

COMMON GROUND

LESSONS LEARNED FROM USAID/ZAMBIA INVESTMENTS IN AGRICULTURE AND NATURAL RESOURCE MANAGEMENT

**care livingstone
food security
project**



**clusa
rural group
business program**

admade



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LESSONS LEARNED FROM USAID/ZAMBIA INVESTMENTS IN AGRICULTURE AND NATURAL RESOURCE MANAGEMENT

by

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EXECUTIVE SUMMARY

The purpose of this paper is to extract from the diversity of experiences of the rural development investments of USAID/Zambia the common lessons learned and overarching issues. The three SO1 projects reviewed include ADMADE, a community based wildlife management project, the CLUSA Rural Group Business Program, an income generation project, and the CARE Livingstone Food Security Project, a food security project. The lessons learned are grouped into design principles, implementation tools, and sustainability issues.

LESSONS LEARNED IN PROJECT DESIGN

Working Through Groups

- When no existing CBOs are available, developing community-based organizations requires an initial investment in mobilization and training
- Developing community-based organizations pays off by increasing the size of target audience, improving efficiency of service delivery, and creating opportunities for multiplier effects.
- Leadership style plays a large role in the effectiveness of groups

Site-Selection

- Criteria for site selection should include factors conducive for achieving performance objectives as well as need for assistance.
- It is more difficult to establish market driven development in areas with a strong history of relief programs or subsidies.
- Selection criteria are dynamic and will often be refined with experience.

Addressing the Heterogeneity of Communities

- Rural communities are not homogenous units and have internal diversity based on socioeconomic factors such as gender, livelihood, and wealth
- Community heterogeneity is more of an issue for projects targeting the entire population of an area as opposed to specific sub-groups

- Mechanisms for incorporating the needs and interests of sub-groups should be incorporated into project design
- Be cautious when using the term “community” in contexts where it is important to acknowledge the diversity in rural areas.

The Carrot and the Stick

- Negative incentives may be the most effective approach in the short term, however are costly to sustain economically and politically.
- Positive incentives take time to develop and require a favorable policy environment but have the most long-lasting impact for the least cost.
- Implementing change and altering the behavior of rural people is most effective with a combination of positive and negative incentives.

Getting Rid of Dead Weight

- Many of the greatest breakthroughs in performance came after dysfunctional groups or processes were dropped.
- Project design and cooperative agreement should incorporate a methodology for identifying when activities or groups are beyond hope and should be dropped rather than fixed.
- Defining minimal standards for CBOs and adhering to them can be an effective way of improving performance results.

Mechanisms for Feedback and Adaptation

- One hallmark of an effective project is the ability to review and adjust project activities and strategies while maintaining the original goals.
- Adaptation is dependent upon effective mechanisms for feedback, which can be formal or informal, internal or external.
- Mechanisms for feedback and adaptation should ideally be systematized, not left in the heads of one or two highly knowledgeable people

Linking Activities with Goals Through a Conceptual Framework

- Projects need mechanisms to select intervention strategies based on target goals
- Conceptual frameworks are often assumed, but discussing them can help illuminate weak linkages between project activities and goals.
- A project can only be as effective as its conceptual framework is valid.

LESSONS LEARNED IN IMPLEMENTATION

Pace of Change

- Community-based = community-paced
- Change can be threatening psychologically, culturally, and economically
- Young and educated people are more adapted to change
- The greater the amount of change being implemented, the slower the pace
- Developing technical skills occurs faster than adopting new ways of thinking or interacting with resources
- Trying to change structures and behaviors faster than the community is ready for will most likely result in failure
- The pace of change is often affected by the availability of facilitation and extension support.
- Change in institutions is slower than change in individuals
- Multi-tiered structures should be introduced one level at a time
- It is difficult to predict at what pace change will be introduced in a project. Projects may be better off identifying factors which affect when a community is ready for the next step and then developing a monitoring plan.

Information Systems

- The larger a project is in terms of service area and scope of activities, the greater the need for investment in information systems.
- Computerization is a powerful tool for effective information processing, but requires more than buying PCs and software.
- Staff training and application development represent opposite but complementary strategies.

- Spreadsheets work well initially and for simple datasets, but more complex data needs require an investment in a relational database system.
- Failure to develop an effective project information system can have severe repercussions.

Delivering Training to Communities

- Training will remain an important component of rural development, but is only one component of capacity building.
- Regular follow-up in the field is costly but required for messages to sink in.
- Multi-tiered community based organizations can extend the reach of training services and improve their efficiency.
- Evaluating the impact of training programs helps to determine whether the right messages and audience are being targeted.

LESSONS LEARNED IN PROJECT DESIGN

Importance of Marketing

- Marketing requires specialized skills and a presence at the national level.
- Projects which depend on linkages to external markets need a dedicated marketing unit.
- Projects can take steps to increase the attractiveness of their goods and services in terms of volume, quality, price, and credibility.
- Developing marketing capacity requires a solid foundation of basic business skills and experiences, including budgeting, forecasting, and record keeping.

Venturing Into New Service Areas

- Expansions into new service areas should be done cautiously and deliberately, based on a strategic analysis of the importance of the new service to the project goals.
- Inadequate or unsustainable service provision can be worse than doing nothing.

- Expansion into new service areas will eventually require new layers of administration, thereby reducing overall administrative efficiency and requiring new management skills
- Forging partnerships with other service providers when possible is usually preferable to developing new capacity in-house.
- Dropping existing services when taking on new ones up prevents administrative capacity from being overtaxed.

Community Auditing

- Community-based enterprises require effective internal and external audit mechanisms to prevent and contain mismanagement.
- Regular auditing should be seen as fundamental as any other component of business development, such as keeping cash books or taking minutes at meetings.
- Auditing should be seen as not only an opportunity to ensure accountability, but also analyze business strengths and weaknesses.

Being Proactive with Policy

- Rural development projects should recognize the influence of national and international policy on their operations, and be proactive at influencing policy change.
- Partnerships with similar institutions can increase the cost-effectiveness of policy reform efforts.

Tooting the Horn: Communicating Results and Lessons Learned

- Sharing methodology and results with external partners can have beneficial results for both parties
- Sharing experiences with failure is at least as useful if not more so than success stories
- Communicating results does not have to be a separate tedious activity if it is integrated into ongoing activities such as monitoring, activity planning, newsletters, etc.

SHARING LESSONS LEARNED

The three SO1 projects each have adopted strategies of developing new community structures, training programs, and appropriate technologies to achieve their development objectives. Each project has numerous strengths and experiences which can benefit the others. ADMADE's experiences in natural resource monitoring, working with traditional authorities, and empowering local communities to police their natural resources are experiences which can benefit both the CARE and CLUSA programs. CLUSA's innovative approach for screening farmer groups for participation in business oriented enterprises, use of community based facilitators, and experiences with conservation farming practices have provided lessons which can be built on by the ADMADE and CARE program. Finally, CARE/LFSP's development of a community-based seed multiplication program, participatory extension methods, and socioeconomic monitoring are areas that the other two programs are trying to strengthen.

Cover Photographs: Livingstone Food Security Project community seed bank, CLUSA farmer showing results of conservation farming, ADMADE community quota setting meeting.

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ACRONYMS

ADMADE	Administrative Management Design
CBO	community based organization
CFU	Conservation Farming Unit
CLUSA	Cooperative League of the USA
CMS	Credit Management Services
GMA	Game Management Area
LFSP	Livingstone Food Security Project
MAFF	Ministry of Agriculture Forestry and Fisheries
NGO	Non Governmental Organization
NPWS	National Parks and Wildlife Services
PRA	Participatory Rural Appraisal
RGB	Rural Group Business
RGBP	Rural Group Business Program
USAID	United States Agency for International Development
WCRF	Wildlife Conservation Revolving Fund
WCS	Wildlife Conservation Society (New York)
ZNFU	Zambia National Farmers Union

1.0 INTRODUCTION

USAID/Zambia Investments in Agriculture and Natural Resources

In 1998, USAID/Zambia introduced a new five-year country plan based around strategic objectives in four key sectors: rural development, health, democracy and governance, and education. Rural development fall under Strategic Objective One (SO1): “to increase rural incomes of selected groups”. Under SO1, USAID/Zambia sponsors several activities designed to increase the incomes of rural families working together as farmer group businesses, village management committees and village action groups.

The CLUSA Rural Group Business Project (RGBP) began in May 1996 and promotes democratically self-managed, financially viable farmer group businesses that improve rural family incomes. The RGBP currently works with about 7,000 farmers in four districts near Lusaka. Since its inception CLUSA-RGBP has modified its group business development approach, now focusing exclusively on small farmer high-value crop production under forward contracts with agroprocessors.

The Livingstone Food Security Project (LFSP), implemented by CARE International, also began in 1996 and aims to improve food security in drought prone Southern Province. The LFSP supports drought resistant seed varieties, community management of seed multiplication and

distribution schemes, soil conservation, construction and rehabilitation of water harvesting structures, marketing, and some income generating activities.

The third investment under SO1, the Administrative Management Design (ADMADE) program, has been implemented by the Zambia Wildlife Authority (formerly known at the National Parks and Wildlife Service, NPWS) since 1989. ADMADE was supported by USAID between 1989 and 1999 through cooperative agreements with the Ministry of Tourism, World Wildlife Fund, and the Wildlife Conservation Society. The overall goal of ADMADE is to introduce community-based wildlife management in about half of the 34 Game Management Areas (GMAs) in Zambia. Through ADMADE, about 70% of the revenue from international safari hunting is returned to GMAs for community development and resource management.

These three projects share a common strategic objective, but have followed different paths to achieve their goals. The differences between these programs in design and implementation stem from the institutional and local context of each project, as well as the available resources and background of project staff.

Finding the Common Ground: Lessons Learned

The purpose of this paper is to extract from the diversity of experiences of the SO1 investments the lessons learned and major issues which impact all three projects. The three SO1 projects present a convenient natural experiment¹ to explore common

principles for increasing rural income, strengthening food security, and managing natural resources. Because these projects were essentially planned and implemented independently, the common patterns and

¹ An event or situation which was not designed or controlled for scientific purposes, but offers an

opportunity to deduce general principles or causal relationships

experiences are likely to be valid reflections of more general principles.

The discussion of lessons learned and common issues presented in this document by no means represent an effort to present a universal outline or blue-print for achieving rural development. However comparative analyses of multiple projects contribute to an expanding body of literature and research which can be referred to, adapted, and

applied when planning or evaluating efforts to alleviate rural poverty. Focusing on the common ground also allows us to articulate lessons learned at a level which is generic enough to be applicable in other settings, but not so general as to be meaningless. The table below illustrates the continuum of lessons learned, from the highly specific to the extremely broad.

Spectrum of Lessons Learned

<i>Very General</i>	<i>General but Non-Trivial</i>	<i>Specific</i>
		
<i>Widely applicable, but not terribly useful</i>	<i>Applicable to multiple areas and sectors, but not meant to be universal</i>	<i>Too specific to generalize</i>
<i>"Farmers should not default on loans in order to maintain the trust between themselves and micro-credit agencies."</i>	<i>"Issuing loans to rural enterprises instead of individuals and incorporating collective responsibility into micro-credit agreements helps to reduce loan defaulting."</i>	<i>"CMS signs loan agreements with CLUSA RGBs, which are required to practice collective responsibility at the RGB and depot level in order to participate in the outgrower scheme."</i>

Source: Adapted from Salafsky (1999)

The lessons learned presented here are not all drawn from identical approaches towards the same challenge. The three SO1 projects often use different strategies for achieving the same general objective. However comparing and contrasting these approaches highlights the underlying dynamics and principles which have broader validity. Lessons learned are also not always derived from success stories, in fact quite often they arise from efforts that did not work very well.

These lessons in this paper are grouped into three categories: project design,

implementation tools, and issues affecting sustainability. It is assumed that the reader is somewhat familiar with each of the three projects.

This paper was written as part of a simultaneous evaluation of the ADMADE, CARE, and CLUSA projects. Material for this paper was based on document reviews, semi-structured interviews with project staff, discussions among members of the evaluation team, and site visits to the three projects.

2.0 LESSONS LEARNED - PROGRAM DESIGN

Working Through Groups

A central design feature of all three SO1 projects is the use of community-level organizations. Working through groups has numerous advantages, including increasing the efficiency of service provision such as training or distribution of inputs. Groups also extend the reach of the project activities, and, in the best case scenario, improve accountability and transparency. The capacity building dimension of group development may also provide unforeseen benefits, such as improved local governance and development planning in other sectors.

In each project's experience, there were no existing community groups in the service areas that could be utilized. So each project

Munwana ulimun'gwi hautubi nda.
 "One finger cannot crush a louse."
 - Lozi proverb

needed to make an initial investment in community organization and capacity building. ADMADE initially formed groups based around traditional authority structure, but has recently switched to a two-tiered structure of democratically elected community organizations. CLUSA and CARE developed their groups specifically to fit into the project model.

Working Through Groups

ADMADE	CARE LFSP	CLUSA RGBP
1988-1999 - Sub-authorities were the primary community level organization. Not truly representative. 1999 to present - Two-tiered structure of democratically elected community organizations - Village Area Groups committees represent 500-1000 people - Community Resource Boards represent an entire GMA. - Elections held in about 3/4 of GMAs	- Farmer Groups 4-7 members - Village Management Committee (VMC) - federation of 8-15 Farmer Groups - Area Management Committee (AMC) - federation of 3-10 VMCs - Interest Groups - focused around a common income generation activity or capacity building theme - Groups used to maximize training efficiency and operate a revolving seed scheme	- Rural Group Businesses (RGB) 15-25 farmers - Depots - federation of 3-6 RGBs - Groups practice collective responsibility for loan repayment - Positions for training and oversight built into group structure



CLUSA farmer groups increase the efficiency of delivering training and inputs, decrease the costs of transactions, and strengthen bargaining power by increasing volumes of goods sold

- Lessons learned:***
- *When no existing CBOs are available, developing community-based organizations requires an initial investment in mobilization and training*
 - *Developing community-based organizations pays off by increasing the size of target audience, improving efficiency of service delivery, and creating opportunities for multiplier effects.*
 - *Leadership style plays a large role in the effectiveness of groups*
 - *The maximum group size for democratic decision making is around 200 (the number of people which can meet face to face)*
 - *The maximum group size for independently running a business venture is 15-20.*

Site-Selection

The experiences of the three SO1 projects highlight the need for systematic mechanisms for identifying project sites, and the often evolutionary nature of selection criteria. Site selection is an important process not only during the initial project planning phase, but also for guiding project expansion and phase out. A need for assistance is certainly one criterion for selecting project sites, but equally important to identify are those factors which provide a conducive environment for the project activities. These may include agro-ecological characteristics, access to urban markets, other NGOs or donor activity, government programs, and the level of local political support. Selection criteria should be researched and discussed *before* project sites are identified, however the criteria should be revisited and adjusted as new understanding and opportunities arise.

The nine ADMADE GMAs initially identified to receive USAID support were selected based on the likelihood that the areas could sustain regulated safari hunting. The primary criteria included healthy wildlife populations, adjacency to national parks, and a history of successful safari hunting.

The LFSP area is broadly defined as the drought-prone Southern Province, but within the province communities were selected based on need, access to the project field stations, and local interest. The recent expansion was guided by an 'in-fill' strategy which aims to intensify project intervention in a give area to achieve the many benefits from an economy of scale.

Selection criteria for the CLUSA RGBP are probably the most tailored to achieve program goals. The RGBP only operates in

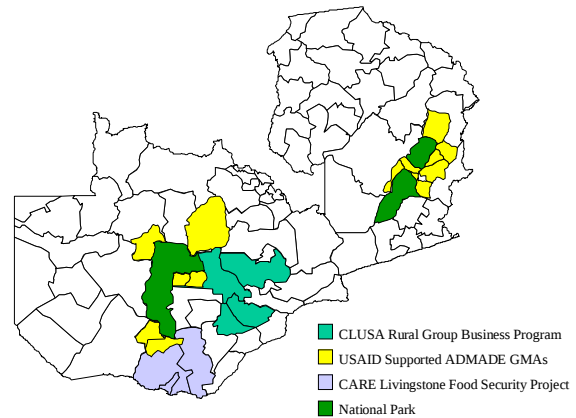


Figure 1- Map of project areas

districts which are ecologically suitable for growing cash crops, have relatively easy access to large agribusinesses based in Lusaka. The RGBP also only works with farmer groups which can meet minimum yields, repay their loans, and develop fully functioning enterprises within one or two

years of first contact. Groups which fail to meet these requirements are dropped from the program.

CLUSA has also found that farmer groups in areas with a strong history of traditional development assistance, such as areas near major transportation corridors, tend to have a more difficult time adopting business practices needed to prosper in a liberalized market economy.

Cito ncozibide cilumya ntale.
 "A bathing place you are familiar
 with brings forth a crocodile bite."
 - Chitonga proverb

Site Selection

ADMADE	CARE LFSP	CLUSA RGBP
- Best GMAs for ADMADE are those which share passable boundaries with national parks, are distant from urban centers, and have supportive local leadership. - Some depleted GMAs can be naturally restocked within five years of the introduction of effective law enforcement.	- Selection of areas is based on food security need and proximity to project field offices - PRA exercises used to determine if the project approach will work in a community 'In-fill' strategy used in planning expansion - Selection of seed varieties based on agroecological conditions and previous trials	- Participation in the market economy requires access to urban centers - Areas with a history of relief aid or subsidized commodities (e.g., near major roads), are slower to internalize free market principles - crop selection is constrained by ecological characteristics such as rainfall and soil fertility.

- Lessons learned:**
- *Criteria for site selection should include factors conducive for achieving performance objectives as well as need for assistance.*
 - *It is more difficult to establish market driven development in areas with a strong history of relief programs or subsidies.*
 - *Selection criteria are dynamic and will often be refined with experience.*

Addressing the Heterogeneity of Communities

The concept of a rural community is fundamental to conceptual and operational frameworks of rural development projects including the SO1 investments. However the popular notion of a “community” as a homogenous and cohesive unit tends to break down when project strategies are implemented. There are important social divisions within rural communities based on gender, wealth, livelihood strategy, ethnic group, and others variables. These sub-community divisions are not always significant for certain interventions, such as primary health care, however for most project activities the community heterogeneity has an enormous impact on design and implementation strategy.

The three SO1 projects have each had to deal with issues of intra-community diversity and divisions in their own way. ADMADE learned the hard way that traditional power structures do not necessarily represent the interests of the entire human population.

Subsequently the program adopted democratically elected organizations with built in mechanisms to ensure better representation based on geography and livelihood strategy.

Community diversity has less of an impact on CLUSA’s programs, as its target audience is defined as selected rural group businesses as opposed to the community at large. Nevertheless the implementation of CLUSA’s outgrower scheme recognizes the importance of socioeconomic sub-groups, in particular the role of women in agriculture and development.

The LFSP has also integrated community diversity into its analytical framework. The project area is divided into three agroecological zones which define crop selection and intervention strategies. The project also conducts wealth ranking exercises during PRA workshops to draw attention to social

divisions based on wealth. The M&E unit also monitors the participation of women in leadership roles and as direct and indirect beneficiaries.

Addressing the Heterogeneity of Communities

ADMADE	CARE LFSP	CLUSA RGBP
▪ Household census conducted to document gender, age, and geographic distributions of human population ▪ Diversity of livelihoods recognized in inclusion of peer groups in CBO model ▪ Democratically elected community institutions designed to better represent the diversity of needs and opinions ▪ Some efforts to customize services for sub-groups such as women, ex-poachers	▪ Targets entire communities defined geographically ▪ Integrates wealth ranking exercises into PRA exercises ▪ Stratified project area into agro-ecological zones for data analysis ▪ Monitors representation of women in leadership and activities ▪ Matrilineal Tonga culture facilitates the inclusion of women in CBOs ▪ water harvesting projects improve both agriculture and livestock	▪ Targets rural business groups, not rural communities in general ▪ Notes the importance of communities as the context for rural business activities ▪ Recognizes the importance of women in rural development and targets women groups ▪ Begun to focus on sub-groups, particularly widows



LFSP uses PRA exercises like this one to help project staff and local people understand the heterogeneity of communities and the implications of social diversity on development activities.

Exactly Who Is The "Community"

followed was a series of community consultations a holders mandated to develop a more balanced leader useholds in the community. Specifically, leadership believed there was need for more frequent public meetings and views expressed by the community. Through the

The term and concept of the “community” is central to each of the SO1 projects. ADMADE labels itself a 'community-based' natural resource management project; the CARE LFPS targets 'communities' in its service areas; while CLUSA's rural group businesses are considered 'community-based'. The ubiquitous presence of this term can be seen from a lessons learned document selected at random from one of the projects which contained the word 'community' 14 times on the first page.

The popular use of the term “community” begs a few questions about its usage and connotations:

- What do people mean when they use this term?
- Is it merely a general term used for convenience or are there specific connotations attached?
- When is it necessary to be more specific with language about rural people?

source management program, known as to encourage community involvement it erefore became Chairmen of the local W sed of people the chiefs felt could best r

opment. This paper addresses ed community organizations t elopment. It also highlights an

Most people who have any experience whatsoever working in rural areas understand that the concept of a community as a homogenous cohesive social unit defined by geography and history is largely a myth. In any group of rural people there are bound to be wealthier residents and poorer residents, people with different livelihood strategies, groups with varying levels economic and political power, cooperative networks as well as competition and animosity, cultural and linguistic differences, recent immigrants and multi-generational households, and diversity based on numerous other social variables.

ocially benefits from various r e of community experiences tha e. More importantly, it revealed erved about their own needs rat

the community, which this comp best represent the community in

Use of the term *community* for general descriptions such as “community-based” seems harmless enough, describing a very broad strategy where participation by local people is valued.

However when the term *community* is applied to more specific processes or constructs, such as ‘community views’ or ‘community capacity,’ there is a risk that the important aspects of diversity can be overshadowed or forgotten. In these cases more specific referencing would be helpful, such as the members of group enterprises, leadership structure of CBOs, or specific livelihood groups.

As a general rule of thumb, the more specific and operational the process or construct being described, the greater the need for other more specific terminology such as “views of the workshop participants” or “capacity of the staff of the community-based organizations.” Simplification of language often causes or reflects simplification of thought.

source conservation and rural deve s threats facing these communities' ls of managing wildlife resources

- Lessons learned:***
- *Rural communities are not homogenous units and have internal diversity based on socioeconomic factors such as gender, livelihood, and wealth*
 - *Community heterogeneity is more of an issue for projects targeting the entire population of an area as opposed to specific sub-groups*
 - *Mechanisms for incorporating the needs and interests of sub-groups should be incorporated into project design*
 - *Be cautious when using the term "community" in contexts where it is important to acknowledge the diversity among the people in rural areas.*



Heterogeneity of communities is a major issue in ADMADÉ because the target audience is the entire population of the GMA. Land use planning meetings such as the one above are designed to capture the needs and interests of all groups within the GMA, including farmers, fishermen, honey collectors, women, hunters, and traditional leaders.

The Carrot and the Stick

A common objective of all three SO1 projects is promoting behavior change in groups of rural people. ADMADE hopes to encourage behavior with protects wildlife and habitat, supports safari hunting, and fosters cohesion in community development projects. CARE LFSP wants farmers in Southern Province to use new seed varieties, become involved in the development and management of water harvesting structures, and participate in local seed loan schemes. CLUSA wants its farmers to adopt conservation farming practices and work together in groups in an outgrower scheme.

Changing behavior is always challenging, particularly when important and long engrained practices such as livelihood strategies are at stake. To promote behavior change, projects can provide either positive or

negative incentives, the carrot and the stick. The experiences of the SO1 investments suggest the most effective

Samva adamva nkhwangwa iri m'mutu.
 "A person who does not hear, learns when
 the axe is in his head."
 - Nyanja proverb

strategies employ a mixture of positive and negative incentives. Negative incentives tend to be more effective in achieving short term impact, however are more costly in material terms and political capital, and tend to be less sustainable. Positive incentives take a longer time to develop, however once established are more deeply embedded and cheaper to maintain.

ADMADE Village Scouts provide the negative incentives for behavior change by arresting poachers like these, while the community development projects provide positive incentives.



The Carrot and the Stick

ADMADE	CARE LFSP	CLUSA RGBP
- Carrot: community initiated development activities and employment opportunities offer positive incentives to protect wildlife and habitat and support safari hunting - Stick: anti-poaching patrols have reduced poaching of the bigger game species and forced local poachers to switch tactics	- Carrot: local seed loan scheme offers the promise of secure seed supplies - Carrot: developing water harvesting structures increases water availability during dry season - Stick: new seed loans are conditional on paying back old loans. If one crop fails the farmer may pay back seed from another crop	- Carrot: Conservation farming practices promise bigger yields and higher income - Carrot: Outgrower scheme provides opportunities for receiving inputs on time and increased prices for cash crops - Stick: Failure to practice conservation farming, pay back loans, or adhere to organizational procedures results in elimination from the outgrower scheme

- Lessons learned:**
- *Negative incentives may be the most effective approach in the short term, however are costly to maintain economically and politically.*
 - *Positive incentives take time to develop and require a favorable policy environment but have the most long-lasting impact for the least cost.*
 - *Implementing change and altering the behavior of rural people is most effective with a combination of positive and negative incentives.*

Getting Rid of Dead Weight

There is unfortunately no crystal ball when developing strategies to raise rural income, conserve biodiversity, or improve food security. Failure is part and parcel of the learning process and may occur in specific intervention activities, geographic areas, or institutional arrangements. Problematic areas not only do badly on performance indicators, but also drag down other regions and other processes by devouring staff time and project resources. While there is a natural tendency in most managers to focus on improving or fixing the broken pieces of a project, the experiences of the SO1 investments demonstrate many of the greatest breakthroughs come after dysfunctional groups or processes are completely jettisoned and replaced with more appropriate structures.

The SO1 projects also illustrate how program decisions may be constrained by

institutional or legal mandates. ADMADE for example is the official government wildlife management policy for GMAs in Zambia, and can not merely withdraw services from areas where poaching pressure or community dynamics exclude the possibility of meeting performance goals. Eliminating support to a given GMA would also have cascading effects

on adjacent GMAs and National Parks. CARE and CLUSA have more flexibility in selecting which groups and areas they want to work with, but they also have

political and economic issues to deal with. In general, the tighter a project's activities are with the market economy, the easier it is to drop ineffective processes and institutional arrangements.

*Panakotamene mbwa panalepe,
ulimi wambwa katwo mona.*

"A dog has been bending for too long, yet its agricultural yield is never seen."

- Lozi proverb

Getting Rid of Dead Weight

ADMADE	CARE LFSP	CLUSA RGBP
- As a government project, ADMADE is not able to easily withdraw service from any GMA, even those where resource management and community development has made little progress - Ineffective management structures (e.g., Authorities and Sub-Authorities) have been replaced with more responsive and representative bodies	- A community-based savings and credit scheme was abandoned after low rates of participation - Farmers or groups who fail to pay back seed loans or assist in water harvesting construction do not receive benefits of those activities or have to pay for them - All new technologies and market linkages tested on a small scale to reduce losses and learn lessons from failed strategies	- Support for small scale rural businesses was dropped after low performance measures and replaced by an outgrower scheme - Farmers, RGBs, and depots which fail to pay back loans, practice conservation farming, achieve minimum yields, attend trainings, and maintain group records are dropped from the program

- Lessons learned:**
- *Many of the greatest breakthroughs in performance came after dysfunctional groups or processes were dropped.*
 - *Project design and cooperative agreement should incorporate a methodology for identifying when activities or groups are beyond hope and should be dropped rather than fixed.*
 - *Defining minimal standards for CBOs and adhering to them can be an effective way of improving performance results.*



CLUSA farmers which fail to practice conservation farming and produce minimum yields are dropped like a hot rock

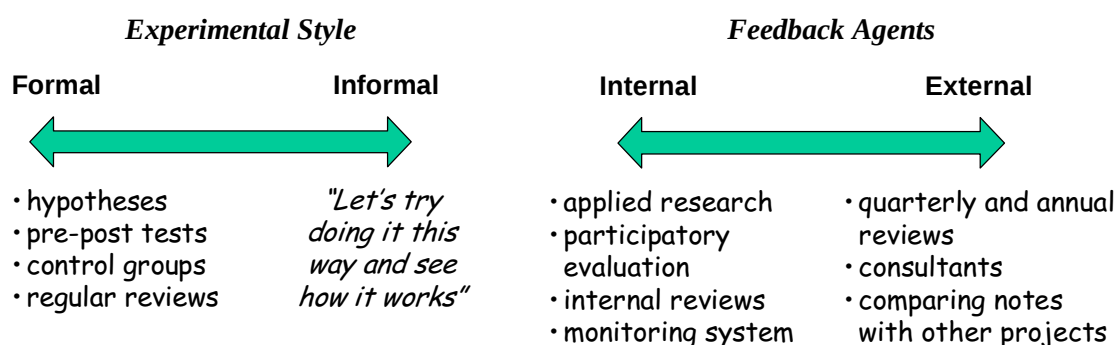
Mechanisms for Feedback and Adaptation

Each of the SO1 projects has undergone significant transformations in project design and strategy, while maintaining the same basic set of goals. ADMADE's strategy to conserve biodiversity initially focused heavily on law enforcement effort and was dominated by traditional authorities, however it is now increasingly works via strengthening democratization and improving food security and other basic human needs. The CLUSA RGBP started out supporting small group businesses, but later switched to an outgrower scheme when it became apparent that the rural businesses were crippled by a lack of capital in the community. LFSP has also modified its choice of seed selection and improve farming

technologies for promotion based on feedback from pilot studies.

The ability to tweak program strategies and activities to achieve performance targets is a hallmark of an effective project. The capacity for self-reflection and change is dependent on creative and bold leadership and a conducive environment set by project partners including the donor. Adaptation is also requires feedback on the efficiency and effectiveness of project activities. Feedback mechanisms can be categorized based on experimental style and origin, as illustrated below.

Spectrum of Feedback Mechanisms



Each type of experimental style and origin for feedback has its own advantages and disadvantages. Formal methods tend to be associated with external evaluations, but can also be used by internal evaluation teams. Aside from being more rigorous, formal methods tend to be institutionalized and avoid the common situation of all feedback based on the personal intuition of one or two people. Internal feedback is generally preferable because it can be ongoing, however external feedback agent are helpful from time to time to point out patterns or opportunities missed by project staff.

Mechanisms for Feedback and Adaptation

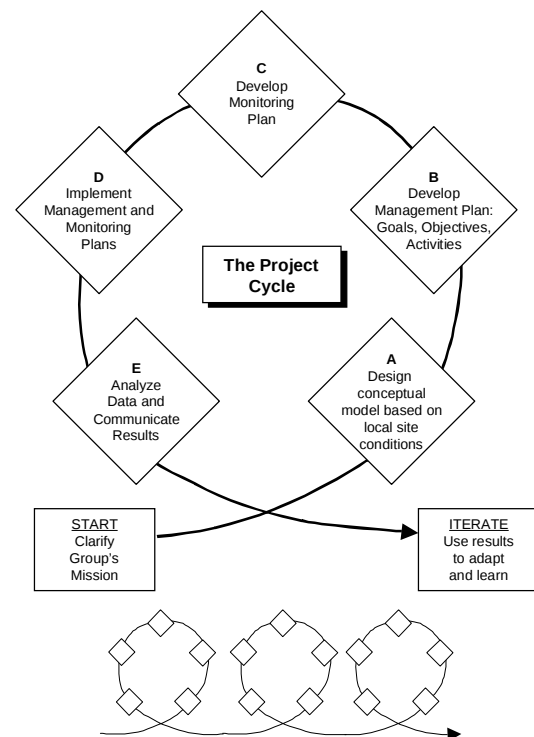
ADMADE	CARE LFSP	CLUSA RGBP
▪ Ongoing internal reviews of project activities ▪ Several external evaluations ▪ Some intervention strategies are pilot tested ▪ Community-based monitoring	▪ Annual food production trends survey ▪ Community self-monitoring books ▪ Weekly staff meetings and activity reports ▪ Consultants and external reviews	▪ Ongoing review of operations ▪ Pilot test new crops and institutional relationships on a small scale ▪ Mostly informal analysis of feedback

ADMADE	CARE LFSP	CLUSA RGBP
system ▪ Teach assessment techniques in courses on leadership skills ▪ Analysis and interpretation of monitoring at the project level dependent on personal knowledge of small core of senior managers	▪ Exchange visits with other projects ▪ All new market linkages and production technologies are pilot tested	

- Lessons learned:**
- *One hallmark of an effective project is the ability to review and adjust project activities and strategies while maintaining the original goals.*
 - *Adaptation is dependent upon effective mechanisms for feedback, which can be formal or informal, internal or external.*
 - *Mechanisms for feedback and adaptation should ideally be systematized, not left in the heads of one or two highly knowledgeable people*

The Project Monitoring Cycle

Margoluis and Salafsky describe an iterative process for project planning that emphasizes the use of feedback and adaptation mechanisms. In their model, monitoring systems provide the basis for ongoing assessments of project strategies and activities, guided by a mission statement and conceptual framework adapted for the local site.



Source: Margoluis and Salafsky, 1998

Linking Activities with Goals Through a Conceptual Framework

Most rural development schemes start out with a simple mission statement outlining a hierarchy of goals and objectives which are based on political and cultural values. From there, a series of activities or interventions are designed or implemented, which will hopefully achieve the desired outcome.

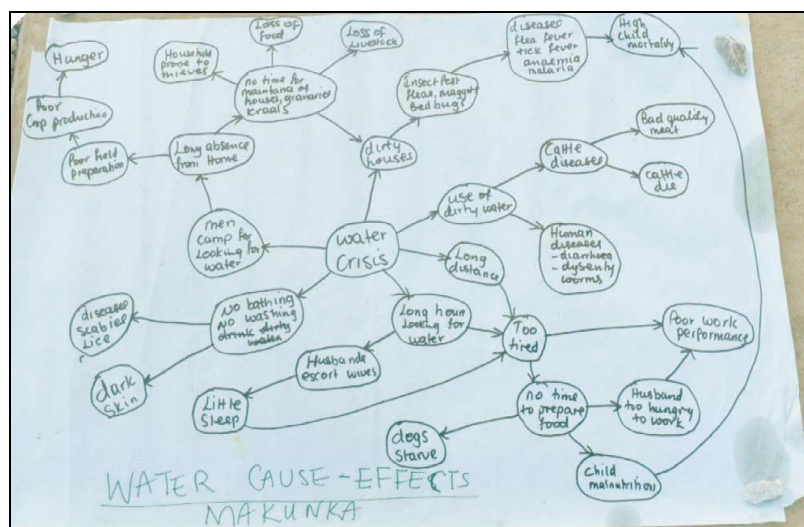
One helpful tool for examining the links between goals and activities is the conceptual framework, a theoretical model which describes the factors affecting the target condition. Conceptual frameworks may be spoken or unspoken, portrayed graphically or described in text, but they are the essence of development and help identify where projects can hope to have the greatest effect.

Conceptual frameworks are dynamic models that need to be continuously reviewed updated as new information and experiences

become available. There can also be multiple conceptual frameworks that describe the same system each of which does a better job of explaining specific parts of the system.

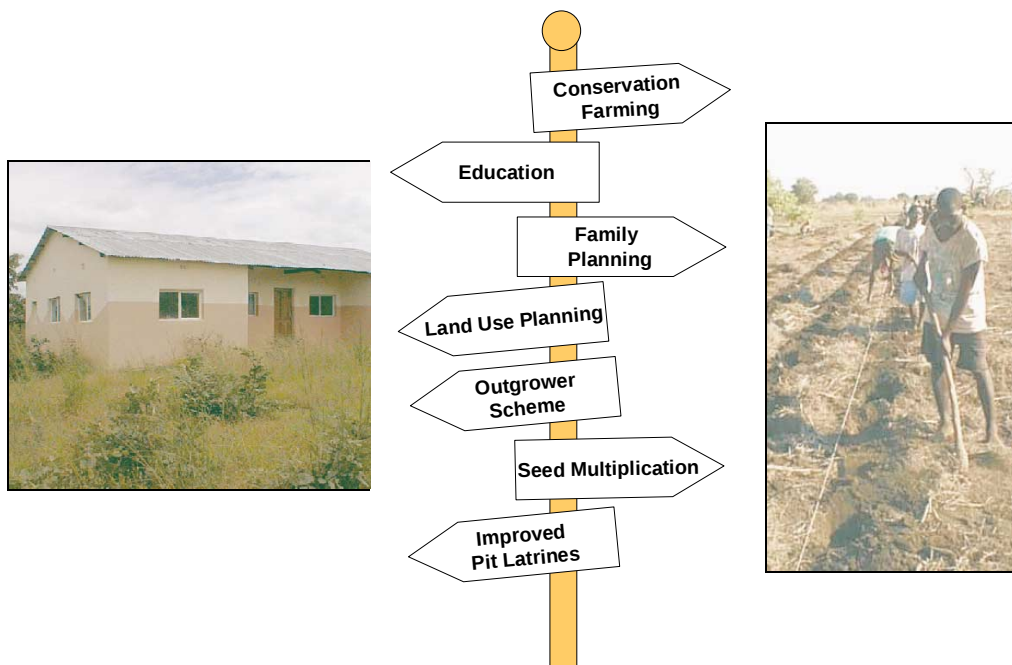
Ideally project beneficiaries and staff develop conceptually frameworks early on the project design phase. The SO1 projects have elements of their conceptual frameworks described in various project documents, but not graphically. Figure 2 through Figure 4 present sample conceptual frameworks for the three SO1 investments, with the primary areas of intervention highlighted. These diagrams help explain how project interventions may or may not result in influencing the desired outcome.

- Lessons learned:**
- *Projects need mechanisms to select intervention strategies based on target goals*
 - *Conceptual frameworks are often assumed, but discussing them can help illuminate weak linkages between project activities and goals.*
 - *A project can only be as effective as its conceptual framework is valid.*



LFSF uses cause-effect diagrams like this one in PRA exercises to help communities and project staff identify the areas for intervention

Which Way Do We Go?



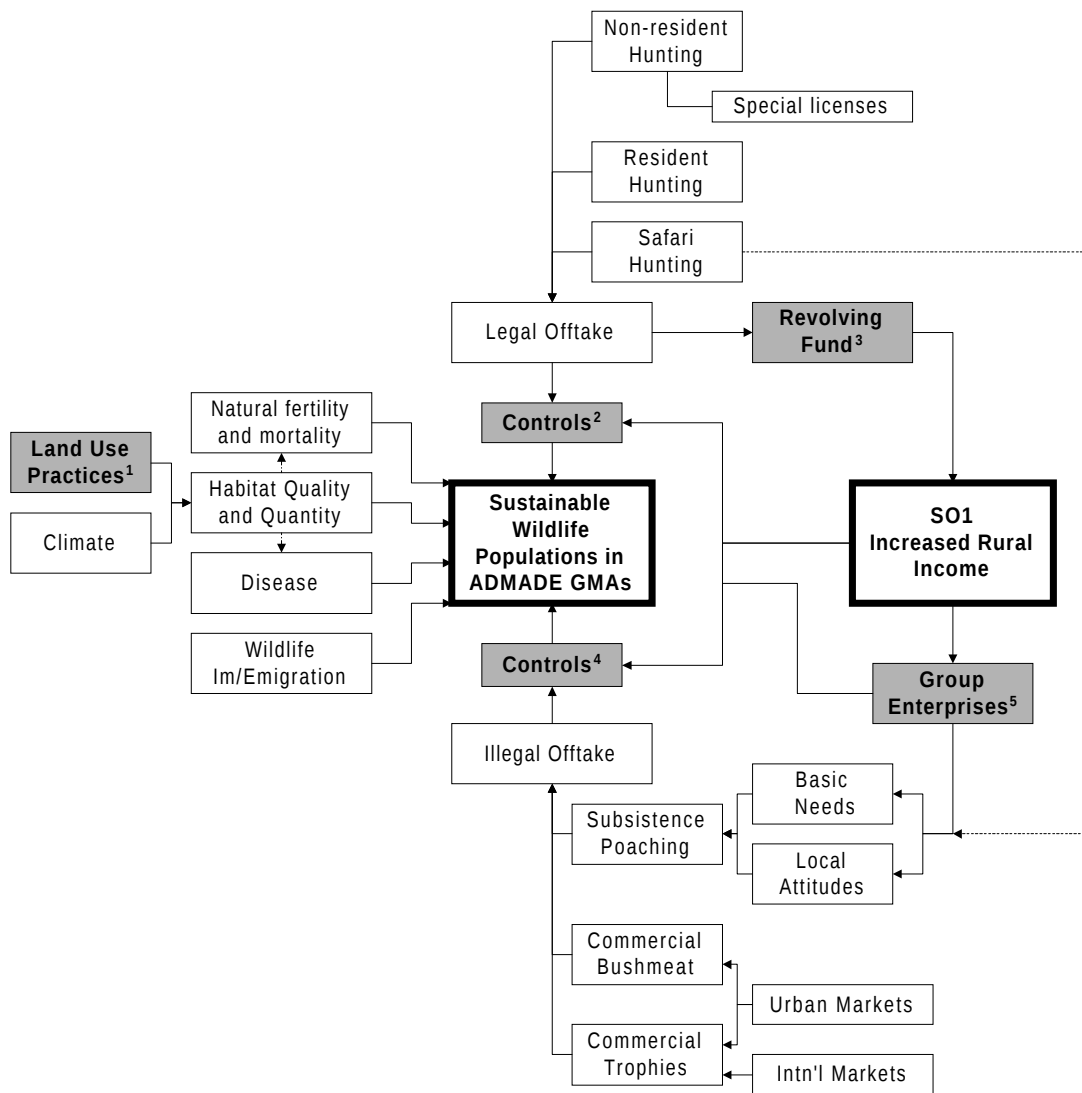
The choices in program direction facing rural development projects can be daunting. Far more opportunities for interventions are possible than the project can undertake. How are project staff supposed to remain focused and decide which activities are critical for the project goals, which are unneeded, and which are better off being done by someone else? A well developed conceptual framework can be a starting place.

The recent increase in ADMAD of community projects with a stronger food security component represents an example of using feedback, a conceptual framework, and a more democratic process for conducting needs assessments in order to prioritize activities with more direct linkages to the twin goals of biodiversity conservation and improving rural standards of living. Most local poaching is driven by hunger, so food security projects have a more direct connection to conservation practices than infrastructure projects, which are linked more weakly to conservation results through attitudes and long term benefits.

ADMADE Conceptual Framework

ADMADE Mission: To conserve wildlife and improve standards of living in selected GMAs

xxx = ADMADE Intervention



ADMADE Interventions

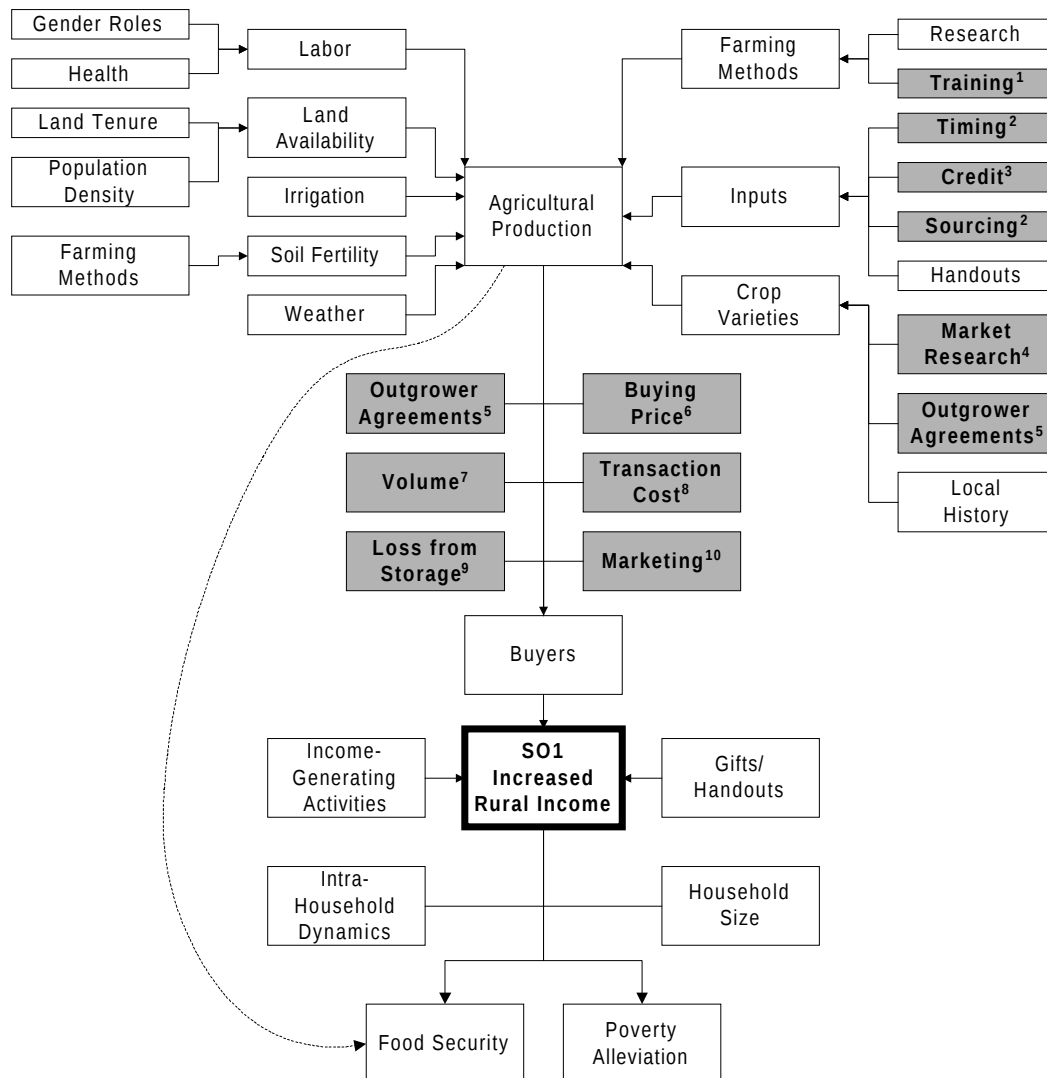
- 1 Land use planning workshops assist communities to optimize revenue and food production through a balance of safari hunting, agriculture, and other activities
- 2 Additional manpower and procedures for regulating safari hunting; support for community quota setting
- 3 The Wildlife Conservation Revolving Fund links safari hunting fees and community revenue
- 4 Village scouts have almost doubled law enforcement manpower in ADMADE GMAs
- 5 Group enterprises (CRBs) translate increased revenue into improved food security, standards of living, and attitudes towards wildlife and safari hunting

Figure 2 - A Sample Conceptual Framework for ADMADE

CLUSA Outgrower Scheme Conceptual Framework

CLUSA Mission: To raise the rural income of selected groups

xxx = CLUSA Intervention



CLUSA Interventions

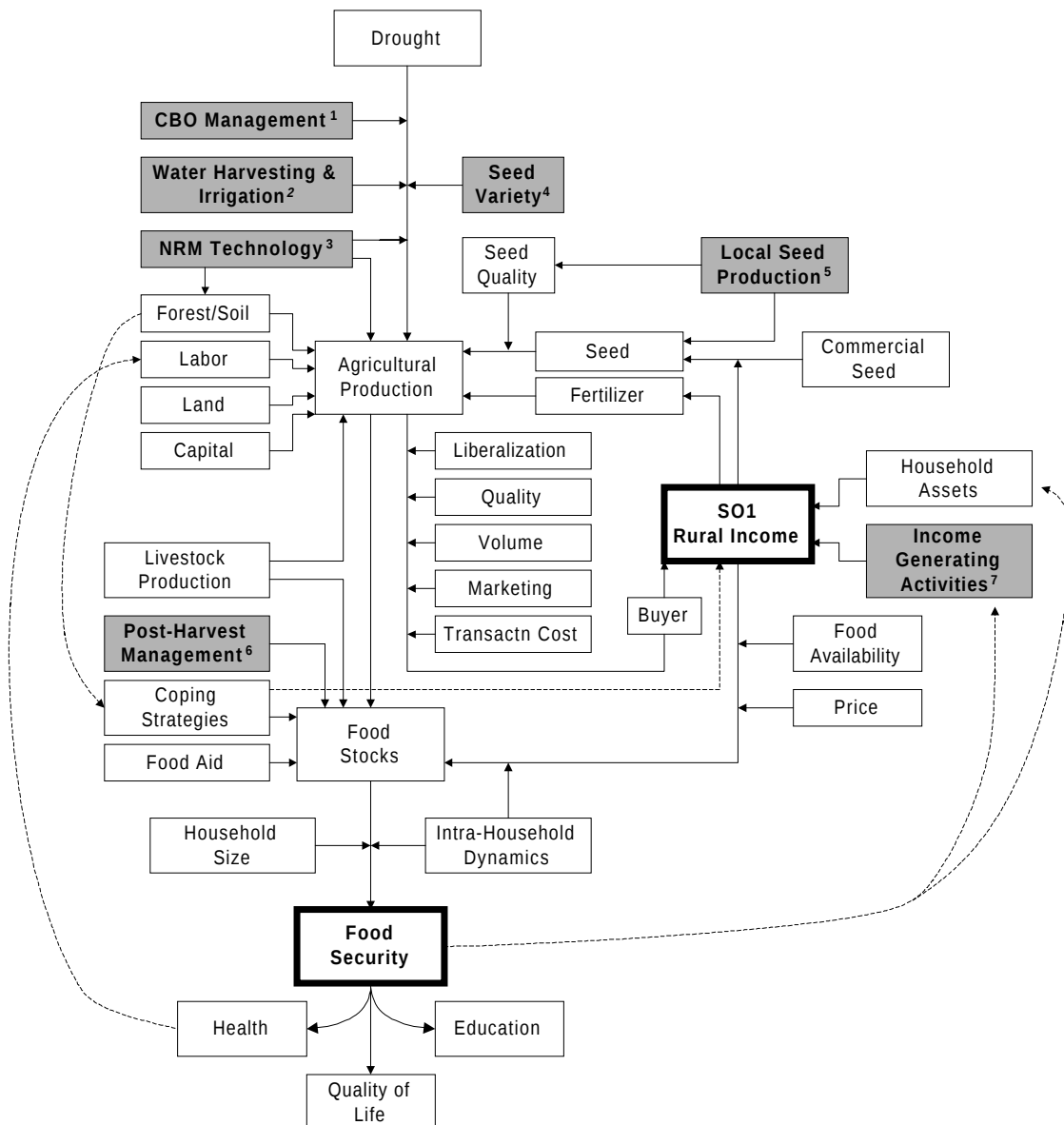
- 1 CLUSA extension staff provide training in conservation farming
- 2 CLUSA headquarters locates sources for appropriate inputs and arranges for delivery in a timely manner
- 3 CMS provides micro-loans for inputs
- 4 CLUSA marketing unit researches crop varieties in demand
- 5 CLUSA facilitates pre-season outgrower agreements between depots and agrobusinesses
- 6 Through collective representation depots are able to negotiate a higher buying price for their crops
- 7 Through depots agribusinesses are able to buy sufficient volume to make the transaction worthwhile
- 8 Depots act as collection points thereby reducing transport costs
- 9 Because sales are prearranged, minimal crops are loss in long periods of storage
- 10 CLUSA marketing unit locates buyers for depots

Figure 3 - A Sample Conceptual Framework for CLUSA RGBP

Livingstone Food Security Project Conceptual Framework

LFSP Mission: To improve food security in drought prone areas in Southern Province

xxx = LFSP Intervention



LFSP Interventions

- 1 CBO mangement and capacity building empowers farmers to plan their own development and reduce vulnerability to drought
- 2 Water harvesting structures constructed and rehabilitated
- 3 Conservation farming methods taught
- 4 Improved drought-resistant seed varieties introduced
- 5 Local seed banks established
- 6 Post-harvest management includes promotion of improved storage, food preservation, and processing
- 7 Small income generating activities developed based on agricultural produce and coping strategies

Figure 4 - A Sample Conceptual Framework for CARE LFSP

3.0 LESSONS LEARNED - IMPLEMENTATION METHODS AND TOOLS

Pace of Change

A never-ending issue for development projects is identifying an appropriate pace of change. Donors and participants often want to see change overnight, yet introducing new processes and structures too fast may result in a complete breakdown and even local backlash toward the project. Moving too slow can also reduce interest in the project efforts or result in lost opportunities to make progress.

Identifying an appropriate pace of change is an important element of project planning, but can not be formulated as precisely as a business plan or economic forecast. The SO1 projects have had varying experiences with determining the optimum pace of development.

The CARE LFSP had to contend with setting up community based organizations as the foundation for introducing the seed multiplication scheme and water harvesting projects. Their approach was to first understand the local context through a series of PRA exercises, and support the new CBOs through frequent field support.

CLUSA also had to develop its RGB groups from scratch, and it took a couple of years to establish and train these groups and build up a capable network of extension staff before they could implement the current

outgrower scheme. Formation of depot groups came even later, after a critical mass of strong RGBs was established.

Change in ADMADE communities has varied enormously from area to area, based on the local political context and the availability of field support from Nyamaluma. The communities in some GMAs still have not progressed much beyond the passive-aggressive relationship with wildlife managers, while others have

Factors Affecting the Pace of Change

- number of behaviors and perceptions which have to be 'unlearned'
- unit of change (e.g., institution, individual)
- type of change (e.g., administrative, livelihood, cultural)
- incentives for change
- political and economic forces opposed to change
- required sequence of incremental steps

dynamic multi-layered community organizations implementing innovative projects such as local land use planning, community quota setting, and public education..

Pace of Change

ADMADE	CARE LFSP	CLUSA RGBP
▪ Very fundamental reversal was needed in how communities perceive and interact with wildlife ▪ Ten years spent developing relationships between communities and project staff ▪ Communities allowed to make mistakes ▪ Dominance of traditional authorities limited socioeconomic	▪ Communities highly motivated to start seed scheme ▪ Community based organizations developed from scratch ▪ Capacity building and developing group cohesion takes time ▪ Farmer-to-farmer extension system speeds the exchange of information ▪ Monitoring CBOs based on	▪ Rural group businesses developed from scratch ▪ 30 years of behavior from socialist economic support policies had to be reversed ▪ Intensive field support from facilitators (once a week) gradually reduced as groups become more capable ▪ Groups have two years to learn to

ADMADE	CARE LFSP	CLUSA RGBP
progress but was a necessary phase in establishing the concept of CBNRM - Organic trial and error approach to project implementation - Pace of change related to amount of field support	'graduation' helps track skills development	become effective businesses, else dropped Outgrower scheme was based on two years of working with individual groups

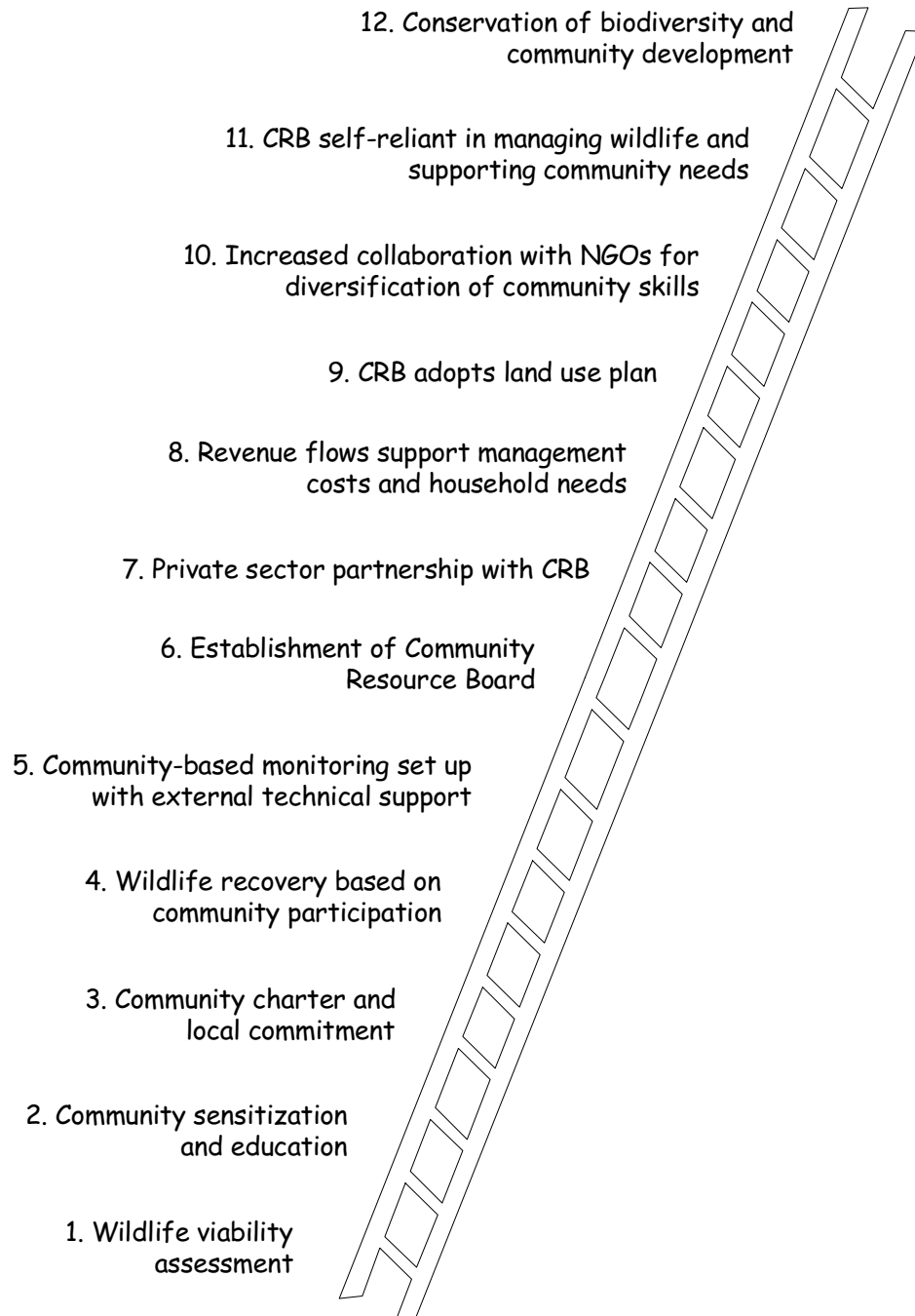
- Lessons learned:**
- *Community-based = community-paced*
 - *Change can be threatening psychologically, culturally, and economically*
 - *Young and educated people are more amenable to try new methods and challenge risk*
 - *The greater the amount of change being implemented, the slower the pace*
 - *Developing technical skills progresses faster than new ways of thinking or managing resources*
 - *Trying to change structures and behaviors faster than the community is ready for will most likely result in failure*
 - *The pace of change is often affected by the availability of facilitation and extension support.*
 - *Change in institutions is slower than individuals*
 - *Multi-tiered structures should be introduced one level at a time*
 - *It is difficult to predict at what pace change will be introduced in a project. Projects may be better off identifying factors which affect when a community is ready for the next step and then developing a monitoring plan.*



LFSP organizes site visits to help community members see the long-term benefits of NRM practices, such as the use of vetiver grass on this dam wall to control erosion

Gauging the pace of change: The ADMADE 12 Step Program

ADMADE has developed a 12-step outline for implementing the program in a Game Management Area. Although implementation is rarely a linear process, having such a framework can help identify the sequential steps of the process and find ways to forecast and monitor an appropriate pace of change.



Source: ADMADE Sustainability Project, 1999

Information Systems

We live in a rapidly evolving information age where the only development efforts which will prosper and rise up to meet new challenges are those which can adeptly use information to plan and support their programs. Information is needed for everything from daily management decisions to long term strategic planning, and communicating between partners.

A prerequisite for being able to use information effectively is an integrated information system. An information system may be defined the combination of tools and practices which are used to enter, analyze, store, and present information about a project. An information system in practice may consist of a collection of data forms, reporting guidelines, accounting ledgers, filing system, dissemination routes, software tools, and above all trained staff.

Each of the SO1 projects has struggled to find the best way to manage information at the community and project levels. ADMADE has an ambitious monitoring system with substantial vertical data flow from GMAs to

the project headquarters and back. The system works well at the project level, however communities need strengthening in data processing and analysis. ADMADE has invested heavily in training and computer infrastructure at the project level, and has begun to see results.

CARE's system of managing information is based around an action research unit, record keeping on household food security issues, and specialized data collection activities such as PRAs and the

annual Food Production Trends survey. CARE has also invested in data processing software and staff training, but remains challenged

in vertical data flow, and integrating datasets to analyze impact.

CLUSA's information system at the community level is based solidly around group business records, but at the project level CLUSA and its credit lending partner CMS remain constrained in their ability to summarize and validate results.

Byavula netamba bukuuku.
 "There are so many fallen pieces
 from the sweet potato."
 (too much information is confusing)
 - Kaonde proverb

Information Systems

ADMADE	CARE LFSP	CLUSA RGBP
- Information processing at the project level is strong through a heavy investment in computer infrastructure and training, including GIS and database development - Community level record keeping adequate in resource management, but needs improvement for community development and financial accounting - WCRF record keeping and dissemination weak and opaque	- At community level, socioeconomic data is collected through the Community Self-Monitoring ledger and seed scheme records - Information processing and analysis at the project level uses both qualitative and quantitative analyses - New database recently set up to analyze Community Self-Monitoring data - Quantitative analyses & integration of datasets remains challenging	- Group business records at the RGB and Depot levels, such as stocks, cash books, loans, outstanding business plans, inputs received, yield. - District level summaries of activities and outputs prepared by field staff - Headquarters office often overwhelmed by data; fairly weak in computer systems - CMS accounting system troubled and conflicts with CLUSA records

- Lessons learned:**
- *The larger a project is in terms of service area and scope of activities, the greater the need for investment in information systems.*
 - *Computerization is a powerful tool for effective information processing, but requires more than buying PCs and software.*
 - *Staff training and application development represent distinct but complementary strategies.*
 - *Spreadsheets work well initially and for simple datasets, but more complex data needs require an investment in a relational database system.*
 - *Failure to develop an effective project information system can have severe repercussions.*



The African College for CBNRM has a sophisticated information system which includes GIS data and outputs

Delivering Training to Communities

Community-level training is a prominent feature of each of the SO1 projects. Training is perhaps the biggest element of community-level capacity building, which is a goal in itself and enables the implementation of other project activities. Training often will have secondary benefits such as the ability to take advantage of other enterprise opportunities completely external to the project.

Training is a common intervention in community-based development projects. Training is popular with project management because it is attainable, intuitively seems like it will contribute to project goals, generates quantifiable indicators on process if not performance or impact, and uses up a budget. Training is popular with participants because it offers the promise of development, is a symbol

of status, may bring opportunities for personal advancement, and usually comes with per diem. However like any intervention, training programs need to be carefully thought out and planned if they are to contribute to project goals. Selecting appropriate content and an audience that has need for new skills and will not move out of the project are two of the big steps in developing training programs.

The type of training provided by the three SO1 projects ranges from the very technical, such as conservation farming techniques, to the very fundamental, such as leadership skills and conducting group business meetings. Strategies for delivering training vary among the projects. ADMADE is fortunate to have a dedicated training center, but unfortunate to have a limited budget and an extremely large project area. Consequently ADMADE has focused

on large centralized courses, which have proven to be the most cost-effective delivery mechanism and also allowed standardization of content. ADMADE has also recently started to establish in under-served areas a series of 'outposts' whose services will include a training component.

The CARE LFSP provides training in farming methods, post-harvest processing technologies, water harvesting structures, and

local seed banks. LFSP training is delivered through a network of project field staff and community facilitators. Field staff use a combination of on-site meetings with individual farmers and small groups, and larger participatory workshops.

The CLUSA RGBP delivers training primarily through a network of extension facilitators and lead contact farmers. Training is one of CLUSA's strongest components, and they have invested heavily in developing and supporting facilitators in the field with in-service training and resources. CLUSA's network of RGBs and depots also serve as contact

points for other extension services, including programs from MAFF and agro-processors.

All of the SO1 projects continuously modify training content and delivery strategies based on feedback from participants and instructors. However none of the projects have mechanisms for systematically evaluating the impact of training programs on attitudes, knowledge, and behavior, using standardized methods such as pre-post tests or control groups.

Imiti iikula, e mpanga.
 "Growing trees make a forest"
 - Bemba proverb

*CLUSA partners with
 the Conservation
 Farming Unit to
 deliver training to
 farmers*



Delivering Training to Communities

ADMADE	CARE LFSP	CLUSA RGBP
- Relies primarily on large centralized training courses at Nyamaluma Institute - Limited onsite support, mostly in Luangwa GMAs - Extension outposts around Kafue NP will better serve remote GMAs	- Centrally based field staff meet with farmers, facilitators, and farmer groups - On-site workshops organized for PRAs, topical appraisals, and foundation training - Occasional training programs at main project office for special topics	- Rural-based facilitators meet regularly with lead contact farmers and RGBs - RGBs serve as contact points for other extension services - Project level training and support for facilitators - Multiplier effects to non-project farmers through word of mouth

- Lessons learned:**
- *Training will remain an important component of rural development, but is only one component of capacity building.*
 - *Repetitive training and regular follow-up in the field is required for messages and new skills to sink in.*
 - *Multi-tiered community based organizations can extend the reach of training services and improve their efficiency.*
 - *Evaluating the impact of training programs helps to determine whether the right messages and audience are being targeted.*



LFSP uses private suppliers as much as possible to deliver training for new technologies in order that a working relationship can be set up between the CBOs and the private sector from the very beginning. Here a group of women learn how to use a Yenga press to extract oil from mungongo nuts.

4.0 LESSONS LEARNED - SUSTAINABILITY

Importance of Marketing

Developing marketing capacity was not initially a major focus of any of the SO1 projects, however each project now contains a significant marketing component. Both CARE and CLUSA farmers rely on external markets to provide agricultural inputs and purchase the increased production of cash crops. These market linkages are the centerpiece of CLUSA's outgrower scheme, and will become increasingly important in the LFSP as farmers attempt to supplement higher production of consumption crops with cash crops. ADMADE also has a vested interest in marketing to advertise Zambia as an attractive hunting destination. ADMADE areas have also recently begun experimenting with market-linked activities such as honey production, photo tourism, and cash crops.

Each of the three SO1 projects has attempted to develop a marketing capacity in-house, because there is no suitable marketing organization in Zambia that could be contracted for these types of enterprises.

Of the three programs, CLUSA is probably the best equipped for marketing, being centrally located in Lusaka and having a dedicated marketing unit. CLUSA is also in the process of privatizing its marketing unit into a trading company which will hopefully be able to function independent of donor support.

For most of its history, marketing in ADMADE has been constrained by not having a presence in town nor staff with a background in marketing. However to market Zambia to the safari hunting industry, ADMADE has produced publicity materials, started a web site, and sponsors a booth at the annual Safari Club International convention. The new Zambia Wildlife Authority will have a marketing arm, however whether this

Marketing Factors

Factors which affect the ability of a rural enterprise to market its goods or services include:

- volume of the product
- quality
- credibility of the organization
- production costs
- transaction costs
- skilled manpower

division will serve the needs of ADMADE communities remains to be seen.

LFSP uses three strategies to improve access to markets for its farmers. Outgrower schemes linking farmers with agribusiness have been conducted on a pilot basis. Training has been provided for communities to market vegetables and forest products. Finally the project is involved directly in identifying and negotiating with potential buyers for products such as milk, curios, and thatching grass.

Although each program has made progress in setting up market connections, none of the SO1 investments can be said to have a sustainable marketing program. Marketing is a fairly advanced skill, and requires a solid foundation of general business skills, such as forecasting, budgeting, and record keeping.

Effective marketing at a project level also requires dedicated staff and a presence in town, and may never be truly self-sustaining for community based development. Hence marketing may be one area where some kind of external assistance is needed indefinitely.

Importance of Marketing

ADMADE	CARE LFSP	CLUSA RGBP
▪ Produces publicity materials and a web site about Zambia for the safari hunting industry ▪ Supports a booth at the annual Safari Club International convention ▪ Beginning market-based activities such as honey production ▪ Historically weak marketing capacity due to limited staff and location	▪ Market information systems developed to link up vegetable producers with urban traders ▪ Small-scale experiments with outgrower schemes ▪ Marketing has been identified as a priority area for the Small Economic Activity Development section	▪ Marketing unit at the national office ▪ Sources for inputs and agri-processor buyers identified before the season begins ▪ Marketing unit to eventually be privatized into a public trading company

- Lessons learned:**
- *Marketing requires specialized skills and a presence at the national level.*
 - *Projects which depend on linkages to external markets need a dedicated marketing unit.*
 - *Projects can take steps to increase the attractiveness of their goods and services in terms of volume, quality, price, and credibility.*
 - *Developing marketing capacity requires a solid foundation of basic business skills and experiences, including budgeting, forecasting, and record keeping.*



Market information systems have been an effective means of marketing vegetables in Livingstone. Vegetable growers prepare handouts listing their crops, volumes, and dates of availability which are then passed out to traders

Venturing Into New Service Areas

Each of the SO1 projects has undergone a gradual evolutionary process where the suite of services provided to rural groups has evolved and expanded. ADMADE began as a wildlife conservation project with its primary emphasis on law enforcement and training. Today it offers services in financial management, monitoring, facilitating elections, supporting theater groups, family planning, agro-forestry, beekeeping, and land use planning. To offer the additional services, ADMADE has expanded its own internal capacity through the African College for CBNRM and also formed linkages with NGOs such as World Vision, Lutheran World Federation, CLUSA, Peace Corps, CARE, UNDP, and others. ADMADE also tests the feasibility of new service areas on a limited scale

LFSP was originally based on a fairly focused plan for community seed banks and the construction and rehabilitation of water-harvesting structures. Recently it has identified livestock health, natural resources management, and joint forest management as

new areas of intervention it wants to expand to.

CLUSA began primarily as a training and credit program for small rural enterprises, but is now manages a large and fairly complex outgrower scheme. CLUSA has also started to provide new services on a small scale in areas such as basic literacy training and working with widows and orphans.

Ventures into new service areas are often undertaken because the need is identified but no other agency or service provider is available.

However these expansions also place new demands on project administration and require compromises in prioritizing staff time and resources. Often service expansion also

requires additional layers of administration and thus more inefficiency. Time spent on activity coordination, communication, documentation, and evaluation increases exponentially as the number of activity areas and personnel increase.

*Ukayendera nzenzo usamati
asakhwi afumbula..*
"If you go to look for poles, you
should not start looking for long-
nosed mice as well."
- Nyanja proverb

Venturing Into New Service Areas

ADMADE	CARE LFSP	CLUSA RGBP
▪ New services include family planning, agroforestry, beekeeping, facilitating elections, landuse planning, theater groups, and electric fencing ▪ Seeks linkages with NGOs to provide support to ADMADE areas ▪ Many new services implemented on a small scale due to limited project resources ▪ No new upper level project staff to design and implement new service programs	▪ Beginning to get into livestock health by partnering with Veterinary department ▪ Submitted a proposal for a pilot joint forest management project ▪ Harvesting and marketing of natural resources being expanded ▪ 14 months of funding remain	▪ Focus on loans for small group businesses replaced by an outgrower scheme ▪ Additional small scale efforts to support literacy training and work with widows/orphans

- Lessons learned:**
- *Expansions into new service areas should be done cautiously and deliberately, based on a strategic analysis of the importance of the new service to the project goals.*
 - *Inadequate or unsustainable service provision can be worse than doing nothing.*
 - *Expansion into new service areas will eventually require new layers of administration, thereby reducing overall administrative efficiency and requiring new management skills*
 - *Forging partnerships with other service providers when possible is usually preferable to developing new capacity in-house.*
 - *Dropping existing services when taking on new ones up prevents administrative capacity from being overtaxed.*



LFSP minimizes the risk of venturing into new areas such as the harvesting and marketing of these mawi fruits by doing its homework first, providing training through its groups, and starting small

Community Auditing

Each of the three SO1 projects has adopted a modified version of the community enterprise model, where community based organizations function as self-sustaining micro-businesses. A key ingredient of any business model is the institutionalization of audits. Audits and external oversight are important practices not just in enterprises in rural communities in developing countries, but are part and parcel of any sound business behavior anywhere in the world. Millions of US taxpayers are kept honest on their tax returns not from an inherent sense of honesty or love of country, but from the threat of audits from the Internal Revenue Service.

However external auditing is particularly important in developing countries like Zambia, where central government and projects have been constrained in their ability to oversee the practices of small enterprises. During the era of the Sub-Authorities,

ADMADE experienced widespread problems with financial mismanagement and opaque accounting at the GMA level, because it was culturally inappropriate to audit traditional authorities. Nyamaluma Institute also did not have the capacity or authority to conduct community audits, as this fell under the WCRF. Although there are no major community financial flows in the CARE LFSP, CARE field staff conduct inspections of seed scheme records and construction projects expenditures. CLUSA does not have the manpower to make regular audits of individual farmer groups, however auditing and transparency is an inherent component of their business training materials, and all depots are required to have an internal audit committee.

Mlendo ndiye abwera ndi kalumo kakuthwa.
 "A visitor usually brings a sharp cutter."
 - Nyanja proverb

Community Auditing

ADMADE	CARE LFSP	CLUSA RGBP
- Nyamaluma monitoring teams inspect community records during field visits - Auditing of community accounts by WCRF remains weak - Auditing taught in bookkeeping courses	- Field staff inspect seed scheme records during field visits - Accounts for water harvesting construction projects overseen by project staff	- Auditing procedures incorporated into business training - Depots have an internal audit committee - CMS credit officers audit depot accounts (??)

- Lessons learned:**
- *Community-based enterprises require effective internal and external audit mechanisms to prevent and contain mismanagement.*
 - *Regular auditing should be seen as fundamental as any other component of business development, such as keeping cash books or taking minutes at meetings.*
 - *Auditing should be seen as not only an opportunity to ensure accountability, but also analyze business strengths and weaknesses.*



Nyamaluma staff inspect monitoring dataforms and filing systems on field visits

Being Proactive with Policy

National and international policy form the context in which SO1 investments perform, and can have a tremendous influence on the effectiveness of those investments. The SO1 projects, being enterprise based, have benefited tremendously from the efforts to liberalize

Bangilila, mulamba talatulula.
"Start early before the floods come."

- Bemba proverb

the Zambian economy. However there are still policies which threaten their effectiveness and even survival.

The 1998 Wildlife Act was a big improvement for ADMADE over the previous wildlife legislation, establishing the legal basis for community based management. However the act fails to go so far as to relinquish ownership of wildlife to communities, and there remain many department policies that fail to set a conducive environment for CBNRM and

safari hunting in Zambia including a substantial portion of hunting revenue which is sent to central government.

CARE/LFSP has been instrumental in demonstrating to MAFF the benefits of using empowered community-based organizations to deliver extension services and planning community develop. They are represented in policy circles at the national level to advocate for the CBO approach in international for a.

The CLUSA and CARE programs in particular can be affected by government or donor interventions in the agriculture sector. The Zambian government continues to selectively use input subsidies as a social policy, undermining private agrobusinesses upon which CLUSA's outgrower scheme is based. Even some donors, such as the World Bank, appear to remain interested in hand-out programs which lower the value of inputs and decrease incentives for farmers to enter the market economy.

Due to their wide ranging impact, development projects can not afford to be passive on policy issues. ADMADE has been involved directly and indirectly in developing statutory instruments which will implement the 1998 Wildlife Act, and trying to stimulate

dialog on safari hunting policies in Zambia. CLUSA's and CARE's programs are both impacted heavily by agricultural subsidies, so they are included in the policy dialog consulted on planning food relief and agricultural assistance programs.

Being Proactive with Policy

ADMADE	CARE LFSP	CLUSA RGBP
▪ Participated in the development of the 1998 Wildlife Act ▪ Helped design the statutory instruments for the 1998 Wildlife Act ▪ Organized open discussions in changes in the safari industry and proposed changes ▪ Attempted to set quality standards for stafi hunting through the Green Bullet Award	▪ Participates in policy dialogue on technology and extension issues ▪ Influential in promoting the use of CBOs for extension services ▪ Presented LFSP results in international publications and conferences	▪ Participates in policy dialog on agricultural subsidies and conservation farming issues

- Lessons learned:***
- *Rural development projects should recognize the influence of national and international policy on their operations, and be proactive at influencing policy change.*
 - *Partnerships with similar institutions can increase the cost-effectiveness of policy reform efforts.*

Tooting the Horn: Communicating Results and Lessons Learned

The SO1 interventions do not exist in a vacuum, as each one operates in a specific cultural, economic, and ecological context. The SO1 projects also operate in an institutional context, which includes relationships with the donor, government bodies, and an international NGO. These institutional relationships have profound impact on program design and implementation through impacts on the overall mission statement, determining material and human resources available for implementation, defining legal mandates, and defining minimum standards for monitoring and evaluation.

An important strategy for maintaining relationships with partner organizations to

remain on the front burner is making an effort to communicate experiences approaches, and results. In other words, it is in projects' best interest to 'toot their own horn' a bit and to keep partners informed of successes, failures, and lessons learned.

Communicating results serves multiple purposes and audiences. At a minimum, spreading the word about approaches and activities can reduce the possibility of institutional conflict, which may be caused by institutions adopting overlapping or incompatible strategies in the same area or sector. The benefits also include an increase in the number of opportunities for joint collaboration,

research, and even additional funding. Projects in turn can learn to avoid the mistakes made by others, while external partners can benefit from the through streamlining the testing and adoption of new methodologies or replicating successful models in other regions or sectors. Ultimately positive collaboration should lead to progress in advancing the mission statements of both organizations.

There is of course also a cost involved in communicating results and cultivating institutional partnerships. Aside from the time and resources required to communicate experiences and coordinate plans, collaborative partnerships also usually entail additional administrative overhead. In extreme cases, collaboration can turn into outside interference or efforts to co-opt economic or political capital.

Phoko yahwa ikhiko yapangiza ikwavo.

"A finished knife is the one that is used to make others."

- Luvale proverb

The SO1 projects have followed different strategies in spreading the word about their experiences. CLUSA's achievements in developing rural group businesses and successfully applying conservation farming methods has earned it word-of-mouth attention from agrobusinesses, MAFF, the Conservation Farming Unit (under ZNFU), and other NGOs. This awareness has led to several symbiotic institutional relationships. CLUSA relies heavily on CFU research and collaborates on training programs with CFU resource personnel.

CLUSA also sends representatives to a technical committee for conservation farming. To some degree CLUSA has also worked with MAFF extension agents in training and coordination of extension services. In general these relationships have proven very beneficial to CLUSA without much cost. CLUSA has not needed to invest heavily in publications or setting up

coordination activities, as it is able to share its model and experiences through ongoing activities with its institutional partners.

During the first several years of its existence ADMADE, shied away from communicating results with external partners or developing relationships with other Zambian institutions. As a result it was criticized for operating in isolation from other organizations, including other government bodies, and only seeking institutional relationships that translated into direct assistance to ADMADE. This behavior may be partly explained by the highly political and contentious nature of the wildlife sector, and the atmosphere of suspicion that developed during ADMADE's formative years from the competition between NPWS/ADMADE and LIRDP during the late 1980s. ADMADE also has never had the strong administrative capacity to develop and maintain communication with partners.

Recently, ADMADE has started to share the results of its experiences and work closer with other organizations. In 1999, under an agreement with WCS, ADMADE produced a series of analytical papers summarizing the major findings and lessons learned of the first ten years of its existence. ADMADE also set up a web site in 1999 to begin publicizing its approach and activities. Nyamaluma also received assistance from the UNDP funded CBNRM program under the Environmental Support Program, the Kafue Anti-Poaching Organization, Lutheran World Federation, Peace Corps, CARE, and others. Zambia also hosted the 1999 meeting of the Project Coordinating Committee of the Regional Natural Resource Management Project.

CARE LFSP has invested a considerable amount of resources documenting participatory rural appraisals, topical appraisals, workshops, and action research topics. These reports are used

mostly internally but have also been distributed to communicate LFSP's approach and achievements to MAFF and other

stakeholders. These efforts have helped build awareness of LFSP's extension approach which focuses on CBOs.

Tooting the Horn: Communicating Results and Lessons Learned

ADMADE	CARE LFSP	CLUSA RGBP
- Produced a series of analytical papers on impact and lessons learned - Set up a web site - Attends meetings of the Regional NRM project - Newsletter - Maintains an office in Chilanga - Hosts international researchers	- Produces summaries of PRA topical appraisals, and workshops - Hosts numerous visitors to project 30-minute video produced for ZNBC - Partnership workshops used to share experiences and coordinate plans - Published in international publications and conferences	- Word-of-mouth publicity of its approach within rural communities and agribusinesses - Works closely with Conservation Farming Unit to document impact of farming practices

- Lessons learned:***
- *Sharing methodology and results with external partners can have beneficial results for both parties*
 - *Sharing experiences with failure is at least as useful if not more so than success stories*
 - *Communicating results does not have to be a tedious separate activity if it is integrated into ongoing activities such as monitoring, activity planning, newsletters, etc.*



LFSP recently sponsored a series of partnership workshops to share achievements and lessons learned. They also invite external stakeholders to their annual planning exercise to coordinate development activities

5.0 CONCLUSION AND RECOMMENDATIONS

The projects under USAID/Zambia's Strategic Objective One represent a valuable source of experiences in testing innovative strategies to raise rural income, improve food security, and manage natural resources. This document has attempted to extract some of the commonalities and lessons learned of the three SO1 projects in regards to project design, implementation tools, and sustainability. It is hoped these lessons will benefit the SO1 investments by stimulating internal dialog on project strategies and methods, and identifying

fruitful areas for collaboration and exchange. The lessons learned will also assist USAID staff in Zambia and elsewhere plan and improve programs in rural development, and contribute to a larger body of literature in development and resource management.

In order to translate these lessons learned into improved project performance, the evaluation team makes the following recommendations:

Disseminate Materials on Lessons Learned

This paper represents the first formal attempt to synthesize the major lessons learned and common issues among the SO1 investments. Most evaluations are contracted for very specific purposes, such as a decision whether to extend the project completion date or renew funding, and as such have relatively short shelf lives. The contents of this document fall more in the category of a users manual. As such, to get the greatest return on the investment additional efforts in refinement and dissemination are required.

Ideally, if the results of this synthesis are found useful they would be discussed, polished, and expanded at a meeting of representatives of the three projects. The

content should be should then further edited, repackaged and made available through appropriate channels. Possible outlets for dissemination include:

- Development Experience Clearinghouse - USAID's online archive of development documentation
- International Institute for Environment and Development - another online archive of development materials
- Humanity Development Library - an online collection of development literature based at Tulane University
- Hardcopy manuals

Encourage a Learning Environment

As one of the largest donor agencies in the world, USAID is in a unique position to develop a comprehensive collection of tools and analytical frameworks for achieving development objectives. Compared with the more piecemeal development approach of just ten years ago, the USAID of the 21st century has already made great strides in making investment portfolios more coherent and structured around strategic objective

frameworks. USAID missions now have an opportunity to further our understanding of development issues by building upon strategic planning methods

Kwibula kasaweelo kusinga kuyupelela.

"To ask is not foolishness, it is the desire to hear fully."

- Lozi proverb

and promoting the role of learning in project and portfolio management.

An investment portfolio geared towards learning involves two sets of goals. The first set are the usual results-oriented goals targeted to achieving specific development objectives. The second set of goals involves learning systematically from project interventions to determine which strategies work, which don't and why. A learning oriented portfolio is built around a core set of concepts or hypotheses, and projects are selected to test competing or complementary strategies. Projects are encouraged to experiment, exchange ideas, and value failure as well as success.

Promoting learning and achieving performance results are not mutually exclusive objectives, however compromises do have to be made. Projects with a strong learning component typically require more staff, stronger monitoring programs, and more resources devoted to communication and documentation. However the benefits include cross-project sharing, improved partnerships, and a deeper understanding of the dynamics of rural development.

Whether the benefits of a greater focus on learning warrant the additional investments in support and administration can only be evaluated on a case by case basis. However in most projects and portfolios there are some incremental steps that can be taken to increase the learning value with minimal additional resources. In the case of the SO1 projects, these steps may include:

- encouraging projects to report more on learning results and frame success/failure on more than numbers
- providing technical assistance in strengthening project monitoring and information systems
- supporting experimentation of new strategies or methodologies by encouraging pilot tests of new methods and providing linkages to technical resources
- linking projects with training resources in participatory evaluation
- investing in face-to-face meetings
- incorporating learning objectives explicitly in the USAID strategic framework
- supporting cross-project dialog through annual or semi-annual workshops, setting up a listserv, exchanging copies of reports, distributing newsletters, etc.
- soliciting and supporting local and international academic researchers to study cross-cutting topics relevant to USAID's information needs
- providing projects with datasets of variables affecting target conditions but beyond the capacity of individual projects to monitor (e.g., rainfall, market prices, population trends)
- support cross-project visits, study tours, and attachments for project participants

Umwana ashenda, atasha nyina ukunaya.

"A child that does not travel praises its mother as being the best cook."

- Bemba proverb

Strengthen Internal Evaluation Capacity

External evaluation teams will rarely be able to grasp project issues with as much detail and depth as project staff who deal with design and implementation issues on a day to day basis. The most potent resource for synthesizing lessons learned are properly trained and supported project monitoring and evaluation units. Internal evaluation staff are

generally in a better position to conduct evaluations which are more focused on relevant topics, more frequent, and better integrated into project design and implementation. These strategic advantages of internal evaluation units permit M&E to be used as a tool not only for measuring accountability, which is the

main focus of external evaluations, but also as a core component of project implementation.

An important contribution of external evaluation teams can be to support project evaluation staff by highlighting areas where they may not recognize possible constraints or opportunities. External evaluators can also provide technical skills in evaluation, such as designing sample schemes, developing questionnaires, and supporting development of information systems. In an ideal situation, external evaluators would work closely with project evaluation staff to jointly analyze and present performance results and explore

patterns, weaknesses, threats, and opportunities.

Focusing resources to strengthen the capacity of internal evaluation units has many advantages beyond the extraction of lessons learned. A strong in-house evaluation capacity improves planning and allows more responsive shifts in strategy based on performance results. More frequent and structured internal evaluations can also help identify weaknesses or gaps in the monitoring program, allowing changes to be made before the final evaluation is underway.

USAID guidelines state that as a ballpark figure 10% of project budget should be spent on monitoring and evaluation.

6.0 SHARING LESSONS LEARNED

The three SO1 projects have each employed a set of strategies and technologies which work together to achieve the desired impact. In addition to the very general common lessons learned among the three projects outlined above, there is also a strong potential for specific sharing or exchanges among the three projects. To identify the complimentary strengths of each project, the specific context of each project needs to first be described as the broader environment for each strategy. The table below lists some of the main characteristics of each program and the context in which they operate.

CARE/LFSP		CLUSA/RGBP	ADMADE
Focus			
Primary goal	Food security	Rural income	Wildlife conservation
Secondary goal / means to primary goal	Rural income	Food security	Community development / food security
Scope			
Area of operation	3 districts ▪ Kazungula ▪ Kalomo ▪ Livingstone	4 districts: ▪ Chibombo ▪ Mazabuka ▪ Monze ▪ Mumbwa	11 GMAs
Size of service area	32,000 km ²	37,000 km ²	42,000 km ² (USAID areas only)
Distribution of areas	adjacent	adjacent	widely dispersed
Direct beneficiaries	26,000 (seed groups)	9,000 (farmers)	
Est. indirect beneficiaries	156,000	54,000	
Ecological Context			
Rainfall	Avg. 733 mm (603-811, sd. 38.7)	Avg. 877mm (691-1042, sd. 78.5)	▪ Kafue North: avg 1070 mm (947-1200, sd. 58) ▪ Mumbwa: avg. 900 mm (837-963, sd. 26) ▪ Kafue S.: avg. 759 mm (720-811, sd. 19) ▪ Luangwa: avg. 964 mm (858-1071, sd. 42)
Operational Strategy			
Main interventions	▪ CBO formation and capacity building ▪ Improved farming systems ▪ Water harvesting & sanitation ▪ Income generation activities ▪ Training	▪ CBO formation and capacity building ▪ Conservation farming ▪ Market linkages ▪ Training	▪ CBO capacity building ▪ Commoditization of wildlife ▪ Improved wildlife and habitat management ▪ Training

CARE/LFSP		CLUSA/RGBP	ADMADE
Implementation Resources			
USAID financing	\$3.6 million 1996-2001	\$5 million 1996 - 2001	\$4.8 million 1989-1999
Other financing sources	DFID	Agribusinesses CFU	WCRF WCS
Training			
Primary training Strategy	on site	on site	mostly centralized
Field staff	off site	on site	off site
Farmer to farmer	strong	strong	weak
Content	▪ monitoring ▪ soil fertility technologies ▪ water harvesting methods ▪ (food processing) ▪ marketing	▪ business skills ▪ conservation farming	▪ law enforcement ▪ resource monitoring ▪ leadership skills ▪ small income generation
Food Production			
Major constraints to agriculture	▪ rainfall ▪ soil fertility (low nutrients) ▪ inputs ▪ depleted production assets	▪ inputs ▪ farming practices	▪ soil fertility (in Luangwa) ▪ topography (in Luangwa) ▪ wildlife ▪ inputs ▪ selling production for income
Other major food sources	▪ cattle ▪ small livestock ▪ forest products	▪ cattle ▪ small livestock	▪ bush meat
Strategies to increase	▪ training ▪ new seeds/seed multiplication ▪ demonstrations of soil improvement crops ▪ food processing training ▪ irrigation technology	▪ training ▪ credit for inputs ▪ coerced adoption of conservation farming as a credit risk mitigation strategy	▪ agroforestry demonstrations ▪ electric fencing ▪ subsidized inputs
Income Generation			
Constraints	▪ production levels ▪ access to markets ▪ credit	▪ production levels ▪ access to markets ▪ credit	▪ poaching ▪ revenue distribution ▪ access to markets
Strategies to improve	▪ training ▪ technology demonstrations ▪ food processing	▪ training ▪ credit	▪ community policing ▪ safari hunting ▪ CBO training
Credit	▪ seed loans	▪ supported by project	▪ n/a
Monitoring			
Project Resources	▪ 2 dedicated M&E staff ▪ field staff	▪ field staff	▪ 2 dedicated M&E staff ▪ expat. technical advisor ▪ field staff
Datasets	▪ Food Production Trends Survey	▪ business records ▪ staff activity	▪ field patrols ▪ safari hunts

	CARE/LFSP	CLUSA/RGBP	ADMADE
	- Community Self-Monitoring - seed lists - special studies	- reports - special studies - P&L statement - depot quality assessments - credit records	- household demography - populations trends survey - special studies
Technologies	- Community Self-Monitoring - Food Production Trends Survey	- Business plans - Group screening criteria	- Dataforms - GIS

Complimentary Strengths

Within the overall context of each project, specific areas exist where lessons and capabilities can be shared among the three projects. The tables below try to identify the areas of common ground where each pair of projects can be mutually reinforcing.

Complimentary Strengths of ADMADE & LFSP

ADMADE	LFSP
- wildlife production as a tool for income generation - resource monitoring - dataforms to standardize monitoring - GIS/IT - source of community revenue - working with traditional authorities - NRM (e.g., beekeeping) - land-use planning - overlapping geography	- soil improvement crops - improved seed varieties - NRM technologies - market information systems - socioeconomic monitoring - PRA methods - working with MAFF - farmer-to-farmer systems - impact evaluation methods - overlapping geography

Complimentary Strengths of LFSP & CLUSA

LFSP	CLUSA
- drought-resistant seed varieties - NRM - market information systems - socioeconomic monitoring (CSM) - vegetable gardening - PRA methods	- conservation farming - outgrower scheme - screening - providing credit - graduation experiences - working with MAFF - marketing company - small business counseling

Complimentary Strengths of CLUSA & ADMADE

CLUSA	ADMADE
▪ conservation farming ▪ graduation experiences ▪ working with MAFF ▪ marketing strategies ▪ outgrower schemes ▪ farmer-to-farmer systems ▪ small business counselling ▪ credit strategies ▪ overlapping geography ▪ screening criteria	▪ resource monitoring ▪ NRM ▪ GIS/RDBMS ▪ source of community revenue ▪ overlapping geography

7.0 REFERENCES

- ADMADE Sustainability Project. 1999. Investment proposal for the ADMADE program. Zambia Wildlife Authority, Mfuwe, Zambia
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- Margoluis, R., & Salafsky, N. (1998). Measures of success: Designing, managing, and monitoring conservation and development projects. Washington, D.C.: Island Press.
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ANNEX I - SCOPE OF WORK

Concurrent Evaluation of Three of USAID/Zambia Activities:

- 1) Cooperative League of the USA Rural Group Business Program (CLUSA/RGBP);**
- 2) CARE Livingstone Food Security Project (CARE/LFSP);**
- 3) Wildlife Conservation Society's Administrative Management Design Project (WCS/ADMADE)**

STATEMENT OF WORK

Article 1. Introduction

With regard to the three projects identified in the title of this statement of work, USAID/Zambia would like to find out whether investments in profit oriented farmer group businesses (CLUSA), food security oriented village management committees (CARE), and wildlife conservation oriented village action groups (WCS) have had or are having a beneficial impact. If so, USAID/Zambia would like to identify the elements of successful investments that can be replicated to improve ongoing or future investments. Finally, if an investment were not achieving the intended results, USAID/Zambia would like to know how to reorient that investment so that it does achieve the intended results.

In support of Zambian economic liberalisation, USAID/Zambia has initiated and supported activities that stimulate rural economic growth since 1991. Under USAID/Zambia's Country Strategic Plan for the 1998 - 2002 period, Strategic Objective 1 (SO 1) is "increased rural incomes of selected groups." Approximately 6 million of Zambia's 10 million people live and work in rural areas.

SO 1 investments aim at increasing the incomes of rural families working together as farmer group businesses, village management committees or village action groups. Hopefully, rural families working as groups will result in more cost effective (and less risky) technology dissemination, training, rural finance, output marketing and wildlife management service delivery. Lower service delivery costs will contribute to more sustainable, customer responsive and profitable service delivery agencies. Finally, more sustainable and profitable service delivery will result in increased rural family opportunities to improve their productivity and incomes.

USAID/Zambia recognizes the importance of Zambia's macroeconomic and sectoral policy environment. Investments that focus on reducing service delivery costs and raising rural family productivity are likely to identify and lead to the resolution of "second generation" policy constraints. USAID/Zambia investments ground truth neo-classical economic theory based predictions about market driven resource allocation and use and hopefully generate ideas on how public and private institutions can best contribute to improved rural family welfare. USAID/Zambia regards its service provision investments as applied research.

Actual SO1 activities spring from rural family problem and opportunity identification. They are intended to encourage rural family contributions to solving their social or economic problems, enhance women's contribution to rural economic growth and encourage government food security and rural finance policies that promote private initiative.

During the April – May 2000 period three of SO1's projects will be evaluated. CLUSA/RGBP and CARE/LFSP are earmarked for mid-term evaluations while the WCS/ADMADE evaluation will be an End of Project Evaluation.

As the result of an unsolicited proposal from CLUSA, the Rural Group Business Project began in May 1996. This 5 year, \$5 million activity promotes the emergence of democratically self-managed, financially viable group businesses that improve rural family incomes. Since its inception CLUSA-RGBP has modified its group business development approach. It now focuses specifically on small farmer high value crop production usually under forward contract to agro-processors. CLUSA-RGBP credit provision is almost entirely for seed and fertilizer.

Another unsolicited proposal, this time submitted by CARE International, resulted in the Livingstone Food Security Project. This 5 year \$3.6 million project began in July 1996. The project promotes community institution management of drought resistant crop seed multiplication and distribution, soil conservation, water harvesting, marketing, and some income generating activities. As a result of CARE's activities rural family food stocks have increased in some of Zambia's most drought prone areas.

The third project to be evaluated, as an end of project evaluation, adds a bit of complexity to this activity. Since 1989 USAID has supported Zambia's Administrative Management Design (ADMADE) Project and the National Parks and Wildlife Service with funding made available through the Regional Natural Resources Management Project. Funds were initially managed by USAID's regional office in Harare but eventually project management was vested in USAID/Zambia with funding obligated through bilateral project agreements. Over the 10 years of project life, implementation vehicles included a grant to the World Wildlife Fund, funds made available directly to the National Parks and Wildlife Service through Project Implementation Letters, short-term technical assistance in Wildlife Conservation Revolving Fund capacity building and, finally, since October 1998, a Cooperative Agreement with the Wildlife Conservation Society of New York as the result of an unsolicited proposal. The WCS activity, entitled the ADMADE Sustainability Project, was a 15 month, \$.461 million activity that ended on December 31, 1999.

The overall 10 year RNRMP/ADMADE investment sought to introduce and develop the idea of community wildlife management in Zambia, including use of village wildlife scouts and the sharing of hunting revenues with protected area communities for their use in improving their livelihoods. Community involvement in wildlife management is now a stated national policy although the Zambian government's wildlife institutions are currently in a state of significant transition. The WCS ADMADE Sustainability Cooperative Agreement was intended to document

ADMADE lessons learned and research findings hopefully to inform future USAID, other donor and GRZ investments in wildlife management.

Article 2. Overall Orientation of the Consultancy

The consultancy will comprehensively assess the three projects. USAID/Zambia would like each project evaluation to result in a separate evaluation report. However, by evaluating the three activities under one contract USAID seeks lessons learned that may be applicable to all three project objectives (rural incomes, food security, wildlife management) in order to positively influence ongoing or future activities or investments. Therefore, a fourth report encapsulating lessons learned and describing their implications across activity objectives is required.

To the greatest extent possible USAID would like the evaluations to provide quantitative evidence of investment impact on rural incomes (CLUSA), food security (CARE) or wildlife management (RNRMP/ADMADE). Quantitative evidence should be presented over time to illustrate any growth or reduction in investment impact during project implementation. Where quantitative evidence is not available or relevant, qualitative descriptions of impacts and processes will be required.

With regard to CLUSA RGBP and CARE LFSP, the consultancy should assess project impact and identify ways to improve implementation, if necessary. The consultancy should recommend whether USAID/Zambia should consider extending, expanding or cutting short the projects. Finally, the consultancy should package relevant findings so that systemic or national level impact from evaluation lessons learned might be achieved with specific reference to the Zambian context.

The RNRMP/ADMADE evaluation in many ways is a traditional end of project evaluation. However, as laid out in the recent “Final Report: Assessment of Community Based Natural Resource Management (CBNRM) in Southern Africa” (August, 1998) ADMADE represents an opportunity for comparing the Zambian community wildlife management experience with other wildlife management lessons learned under RNRMP and throughout the world. The last 15 months of RNRMP/ADMADE has resulted in substantial empirically based information on the impact of ADMADE on communities and wildlife in 9 of Zambia’s 34 Game Management Areas. Finally, the CARE and CLUSA experiences may have something to say about how community capacity to manage natural resources, and the benefits accruing from natural resources management, can be increased. Again, the consultancy should package relevant findings so that systemic or national level impact from evaluation lessons learned might be achieved with specific reference to the Zambian context.

An external team, with appropriate local participation, will conduct the evaluation of the three projects. The team is required to respond, in concisely written reports, to all points and questions included in the scope of work.

Article 3. Proposals, Evaluation Criteria

USAID/Zambia would like to use the Raising Agricultural Incomes in a Sustainable Environment (RAISE) Tier 3 process in awarding this contract. Contractors are required to submit their technical proposals (i.e. without costs) to USAID/Zambia. The proposals should include a draft version of the contractor's workplan, methodology and suggested personnel for conducting the assessment. The technical proposals will be graded according to the following criteria:

Methodology: Ability to: a) identify results desired under the project and generate quantitative indicators of project impact where possible and qualitative indicators where quantitative indicators are not possible; b) identify beneficiary perceptions of project delivered services and beneficiary participation in the project; c) generate information on partner or stakeholder perceptions of the projects; d) generate lessons learned across projects in line with scope of work questions; e) present findings in a use friendly and compelling manner.

Total Points: 50 points out of 100

Personnel: Appropriate professional training at the Masters of Science level or above, experience in evaluating USAID projects in agribusiness, food security, natural resources management or community mobilization, experience writing technical documents based on the compilation of field visit findings, experience in presenting evaluation findings in a user friendly and compelling manner, experience in Africa and experience in Zambia.

Total Points: 30 points out of 100

Draft Workplan: Ability to deliver a highly competent team to arrive and work in Zambia, all at the same time, over a period of five 6-day work weeks, conduct the evaluation in a way that comprehensively answers Scope of Work questions, and deliver the required deliverables by COB, March 3, 2000.

Total Points: 20 out of 100

Following receipt of proposals, USAID will review the documents and select a suitable offeror. Technical proposals should be sent to:

David Soroko
SO1 Team Leader
USAID/Zambia
351 Independence Avenue
Lusaka, Zambia
Fax: 1- 254532
E-mail: dasoroko@usaid.gov

Cost proposals should be sent to:

Beatrice Lumande
USAID/RCSA
Plot 14818 Lebatlane RD
Gaborone West, Ext 6

Gaborone
Botswana

Fax: 267324486

E-mail: blumande@usaid.gov

End date for receiving both technical and cost proposals is March 3, 2000 at 12.00 noon.

Article 4. Scope of Work

Following is the scope of work for each project.

4.1 CLUSA RURAL GROUP BUSINESS PROGRAM MID TERM EVALUATION

4.1.1 Background

The five year, \$5 million Cooperative League of the USA (CLUSA) Rural Group Business Program (RGBP) began in May 1996. The project, currently working in four districts of Zambia (Mumbwa, Chibombo, Mazabuka and Monze), was aimed at promoting the emergence of democratically self-managed, financially viable group businesses that improve rural family incomes. Using fully costed credit for rural groups, CLUSA brought to Zambia its rural group development experience gained worldwide including West Africa. The Cooperative Agreement with USAID indicated that in five years 210 rural groups with a total membership of 9,450 farmers would have been participating in the program. During the five years of project implementation, cumulative credit of \$5 million would be disbursed to the groups whose membership would be 30% women. Also, at the end of five years, it was expected that 80% of the group businesses would have good managerial skills, access to in-house finance through accumulated profits, and regular and dependable access to inputs and markets.

4.1.2 Evaluation Objective

The primary CLUSA/RGBP evaluation objective is to determine whether USAID investments are achieving their desired impact, why or why not. A second objective is to generate ideas on how the impact of USAID investments in CLUSA/RGBP activities can be improved. A final objectives is to generate ideas on how CLUSA/RGBP experiences can influence ongoing or future USAID and other institution investments in increasing rural incomes, improving food security, and managing natural resources.

4.1.3 Evaluation Questions

1. What are the results identified in the cooperative agreement? Who are the beneficiaries? Have CLUSA/RGBP activities to date made progress in achieving those results? Why or why not? Present your findings with regard to

annual results and impact quantitatively and using graphs where appropriate. Has the program made significant contributions to USAID's "increased rural incomes of selected groups" Strategic Objective in line with the SO's results framework?

2. How is the project implemented? What are the most important components of project implementation? How was the project's location identified? How much project financing is expended in Zambia (actual and percentage figures)? What percentage is expended in Lusaka and what percentage is expended in rural areas where CLUSA works?
3. Is the project demand driven? Do beneficiaries find it relevant to their circumstances? How does the project identify what the beneficiaries want? Is this approach effective in identifying what the beneficiaries want?
4. What are the most important services the project delivers to rural families? How were these services identified? How are they delivered? Are they delivered cost effectively? Is their delivery effective in Zambia's rural context? Could other institutions deliver these services if CLUSA did not? Could other institutions deliver CLUSA like services if they so desired? In terms of incentives, finance, personnel resources and other variables what would other institutions need to deliver similar services? Has CLUSA worked with local institutions to foster continuation and sustainability of programs and services when the project ends?
5. Is there significant participation by women in the rural group business program? Is the program beneficial to women participants? Why? How can more women participate in and benefit from the program?
6. What are the social and economic characteristics and organization of project supported group businesses? What are their relative strengths and weaknesses with regard to business capacity, income and investment management, relations with agribusiness, knowledge and utilization of agricultural technologies, and skill levels to undertake additional welfare enhancing activities? What additional skills may be required to make rural group businesses effective and self-reliant beyond USAID assistance?
7. Is the program well organized to allow for cost effective implementation? Does it require any significant structural changes? Does the program offer opportunity for the establishment of sustainable group businesses development service delivery agencies beyond USAID assistance? Should it?
8. What partnerships with other public or private sector agencies has CLUSA/RGBP made that enhance project service delivery and impact? What partnerships might CLUSA/RGBP make that would improve service delivery and impact?

9. What has Credit Management Services contributed to CLUSA/RGBP project implementation? What are the strengths and weaknesses of CLUSA/RGBP's partnership with CMS for credit management?
10. Are there any significant policy constraints to program implementation? Is the program supportive of the stated Zambian government policy of agricultural liberalization and establishment of a private sector led economy? Has government policy influenced the program? How? Has the program influenced government policy? Why or why not?
11. What lessons learned during project implementation could lead to improved CLUSA/RGBP impact? What lessons learned should inform decisions on project time and finance extension or expansion?
12. What lessons learned during project implementation might influence ongoing or future USAID investments in food security, rural incomes or natural resource conservation?
13. What are the advantages and disadvantages, particularly to beneficiaries and USAID, of extending, expanding or cutting short the CLUSA/RGBP Cooperative Agreement?
14. Given the responses to the above questions, how can USAID/Zambia best utilize lessons learned from the implementation of this activity to inform government policy dialogue and future government, donor or private sector investments?

4.1.4 Performance Reports and Previous Project Assessments

As required in the Cooperative Agreement, CLUSA prepares quarterly and annual performance reports that are submitted to USAID/Zambia. Prior to the start of every new activity year, the project staff submits an annual workplan. CLUSA also have a length of project monitoring plan in place.

Two internal assessments of the rural group business program were undertaken in 1999. The first assessment focused on CLUSA/RGBP technology dissemination activities. It was undertaken in May – June and is entitled “Less Hunger, More Money, CLUSA: Making a Difference in Zambia.” The second assessment was an internal CLUSA assessment and was entitled “Internal Assessment of the Zambia Rural Group Business Program (RGBP).” It was undertaken in July – August, 1999. CLUSA/RGBP, CARE/LFSP and ADMADE impact monitoring system were described in a document entitled “A Profile of Community Based Monitoring Systems of Three Rural Development Projects in Zambia” in November, 1998. In addition, the CLUSA program coordinator has made two written presentations, in Nairobi and Washington respectively, of the program. These and other related reports will be made available to the selected contractor at the start of contract implementation.

4.2 CARE LIVINGSTONE FOOD SECURITY PROGRAM MID-TERM EVALUATION

4.2.1 Background

CARE Livingstone Food Security Project (CARE/LFSP) started as the South West Drought Relief program in October 1994, and obtained USAID funding in July 1996 to address fundamental causes of food insecurity in Kalomo, Livingstone, and Kazungula districts of Southern Province. LFSP is a five year \$3.6 million project. Four mutually re-enforcing objectives were established:

- Community and institution capacity building;
- Improved and sustainable farming systems;
- Water harvesting and utilization;
- Increased incomes and income-earning opportunities.

Under Community and Institution Capacity Building CARE/LFSP was to assist 18,000 farmers organized into village management committees within three years. For the development of improved and sustainable farming systems CARE/LFSP would introduce and facilitate distribution of a diverse range of drought tolerant seed to improve productivity and raise participating farmer incomes. CARE/LFSP would also assist rural families by introducing soil moisture conservation and management practices and techniques to increase soil fertilizer and water harvesting. Finally, CARE/LFSP planned on increasing the incomes and income earning opportunities of participating families through expansion of trading and marketing.

4.2.2 Evaluation Objectives

The primary CARE/LFSP evaluation objective is to determine whether USAID investments are achieving their desired impact, why or why not. A second objective is to generate ideas on how the impact of USAID investments in CARE/LFSP activities can be improved. A final objective is to generate ideas on how CARE/LFSP experiences can influence ongoing or future USAID and other institution investments in increasing rural incomes, improving food security or managing natural resources.

4.2.3 Evaluation Questions

1. What are the results identified in the Cooperative Agreement? Who are the beneficiaries? Has CARE/LFSP made progress in achieving those results? Why or why not? Present your findings on an annual and overall basis. Has the program been successful in making significant contributions to USAID/Zambia's SO 1 in line with the results framework?

2. How is the project organized and implemented? What are the most important components of project implementation? How was the project's location identified? How much cooperative agreement financing is expended in Zambia (actual and percentage figures)? What percentage is expended in Lusaka and what percentage is expended in rural areas where CARE/LFSP works?

3. Is the project demand driven? Do beneficiaries find it relevant to their circumstances? How does the project identify what the beneficiaries want? Is this approach effective in identifying what the beneficiaries want? How effectively do the beneficiaries participate in project implementation?
4. What specific services does the project deliver to rural families? How are these services identified? How are they delivered? Are these services delivered cost-effectively? Are the services relevant to rural families? Could other institutions deliver these services if CARE/LFSP did not? In terms of incentives, finance, personnel resources and other variables what would other institutions need to deliver similar services? Has CARE worked with local institutions to foster continuation and sustainability of programs and services when the project ends?
5. What partnerships with public or private sector institutions has the project created to enhance the delivery of services to rural families? What additional partnerships might enhance service delivery?
6. Is there significant participation by women in the project? Is the program beneficial to women participants? Why? How can more women participate in and benefit from the project?
7. What are the social and economic characteristics and organization of project supported village management and area management committees? What are their relative strengths and weaknesses with regard to capacity building, income and investment management, linkages with agribusiness, knowledge and utilization of agricultural technologies, and skill levels to undertake additional welfare enhancing activities? What additional skills may be required to make these institutions more effective and self-reliant especially beyond USAID assistance?
8. Are there any significant policy constraints to program implementation? Is the program supportive of stated Zambian government policy of agricultural liberalization and establishment of a private sector led economy? Has the project been influenced by government policy? Why or why not? Has the project influenced government policy? How?
9. What lessons learned during CARE/LFSP implementation could lead to improved CARE/LFSP impact? What lessons learned should inform decisions on potential extensions to the project time frame? potential increases in project financing? What are the advantages and disadvantages, particularly to beneficiaries and USAID, of extending, expanding or cutting short the CARE/LFSP Cooperative Agreement?
10. What lessons learned from the CARE/LFSP implementation could lead to improved future USAID investments in food security, rural incomes and natural resource conservation?
11. How can USAID/Zambia best utilize the lessons learned to inform Zambian food security, agricultural extension and natural resource management policy dialogue?

4.2.4 Performance Reports and Previous Project Assessment

As required in the Cooperative Agreement, CARE prepares quarterly and annual performance reports that are submitted to USAID/Zambia. Prior to the start of every new activity year, the project staff submits an annual workplan. A monitoring and evaluation plan for the entire cooperative agreement time period is in place.

“End of Phase I Report” was produced in June 1996. A “Marketing Consultancy,” which came out more like a project evaluation, was completed by the Participatory Assessment Group in November, 1997. A “Seed Scheme Assessment: (1994-1998)” was completed by CARE’s Monitoring, Evaluation and Research Unit in November, 1998. A “Marketing Study” for CARE/LSP was carried out in December 1998. A USAID intern wrote “A Review of Monitoring in the Livingstone Food Security Project: Trip Report” in September, 1998. CLUSA/RGBP, CARE/LFSP and ADMADE impact monitoring systems were described in a document entitled “A Profile of Community Based Monitoring Systems of Three Rural Development Projects in Zambia” in November, 1998. CARE/LFSP conducted an internal mid term review titled “Work Ends, Knowledge Endures: Lessons for the Process for Extension, Expansion and Replication” in June – July 1999. The reports will be made available to the selected contractor at the start of contract implementation.

4.3 ADMADE END OF PROJECT EVALUATION, SCOPE OF WORK

4.3.1 Background

With Regional Natural Resources Management Project (RNRMP) financing ADMADE was initiated in August 1989 as a community-based wildlife conservation program in 9 of Zambia’s 34 Game Management Areas (GMAs). A total of \$4.8 million has been invested in the project. It ended on December 31, 1999.

The Project Paper Supplement laid out the following project purposes:

- To increase involvement of local communities and private interests in sustainable management and use of wildlife resources;
- To test the viability and replicability of community based natural resources management and use, and integrate programs into existing NPWS services; and,
- To demonstrate the effectiveness and legitimacy of community capacity building in wildlife management as a profitable and sustainable land use option in GMAs.

Over the years, the program evolved to include various community development activities as well as diversification of income opportunities. In addition to USAID regional and bilateral Missions, institutions involved in the management of the RNRMP/ADMADE program were the Ministry of Tourism (policy direction) the former Department of National Parks and Wildlife Services - NPWS (now the Zambia

Wildlife Authority (ZAWA)) and within NPWS the Wildlife Conservation Revolving Fund (WCRF). The Nayamaluma Institute provided research and training services for Community Based Resource Management.

The Project Paper Supplement identifies program outputs as follows:

- Improvement of Ministry of Tourism policies related to private sector efforts in conservation and tourism;
- Improvements to the operations of the Wildlife Conservation Revolving Fund;
- Assistance to land use planning; and,
- Training in managing wildlife resources.

Between 1989 and 1994 USAID provided NPWS with training, commodities and technical assistance in establishing the ADMADE program. Between July 1994 and December 1995 under a Cooperative Agreement, WWF Inc. provided NPWS with technical assistance in the implementation of the ADMADE program (legislative reform, participatory GMA planning and improvements to information systems). Between July 1996 and July 1998 USAID provided ADMADE financing directly to the National Parks and Wildlife Service through Project Implementation Letters. Between October 1998 and December 1999, under a Cooperative Agreement, WCS provided technical assistance to document and disseminate ADMADE lessons learned and impact.

4.3.2 Evaluation Objectives

The primary RNRMP/ADMADE evaluation objective is to determine whether USAID investments achieved their desired impact, why or why not. A second objective is to generate ideas on how the impact of USAID investments in community wildlife management might have been improved. A final objective is to generate ideas on how RMRMP/ADMADE experiences can influence ongoing or future USAID and other institution investments in natural resources conservation, increasing rural incomes or improving food security

The selected consultant will do a brief synopsis of the findings of evaluation and other documents between 1989 and 1995, and carry out an evaluation of the project's performance with reference to original project objectives and USAID's strategic objectives between 1996 and 1999. This approach is intended to make the evaluation more manageable and less reliant on interviewee recall for the years before 1996.

4.3.3 Evaluation Questions

1. What are the results identified in the project paper supplement and the WCS cooperative agreement? Who are the beneficiaries? Were program goals, objectives, outputs and beneficiaries clearly identified and understood by the implementing agencies? Have ADMADE activities achieved those results? Why or why not?

2. Summarize the major findings of the various evaluations carried over the life of the RNRMP/ADMADE project? What did the evaluations say about ADMADE's ability

to mobilize community contributions to wildlife management? What did they say about ADMADE's ability to influence national policy? about ADMADE's ability to deliver tangible economic or social benefits to rural communities? about ADMADE's ability to conserve wildlife and discourage illegal hunting? What did previous evaluations say about the role of the Nyamaluma Training and Research Center in ADMADE implementation?

3. How did the program management and institutional arrangements evolve over its life span? Did this evolution have any positive or negative impact on the achievement of RNRMP and ADMADE objectives? Focus this discussion on USAID and GRZ project management and institutional arrangements as well as institutional arrangements in the project areas.

4. Beginning the analysis in 1996, how was the project organized and implemented? Was implementation effective? Did implementation focus resources on the most important wildlife conservation and community development problems and opportunities? What was the role of the Wildlife Conservation Revolving Fund in ADMADE implementation? What was the role of the Nyamaluma Training and Research Center?

5. Describe ADMADE relationships with the Ministry of Tourism, other public institutions nationally and in the project area (relevant to project objectives), local or "traditional" institutions (such as Chiefs and village headmen), private sector operators and Game Management Area communities. Did these relationships contribute to achievement of project or cooperative agreement objectives? Why or why not? How effectively has the project collaborated with private interests in tourism (GMA communities, tour operators, professional hunters, lodge or safari camp owners)? Has ADMADE worked with local institutions to foster continuation and sustainability of programs and services after the project ends? Has this been successful in developing the capacity for local institutions to provide ADMADE services now that USAID financing has ended?

6. Describe the nature and organization of community based institutions supported by the project. How participatory are these institutions in terms of wildlife management and investment decision making? Was there significant participation by women in the program? Was the program beneficial to women? Why? How can more women participate in and benefit in community wildlife management? What are the relative strengths and weaknesses of women and men with regard to wildlife management, revenue sharing and revenue reinvestment, and linkages with tour operators and professional hunters?

7. What is the overall program impact on wildlife populations, household incomes, rural family quality of life, community capacity building, and land use planning? Please quantify and present graphically, on an aggregated and per capita basis, investments in Game Management Areas (emanating from safari hunting, donors, private investors, USAID, etc.) attributable to ADMADE and wildlife conservation.

8. What income earning opportunities have community groups pursued? What specific aspects of those activities make them attractive? What potential income earning activities were not pursued by communities? Why not?
9. What has been the progress against each of the four program objectives? What factors influenced results achievement? For which program objectives has progress been more difficult? Why? What have been the major constraints to the achievement of the program objectives and outputs? What have been the major factors contributing to achievements?
10. What government policies or orientations have facilitated or hindered the achievement of the program objectives? Has RNRMP/ADMADE influenced national natural resources management policy? Why or why not? Has this influence been important?
11. With regard to recent ADMADE food security initiatives, are there lessons GMA communities can beneficially learn from CARE and CLUSA in the areas of seed multiplication and distribution, income generation, business skills training, linkages with agribusiness? Are CARE and CLUSA like activities appropriate for natural resource conservation in GMAs? Do CARE and CLUSA offer approaches relevant to Community Resource Board needs?
12. Has the program been successful in making significant contributions to USAID/Zambia's SO 1 in line with the results framework?
13. What lessons learned from RNRMP/ADMADE implementation and evaluation are important for future USAID investments in food security, rural incomes and natural resource conservation? What lessons learned can inform future donor, GRZ and private sector investments in community wildlife management?

4.3.4 Performance Reports and Previous Project Assessments

Important and relevant reports include "The Reorganization and Restructuring of the Department of National Parks and Wildlife Services (1992), "Report on Financial Management of the Wildlife Conservation Revolving Fund" (1993), "NRMP – Zambia Component of the Southern Africa Regional Project, A Success in the Making" (1995) (which resulted in a Project Paper Supplement), "A Report to USAID and Ministry of Tourism's Department of National Parks and Wildlife Services on a Suitable Community Based Wildlife Management Mechanism" (1995), "Report of the WCRF Financial Management Capacity" (1998), "An Evaluation of the ADMADE Program: With Special Reference to the Strengthening Phase" (1998), "Final Report: Assessment of Community Based Natural Resource Management in Southern Africa (August 1998), "A Profile of Community Based Monitoring Systems of Three Rural Development Projects in Zambia" (November, 1998). Between October 1998 and December 1999, several special studies papers were produced to document the ADMADE process and results. The selected consultant will have access to these reports.

Article 5. Level of Effort, Team Composition and Timing, Logistical Support

It is anticipated that the three person consultancy will be for 5 work weeks in April – May 2000, with an additional and concurrent one person, two work week effort by an evaluation packaging/desktop publishing expert at the end of the consultancy.

USAID/Zambia will use a fixed fee performance based contract as an instrument for conducting this evaluation. Accordingly, although USAID/Zambia suggests that the team be composed of an agricultural/agribusiness, food security/community organization, natural resources/wildlife conservation specialists, with local participation for additional Zambian specific expertise, and a two work week contribution by an evaluation packaging/desktop publishing expert, it is incumbent upon the contractor to determine the number of persons as well as their expertise for USAID/Zambia's consideration. It is essential that at least one of the core team members has proven USAID project evaluation experience. With regard to Zambian experts included in the team, contractors need to take due regard of prevailing USAID local employment compensation levels.

5.1 Duty Post: The contractor shall perform all the work under this activity in Zambia.

5.2 Logistical Support: The contractor is responsible for providing in-country transportation and secretarial support while in Lusaka. The consultant will also make own field trip travel arrangements. USAID/Zambia or local partners may be consulted on logistics of sourcing field transport. **It must be noted that USAID/Zambia will not be able to provide any office space for this consultancy.**

5.3 Work Week: A 6-day workweek is authorized.

Article 6. Reporting Requirements / Deliverables

6.1 Commencement

During the first week of the team's presence in Zambia, the consultant's will meet with the SO1 team leader and his staff to answer questions, clarify tasks, obtain relevant contacts, obtain documents and establish an implementation plan

6.2 Draft Report

After twenty (20) working days of contract implementation, the team will submit a draft summary report to USAID (5 copies of each project). The draft report will summarize major findings and recommendations. Three working days after this submission, the team will make a presentation to USAID, the government of Zambia and other select partners. The presentations will briefly describe the methodology and summarize the preliminary findings, conclusions and recommendations of the evaluations. The team will take note of the oral questions and comments from meeting participants. The team will then have 7 working days to finalize the report.

6.3 Final Report

After thirty (30) working days of contract implementation, the consultant shall deliver the final report to USAID. The final report shall address all comments from the review meeting in 6.2 above. Ten (10) hard copies of the evaluation report of each program and an electronic copy in Word 97 must be submitted.

The final project evaluation reports shall be concisely written and include an Attractive Cover Page, Table of Contents, Executive Summary, List of Acronyms, the Main Report in compliance with the Scope of Work, a Statement of Conclusions and a Statement of Recommendations. The body of each of the reports must describe the relevant country context in which the project was developed and carried out, and provide the information on which conclusions and recommendations are based. The reports must present quantitative evidence of project impact whenever possible using graphs and tables. Sidebars of success stories are also requested, where appropriate. The reports must include attractive photographs of project activities either taken by evaluation team staff or obtained from USAID/Zambia. The final report must be as user friendly as possible. Depending on the findings, the reports may provide the basis for substantial future dialogue with private and public sector investors.

The three final evaluation reports will also have annexes that include current status project inputs and outputs if these are not readily indicated in the body of the report. Other required annexes to the reports are: technical and management issues raised during assessment requiring elaboration, the project evaluation scope of work, a description of the methodology used in assessment, bibliography of documents reviewed and a list of agencies contacted, individuals interviewed and other relevant information.

In addition to the three final project evaluation reports, ten (10) copies of a stand-alone report synthesizing CLUSA, CARE, and RNRMP/ADMADE lessons learned that have applicability to food security, rural income and community natural resource conservation is also required. This report will include an appropriate introduction describing the document's contents, a main body laying out lessons learned from the three project interventions that have relevance to ongoing or future food security, rural income or natural resource conservation activities, and a concluding chapter containing recommendations on how lessons learned can be disseminated to beneficially influence future investments. Again, the attractiveness and user friendliness of this report is key.

Article 7. Relationships and Responsibilities

The Contractor shall perform the tasks described above under the general guidance of David Soroko, SO1 Team Leader. The consultancy team will work closely with USAID activity managers involved with the individual projects.

ANNEX II - ADMADE LESSONS LEARNED

Source: (ARD, 2000c)

CBOs & Community Participation

1. Democratically elected VAG and CRBs prove more successful in recognizing peoples needs and aspirations, and in eliciting their participation and support, than the previous Sub-authorities, who were subject to Chiefs' authority.
2. It is possible to induce large numbers of people to participate in public meetings and elections concerning CBNRM.
3. Elected leaders are made more accountable when they reside in small communities.
4. Building widespread awareness of the CRB constitution reduces the risk of poor leadership.
5. Democratic elections encourages new and better educated leaders to be come forward and be recognized.
6. External review and facilitation of CBOs is crucial for building a foundation for democracy.
7. It is possible to set up workable community structures that can learn how to make decisions on deriving benefits from use of wildlife, including setting hunting quotas, and how to use revenues earned for resource management and community development.
8. Despite their shortcoming in leadership styles, Chiefs have been extremely beneficial in getting ADMADE management capacity established in many areas.
9. Community-based = community-paced. Projects need to have a presence over the long term to achieve lasting changes in behavior and livelihood strategies.
10. Non-transparent leadership, particularly of finances, can retard progress in translating financial benefits into improved food security and quality of life.

Training

11. Repetitive training with an emphasis on outreach extension is required to build lasting skills.
12. Combining research and training in the same staff/institute allows for rapid feedback of research results into implementation.
13. Maps are an effective way to communicate complex patterns and focus dialog on key resource issues.

14. Providing centralized training does not guarantee that information will be disseminated in the community. Teaching facilitation skills and extension training is an important supplement to centralized technical training.

Wildlife Production

15. Production of wildlife for safari hunting is a profitable use of marginal land, probably more so than agriculture without fertilizer, and doesn't carry additional labor costs.
16. It is possible to interest inhabitants of GMAs in the potential values of wildlife.

Land-Use Planning

With facilitation, communities are able to develop comprehensive and innovative land use plans

Policing

17. It is possible to enforce wildlife laws using community employees.
18. Communities learn to value an investment in resource management activities if they see a benefit.

Food Security

19. Food security interventions have greater conservation value than other types of community development projects because they are more directly related to poaching.
20. Purchasing and storing food within the GMA with community funds soon after harvest is cheaper than buying it from outside during the hungry season.
21. Not all households can be easily enticed into using improved farming practices. Hurdles include limited finances for inputs, risk aversion for new methods, and preference for snaring.
22. Solar powered electric fencing can help reduce crop damage to granaries from wildlife, and is a manageable technology at the community. Electric fencing is cost-effective around areas of intensive food production (e.g., gardens) or storage (granaries).

Monitoring

23. It is possible to monitor wildlife using community employees.
24. Indirect measures of wildlife are cost-effective measures of wildlife populations and are adequate for setting quota and estimating growth trends.
25. Monitoring and providing feedback to the community on management effort as well status of wildlife helps build support for resource management activities such as policing and training.
26. Dataforms are an effective way to standardize data collection. Tabular layouts provide more useful data than open-ended comments.

27. Integrating data collection with daily operations when work supervision is not strong is a more-cost effective and reliable means of monitoring than making it a separate activity.
28. Combining the collection of essential accountability information with less critical impact monitoring or resource monitoring is an effective strategy to ensure that all data is collected.
29. It is relatively easy to build capacity in data collection, it takes much more time to teach how to utilize data.
30. A well designed information system facilitates data processing and speeds turnaround time between data entry and analysis. Keeping raw data in an organized format facilitates future analyses.

ANNEX III - CARE LIVINGSTONE FOOD SECURITY PROJECT LESSONS LEARNED

Source: (ARD, 2000a)

1. CBOs can learn how to use PRA methods in their own work within their communities. Some AMCs and VMCs have for instance done PRA work with neighboring villages to help them launch seed programs.
2. The peer pressure of the cell group is valuable in enhancing the performance of members and contributes to achieving targets set by the communities themselves. This has been demonstrated in loan schemes and construction work.
3. Although cell groups and the whole CBC structure appear to be sustainable mechanisms that have not faded away as the novelty of the LFSP wore off, group durability is not necessarily the best criterion for measuring the success of the LFSP extension approach. Groups should only last for as long as people find them useful. Evolution of groups is inevitable and usually healthy.
4. PRA processes may create expectations among rural communities that may be outside the purview of the project. Care must therefore be taken to be realistic about how soon action will be taken as it leads to resentments when nothing happens.
5. Once people are familiar and comfortable with the experience of working in a CBO, they can organize themselves to work together in various development initiatives.
6. LFSP experience shows that flexibility about local institutional structure is empowering for local people and promotes their active collaboration with the project.
7. It is important to include traditional authorities (Chiefs and Headmen) in early contacts and briefings in order to avoid clashes between them and the CBO structure developed under the project in order to facilitate collaboration.
8. Mediation and conflict resolution mechanisms are required in CBO structures. Under LFSP there are cases in which VMCs and AMCs have used headmen and chiefs for this purpose.
9. Some CBO leaders in the LFSP areas have successfully ran for local political offices (District council) because of their high profile in the community.
10. LFSP's experience shows that poor rural people will respond positively and competently to a clearly formulated development opportunity that meets a plain and widely shared development need.

Farming Systems

11. A community based seed multiplication scheme of early maturing and drought-resistant crops is an effective way to alleviate food insecurity in drought prone areas.
12. Local seed banks help ensure that seed is available when needed, and that it won't be eaten before planting in times of hunger.
13. Successful interventions in increased production must be supplemented with training on post-harvest technologies for food storage and processing. Increased production also results in a demand for improved crop marketing.
14. It is possible to increase land productivity considerably using soil improver crops such as velvet beans and sunhemp.
15. Factors that could limit adoption of green manuring techniques include lack of enough land to allow for fallow, lack of equipment to incorporate the green manure into the soil and the fact that farmers find it hard to grow a non-food crop.

Gender

16. LFSP has learnt that reducing gender inequities in rural Zambian society is a delicate, long-term challenge. Achieving more equitable numerical gender balance in areas such as CBO leadership positions does not necessarily lead to any fundamental shift in gender relations.
17. One method of empowering women is to raise their income by promoting crops traditionally grown by women.

Sustainability & Expansion

18. Although CBO dependency on the project is still a concern, there is evidence that AMCs can operate autonomously, taking their own initiatives and linking themselves to government and other NGO agencies. There are, however, still many issues on which CBOs still expect help from LFSP.
19. Program expansion into new areas should be based on interest expressed by household and the communities, and not on rigid pre-determined processes.
20. Once basic food needs are met, a wide array of other social needs will be voiced. A project like LFSP needs to recognize its limitations, and not over-stretch itself, and link up beneficiaries with other service providers.

Monitoring and Evaluation

21. CSM ledgers are an effective mechanism to collect and manage household level data on demography, household assets, and production. However teaching people how to use information for their own planning purposes has proven to be a challenge.

22. CSM works best as tool for collecting factual tasks like identifying households in greatest need of food relief, or checking which crops are most popular or successful. Broader identification of trends and issues has mainly emerged from less structured discussions within CBOs and between them and the project.

Extension

23. Start-up costs for CBO extension are comparatively high, however running costs of the extension approach are comparatively low. Overall extension through CBOs is more cost-effective than T&V.
24. By providing extension services through CBOs and taking advantage of community facilitators, one extension officer is able to work with approximately 1,000 farmers.
25. Extension services can be provided by NGOs equally as well as by government extension programs.
26. It is possible for an NGO extension program to help influence the approach used by a government extension program, through documentation, training and examples.
27. Experiential learning and farmer-to-farmer extension approaches are effective in spreading conservation farming ideas.
28. Local people have the resources to do much of the necessary extension work among themselves.

Partnerships

29. Forming a durable partnership requires making an investment in working with the other institution from the very beginning.
30. When there is no durable, structured agreement between two institutions such as LFSP and MAFF, then the relationship is going to be inconsistent, opportunistic, and largely defined for better or worse by personalities involved.

Private Sector Linkages

31. Marketing strategies enable rural households to get better prices when they sell by increasing volume, reducing uncertainty, and decreasing transaction costs. By developing proper linkages with established traders, community members get a better bargain for the produce.
32. When demonstrating new technologies that require private sector services (e.g., parts, training) to establish/maintain, it is better to get the private sector partners involved from the very start, (e.g., let them do the training and installation) so that working relationships are built with the CBOs.

Water Harvesting

33. Water for household use has been achieved for some areas but distances are still large for some households.
34. There seems to be low utilization for some of the water resources, for example in fish farming and gardening. Because of uncertainty about rainfall, communities tend to limit the utilization of water basically for household consumption and livestock.

NRM

35. Initial establishment of NRM activities is time consuming. However, if benefits can be made tangible, appropriate technologies stand a better chance of being rapidly disseminated. For this reason it helps to target areas where benefits will be seen quickly such as infertile fields and silted dams.
36. Participatory monitoring programs help demonstrate the long-term benefits of NRM.

Income Generation

37. The chronic risk of drought in Southern Province highlights the need for strengthening the asset base of households as a coping mechanism against food shortages. Strengthening the asset base requires increased revenue.
38. Savings, credit and marketing, among rural communities are very difficult interventions in which to make progress. They require intensive and extended professional support if commercially viable results have to be achieved. Savings programs are not an effective strategy in an economic environment where bank interest is lower than inflation.

ANNEX IV - CLUSA/RGBP LESSONS LEARNED

Source: (ARD, 2000b)

1. RGB's are an effective conduit to provide training and information to rural populations. They also allow for a supply-side economy of scale large enough to serve the needs of the Zambian agribusiness community.
2. Farmers need to understand the concept of credit history. Interest rates need to be tied to risk. If a RGB has had problems repaying loans in the past, the risk is higher and this should be calculated into a higher interest rate. On the other hand, if a RGB has a good credit history, they should be rewarded with lower interest rates, down payment requirements and other incentives.
3. It is not a good idea to allow a non-profit project (such as CLUSA) to choose the markets in which a private credit provider firm (such as CMS) must do business. The for-profit firm needs to make the decision of who they will loan to, where and under what terms and conditions.
4. Cut your losses. Don't throw good money after bad, especially in the Zambian micro-credit sector.
5. Conservation farming works and should be promoted.
6. It is important to have a well-designed – systematic internal M&E system.
7. Avoid geographies where other donors and government projects have focused in the past. It has been found that farmers in these areas have a higher credit risk than farmers who have had lower exposure to government and donor programs.
8. Stay off the road; there also seems to be a somewhat positive correlation between the distance a RGB is from a main (tarmac) road and their willingness to repay loans. This observation was not proven statistically but a number of persons the team talked with during the evaluation believed this relationship existed, (it is worth some research).
9. Develop an internal mechanism to keep focused on deliverables.
10. Have clear channels of communication between implementing partners.