loan closure extensions	None <sup>B</sup>	Cooperating institution	UNOPS		UNOPS	
Country programme managers	Six <sup>C</sup>	Loan closing date	31/12/2008		31/12/2007	
Regional director(s)	Three <sup>D</sup>	Mid-Term Review	June 2005		29/10/2005	
PCR reviewer	Catrina Perch	IFAD loan disbursement at project completion (%)			82%	
PCR quality control panel	Anne Marie Lambert	Date of PCR			15/12/2008	

Sources: Report and Recommendation of the President EB 99/68/R.21/Rev.1, Project Completion Report, Project Status Report (PSR), Project and Portfolio Management System (PPMS), and Loans and Grants System (LGS).

<sup>a</sup> Loan amendment dated 26/01/2007.

<sup>b</sup> Following a recommendation of the MTR the project span was shortened from the original date of December 2008 to December 2007. Reference is made to loan amendment dated 26/01/2007.

<sup>c</sup> C. Ferreira (current Country Programme Manager since 18/02/2008, J. Sorensen from 16/09/2002 to 18/02/2008, M. Bradley from 10/10/2001 to 16/09/2002, David e Silva from 08/02/1999 to 10/10/2001, Faisal from 07/05/1998 to 08/02/1999 and Young from 11/04/1997 to 07/05/1998.

<sup>d</sup> I. de Willebois, G. Howe, J. Yayock (Interim Director).

## Terms of Reference

### Mr. Denis Wood, Team Leader (Consultant)

#### I. Background

1. The IFAD-supported Forest Resource Management Project (FRMP) in the Republic of Zambia has been selected to be covered by a Project Completion Report Validation (PCRV) and a subsequent Project Performance Assessment (PPA).
2. The overall objectives of the PPA are to further validate the main findings of the PCRV and provide additional independent evidence on major information gaps, inconsistencies and analytical weaknesses of the PCR. A mission is scheduled to Zambia from 6 November to 20 November 2011 and will include a programme of field visits to FRMP sites, interaction with the Government authorities, beneficiaries and other key informants. An Approach Paper highlighting the PPA specific objectives, methodology and process has been developed and provides the framework in which current terms of reference fit.

#### II. Tasks

3. Mr Denis Wood (hereafter referred to as the Consultant), will support the Independent Office of Evaluation of IFAD (IOE) in the above-mentioned PPA under the overall supervision of Ms Catrina Perch, IOE Evaluation Officer and Lead Evaluator.
4. The Consultant will review the PCRV and other relevant documentation available and contribute to the design of the main mission (development of evaluation framework) as well as other preparatory work. In collaboration with the Lead Evaluator, it may be decided that prior to the mission, additional information may need to be collected through phone interviews or other.
5. The Consultant will join the PPA mission to Zambia and will participate in meetings with representatives of the Government, donor organizations, project management, and beneficiaries, as well as with other people and organizations concerned. At the beginning of the mission, the Consultant will participate in a working session with Ms Catrina Perch to clarify the evaluation objectives, the methodology, data collection methods, mission organization and expected deliverables.
6. During the mission, the Consultant will in particular focus on the issues identified by the PCRV, as summarised in the Approach Paper. The Consultant will provide inputs to the assessment of specific evaluation criteria, as per IOE Evaluation Manual (relevance, effectiveness, efficiency, rural poverty impact, etc.) and the proposed annotated table of contents presented in annex 1 of the Approach Paper.
7. Annex 3 of the Approach Paper illustrates how the tasks will be distributed between the lead evaluator and the Consultant. This may be refined further during the mission.
8. The Consultant will review the data generated by the project and where possible complement with existing studies and available literature. Field work will further complement secondary sources with direct observation and interview with individuals and groups of beneficiaries and service providers. In this context, it is recommended to make use of short and simple questionnaires and checklists for interviews. Those will be elaborated in consultation with the Lead Evaluator before the mission.
9. Towards the end of the mission, the Consultant will provide written inputs to the report along the lines agreed with the Lead Evaluator at the beginning of the evaluation process (based on the annotated table of contents provided in annex 1 of the Approach Paper). Moreover, the Consultant will prepare a PowerPoint

presentation summarising the preliminary evaluation findings to be presented at a wrap-up meeting before the departure of the PPA team.

10. More particularly the Consultant will:

- a) Assess the *relevance* of the project, with particular reference to the projects implementation strategy and its relevance to the needs of the poor.
- b) Review the overall project efficiency paying particular attention to the institutional set-up and the related overhead costs.
- c) Review the effectiveness of the project in achieving its objectives.
- d) Drawing on the Project Impact Assessment and the project completion report and any additional information obtained via interviews, review the impact of the project on agricultural productivity, food security, household productive and financial assets, and agricultural institutions and policies. In doing so review the quality of project M&E data on outputs and outcomes.
- e) In collaboration with the lead evaluator review the sustainability of project outcomes and impact including supporting factors or threats.

### III. Deliverables

11. For this assignment, the Consultant is expected to deliver the following:

- (i) Before the mission: commenting on the Approach Paper, contributing to the elaboration of the Evaluation Framework and the establishment of the mission schedule;
- (ii) During the mission: providing write ups to the report along the lines agreed with the Lead Evaluator, drafting initial conclusions and recommendations, prepare in close collaboration with the Lead Evaluator the wrap-up presentation to the Government on the mission findings and strategic issues;
- (iii) After the mission: draft final report and support the Lead Evaluator throughout the review process.

### IV. Time line

12. A total of 27 days are allocated for undertaking this assignment within the period from 3 November to 29 February 2012.
13. During the report writing phase, permanent communication will be ensured between the Lead Evaluator and the Consultant to exchange on progress made against the agreed annotated table of contents. The Consultant's draft final report will be emailed to the Lead Evaluator by 2 December 2011. The Lead Evaluator will be overall responsible for the PPA contents and process in line with the IFAD Evaluation Policy (2011).

### Ms Rose Fumpa Makano, Team Member (Consultant)

#### V. Context and objectives of the evaluation

14. The Peer Review of the Independent Office of Evaluation of IFAD (IOE), conducted by the Evaluation Cooperation Group (ECG) in 2010, recommended IOE to transform its approach to project evaluations by undertaking Project Completion Report Validations (PCRVR) and a limited number of Project Performance Assessments (PPA).
15. The PPA is a concise form of project-level evaluation. It is conducted as a next step after a PCRVR. The PCRVR consists of a desk review of the project completion report (PCR) and other available reports and documents. A PPA includes country visits in order to complement the PCRVR findings and fill in selected knowledge and information gaps identified in the PCRVR. The purpose of the PPA is in particular to shed light on selected features of project implementation and results that were not



adequately analysed in the PCR. As the PCR, the PPA applies the evaluation criteria outlined in the IOE Evaluation Manual<sup>1</sup> and the added evaluation criteria.<sup>2</sup>

16. The IFAD-supported Forest Resource Management Project (FRMP) in the Republic of Zambia has been selected to be covered by a PCR and a subsequent PPA. This approach paper covers the methodology and the process for the PPA.

## **VI. The assignment**

17. Rose Makano (hereafter referred to as the Consultant) will co-operate as the Institutions Specialist with the Independent Office of Evaluation of IFAD (IOE) in the above assessment under the supervision of Ms Catrina Perch, IOE
18. At the beginning of the main evaluation mission, the Consultant will participate in a session with team members to clarify the evaluation objectives, the methodology, data collection methods, mission organization and expected deliverables.
19. More specifically, drawing on the project documentation and any other relevant documents and discussions with the team the Consultant will be responsible for providing written inputs on the following main tasks:
  - a. Assess the relevance of the project design and strategy, including the realism of project objectives; the coherence between objectives, component outputs and activities; the allocation of financial resources between components; the scale of implementation; and any changes in the project/policy context during the period of implementation. In doing so, consider the assumptions of the project (e.g. anticipated institutional reform within the MTENR, that the forest is a virtually untapped resource for rural population).
  - b. Assist in analysing the implications of the strategy to implement the project through Cooperating Agencies and the effectiveness of the project management structures and processes.
  - c. Assist in analysing the projects objectives and impact on institutions and policies including the project's contribution in enhancing institutions in servicing the rural poor and reorienting the institutions' existing policies in favour of the poor.
  - d. Review and comment on the report.
20. The Consultant will review the data generated by the project and where possible complement with existing studies and available literature.
21. Towards the end of the Evaluation Mission, the Consultant will provide written inputs to the wrap up along the lines agreed with the Lead Evaluator at the beginning of the evaluation process.
22. After the end of the evaluation mission, the Consultant will deliver text and related tables for the main evaluation report, which presents in succinct form her analysis and findings in the areas assigned to her under paragraph 5 above The Consultant will also be responsible for revising the inputs based on the comments received from the Lead Evaluator and provide comments on the main evaluation report.

## **VII. Time line**

23. A total of 5 days are allocated for undertaking this assignment within the period 4 November – 5 December 2011. The assignment includes 2 days of preparatory work and reading of background documentation, 3 days for writing and reviewing of key deliverables including commenting on the main report. The consultant's contribution to the main evaluation report will be e-mailed to the Team Leader by 30 November 2011. Her comments on the full draft report will be sent to the Lead evaluator within two days of receipt of the report.

<sup>1</sup> IOE (2009). Evaluation Manual. Methodology and processes. Available on:

[http://www.ifad.org/evaluation/process\\_methodology/doc/manual.pdf](http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf).

<sup>2</sup> IFAD (2010). Expanding the Office of Evaluation's Evaluation Manual to include questions for assessing gender, climate change and scaling up. Available on: <http://www.ifad.org/gbdocs/eb/101/e/EB-2010-101-R-8.pdf>.

## Methodological note on project performance assessments

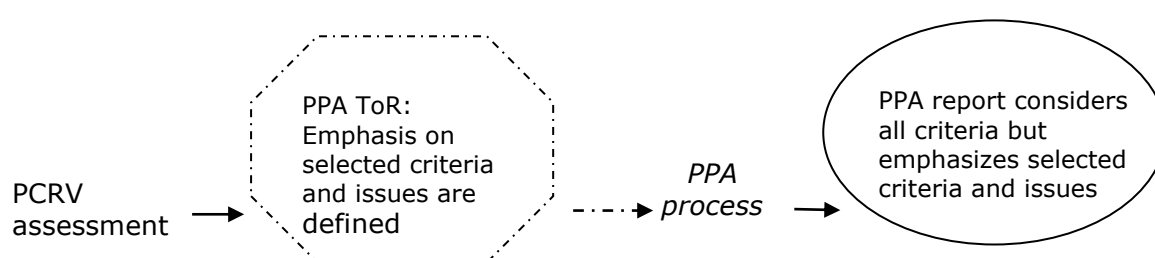
### A. What is a project performance assessment?<sup>1</sup>

1. The project performance assessment (PPA) conducted by the Independent Office of Evaluation of IFAD (IOE) entails one mission of 7-10 days<sup>2</sup> and two mission members<sup>3</sup>. PPAs are conducted on a sample of projects for which project completion reports have been validated by IOE, and take account of the following criteria (not mutually exclusive): (i) synergies with forthcoming or on-going IOE evaluations (e.g. CPEs or CLEs); (ii) major information gaps in PCRs; (iii) novel approaches; and (iv) geographic balance.
2. The objectives of the PPA are to: assess the results and impact of the project under consideration; and (ii) generate findings and recommendations for the design and implementation of on-going and future operations in the country involved. When the PPA is to be used as an input for a CPE, this should be reflected at the beginning of the report. The PPA is based on the project completion report validation (PCRv) results, further desk review, interviews at IFAD headquarters, and a dedicated mission to the country, to include meetings in the capital city and field visits. The scope of the PPA is set out in the respective terms of reference.

### B. Preparing a PPA

3. Based on the results of the PCRv, IOE prepares brief terms of reference (ToR) for the PPA in order to sharpen the focus of the exercise.<sup>4</sup> As in the case of PCRvs, PPAs do not attempt to respond to each and every question contained in the Evaluation Manual. Instead, they concentrate on the most salient facets of the criteria calling for PPA analysis, especially those not adequately explained in the PCRv.
4. When preparing a PPA, the emphasis placed on each evaluation criterion will depend both on the PCRv assessment and on findings that emerge during the PPA process. When a criterion or issue is not identified as problematic or in need of further investigation, and no additional information or evidence emerges during the PPA process, the PPA report will re-elaborate the PCRv findings.

#### Scope of the PPA



<sup>1</sup> Extract from the PCRv and PPA Guidelines.

<sup>2</sup> PPAs are to be conducted within a budget ceiling of US\$25,000.

<sup>3</sup> Typically, a PPA mission would be conducted by an IOE staff member with the support of a consultant (international or national). An additional (national) consultant may be recruited if required and feasible within the evaluation budget.

<sup>4</sup> Rather than an approach paper, IOE prepares terms of reference for PPAs. These terms of reference ensure coverage of information gaps, areas of focus identified through PCRvs and comments by the country programme manager, and will concentrate the PPA on those areas. The terms of reference will be included as an annex to the PPA.

## C. Evaluation criteria

5. The PPA is well suited to provide an informed summary assessment of project relevance. This includes assessing the relevance of project objectives and of design. While, at the design stage, project logical frameworks are sometimes succinct and sketchy, they do contain a number of (tacit) assumptions on mechanisms and processes expected to generate the final results. At the post-completion phase, and with the benefit of hindsight, it will be clearer to the evaluators which of these assumptions have proved to be realistic, and which did not hold up during implementation and why.
6. For example, the PPA of a project with a major agricultural marketing component may consider whether the project framework incorporated key information on the value chain. Did it investigate issues relating to input and output markets (distance, information, monopolistic power)? Did it make realistic assumptions on post-harvest conservation and losses? In such cases, staff responsible for the PPA will not be expected to conduct extensive market analyses, but might consider the different steps (e.g. production, processing, transportation, distribution, retail) involved and conduct interviews with selected actors along the value chain.
7. An assessment of effectiveness, the extent to which a project's overall objectives have been achieved, should be preferably made at project completion, when the components are expected to have been executed and all resources fully utilized. The PPA considers the overall objectives<sup>5</sup> set out in the final project design document and as modified during implementation. At the same time, it should be flexible enough to capture good performance or under-performance in areas that were not defined as an objective in the initial design but emerged during the course of implementation.
8. The PPA mission may interview farmers regarding an extension component, the objective of which was to diffuse a certain agricultural practice (say, adoption of a soil nutrient conservation technique). The purpose here would be to understand whether the farmers found it useful, to what extent they applied it and their perception of the results obtained. The PPA may look into reasons for the farmers' interest in new techniques, and into adoption rates. For example, was the extension message delivered through lectures? Did extension agents use audio-visual tools? Did extension agents engage farmers in interactive and participatory modules? These type of questions help illustrate *why* certain initiatives have been conducive (or not conducive) to obtaining the desired results.
9. The Evaluation Manual suggests methods for assessing efficiency, such as calculating the economic internal rate of return (EIRR),<sup>6</sup> estimating unit costs and comparing them with standards (cost-effectiveness approach), or addressing managerial aspects of efficiency (timely delivery of activities, respect of budget provisions). The documentation used in preparing the PCRV should normally provide sufficient evidence of delays and cost overruns and make it possible to explain why they happened.
10. As far as rural poverty impact is concerned, the following domains are contemplated in the Evaluation Manual: (a) household income and assets; (b) human and social capital and empowerment; (c) food security and agricultural

<sup>5</sup> Overall objectives will be considered as a reference for assessing effectiveness. However, these are not always stated clearly or consistent throughout the documentation. The assessment may be made by component if objectives are defined by components; however the evaluation will try to establish a correspondence between the overall objectives and outputs.

<sup>6</sup> Calculating an EIRR may be challenging for a PPA as it is time consuming and the required high quality data are often not available. The PPA may help verify whether some of the crucial assumptions for EIRR calculation are consistent with field observations. The mission may also help shed light on the cost-effectiveness aspects of efficiency, for example whether, in an irrigation project, a simple upgrade of traditional seasonal flood water canalization systems might have been an option, rather than investing on a complex irrigation system, when access to markets is seriously constrained.

productivity; (d) natural resources, the environment and climate change;<sup>7</sup> and (e) institutions and policies. As shown in past evaluations, IFAD-funded projects generally collect very little data on household or community-level impact indicators. Even when impact data are available, both their quality and the methodological rigour of impact assessments are still questionable. For example, although data report significant increases in household assets, these may be due to exogenous factors (e.g. falling prices of certain commodities; a general economic upturn; households receiving remittances), and not to the project.

11. PPAs may help address the “attribution issue” (i.e. establishing to what extent certain results are due to a development intervention rather than to exogenous factors) by:
  - (i) following the logical chain of the project, identifying key hypotheses and reassessing the plausibility chain; and
  - (ii) conducting interviews with non-beneficiaries sharing key characteristics (e.g. socio-economic status, livelihood, farming system), which would give the mission an idea of what would have happened without the project (counterfactual).<sup>8</sup>
12. When sufficient resources are available, simple data collection exercises (mini-surveys) may be conducted by a local consultant prior to the PPA mission.<sup>9</sup> Another non-mutually exclusive option is to spot-check typical data ranges or patterns described in the PCR by means of case studies (e.g. do PCR claims regarding increases in average food-secure months fall within the typical ranges recorded in the field?). It is to be noted that, while data collected by a PPA mission may not be representative in a statistical sense, such data often provide useful reference points and insights. It is important to exercise care in selecting sites for interviews in order to avoid blatant cases of non-beneficiaries profiting from the project.). Sites for field visits are selected by IOE in consultation with the government concerned. Government staff may also accompany the PPA mission on these visits.
13. The typical timing of the PPA (1-2 years after project closure) may be useful for identifying factors that enhance or threaten the sustainability of benefits. By that stage, the project management unit may have been disbanded and some of the support activities (technical, financial, organizational) terminated, unless a second phase is going forward or other funding has become available. Typical factors of sustainability (political support, availability of budgetary resources for maintenance, technical capacity, commitment, ownership by the beneficiaries, environmental resilience) can be better understood at the ex post stage.
14. The PPA also concentrates on IFAD’s role with regard to the promotion of innovations and scaling up. For example, it might be observed that some innovations are easily scaled up at low cost (e.g. simple but improved cattle-rearing practices that can be disseminated with limited funding). In other cases, scaling up may involve risks: consider the case of a high-yield crop variety for which market demand is static. Broad adoption of the variety may be beneficial in terms of ensuring food security, but may also depress market prices and thereby reduce sale revenues for many households unless there are other, complementary activities for the processing of raw products.
15. The PPA addresses gender equality and women’s empowerment, a criterion recently introduced into IFAD’s evaluation methodology. This relates to the emphasis placed on gender issues: whether it has been followed up during

<sup>7</sup> Climate change criterion will be addressed if and when pertinent in the context of the project, as most completed projects evaluated did not integrate this issue into the project design.

<sup>8</sup> See also the discussion of attribution issues in the section on PCRVs.

<sup>9</sup> If the PPA is conducted in the context of a country programme evaluation, then the PPA can piggy-back on the CPE and dedicate more resources to primary data collection.

implementation, including the monitoring of gender-related indicators; and the results achieved.

16. Information from the PCRV may be often sufficient to assess the performance of partners, namely, IFAD and the government. The PPA mission may provide further insights, such as on IFAD's responsiveness, if relevant, to implementation issues or problems of coordination among the project implementation unit and local and central governments. The PPA does not assess the performance of cooperating institutions, which now has little or no learning value for IFAD.
17. Having completed the analysis, the PPA provides its own ratings in accordance with the evaluation criteria and compares them with PMD's ratings. PPA ratings are final for evaluation reporting purposes. The PPA also rates the quality of the PCR document.
18. The PPA formulates short conclusions: a storyline of the main findings. Thereafter, a few key recommendations are presented with a view to following up projects, or other interventions with a similar focus or components in different areas of the country.<sup>10</sup>

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<sup>10</sup> Practices differ among MDBs, including recommendations in PPAs. At the World Bank, there are no recommendations but "lessons learned" are presented in a typical PPA. On the other hand, PPAs prepared by AsDB include "issues and lessons" as well as "follow-up actions" although the latter tend to take the form of either generic technical guidelines for a future (hypothetical) intervention in the same sector or for an ongoing follow-up project (at AsDB, PPAs are undertaken at least three years after project closure).

## Definition of the evaluation criteria used by IOE

<i>Criteria</i>	<i>Definition<sup>a</sup></i>
<b>Project performance</b>	
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, institutional priorities and partner and donor policies. It also entails an assessment of project design in achieving its objectives.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.
<b>Rural poverty impact<sup>b</sup></b>	Impact is defined as the changes that have occurred or are expected to occur in the lives of the rural poor (whether positive or negative, direct or indirect, intended or unintended) as a result of development interventions.
<ul style="list-style-type: none"> <li>Household income and assets</li> </ul>	Household income provides a means of assessing the flow of economic benefits accruing to an individual or group, whereas assets relate to a stock of accumulated items of economic value.
<ul style="list-style-type: none"> <li>Human and social capital and empowerment</li> </ul>	Human and social capital and empowerment include an assessment of the changes that have occurred in the empowerment of individuals, the quality of grassroots organizations and institutions, and the poor's individual and collective capacity.
<ul style="list-style-type: none"> <li>Food security and agricultural productivity</li> </ul>	Changes in food security relate to availability, access to food and stability of access, whereas changes in agricultural productivity are measured in terms of yields.
<ul style="list-style-type: none"> <li>Natural resources, the environment and climate change</li> </ul>	The focus on natural resources and the environment involves assessing the extent to which a project contributes to changes in the protection, rehabilitation or depletion of natural resources and the environment as well as in mitigating the negative impact of climate change or promoting adaptation measures.
<ul style="list-style-type: none"> <li>Institutions and policies</li> </ul>	The criterion relating to institutions and policies is designed to assess changes in the quality and performance of institutions, policies and the regulatory framework that influence the lives of the poor.
<b>Other performance criteria</b>	
<ul style="list-style-type: none"> <li>Sustainability</li> </ul>	The likely continuation of net benefits from a development intervention beyond the phase of external funding support. It also includes an assessment of the likelihood that actual and anticipated results will be resilient to risks beyond the project's life.
<ul style="list-style-type: none"> <li>Innovation and scaling up</li> </ul>	The extent to which IFAD development interventions have: (i) introduced innovative approaches to rural poverty reduction; and (ii) the extent to which these interventions have been (or are likely to be) replicated and scaled up by government authorities, donor organizations, the private sector and others agencies.
<ul style="list-style-type: none"> <li>Gender equality and women's empowerment</li> </ul>	The criterion assesses the efforts made to promote gender equality and women's empowerment in the design, implementation, supervision and implementation support, and evaluation of IFAD-assisted projects.
<b>Overall project achievement</b>	This provides an overarching assessment of the project, drawing upon the analysis made under the various evaluation criteria cited above.
<b>Performance of partners</b>	
<ul style="list-style-type: none"> <li>IFAD</li> </ul>	This criterion assesses the contribution of partners to project design, execution, monitoring and reporting, supervision and implementation support, and evaluation. It also assesses the performance of individual partners against their expected role and responsibilities in the project life cycle.
<ul style="list-style-type: none"> <li>Government</li> </ul>	

<sup>a</sup> These definitions have been taken from the OECD/DAC *Glossary of Key Terms in Evaluation and Results-Based Management* and from the IFAD Evaluation Manual (2009).

<sup>b</sup> The IFAD Evaluation Manual also deals with the "lack of intervention", that is, no specific intervention may have been foreseen or intended with respect to one or more of the five impact domains. In spite of this, if positive or negative changes are detected and can be attributed in whole or in part to the project, a rating should be assigned to the particular impact domain. On the other hand, if no changes are detected and no intervention was foreseen or intended, then no rating (or the mention "not applicable") is assigned.



## **List of key persons met**

### **Lusaka**

#### **Ministry of Ministry of Tourism Environment and Natural Resources**

Mrs. Anna M.C. Masinja, Director of Forestry  
Mr. Wiseman Sangulubu, Chief Extension Officer  
Ms. Chiligua Odila, Senior Extension Officer

#### **Keepers Zambia Foundation**

Mr John Msimuko, Executive Director

#### **AFRICARE**

Mr. Isaac Sakala, Program Manager, Agriculture, Food & Environment

#### **Brian Colquhoun Hugh O'Donnell & Partners**

Mr. George Sitali

#### **Embassy of Finland**

Ms. Elizabeth Ndhlovu, Sector Advisor  
Ms. Marja Ojanen, Counsellor

#### **GIZ**

Mr Eberhard Goll, Programme Manager, Water Reform Sector

#### **IFAD**

Mr. Dick Siame, Country Officer, Zambia

#### **North Western Province**

Mr. Joshua Kamanya, Deputy Permanent Secretary, Provincial Administration, Office of the President  
Chief Chizera  
Mr. Mindenda Pande, Principal Extension Officer, Provincial Forestry Office  
Mrs. Rachel Songolo, District Forestry Officer, Provincial Forestry Office  
Mr. Paul Kabengele, Senior Extension Officer, Provincial Forestry Office  
Mr. Thuma Moon, Senior Extension Assistant, Provincial Forestry Office  
Mr. Raphael Phillimon Chupa, Senior Extension Assistant, Provincial Forestry Office  
Mr. Iphraim Soneka, North Western Bee Association (former Keeper Zambia)  
Mr. Elisha Ng'onomo, Director for Village Water in the Western Province (former Keepers Zambia foundation Programme Manager)  
Mr. Mubiana Muyangwa, Provincial Manager for Village Water (former AFRICARE Provincial Coordinator)

#### **Luapula**

Mr. Allan Sakala Deputy Permanent Secretary, Provincial Administration, Office of the Presidents  
Chief Lubunda

Mr. Evans Sikabbuba, Senior Technician  
Ms. Bridget M. Khunga, Senior Technician  
Mr. Stanford Mvula, Extension Assistant  
Mr. Nason Hara, Senior Extension Assistant  
Mr. Evans Kunda, Extension Assistant

### **Wrap-up Meeting Lusaka**

#### **Ministry of Mines and Natural Resources**

Dr. Victor Mutambo, Permanent Secretary  
Anna. C. Masinja, Director of Forestry, Forestry Department  
Bwalya Chendauka, Principal Extension Officer, Forestry Department  
Billy Chewes, Director, Department of Mines  
Deuteonomy Kasaro, UN-REDD Coordinator, Forestry Department  
Davies Kashole, Project Officer, Forestry Department  
K. A. Liyungu, Geological Survey, Ministry of Mines & Natural Resources  
Maureen Mwale, UN-REDD Programme Officer, Forestry Department  
D.K. Nyangu, HR Director, Ministry of mines & Natural Resources  
Sitwala Wamunyima, Forestry Department

#### **Keepers Zambia Foundation**

John Misimuko, Director

#### **Africare**

Isaac Sakala, Programme Manager

#### **IFAD**

Rose Fumpa Makano, Consultant FRMP  
Denis Wood, Consultant  
Dick Siame, IFAD Country Officer, Zambia  
Francisco David e Silva, IFAD Portfolio Manager  
Carla Ferreira, former Country Programme Manager (Zambia)  
Edward Heinemann, Senior Research Coordinator  
Fumiko Nakai, Country Programme Manager (Zambia)  
Ides de Willebois, former Director East and Southern Africa Division

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## FRMP actual physical progress of the project (by component)

Component/activity	Luapula Province						Northwestern Province		Total
	Unit	Target	Cumulative output	% of appraisal	Target	Cumulative output	% of appraisal	% of appraisal	
Comm. Dev. in Forest Areas									
Number of Working Areas	Number	35	14	40	35	14	40	40	40
Formation of Producer Groups	Number	500	309	61.8	525	480	91.4	77	77
Formation of Village Resource Management Committees	Number	140	65	46.4	105	59	56.2	50.6	50.6
Formation of ARMC	Number	35	14	40	35	18	51.4	45.7	45.7
Formation of Marketing Assoc	Number	35	14	40	35	-	0	20	20
Participatory Rapid Appraisals	Number	35	21	60	35	28	80	70	70
Social Economic Surveys	Number	35	21	60	35	14	40	50	50
Training in Forest Mgt and Protection	Participant	2 257	1 275	56.5	14 000	4 194	30	33.6	33.6
Training in Entrepreneurship skills	Participants	1 500	1 159	77.3	3 750	1 257	33.5	46	46
Training in Leadership skills	Participants	1 450	1 825	125.9	3 500	1 378	39.4	64.7	64.7
Needs assessment for feeder roads	Participants	35	14	40	-	-	-	40	40
HIV/AIDS sensitization	Participants	5 000	2 051	41	-	-	-	41	41
Publication of Joint Forest Management Plans	Number	35	-	0	28	2	0.07	0.03	0.03
Beekeeping Development									
Beekeeping groups formed people belonging to B/keeping	Number	200	114	57	280	207	73.9	66.9	66.9
	Number	3 800	2 188	57.6	3 750	4 340	157	86.5	86.5
Groups	Number	42	26	61.9	-	-	-	61.9	61.9
Women B/keeping groups formed people trained in B/keeping existing adaptive & demo apiaries	Participants	3 800	2 805	73.8	3 750	3 300	88.0	80.9	80.9
	Number	35	14	20	8	8	100	51.2	51.2
Number of occupied hives	Number	6 000	5498	91.6	-	229	229	95.5	95.5
Candle making	Participants	-	-	0	1750	1 142	65.3	65.3	65.3
Documentation of researches construction of honey cottage	Number	1	-	0	1	1	100	50	50
	Number	1	1	100	1	1	100	100	100

<b>Bamboo &amp; Rattan Products</b>									
Craft groups formed	Number	65	19	29.2	80	38	47.5	39.3	
People belonging to craft groups Training in rattan regeneration Training in Bamboo regeneration Rattan seedlings raised and planted	Number	1 300	683	52.5	1 250	579	46.3	49.5	
	Participants	-	-	0	1 250	624	49.9	49.9	
Bamboo seedlings raised & planted	Participants	-	-	0	1 250	-	0	0	
Exchange visits on B/R	Number	30 000	15 359	51.2	10 000	6222	62.2	54	
Documentation of researches	Number	-	-	0	10 000	2 207	22	22	
	Number	-	1	100	1 750	44	0.03	0.03	
	Number	2	-	0	2	2	100	50	
<b>Other Forest Products</b>									
Groups formed	Number	235	155	66	100	254	254	122.1	
People belonging to OFP	Number	1 590	3 305	208	1 375	5 034	366	281.2	
Training in Palm weaving	Number	178	84	47.2	-	-	-	47.2	
Training in tie & dye	Number	400	832	208	1 750	893	51	80.2	
Training in Chikanda growing	Participants	100	313	313	-	-	-	313	
Established Chikanda demo plots	Number	30	18	60	-	-	-	60	
Training in pit sawing	Participants	600	816	136	350	234	66.9	110.5	
Training in harvesting, processing & packing of mushroom/medicines	Participants	4	2	50	1750	1 345	76.9	76.8	
Training in carpentry	Participants	100	203	203	350	147	42	77.8	
Training in Munkoyo	Participants	200	50	25	-	-	-	25	
Documentation of researches	Number	2	-	0	2	1	50	25	

Source: Ministry of Tourism, Environment and Natural Resources. Project Completion Report for the Forestry Resource Management Project, annex V (January 2009).





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