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Mid Term Evaluation of the Performance Enhancement
Programme for the Ministry of Agriculture and the Ministry of
Fisheries & Livestock for Better Service Delivery to Farmers
(PEP II)

Final Report

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Acronyms

CABI	Centre for Agriculture and Biosciences International
EC	European Commission
EDF	European Development Fund
EU	European Union
EUD	European Union Delegation for the Republic of Zambia and COMESA
EM	Evaluation Matrix
FGD	Focus Group Discussion
FAO	Food and Agriculture Organisation (of the United Nations)
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
GEF	Global Environment Facility
GD	Group Discussion
HRA	Human Resources and Administration
KE	Key Expert
KII	Key Informant Interview
MTE	Mid Term Evaluation
MOA	Ministry of Agriculture
MFL	Ministry of Fisheries and Livestock
M&E	Monitoring and Evaluation
NAIS	National Agricultural Information Services
NAP	National Agricultural Policy
NAIP	National Agriculture Investment Plan
NAO	National Authorising Office/r
NDP	National Development Plan
NKE	Non-Key Expert
OECD-DAC	Organisation for Economic Co-operation and Development - Development Assistance Committee
PS	Permanent Secretary
PEP	Performance Enhancement Programme
PAU	Policy Analysis Unit
PPD	Policy and Planning Department – Ministry of Agriculture
PPID	Policy, Planning and Information Department
PE	Programme Estimate
QC	Quality Control
ROM	Results Oriented Management
SNAP	Second National Agricultural Policy
SDGs	Sustainable Development Goals
TA	Technical Assistance
ToR	Terms of Reference

Executive Summary

The Performance Enhancement Programme II (PEP II) is a Euro 10 Million initiative with a five-year implementation period from May 2016 to July 2021 funded as part of the EU 11th EDF 2014-2020 National Indicative programme for Zambia. Southern and Luapula are selected as pilot provinces for PEP II activities before country wide roll out. PEP II is a broad-based intervention introducing support for policy and strategic options as well as highlighting agricultural extension, increased research and ICT structures at all levels. The project has a strong change management component with a view to strengthen the capacity of the Ministry of Agriculture and Ministry of Fisheries and Livestock to deliver key services. Nutrition is an important PEP II result area.

At the time of Mid Term Evaluation (MTE) fieldwork PEP II was set in a context of climate change and a Government facing severe financial challenges. Prolonged dry spells had resulted in poor agricultural production and reduced access to food contributing to acute food insecurity conditions across the country. Debt repayment plus the need to import power had placed a significant financial strain on government reducing available funds to all Ministries. At the time of PEP II inception, the programme was designed to address the failure of the Ministry of Agriculture to formulate policies based on evidence and M&E, the failure to link extension and research, poor extension delivery to farmers and the high prevalence of stunting. During inception Government financial challenges were not key issues for PEP II. A key GRZ agricultural intervention linked to PEP II is the Farm Input Supply Programme (FISP).

The PEP II overall objective is to support the Government of the Republic of Zambia's (GRZ) policy of reducing rural poverty and enhancing food and nutrition security. The programme's purpose is to improve the capacity of the Ministry of Agriculture (MOA) and the Ministry of Fisheries and Livestock (MFL) to deliver quality services to smallholder farmers, with the aim of increasing productivity and enhancing the diversity of Zambia's agricultural sector. PEP II consists of two interdependent but related contracts:

- 1) Multi Annual Programme Estimate (1st January 2017 to 30th June 2021)
- 2) Technical Assistance (7th November 2016 to 6th May 2021)

The GRZ is responsible for implementation of the Multi Annual Programme Estimate (PE). The Technical Assistance (TA) contract provides support to the PE and is managed by an international consultancy company.

PEP II execution was challenged, early in its inception, by the splitting its target Ministry, the Ministry of Agriculture and Livestock into the MOA and MFL. This led to the re-targeting of PEP II inputs with the Ministerial re-organisation. Following this, implementation was further challenged by the suspension of the PE component for twelve months due to an unacceptably high number of ineligible expenses. In April 2019, with the meeting of the three criteria below, the suspension was lifted:

- Development and operationalisation of a Financial and Operational Manual
- Appointment of a full-time PEP II Project Coordinator, co-financed by the Government of the Republic of Zambia
- Settlement of January to December 2017 ineligible expenses

The purpose of the MTE is to assess the achievements, quality and results of PEP II. The main objectives of the evaluation are to provide:

- an overall independent assessment of the past performance of the Multi Annual Programme Estimate and Technical Assistance Contract, paying particular attention to its intermediate results measured against its expected objectives; and the reasons underpinning such results
- key lessons learned, conclusions and related recommendations in order to improve current and future Actions

The evaluation used a participatory and consultative approach guided by OECD-DAC's Evaluation Quality Standards and Guidelines. Qualitative data collection tools were used in a participatory

manner to gain an understanding of underlying reasons, opinions, and motivations for PEP II performance, uncover trends in thought and opinions, and dive deeper into challenges faced by the programme. Qualitative information was supported by the collection and use of available secondary data. The evaluation uses Key Informant Interviews (KIIs) and Group Discussions (GDs) with a wide range of people—including partners, implementers, beneficiaries, and observers that had first-hand knowledge of PEP II. KIIs and GDs were guided by a questionnaire linked to evaluation questions. Data analysis was performed iteratively for each evaluation question. During initial data collection and background reading the team worked to identify themes arising for each question. These were cross checked and triangulated as the mission proceeded. Where differences occurred or gaps were found additional data was collected. Consistent themes were developed into findings and regularly shared with stakeholders to confirm, verify and validate results during the mission. Verified findings and results were then used to develop lessons, conclusions and recommendations.

Results show that PEP II is yet to efficiently convert inputs into outputs. Exceptions are (i) the farmer register has started to support GRZ management of FISP by removing duplicate entries and assisting farmer targeting and (ii) the agricultural college approach has started to build capacity of students in nutrition and shows promising signs of changing behaviour. MTE findings show low levels of result delivery for both PE and TA components of PEP II. PE expenditure is significantly below expected levels while levels of TA expenditure are more consistent with plans. Key factors contributing to PEP II efficiency are (i) low levels of Project Implementation Unit team work; (ii) the contradictory role and responsibilities of the TA; (iii) complex institutional arrangements wrapped within high levels of GRZ and EDF bureaucracy further extending negotiations and causing delays in authorisations and approvals (i.e. causing procurement to be a significant challenge) and (iv) the temporary suspension of most activities.

PEP II is yet to effectively deliver results. MTE fieldwork and the review of logical framework indicators for both the TA and PE components show expected results are not sufficiently being delivered and no meaningful contribution is being made to objectives. The failure of logical framework assumptions relating to funding are challenging the conversion of outputs into outcomes. This can best be seen in PEP II's nutrition work where improved capacities in Ministry staff resulting from training cannot be used to engage small holder farmers and their families as insufficient resources exist for field visits.

MTE results show there are few early signs of positive medium and long-term impact from PEP II on its intended objectives. Overall there is frustration and disappointment with PEP II. Ministry staff members are disappointed that PEP II has not met expectations. Frustration is clear in Ministry extension staff that cannot apply their PEP II supported nutrition related capacities to engage and support farmers in the face of an on-going food and nutrition crisis. Frustration is also clear in PIU team members who desperately want implementation to accelerate.

Sustainability is a key challenge. PEP II results which are well institutionalised or valued by GRZ will continue to deliver results. Nutrition information built into agricultural college curriculum will continue to be taught. The PEP II supported farmer register is valued by GRZ as a tool to help it manage FISP. Smart Zambia is hosting and providing technical support for the development of the e-extension system. The MoA reports budgeting for e-Extension over the past three years, suggesting sustainable funding maybe possible in this area. PEP II does not have an exit strategy as was recommended by the Results Oriented Management (ROM) Report. The key challenge to sustainability is GRZ funding which is under severe resource constraints. General low levels of Ministerial ownership at national and provincial levels also threaten sustainability.

The PEP II overall objective remains relevant. While the Ministries and the EU support other climate change initiatives,¹ this issue is becoming increasingly important and there is an increasingly urgent need to address food and nutrition security. Logical framework assumptions related to funding are

¹ For example, the Climate Resilient Livestock Project. Climate Change is not a result area for PEP II but synergies with other programmes will be encouraged.

not being maintained and this is compromising the intervention logic. The quality of planning documents varies is mixed. Planning documents focus on activities and give less focus to (i) measuring results and (ii) how the TA component will support the PE. PEP II has two similar log frames for the PE and TA components² that are both underutilised. Institutional arrangements for the TA have become inappropriate compromising ownership. A move out of the Ministries into nearby offices has reduced day to day contact with key Ministry staff. TA staff members do not have clear senior level Ministerial counterparts to build ownership and lack authority as a result. The NAO have become increasingly involved in PEP II implementation through extended negotiations of addendums that propose changes to the PE and the suspension.

The following prioritised recommendations are made:

1. Build PIU Team Work and Team Spirit

An external independent facilitator should be immediately engaged to perform a team building facilitation exercise. This event should bring together key actors in a manner that allows reflection and works to solve challenges. Facilitation should bring people together in a neutral way to explore concerns, resolve conflicts, build on common ground and develop a mutually agreed results-based way forward for the remainder of PEP II implementation. It should also build trust, enhance team work and identify and initiate appropriate and effective ways of holding partners accountable for future PEP II performance. Facilitating individual PIU and TA team member workplans and reviewing logical frameworks should be part of this exercise.

2. PIU Individual Plans

Each PIU team member should have a clear action plan with agreed time bound deliverables / results and clearly measurable milestones. These individual work plans should be facilitated by the independent facilitator and include the TA Contract Manager and the PIU Programme Manager.

The individual work plans for PIU and TA team members should be synchronised to ensure the effective delivery of results.

3. Review Project Logical Framework Documents

To help clarify roles and responsibilities PEP II should review and use its logical frameworks. Logical frameworks should clearly distinguish the different roles and responsibilities related to the PE and the TA. The GRZ should be responsible for the PE logical framework, which should clearly show PEP II objectives and results. The TA logical framework is the responsibility of Ecorys, and should show the objectives and results where they are responsible for delivery. The revised TA logical framework should clearly show how the TA component will support PE implementation. It should also describe the capacities the TA will build in the Ministries. Clear, practical, useful and informative indicators should measure these objectives and results (An example TA Theory of Change and Logical Framework are provided in Annex 9).

4. PIU Performance Appraisals

The TA Contract Manager with the PIU Program Manager should initiate and perform regular PIU and TA performance appraisals against the individual team members work plans produced as part of Recommendation 1 and 2. If necessary, the external facilitator could return to help facilitate these appraisals. Appraisals should provide opportunity for feedback, improve communication, understand needs, clarify roles, ensure PIU / TA human resource capacities are appropriate matching needs and determining how to address any barriers (bureaucratic and/or institutional) that are affecting the experts work. They should facilitate performance in ways that increase the future potential and value of the PIU to the Ministry. The performance appraisal should make sure that the Ministries expectations are clearly communicated.

5. Buy Goodwill with GRZ

To work effectively, the TA need enhanced levels of goodwill with the MOA, MFL and NAO. Focus should be given to their guidance, facilitation and accompanying role. The EUD and TA should

² During MTE feedback sessions the Technical Assistance Team Leader felt there was one logical framework for PEP II. During MTE fieldwork EUD representatives reported that the logical framework in the MTE TOR covered the PE while the logical framework in the TA Inception Report 2017 represented the TA component. This difference in perceptions should be resolved by the EUD and TA team.

review engagement (perceived or otherwise) in managing, controlling or monitoring PE spend. To assist this process the following sub-recommendations are made: (i) the EUD, NAO and GRZ should negotiate and take responsibility for any adjustments (addendums) to the PE; (ii) the preparation and approval of addendums should be done within an agreed timeframe (iii) the role of the TA given in the Procedures and Operations Manual 'signing off on requests to finance activities as per PE' and 'ensures compliance with the rules and procedures as specified in the PRAG' should be adapted in a way that does not compromise their advisory role; (iv) review the unpopular 75% : 25 % allowance rule and (v) to ensure financial rectitude the EUD should commission separate audits and accountancy checks of PEP II finance and budgetary administration that are clearly separate from the TA.

6. Use Some Goodwill

High level advocacy is needed to leverage GRZ funding. The PEP II PIU needs to work with all its key partners to do this. In particular the programme should engage and involve senior members of the EUD and partner Ministries to lobby for future GRZ funding. PEP II needs to prioritise development of an exit strategy with Ministries. This should show how PEP II outputs will be sustained, including (i) how updating of the farmer register will be funded and (ii) how e-Extension hardware will be replaced after PEP II. The exit strategy should consider (i) how other development partner projects can contribute to building on PEP II results and (ii) how GRZ funding can be sourced. PEP II TA should support Ministerial capacity to raise funds and continue to look at provincial and district level funding to build and maintain its results.

7. Move the TA back into the Ministers to increase ownership and give authority to the TAs work

The TA need senior level Ministerial counterparts to provide authority and build GRZ ownership of results. Individual TA members should each have single clear counterparts at Director level. The individual TA should sit in the same office or have office space close to this counterpart to allow day to day contact as was the situation with PEP I. Other PIU members should remain in nearby offices. To enhance authority, counterparts should take a lead role in presenting PEP II initiatives, i.e. the role out of change management or e-Extension at provincial level. The TA should support (guide, facilitate and accompany) as opposed to lead this work. Their guidance work should build capacity in Ministry teams to formulate and roll out activities, facilitation should create synergies with other projects and they should accompany Ministry staff in the field when rolling out PEP II activities.

8. Move to Results Based Financing

To help develop incentives for delivery, the EUD should enhance levels of results-based financing where possible. An example in PEP II is the need for Ministry strategic plans to be approved to allow M&E system development. Approval of the strategic plans is a clear deliverable that is the responsibility of the Ministry. To incentivise approval using this example, the transfer of PEP II payments to GRZ should be contractually linked to delivery of the approved Ministry strategic plan.

1 INTRODUCTION

1.1 Introduction to the Evaluation

The Performance Enhancement Programme II (PEP II) is a Euro 10 Million initiative with a five-year implementation period from May 2016 to July 2021. It follows a similar 10th EDF Performance Enhancement Programme. PEP II is part of the EU 11th EDF 2014-20 National Indicative programme for Zambia which emphasises agriculture as one of three focal sectors. Southern and Luapula are selected as pilot provinces for PEP II activities before they are rolled out country wide.

PEP II is a broad-based intervention introducing support for policy and strategic options as well as highlighting the role of agricultural extension, increased research and the importance of sound ICT structures at all levels. The project has a strong change management role with a view to strengthen Ministry capacity to deliver key services across these sub sectors. A component recognises the importance of nutrition in the reduction of poverty levels through interaction with the agricultural sector. With 41% of children in Zambia³, a country bestowed with an abundance of natural resources, suffering stunting through malnutrition this is an important PEP II activity.

PEP II has an Overall Objective to support the Government of the Republic of Zambia's (GRZ) policy to reduce rural poverty and enhance food and nutrition security. The programme's Purpose is to improve the capacity of the Ministry of Agriculture (MOA) and the Ministry of Fisheries and Livestock (MFL) to deliver quality services to smallholder farmers, with the aim increasing productivity and enhanced diversity of Zambia's agricultural sector.

PEP II implementation was challenged, early in its inception, by the splitting its target Ministry, the Ministry of Agriculture and Livestock into the MOA and MFL. This led to the re-targeting of inputs and re-organisation⁴ of both ministries, which have had their own particular expectations and demands of the programme.⁵ PEP II accepted the challenge and the programme continues to support both Ministries.

The programme consists of two interdependent but related contracts:

- 1) Multi Annual Programme Estimate, (which runs from the 1st of January 2017 to the 30th of June 2021)
- 2) A Technical Assistance (which commenced on the 7th of November 2016 and is contracted to last for a period of 54 calendar months i.e. to the 6th of May 2021).

The Technical Assistance contract provides support for the implementation of the Multi Annual Programme Estimate but is not responsible for its implementation, the Government of the Republic of Zambia (GRZ) has that responsibility.

Implementation of the PEP II Programme Estimate was suspended for twelve months. The suspension began in May 2018 due to an unacceptably high number of ineligible expenses as identified in the 2017 Expenditure Verification report. In September 2018 a partial derogation was granted to allow implementation of five priority activities. On the 10th of April 2019, with the meeting of the three criteria below, the suspension was lifted:

- Development and operationalisation of a Financial and Operational manual
- Appointment of a full-time PEP II Project Coordinator, co-financed by the Government of the Republic of Zambia
- Settlement of 1st for January to the 31st of December 2019 ineligible expenses

³ https://ec.europa.eu/europeaid/sites/devco/files/zambia_dashboard_2019.pdf

⁴ Consolidated ROM Report 2018

⁵ Specific Terms of Reference Mid Term Evaluation of the Performance Enhancement Programme for the Ministry of Agriculture and the Ministry of Fisheries & Livestock for Better Service Delivery to Farmers

1.2 Context

1.2.1 Overall national context

Zambia had one of the world's fastest growing economies for the ten years up to 2014, with real GDP growth averaging roughly 6.7% per annum, though growth slowed during the period 2015 to 2017, due to falling copper prices, reduced power generation, and depreciation of the kwacha.⁶ Zambia's lack of economic diversification and dependency on copper as its sole major export makes it vulnerable to fluctuations in the world commodities market and prices turned downward in 2015 due to declining demand from China. GDP growth picked up in 2017 as mineral prices rose.

Despite recent strong economic growth and its status as a lower middle-income country, widespread and extreme rural poverty and high unemployment levels remain significant problems, made worse by a high birth rate, a relatively high HIV/AIDS burden, by market-distorting agricultural and energy policies, and growing government debt. Electricity supply is a significant current challenge. Zambia raised \$7 billion from international investors by issuing separate sovereign bonds in 2012, 2014, and 2015. Concurrently, it issued over \$4 billion in domestic debt and agreed to Chinese-financed infrastructure projects, significantly increasing the country's public debt burden to more than 60% of GDP. The government has considered refinancing \$3 billion worth of Eurobonds and significant Chinese loans to cut debt servicing costs.⁷ Government funding is a challenge across all Ministries. Debt repayment plus the need to import power are putting a significant financial strain on government reducing available funds to Ministries, such as MoA and MFL.

Climate change is affecting Zambia. Prolonged dry spells have resulted in poor agricultural production and reduced access to food, contributing to acute food insecurity conditions across the country.⁸ Poor rains between January and March 2019 affected Southern and Western parts of Zambia, and the Eastern and Central provinces. Most rural households rely entirely on rainfed crop production for food and income and any prolonged deviation from the normal pattern drastically undermines food security. The International Federation of Red Cross and Red Crescent Societies (IFRC) warned in September 2019 that a total population of 1.7 million is facing food scarcity in Zambia.⁹

1.2.2 Agricultural sector

Agriculture remains an important sector in Zambia comprising crops, livestock, and fisheries. There are three broad categories of farmers: small-scale, medium, and large-scale. Small-scale farmers are generally subsistence producers of staple foods with occasional marketable surplus. Medium-scale farmers produce maize and a few other cash crops for the market. Large-scale farmers produce various crops for the local and export markets. Most Zambians are subsistence farmers. Agriculture contributes about 19 percent to GDP and employs three quarters of the population. Domestic production is comprised of crops such as maize, sorghum, millet, and cassava while exports are driven by sugar, soybeans, coffee, groundnuts, rice, and cotton as well as horticultural produce. The Zambia territory is 75 million hectares (752,000 km²), out of which 58% (42 million hectares) is classified as medium-to high-potential for agriculture production. However, only 15 percent of this land is currently under cultivation. Zambia enjoys 40 percent of sub-Saharan water resources.¹⁰

The sector is guided by the Seventh National Development plan (7NDP) as well as several sector policies and strategies including the Second National Agriculture Policy (SNAP). The goal of the 7NDP is to create a diversified and resilient economy for sustained growth and socio-economic transformation driven, among others, by agriculture. Two central agricultural policy tools are the

⁶ <https://www.cia.gov/library/publications/the-world-factbook/geos/za.html>

⁷ <https://www.cia.gov/library/publications/the-world-factbook/geos/za.html>

⁸ <https://reliefweb.int/report/zambia/zambia-food-insecurity-information-bulletin>

⁹ Information bulletin Zambia: Food Insecurity, The International Federation of Red Cross and Red Crescent Societies (IFRC) 18th September 2019

¹⁰ <https://www.export.gov/article?id=Zambia-Agricultural-Sector>

Farmer Input Support Programme (FISP) and the Food Reserve Agency (FRA). The 7NDP commits to reforming the Farmer Input Support Programme (FISP) to be administered through the e-voucher system, to eliminate high overheads and improve targeting. It was also envisaged that the e-voucher would be rolled out to all districts and include high-yield locally produced organic fertiliser. The intention was to stimulate local production and value addition in organic fertiliser production, reduce the import bill and make agriculture more sustainable and climate resilient. Since 2017 the GRZ has moved away from the e-voucher system to a mobile phone-based system and central procurement. In the 2019 to 2020 season, central procurement was being used in half of Zambia's provinces. Under this system farmers collect inputs from warehouses and not from agro-dealers.¹¹ In addition, the Government will reform the Food Reserve Agency away from commodity marketing to focus only on strategic food reserve purchases.¹²

1.3 Evaluation Objectives

The TOR (Annex 1) clearly states the purpose of the mission is to assess the achievements, the quality and the results of PEP II in the context of an evolving cooperation policy with an increasing emphasis on result-oriented approaches and the contribution towards the implementation of the Sustainable Development Goals (SDGs).

The evaluation looks for evidence that link results to the EU intervention and seeks to identify the factors driving or hindering progress. The evaluation will provide an understanding of the cause and effect links between inputs, activities, outputs, outcomes and impacts and serve accountability, decision making, learning and management purposes. The main objectives of the evaluation are to provide the relevant services of the European Union, interested stakeholders and the wider public with:

- an overall independent assessment of the past performance of the Multi Annual Programme Estimate and Technical Assistance Contract, paying particular attention to its intermediate results measured against its expected objectives; and the reasons underpinning such results
- key lessons learned, conclusions and related recommendations in order to improve current and future Actions

The Mid-Term Evaluation provides an assessment of the results achieved to date and make recommendations so that the programme can achieve, as much as possible, its goals as stated in the programming documents. It will also identify impediments to the efficient and effective implementation of the programme to date and make recommendation to overcome or circumvent these impediments in the most prudent manner possible. The Mid-Term Evaluation will establish the impact of the suspension of activities implemented under the Multi Annual Programme Estimate on the achievement of objectives. It will also establish whether the split to two ministries (MOA and MFL) had an effect on the performance of the Action.

2 EVALUATION METHODOLOGY

2.1 Evaluation Approach

The evaluation used a rapid participatory and consultative approach aimed to reflect the different views of stakeholders. The evaluation team have formed an independent evidence-based professional judgement, based on the triangulation of information obtained from extensive document review (Annex 8: Literature and documentation consulted) and consultative meetings with stakeholders, project staff and beneficiaries participating in project interventions through Group Discussions and Key Informant Interviews (KIIs) (Annex 7: List of persons/organisations consulted).

¹¹ In Luapula the GRZ has reverted back to 100% direct input supply rebuilding the role of government in the input supply chain; and in the process constraining the growth of local agro-businesses and limiting the choices of farmers to diversify their crop production.

¹² Seventh National Development Plan 2017-2021

Regular contact was maintained with the EU Delegation in particular with the evaluation manager for: (i) agreement on the inception phase; (ii) discussion of results and recommendations; and (iii) comments on the draft report. Regular debriefings were also provided to a Reference Group that included representatives from the EU Delegation, NAO, MoA and MFL. Debriefing included an inception phase briefing, a briefing following provincial level field work and on submission of the draft report. Overall the mission applied a standard evaluation approach following OECD-DAC criteria supported through a comprehensive evaluation framework and following the key evaluation questions given in the TOR.

The evaluation cover both PEP II pilot provinces of Luapula and Southern Province. Inception Phase interviews suggested PEP II progress differs between the provinces. Visiting both provinces allowed the team to assess overall progress and allow comparison of PEP II results and the factors that have influenced progress.

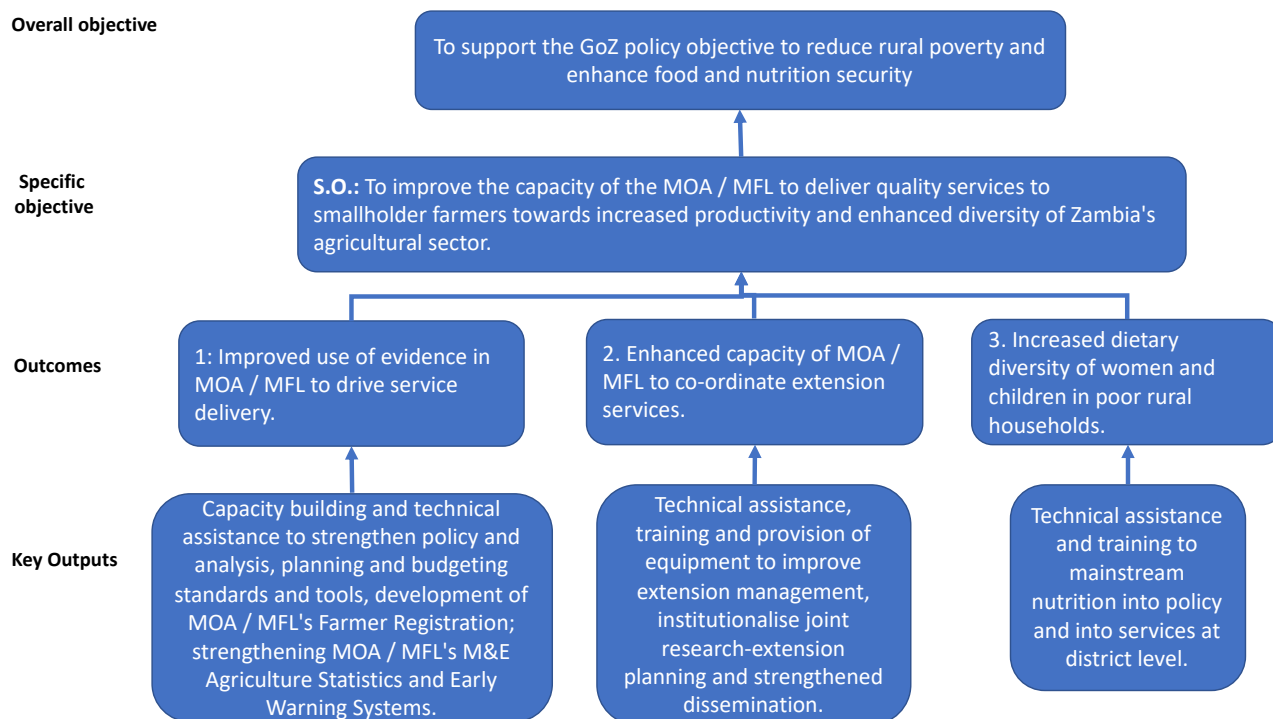
The evaluation team divided based on the criterion of expertise related to each province. The Evaluation Key Expert (KE3) for nutrition visited Southern province. This allowed the Expert to interact with Colleges that PEP II has supported under nutrition. Food security and nutrition is also perceived as more challenging in Southern Province due to recent droughts. The Evaluation Key Expert (KE2) Extension visited Luapula. This allowed the team to cover fisheries, a core function of MFL, as fish are more prevalent in Luapula. The Team Leader visited Southern Province as this allowed attendance of a Provincial Change Management event, a significant PEP II capacity building exercise. The MTE Team leader also attend a Steering Committee meeting and a Technical Working Group meeting.

Data analysis was performed iteratively for each evaluation question. During initial data collection and background reading the team worked to identify themes arising for each question. These were cross checked and triangulated. Where differences occurred or gaps were found additional data was collected. Additional information was used to confirm or reject initial findings. Where data was consistent themes were developed into findings. Where differences in perception were found, the different views were compared and presented. Themes, results and findings were regularly shared with stakeholders to confirm, verify and validate results during the mission. Verified findings and results were then used to develop conclusions and recommendations.

2.2 Intervention logic

PEP II intervention logic based on the Mid Term Evaluation ToR Annex VI: Logical Framework Matrix is presented in Figure 1. This logic is based on PEP II delivering three key outputs. The first is capacity building and technical assistance to (i) strengthen policy and analysis, planning and budgeting standards and tools; (ii) develop the Ministries Farmer Registration and (iii) strengthen Ministry M&E Agriculture Statistics and Early Warning Systems. The second key output supports training and provision of ICT equipment to improve extension management, institutionalise joint research-extension planning and strengthened dissemination. The third key output focuses on technical assistance and training to mainstream nutrition into policy and into services at a district level. By delivering these outputs it is expected that there will be improved use of evidence in the Ministries to drive service delivery. Enhanced capacity is also expected to better coordinate extension services. Delivery of the third nutrition related output is expected to increase dietary diversity in women and children in poor rural households. The intervention logic suggests that the occurrence of these outcomes will lead to increased productivity and enhanced diversity in Zambian agriculture and help contribute to deduced poverty and improved food and nutrition security.

Figure 1 Reconstruction of the Intervention Logic



Based on the intervention logic shown in Figure 1, the Evaluation team has formulated two Theories of Change (ToC) to guide the assessment of the Programme Estimate and the Technical Assistance.¹³ Theories of Change aim to show how (i) inputs are intended to be converted into outputs; (ii) outputs lead to outcome and (iii) outcomes lead to achievement of objectives. The ToC shown in Figure 2 represents the Programme Estimate. The ToC shown in Figure 3 represents the Technical Assistance component of PEP II.

Figures 2 and 3 show the evaluation criteria of efficiency, effectiveness and impact on the right-hand side of the diagrams. In these diagrams each level is linked to the one above it in a cause and effect relationship. Inputs cause outputs, that in turn lead to outcomes that contribute to objectives. Efficiency considers the production of key outputs, such as capacity built in policy and analysis and the inputs used to produce them. This evaluation criteria considers how well inputs have been converted into outputs in terms of quality, quantity and time, and the quality of the results achieved. The next level of the theory considers if results are leading to the achievement of outcomes. This level considers the effectiveness of the initiative. The impact final evaluation criteria is shown in the top right hand corner of Figures 2 and 3. At this level the evaluation considers the programmes contribution to wider policy or sector objectives (as summarized in the project's Overall Objective).

The PE Theory of Change tries to show the outputs that will be produced by the PEP II PE and the resulting intended outcomes. It is based on the PE Logical Framework as provided in the MTE ToR. It places the improvement of policies (as outcomes) as a necessary precondition for the improvement of services (at specific objective level). To evaluate the PE the evaluation team referred to this ToC and the indicators included in the logical framework that it represents.

¹³ This was done to ensure the coverage of both the PE and TA PEP II components as required by the MTE TOR. EUD guidance provided during MTE fieldwork was that the logical framework in the MTE ToR was for the PE while the logical framework in the TA Inception Report 2017 was for the TA component. This perception was subsequently challenged by the TA TL during feedback presentations of MTE findings.

Figure 2: Theory of Change for the Programme Estimate

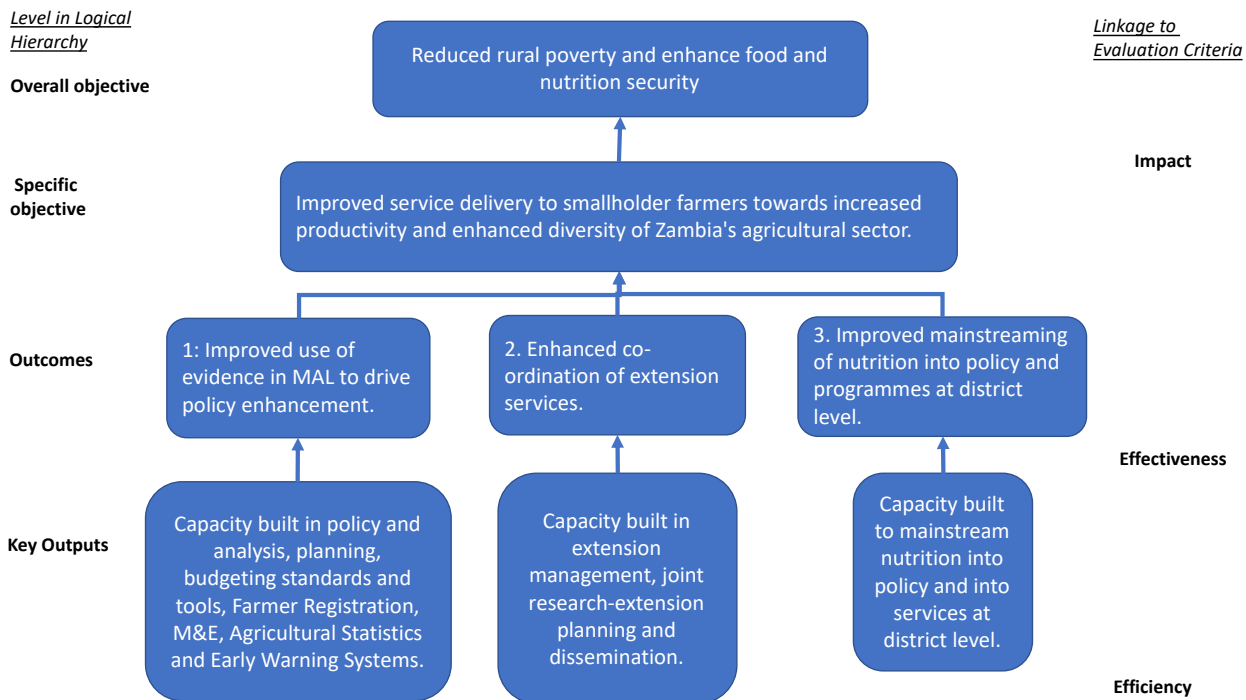
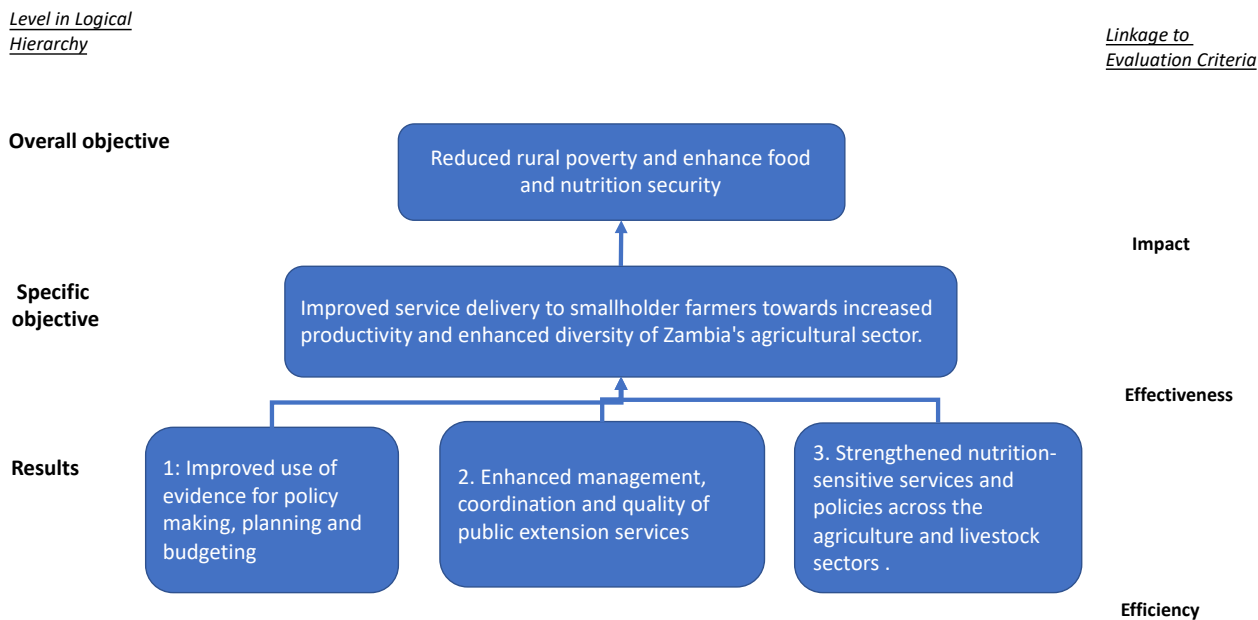


Figure 3: Theory of Change for the Technical Assistance



The ToC presented in Figure 3 is based on the logical framework presented in the TA 2017 Inception Report. The TA logical framework does not include the Key Outputs shown in the PE example. Result area 1 in the TA logical framework has been expanded to include planning and budgeting compared to the PE log frame. In addition, Result area 2 has also been expanded to include the quality of extension. Similarly, Result area 3 has been changed from mainstreaming at district level to strengthening services and policies across Agric and livestock sectors compared to the PE Logical Framework. All together these adjustments present a broader TA logical framework compared to that of the PE. The TA ToC and its supporting logical framework and indicators were used when assessing the TA component by the MTE.

3 FINDINGS

Findings are presented by OECD DAC criteria supported by evidence and reasoning.

3.1 Relevance

Hypothesis: The PEP II programme is relevant¹⁴ to the needs of small holder farmers.

3.1.1 Overall Appropriateness

The PEP II overall objective is relevant to the needs of small holder farmers. Appropriateness of the approach is questioned by levels of available GRZ funding, the increasing importance of climate change and the urgent need to address food and nutrition security.

MTE fieldwork results emphasise the increasing importance of addressing the emerging issue of climate change with a significant drought having occurred (i.e. in Southern Province).¹⁵ At the time of the MTE, food availability and accessibility were a priority for many target beneficiaries. Respondents also emphasised the importance of markets / value chain and adaptive research. While the EU is supporting market approaches through other initiatives, MTE results suggest a more direct approach is increasingly necessary to address food and nutrition insecurity, as climate related changes in the physical environment have occurred since PEP II design.

3.1.2 Objective Level

The PEP II overall objective to support GRZs policy of reducing rural poverty and enhancing food and nutrition security remains relevant. The worsening food and nutrition security situation in Zambia caused by a short fall in rains shows that achieving this overall objective is increasingly important and very relevant.

The appropriateness of the PEP II specific objective is challenged by changes in the financial position of the GRZ. The availability of government funding challenge the assumptions made in the PEP II PE and TA logical frameworks at objective levels. The PE logical framework assumes a level of financial, organisational, and human resources can be mobilised by the Government that are adequate to sustain reforms advocated by the project over the longer term. The TA logical framework assumes MoA and MFL have adequate capacity to absorb reforms and foster their operationalisation. GRZ financial restrictions have challenged the operationalisation of PEP II results. It is recognised that (i) field staff can reside within farming communities and visit farmers as part of their day to day work and that (ii) staff can demonstrate nutrition interventions using locally produced foods and farmers provide such materials. However, during MTE fieldwork it was commonly reported that Block and Camp Extension officers were severely restricted in their ability to visit farmers due to insufficient funds for fieldwork.¹⁶ This lack of funding questions the appropriateness of building the capacity of extension staff, such as in nutrition, as these employees lack sufficient funds to visit farmers and apply training. If funding remains constrained it is probable that any future PEP II results will experience similar challenges (i.e. updating the farmer register and maintaining e-extension ICT hardware¹⁷). While some key Ministerial representatives suggest results such as the farmer register, the Livestock Policy and strategic plan and M&E if well delivered by PEP II will be institutionalised by the two Ministries. However, in the independent opinion of the MTE the lack of government funding questions the appropriateness of the PEP IIs specific objective to

¹⁴ The appropriateness of project objectives to the problems that it was supposed to address, and to the physical and policy environment within which it operated. It should include and including an assessment of the quality of project preparation and design – i.e. the logic and completeness of the project planning process, and the internal logic and coherence of the project design.

¹⁵ Key stakeholders reviewing the MTE Report note that while it is appreciated that climate change is an emerging issue, the initial design of the project was not aimed at addressing this challenge. These stakeholders point out that the Ministries have since mobilised GEF funds to address this challenge and recommend that PEP II develops synergies with other projects to enhance the nutrition component.

¹⁶ Some block and camp extension officers reported using own funds to visit farmer or traveling with NGO or other vehicles. Officers anecdotally reported this could allow them to visit approximately 5% of intended farmers.

¹⁷ During MTE feedback events it was reported by senior Ministry representatives that PEP I tablets had generally lasted less than two years and that all PEP II tablets will need replacing after three years.

improve the capacity of the MOA / MFL to deliver quality services as sufficient funds were not available at the time of the MTE to allow meaningful interaction with smallholder farmers.

3.1.3 Result Area 1

Result 1 aims to build capacity in policy, analysis, planning and budgeting standards and tools, develop MOA/MFL's Farmer Registration, strengthen MOA/MFL's M&E Agriculture Statistics and Early Warning Systems. The improved use of evidence for policy making, planning and budgeting is emphasised. This result area is relevant. For example, a well-functioning early warning system should help monitor climate changes and could be valuable to inform the current food security situation in Zambia. Strengthening policy, planning and budgeting are also appropriate in the Zambian context. Government wide funding challenges present at a nation level suggest it is more relevant for PEP II to support provincial and district levels to source local funding, something that PEP II is beginning to do.¹⁸ As many key policy decisions related to agricultural policy (i.e. adjustments to FISP)¹⁹ are taken outside of the MOA / MFL it is increasingly relevant for PEP II to strengthen engagement with these key decision makers. PEP II will need to work closely with senior Ministry, NAO and EUD representatives to achieve this aim.

PEP II support to the Farmer register is highly valued by the MoA / MFL. The register is used to manage and implement FISP. FISP is politically sensitive. Current issues raised during MTE fieldwork related to FISP beneficiary 'inclusion' and 'exclusion' and a focus on maize. Farmers face a number of requirements to be registered with FISP including cooperative / association membership linked to a bank account, a phone number, and the ability to pay ZMK 400 in advance. These requirements may exclude farmers that PEP II aims to benefit. In addition, a perceived FISP maize focus has dietary diversity and drought tolerance implications. The Zambian dietary diversity and climatic situation at the time of MTE fieldwork suggested interventions that promote a broad range of drought tolerant crop types and varieties is most appropriate. PEPs work on the farmer register (and related database) has helped develop some good will with Ministries and assisted FISP management. The EUD should manage any possible reputational risk from support related to FISP particularly if the Zambian food security and nutrition situation worsens. EUD representatives reported a movement away from maize in its programming.

3.1.4 Result Area 2

Under Result 2 PEP II aims to improve extension management, coordination and quality of public extension services, institutionalise joint research-extension planning and strengthened dissemination.²⁰ During MTE field work respondents advocated for adaptive research²¹ within priority value chains for each district. This approach would bring together key stakeholders including research and extension to tackle farmer bottlenecks to increased productivity. This approach is based on the understanding that farmer's challenges go beyond research and extension, for example with the need for predictable and reliable commodity markets and prices, which were recurring themes reported during MTE Luapula fieldwork. One Block Officer, in Mansa North indicated, "if we had two or so high value commodities with a clear market in our area there would be a lot of demand for our research/extension services as farmers would want to meet market specification. It makes us more relevant!" Another senior key informant indicated that "research does not produce outputs on a weekly or monthly or yearly basis and therefore it is difficult to maintain active linkages! Linkages should be based on demand and value added." Linkage is also challenged by funding. This questions the current PEP II extension approach suggesting a market led method that engages the private sector (i.e. working with agro dealers to deliver extension messages) is more appropriate. MTE results suggest PEP II is moving in this direction engaging the

¹⁸ For example thought Provincial Change Management meetings

¹⁹ FISP is moving away from an agro dealer approach. A decision that was taken outside of the MoA/MFL.

²⁰ This sentence is a combination of PE and TA logical framework statements for Result 2.

²¹ EUD Representatives report they are supporting adaptive research through FAO.

Musika²² Managing Director in its PPP activities and encouraging the Private Sector to join provincial change management meetings.

The appropriateness of PEP II proposed E-extension support is questioned as similar tablets given by PEP I to extension staff were reported to have all broken within a three-year timeframe. Stakeholders appreciated the potential of e-extension to equip research and extension officers with up to date information and reach more farmers, however they raised questions on PEP II e-system's complexity and accessibility citing PEP I experiences. In addition, better off farmers are suggested to have access to smart phones that are part of the PEP II e-extension approach. Farmers engaged in labouring were reported to prefer more robust cheaper phones and many farmers remain semi-literate.

3.1.5 Result Area 3

Under PEP II Result 3 the PE logical framework statement aims to mainstream nutrition into policy and services at district level. The TA logical framework statement is broader aiming to strengthen nutrition-sensitive services and policies across the agriculture and livestock sectors. The PEP II College based approach is relevant as students are likely to bring learning into future employment roles. PEP II nutrition related advocacy is also very relevant within Ministries and at high levels of Government including the President. Lobbying for better resource allocation to nutrition is relevant given the seriousness of the food situation in Zambia.²³ PEP II in-service training of Govt core staff using a cascading Training of Trainers (ToT) approach and the support to develop sector work plans 2018/19 to integrate nutrition into activities and budgets is frustrating for all involved as finance was not available at the time of the MTE. This again questions PEP II logical framework assumptions such as 'trainings provided are translated into concrete actions at household level' and points to a need for adjustment in the approach used.

3.1.6 Quality and Coherence

Quality of Project Design and Coherence of the Intervention Logic

The overall quality of project design is good. The intervention logic is understandable being based on increasing capacity to improve policy and service delivery as a way of addressing poverty and food and nutrition security. Project design could enhance clarity to say more specifically which capacities it intends to build at a result level and how these changes will be measured.

Drafting of some logical hierarchy statements could be enhanced to more closely follow convention and increase clarity. For example, the TA purpose statement mentions 'to improve the capacity of'. Improved capacity is usually an output of a training activity. It can be directly achieved by the intervention and is therefore not an outcome. The purpose of improving capacity is to increase productivity that is mentioned later in the TA purpose statement. Similarly, in the PE logic, training is mentioned at result / output level. Training would usually be seen as an activity and some form of improved capacity would be the desired output or result.

The assumptions identified in project design are largely appropriate. Climate change could figure more prominently in assumptions. Funding assumptions are clearly mentioned in the PE project design and could be made more prominent in the TA logical framework.

Quality of Planning Documents

The quality of planning documents produced by PEP II is variable mixed.

It is unclear why PEP II has two similar but different logical frameworks. The PE and TA purposes as given in the MTE ToR²⁴ are similar as is the intervention logic used in the two logical frameworks. To increase clarity one harmonised logical framework could be produced. Alternatively, the purpose

²² <https://www.musika.org.zm>

²³ <https://scalingupnutrition.org/sun-countries/zambia/>

²⁴ See MTE ToR page 3 and 4

statements for the PE and TA components could be made more distinct. The TA logical framework could then more clearly reflect the support role and specific deliverables (outputs or results) that this component of PEP II should produce. MTE findings suggest that implementation may have been smoother if the PE logical framework showed how PEP II would achieved its goal and the TA logical framework (or another planning document) clearly communicated how the TA would support the PE.

A lot of attention has been given to detailed activity level plans and good quality planning documents have been produced. These include the 2017 TA Inception Report and the six-monthly progress reports. Other documents that support planning are not of the same quality. Logical frameworks present some baseline and target information that could be more complete. The PEP II baseline presentation seen during the MTE did not appear to be focused on PEP II. Links to logical framework indicators were unclear and at times the information reflected a more general situation analysis. The baseline report has not been seen by the MTE team. It is hoped that information from the baseline report can be used to populate PEP II logical frameworks. The baseline has also been performed after implementation mid-point.

Institutional Arrangements

Institutional arrangements are inappropriate. In particular, TA institutional arrangements need to change to enhance the performance of PEP II.

Institutional arrangements have undergone significant change over the PEP II implementation period due to the target Ministry dividing into two and the move of the TA into NAO offices. The division into two ministries has challenged efficient implementation with implications for relevance. Ministerial institutional arrangements are complex. Alternates existing for the two EDF Imprest roles that the PIU reports to regarding the PE. These alternates are divided between the Ministries. In addition, a TA managerial role is filled by a member of the MFL.²⁵ PEP II has had to balance support equally between ministries. An approach focused on tailoring assistance to specific capacity needs that vary between Ministries would have been more appropriate.

Institutional arrangements for the TA have become inappropriate. Moving the TA out of the Ministries has reduced day to day contact with key staff. In addition, the TA do not have clear senior level Ministerial counterparts that would be expected in a capacity building project like PEP II. Over the period of PEP II implementation up to nineteen focal points have been appointed to work with the TA. During fieldwork TA were observed introducing new concepts to provincial level staff without clear counterparts. Authority would have been improved if these presentations were given by senior Ministry staff (counterparts) supported by the TA. To provide authority to the TAs work counterparts need to be at senior levels (Directors and Deputy Directors) within the Ministries.

Institutionally, MTE fieldwork show NAO performs a monitoring and management role of PEP II representing the interests of the GRZ. It also houses the TA team. Perceptions differ regarding the appropriateness of arrangements with the NAO. NAO has become increasingly involved with the PE suspension and challenging implementation of PEP II. Some key stakeholders see NAO as too involved and call for a reduction in their engagement. Others see their management-oriented role as justified suggesting Ministry time and capacity is limited to control the PEP II PE. Ministry representatives point out that management of the PE is the role of the Imprest Administrator and the Imprest Accounting Officer. This is can be challenging in Government as all authority lies with the Permanent Secretary. Ownership is greater when control is with the Permanent Secretary compared to less senior staff that currently occupy the Imprest Administrator and the Imprest Accounting Officer positions. Importantly, differences of opinion that exist between NAO representatives, Ministry staff and TA team members regarding institutional arrangements and how to implement the PEP II PE need to be resolved.

²⁵ The TA report to this person in addition to the PIU Programme Manager.

3.1.7 Gender

Gender equality has been taken into account and included throughout the PEP II Action. Gender mainstreaming is clearly addressed and activities generally measure gender equality (i.e. events disaggregate participants by gender). The PEP II baseline disaggregated data by gender. The PEP II supported farmer register also disaggregates farmers by gender. PEP II reporting (i.e. Bi-annual reports) also report gender disaggregated data showing the programme regularly considers male and female equality.²⁶

3.2 Efficiency

Hypothesis: The PEP II programme is efficiently converting inputs into results.

Overall PEP II has not efficiently converted inputs into results.

Midterm evaluation results show that PEP II has achieved progress in (i) developing the Farmer Register; (ii) beginning to develop the e-extension, building hosting and technical support relationships and a core-team of subject matter specialists to operationalize the e-extension system. (iii) capacity building by bringing nutrition into Agricultural College Curriculum and (iv) providing nutrition training at provincial, district and block levels (v) developing a livestock strategic plan (vi) developing a Livestock Development Policy. Many activities are delayed and the initiative is significantly under consuming its budget compared to plans.

Review of the PE and TA logical frameworks shows that 17 (77%) out of 22 result level indicators that remain valid show no change (see Tables 1)²⁷. PEP II report progress on implementation of activities measured as per the Implementation Timetable of Addendum III, 63 activities: 11 (17%) activities have been completed, 15 (24%) are on track, 32 (51%) delayed and 5 (8%) have not started.²⁸ The PEP II Summary Table of Budget Consumption (Jan 2017 to Oct 2019) by Zambian Kwacha shows a 28% rate of consumption with a third of the project life remaining. TA Budget Consumption (Nov 2016 to Oct 2019) shows a 75% rate of consumption with 67% of project life used.²⁹ When the cost of TA and that of the PE are compared, according to the design 0.44 Euro cents were supposed to be spent on TA for every Euro spent on the PE activities. However, by 31 October 2019, Euro 1.24 of TA budget had been spent per every Euro spent on PE activities. The three –fold increase was partly a result of the suspension and partly a result of delays in approval of PE activities.³⁰

To determine progress by result area the MTE team assessed each PE and TA logical framework indicator according to fieldwork findings. Findings were then discussed with members of the PIU and secondary data used where available. Findings are presented by result area.

Result 1

PEP II has made progress, achieved its PE Result 1 target of developing MOA/MFL's Farmer Registration³¹ registering approximately 1,100,000 farmers.³² It has also supported the development

²⁶ Gender is further discussed in Section 3.4.3 and Annex 10 Sections 1.3 and 4.4.

²⁷ Two indicators are obsolete and not applicable given changes to PEP II or changes to the source data.

²⁸ TA to PEP II, Six-Month Interim Progress Report 1st May 2019 – 31st October 2019 Exec Sum

²⁹ Ecorys representatives emphasise that the figures this calculation is based on are preliminary and could change. The reported figures are illustrative and not rigorous.

³⁰ Perceptions regarding the contributing factors to levels of TA budget consumption differ between stakeholders. TA representatives emphasise the main reason to explain expenditure levels was the frontloading of the time of the Key Experts for Extension/M&E and Nutrition (KE2 & KE3) as per the request of the implementing Ministries. Ministry representatives report reasons for the over utilization of the TA time as including: High concentration on programmes such as the Farmer registration due to the country wide coverage – KE 2; Change of Team Leader, a lot of time was spent on making adjustment with the new TL; Conflict resolutions, on new proposed changes by the new TL; Too much time spent on preparing addendum 1 and addendum 5; Too much time spent on preparing the Tender dossier on the procurement of ICT equipment; Long inception phase and the failure to adhere to contractual allocated time of work – KE 2 (working 100% as opposed to 75%)

³¹ The PE Logical framework includes the development of farmer registration in its Result 1 definition. This log frame includes the indicator '2.5) % of farmers registered in the Farmer Register' under Result Area II.

³² 44% of the approximate target 2.5 million farmers

of a draft National Livestock Development Policy and Strategic Plan. Both of these documents are waiting formal approval. By supporting farmer registration PEP II has built capacity for MOA/MFL to manage and strengthen its Farm Input Supply Program (FISP). MTE fieldwork shows this has allowed removal of duplicate and false ('ghost') entries on the register. Outside of these achievements, the MTE has not found evidence to suggest PEP II has achieved its other intended PE Result 1 of building capacity to strengthen policy and analysis³³, planning and budgeting standards and tools or strengthening MOA/MFL's M&E Agriculture Statistics and Early Warning Systems.

PEP II has not achieved its TA Result 1 intention of improving the use of evidence for policy making, planning and budgeting by both ministries. MTE fieldwork confirms the PEP II Six-Month Report May – October 2019 statement that “no policy documents have been produced on the basis of evidence”.³⁴

Review of the Result 1 logical framework component for both the PE and the TA (Table 1) shows that no progress has been made for six of the nine indicators. Results for Indicator 1.1 show that one policy study has been initiated compared to targets of four advisory notes per year. One draft policy has been produced relating to Indicator 1.2 compared to a target of four. The TA indicator for compliance of annual budgets has been made redundant.³⁵

PEP II has spent approximately ZMK 9 million (36%) of its ZMK 25,352,155 PE Result 1 budget. The input has yet to efficiently achieve intended results.³⁶

³³ A Non-Key Expert (NKE) was engaged to assess the training needs of the two ministries in policy analysis. However, after the suspension, the NKE has not come back to train the Ministry staff.

³⁴ PEP II Six-Month Report May – October 2019 Exec Sum

³⁵ The PIU Programme Manager reports the removal of activities from PEP II for this result. This is due to a new budgeting format in the MoF. MoF have taken responsibility for training and compliance in this area. The new system uses an output-based budget that looks at the achievement of results. Next funding occurs if the output is achieved. Four annual MOA and MFL budgets are compliant with planning and budgeting guidelines. This has largely been achieved by the Ministry of Finance.

³⁶ PEP II Summary table of budget consumption by budget heading in Zambia Kwacha Jan 2017 to Oct 2019

Table 1: Result 1 Logical Framework Findings

Result Definition	Indicator	Baseline	Target	Achievements by Nov 2019
PE: Capacity building and technical assistance to strengthen policy and analysis, planning and budgeting standards and tools, development of MOA/MFL's Farmer Registration; strengthening MOA/MFL's M&E Agriculture Statistics and Early Warning Systems.	1.1) Number of Policy Advisory notes prepared and approved by management annually.	1	4 by end	One Livestock Policy Study initiated with MFL PPID
	1.2) Number of policies developed and reviewed.	1	4 by end	1 Livestock Policy waiting Ministerial approval
	1.3) Number of quarterly M&E reports generated within one month of the end of the quarter.	0	4 per year	None - waiting Strategic Plans
	1.4) Number of M&E indicators present in the MOA/MFL M&E manual against which data is collected consistently.	0 (project start)	All by end	None - waiting Strategic Plans
	1.5) Number of Gender Disaggregated Indicators reported in the CFS, PHS and M&E Reports.	CFS: 3, PHS: 3, M&E Report: 0 (project start)	CFS: 10 by end; PHS: 10 by end; M&E report: All	None ³⁷
	1.6) Number of nutrition indicators are formulated and incorporated in updated MoA/MFL M&E Manual.	1 (project start)	6 indicators by end of project	None ³⁸
TA: Improved use of evidence for policy making, planning and budgeting in both ministries underpinning service delivery to rural households.	Effective M&E Systems set up in the Ministries	2 in 2016 (CFS, PHS)	3 in 2020 (AMIS, CSF and PHS)	None set up by PEP II ³⁹
	Proportion of policy documents underpinned by evidence from M&E system	Baseline	100% in 2021	None
	Compliance of annual budgets with planning and budgeting guidelines	0 in 2016	8 in 2021	N/A ⁴⁰

³⁷ There are gender disaggregated indicators in PEP II Baseline, only doc PEP II is supporting is the census report MFL. PHS not done since 2015

³⁸ The TA report that indicators were formulated and will be incorporated in the M&E system once all indicators of the Strategic Plans have been endorsed by Cabinet. The PM reports that there is a Nutrition Workplan under which PEP II have tried to merge indicators from draft Strategic Plans for MOA and MFL. There is also a M&E manual that was supported by PEP I. This will be updated once Strategic Plans are agreed.

³⁹ M&E will now be based on the indicators of the Strategic Plans. AMIS, CSF and PHS are set up in the two Ministries. PEP II supported AIMS indirectly under the GWMIS. GWMIS has not been completed. PHS last done in 2015. CFS is performed each year by MoA, MFL and CSO.

⁴⁰ Ministry of Finance conducted the training related to this indicator. It was therefore proposed in Addendum 5 to drop the support to these activities. This indicator is not obsolete.

Result 2

The MTE finds that PEP II has not yet achieved its PE logical framework result of improving extension management, institutionalise joint research-extension planning and strengthened dissemination. The programme is also yet to deliver its TA logical framework result of enhancing management, coordination and quality of public extension services. Progress according to PEP II indicators is shown in Table 2. No progress has been made in respect to four of the five PE logical framework indicators. Indicator 2.5) % of farmers registered in the Farmer Register shows that 1.1 million of the estimated 2.5 million farmers present in Zambia have been registered. It is suggested that this indicator is more relevant Result Area 1 that clearly targets farmer registration.

Activities in support of extension services were severely affected by the 10-month suspension of the PE. This has contributed to e-based services still awaiting launch and no farmers accessing the project supported e-extension services by the time of the MTR. The project has made progress in laying the base for the implementation of the e-extension service by:

- Developing an on-line e-Extension Portal providing a one stop shop to farmer-based applications. This is building on the farmer registered supported by the project
- Designing and developing a knowledge base for Camp Officers and farmers access to extension bulletins and other documentation
- Development of an application for the Animal Identification and Traceability System; and related encoding of the *brands* database⁴¹
- Support to the Plant wise e-Messaging on Fall Army Worm in collaboration with CABI

PEP II has not yet tangibly enhanced extension services or developed research extension linkage. The programme has identified 16 officers in the two principal ministries including from ZARI who will be appointed as Research Extension Liaison Officers (RELO's) to spear head the strengthening of research extension linkage. There is potential for the Provincial Change Management Team meetings to help enhance research/extension linkages as well as other collaborative relationships for example with agro-dealers that also provide advisory services to smallholder farmers. In addition, the digitization of the inventory of research outputs is still to take place and there were no technologies disseminated that can be specifically attributed to PEP II intervention at the time of the MTE.

The 2019 PEP II baseline study reported a 63% level of farmer satisfaction with the frequency, relevance and quality of extension services they receive from ministries' extension systems. No evidence was found as part of the MTE to suggest PEP II has contributed to a change in this figure.

The project has reached almost all camp extension officers (plus 2000) except the newly recruited officers through the farmer registration exercise. The nutrition training component also reached extension staff at province, district and block level in the two pilot provinces.

PEP II has significantly underspent its PE budget related to Result 2. Approximately ZMK 1.3 million (7%) of its ZMK 19.2 million PE Result 2 budget has been used. As with Result 1 this input has yet to efficiently achieve intended results.⁴²

⁴¹ This development is driven by the demands of stakeholders- parliament, police, farmers- that are concerned about the high levels of stock theft

⁴² PEP II Summary table of budget consumption by budget heading in Zambian Kwacha Jan 2017 to Oct 2019

Table 2: Result 2 Logical Framework Findings

Result Definition	Indicator	Baseline	Target	Achievements by Nov 2019
PE: Technical assistance, training and provision of equipment to improve extension management, institutionalise joint research-extension planning and strengthened dissemination.	2.1) Harmonised Operational Guidelines for Agriculture, Livestock and Fisheries Extension Service Providers in Zambia are operationalised.	Guidelines not finalised	Guidelines are applied by end of project	None ⁴³
	2.2) Number of tested technologies by joint research-extension teams disseminated.	To be established	10 at project end	None ⁴⁴
	2.3) Number of Provinces and Districts with fully functional HR Information System.	To be established	HR information on all serving MOA/MFL staff included in HRIS and linked to Payroll by end of project	None
	2.4) % of MAL extension officers trained on the best practices in gender sensitive extension services contents.	0 (project start)	2.4 = 80% at project end	None ⁴⁵
	2.5) % of farmers registered in the Farmer Register.	Partial registration of farmers	100% farmers registered and 100% districts able to regularly up-date farmer registers.	1,100,000 farmers currently on the farmers register. ⁴⁶
TA: Enhanced management, coordination and quality of public extension services	Percentage of small-scale farmers having access to e-based public extension services (disaggregated by gender)	0% in 2016	20% in 2021	0%
	Level of farmers' satisfaction with the frequency, relevance and quality of extension services they receive from ministries' extension systems.	63% report service as good ⁴⁷	75% by 2021	0% improvement since baseline
	Number of new research-based technologies released to farmers through extension messaging	baseline	baseline x 2	None

⁴³ PEP II report these are currently being streamlined and have not been disseminated yet.

⁴⁴ PEP II report that necessary Committee members were being appointed at the time of the MTE

⁴⁵ Guidelines have been developed in draft form. Gaps have been identified. Waiting stakeholder review. Once gender mainstreaming guidelines are finalised then 2 TOT (one per province) will be performed and 400 district staff will be trained.

⁴⁶ PEP II is targeting to register an additional 900,000 farmers in 2019. Estimate there are a total of 2.5 million farmers to register.

⁴⁷ Source: PEP II Baseline Information 2019 sourced from a slide presented to the November 2019 Project Steering Committee

Result 3

PEP II has not yet delivered its intended PE result of mainstreaming nutrition into policy and into services at district level. The programme has delivered training but shortages of GRZ funding have prevented trained staff delivering field-based support. As a result, no change in the PE indicators (3.1, 3.2 and 3.3) for women receiving nutrition education at camp level, farmers being involved in on-farm processing, storage and value addition and households using improved crop varieties, animal and fish breeds due to PEP II training is reported. As a lack of funding has restricted service delivery to communities it is extremely unlikely that PEP II activities have beneficially changed dietary diversity in small holder farmers households (PE Indicator 3.4).

MTE fieldwork also suggests that PEP II has not yet significantly strengthened nutrition-sensitive services and policies across the agriculture and livestock sectors contributing to TA logical framework Result 3.

The TA report that all Provinces have mainstreamed Nutrition into annual work plans. MTE fieldwork results suggest that rates of budget allocations to nutrition for both Ministries have not improved and that staffing for nutrition technical and advisory services at all levels has not increased.

To support nutrition-sensitive strategic Ministry documents PEP II has supported development of two strategic training manuals and one National Strategic Workplan developed. It has also supported the revision of ten Annual Provincial strategic workplans.

PEP II has built capacity to mainstream nutrition in extension staff up to Block level with the training still to be cascaded to the camp and farmer levels at the time of MTE fieldwork. Operational resources were cited as the key constraint to cascading the nutrition training to camp officers and farmers.

Under Result 3, both nutrition-related as well as other agricultural technical training needs of front-line staff, have been identified, analysed and documented. Significant progress had been made (80% by 31 October 2019) in training of nutrition staff in the mainstreaming of nutrition into planning, budgeting and implementation but resource allocation to support the staff in the actual mainstreaming work remained a challenge with the recent budget constraints of government.

In the nine colleges that were supported by PEP II to mainstream nutrition into the pre-service curriculum, an orientation was provided to both male and female lecturers and principals of the colleges on the importance of nutrition and how to mainstream nutrition into the curriculum of front-line extension workers. What the lecturers have received is information that has increased their knowledge and understanding of nutrition and the urgency to address it in Zambia. The colleges have benefitted at least three-fold:

- empowerment of both male and female teaching staff with new knowledge on nutrition and their roles in promoting it through their work;
- a Lecturer's Guide on Human Nutrition Model for Agricultural Training Institutions that is serving as an important teaching resource; and
- a Student Workbook on Human Nutrition Model for Agricultural Training Institutions that is being used by students as a reference document during the teaching on nutrition.

The agricultural college in Monze had started using the curriculum and teaching resources in 2018 and had already trained 400 students.

PEP II has spent approximately ZMK 2.2 million (51%) of its ZMK 4.3 million PE Result 3 budget. As with Result 1 and 2 this input has yet to efficiently achieve intended results.⁴⁸

⁴⁸ PEP II Summary table of budget consumption by budget heading in Zambian Kwacha Jan 2017 to Oct 2019

Table 3: Result 3 Logical Framework Findings

Result Definition	Indicator	Baseline	Target	Achievements by Nov 2019
PE: Technical assistance and training to mainstream nutrition into policy and into services at district level.	3.1) Number of women receiving nutrition education at camp level.	Baselines and Targets to be established during the baseline study		None
	3.2) Number of male and female farmers involved in on-farm processing, storage and value addition.			None
	3.3) Number of households using improved crop varieties, animal and fish breeds.			None
	3.4) (i) minimum dietary diversity (6-23 months); (ii) individual dietary diversity score (24-59 months); and (iii) individual dietary diversity score (women of reproductive age).			N/A ⁴⁹
TA: Strengthened nutrition-sensitive services and policies across the agriculture and livestock sectors	Number of nutrition-sensitive strategic Ministry documents	2 in 2016	12 in 2021	1 National Strategic Workplan ⁵⁰ 2 strategic training manuals 10 Annual Provincial strategic workplans revised
	Rate of budget allocations to nutrition for both Ministries	ZMW 2.29m of total 6,077m in 2017 (0.0003%)	0.05% of ministries budget in 2021	0% ⁵¹
	Increased staffing for nutrition technical and advisory services at all levels	82 in 2016	109 (90% of 122) in 2020	0 in 2019 ⁵²

⁴⁹ This indicator relies on the DHS. The DHS changed the indicator in 2018 to Minimum dietary diversity for children 6-23 months (MDD-C). This challenges the value of using the indicator to make comparison.

⁵⁰ The PIU PM reports that there is a stand-alone Nutrition Workplan that covers both Ministries and is linked to each Ministries Strategic Plan. The Nutrition Workplan is undergoing quality control at the time of the MTE after being officially submitted in Oct / Nov 2019.

⁵¹ There was a Cabinet Directive (circular) after the Nutrition Conference to increase the budget, but little budget release.

⁵² The TA report that an intended repositioning did not take place, therefore no additional positions could be created in the MoA / MFL.

PEP II implementation has aimed to be cost efficient and offer value for money. A long-term contract has been entered with a Lusaka based hotel to achieve reduced rates for PEP II sponsored events. Costs for workshops/seminars/trainings were kept low by following the principles issued by the EU Delegation on 5 December 2016 regarding the Organisation of Workshops/Seminars/Trainings in the Framework of Projects Financed by the European Development Fund (EDF). As per the general rule laid out by the EUD, workshops/seminars/trainings and similar activities for Result Area 3 (and for other result areas) were organized in the places where the majority of the participants resided and worked. In addition, the workshops/seminars/trainings for provincial staff were organised in provincial capitals that were central not the capital Lusaka. The same was done for district workshops/trainings. This reduced the number of overnight stays and travel needed and kept costs at reasonable levels. For national level meetings, no allowances were paid in those cases where the EU catered for the venues and lunches. For training of lecturers from the nine agricultural training institutions, PEP II used the NRDC as a more affordable venue to reduce costs. Orientation of teaching staff in agricultural training colleges was done on site with three people (facilitators/trainers) coming from Lusaka to provide the orientation using a standard PowerPoint presentation. On site orientation sessions were preferred as an approach because they reached more staff than off-station trainings.

Enhancement of the knowledge and nutrition sensitive agriculture of key staff at national and subnational levels was done using a team approach comprising among others, the TAT and TWG members from the two ministries in order to increase value for money. The training covered content such as “Why nutrition matters”, “Why involve the officers in nutrition”, “Policy, programmes and activities that could promote good nutrition”, then it moved to how to mainstream nutrition into the work-plans, budgets and day-to-day operations of the key staff with a role in nutrition. The training was at central and provincial levels and support from PEP II was used to first capacitate the TWG and then divide its members and assign them to provinces to jointly train government staff. Three sessions were held, one in Kasama which covered 3 provinces, then another for the Copperbelt which covered another 3 provinces and lastly, Lusaka which hosted the training of 4 provinces. Each provincial level training had a member of the TWG as a facilitator to ease follow-up⁵³.

3.2.1 Cooperation with other Stakeholders

PEP II has cooperated with FAO to develop the Farmer Register. The engagement has leverage synergies, filled gaps and complemented other programmes. According to the 2nd six-monthly report of the TAT, “during the (review) period various meetings were held with the Food and Agriculture Organisation (FAO) and Smart Zambia to discuss the operations of the ZIAMIS (ex CASU-FIMS) system, the part played by each supporting organisation (PEP II, FAO and Smart Zambia), overall planning and budgeting. PEP II was assigned to be responsible for the training of sub national staff, kick-starting the data collection exercise and monitoring the training and data collection exercise. FAO was assigned to be responsible for application development and training the National level master trainers. Smart Zambia was assigned responsibility for hosting the application and technical monitoring of the application operations”.

Furthermore, during the period Nov 2017 – April 2018, PEP II TA Team “in conjunction with FAO and SMART Zambia tested and revised the farmer register component of the ZIAMIS application and provided training in operations and data collection at sub- national levels for the 2017/18 agriculture Season”. FAO representatives emphasised the importance that the GRZ places on the farmer register to help manage the FISP, highlighting that this gives purpose to the register from a Government perspective.

PEP II is working with a wide range of partners in the development of the e-extension portal. The project is leveraging technical capacity in the development of the e-extension portal from Smart Zambia, the government agency responsible for leading the e-government initiative. In addition, the project is working with CABI/Plantwise application which is supporting the development of messaging service as a component of the e-extension system.

⁵³ Interview with TAT and also with trainees.

In its work to develop field level extension capacity PEP II is building on the JICA project that performed district socio-economic profiles. Following the JICA project twenty-three districts were still to be completed country-wide and its planned that PEP II will complete the remaining districts. These district profiles will form the base for updating crop, fisheries and livestock data for the extension service. PEP II is also collaborating with FAO on the review of current public-private-partnerships in research and extension.

Under Result 3, the TA Team has been building on on-gong initiatives, and collaborating with partners such as USAID and FAO to deliver planned activities on mainstreaming nutrition into pre-service training of agricultural extension officers through Agricultural Training Institutions (ATIs), and the development of messages, visuals and channels for raising awareness at community level on the Food Based Guidelines. The PEP II TA Team worked very closely with USAID and FAO drawing upon each other's strengths and achievements. For example, together with USAID, PEP II developed the course and module for ATIs. The USAID project hired two consultants who worked with PEP II TAT and focal points through a mechanism of a Task Team set up to develop the course and the Basic Human Nutrition Module. PEP II then supported the validation and training of lectures to deliver the course.

3.2.2 *Financial and Operational Manual*

The PEP II Financial and Operational Manual has divided opinion with different perspectives found regarding its use. The manual has helped ensure that activity reports are submitted on time⁵⁴ and some observers suggest it has improved management. However, the manual has also led to a loss of goodwill between TA team members and Ministry staff. The manual has also led to increased administration.

The procedures contained in the manual are aimed at improving the technical, operational and financial management of the PEP II PE implementation, and ensuring that the overall operational management of the programme is well-coordinated and managed. The manual was prepared by the TAT with the recommendation that it be reviewed and approved/validated by the Programme, the NAO and the EUD.⁵⁵ At the time of MTE fieldwork the PEP II Financial Accountant reported that an addendum was being prepared to enhance the manual.

Feedback received by the evaluators confirms that the new Financial Operational Procedures Manual is being used, especially the 75% and 25% rule for daily subsistence allowance (DSA) paid through the PEP II PE (Box 1). TA MTE respondents report that roles and responsibilities have become clearer and checks and balances tightened to reduce the risk of financial losses on the project through irregular expenditures, and slow/non-recovery of unspent advances.

According to the Manual, before the start of a field mission, the focal point - with assistance of the counterpart TA - will analyse how many staff will take part in the mission and in which capacity with the view to ensuring that only those most relevant and needed participate. This provision is being applied, to ensure that participation is substantiated by the roles and inputs to be provided by the experts.

Box 1: Example of Provisions of the Financial Operational and Procedures Manual being Applied

The Declaration on Honour states that the Official that is traveling confirms and signs for:

- Reconciling within 7 days after the end of the field mission;
- Providing original documentation as proof for expenditure;
- Informing the PA/APA on changes on the estimated costs linked to the advance; and
- Reimbursing outstanding balances within 7 working days after reconciliation.

⁵⁴ Review of the Financial Operations Manual

⁵⁵ PEP II Revised Financial Operational Procedures Manual 19 Dec 2018 (page 10)

On receiving the request, the project accountants will initiate the requisition form with the PE activity budget, the PE activity balance, the total estimated costs, the budget line code in the accounts and sign off. The IA will countersign for approval.

A PV will be raised as described in 6.3.6 for **an advance of 75% of the DSA** plus the full transport costs and payment will be made through cheque or bank transfer. To ensure timely payment, the request should be initiated 2 weeks before the mission.

Within 7 days of the end of the mission, the official will submit to the focal point the mission report (Annex 15 provides the format) and the original receipts for transport (fuel receipts & logbook of vehicle with which the mission was conducted). After a technical check of the mission report and when considered up-to-standard, the focal point will submit all original documentation to the FSH for reconciliation. Annex 16 and 17 provide the formats for DSA and transport reconciliation. The **FSH will thereafter make the payment for the outstanding amount** or, if the advance was more than the expenditure, request reimbursement. An official that does not provide all original and necessary documentation or does not settle outstanding balances, **will not be allowed to undertake another mission or attend a workshop/training financed under the PE. The possibility to retract outstanding balances through Government's pay-roll should be investigated.**

Source: PEP II, Financial and Operational and Procedures Manual, Section 7.7 Field Missions.

The Manual requires that any official (mainly from the MOA/MFL) involved in the implementation of PE activities that has to travel outside his/her duty station should complete a Mission Request Form (Annex 13) and a Declaration on Honour (Annex 14). Whilst in the past, those travelling outside their duty stations for PEP II activities were given their per-diems in full on departure, and then requested to account for the funds upon return from the field trip, the new Manual has now changed that policy to one where an initial payment of 75% of the traveller's DSA entitlement is made on departure and the balance is paid upon acquittal with the relevant supporting documents. This system is reported, by TA respondents, to have improved the timeliness of accounting for advances, and completeness of the records as officers on mission quickly account for their funds upon return from the field in order to ensure they are paid the DSA balances.

The punitive measures introduced for an official that does not provide all original and necessary documentation or does not settle outstanding balances, as well as the possibility of recovering the outstanding balances through the Government payroll system are also confirmed by TA counterparts to be discouraging travellers from malpractices, thereby reducing fiduciary risk.

Major implementation issues with the manual reported by the PIU Financial Accountant are (i) the 75%/25% ratio and (ii) recipients requiring a bank account. The use of the payment ratio contravenes the terms and conditions of GRZ civil service employment contracts. It also requires civil servants to partially fund their expenses in advance, something reported as notably challenging for junior staff. The need for recipients to have a bank account is reported to have increased administration requirements as clear account information is required. Mistakes in entering this data have led to payment delays, reducing trust and challenging working relationships with intended recipients.

The PEP II Project Accountant reports that following the manual's procedures as reducing efficiency due to high costs. Banks are reported to charge up to ZMW 50 per transaction. Some transactions are reported as being for ZMW 50. An event involving 80 people can incur bank charges of approximately USD 400.

Procurement procedures require all purchases below EUR 2,500 to be subject to at least three (3) quotations. This is intended to ensure better value for money by making the procurement more competitive. However, only one supplier maybe available and some of the supplier organisations employees are semi-literate. This can lead to the three quote requirement not being realised.

Tender processes are also reported as challenging by those using the procedures. Other commitments challenge the involvement of the Imprest Administrator. This person is required to check all procurements above Euro 500 and he does not always have time to do this given Ministerial responsibilities.

The formulation of Farmer Registration requests⁵⁶ is also reported as challenging. A requirement is for the District to initiate the activity through completing the farm registration request form which should include for each Camp Officer the DSA, transport costs and data bundles as well as the target of numbers of farmers to be contacted. This requirement is reported as difficult for districts to formulate especially when they are doing it for the first time. Transport costs and fuel for motor bikes are reported as a particular challenge. The manual requires proof of expenditure that is difficult to provide in remote rural areas. GRZ usually use a formula based on required distance travelled. In the case of motor bikes, however, Government regulations do not provide for a formula for distance. The requirement for original receipts causes concern in Government as otherwise expenses are viewed as ineligible. Farmer registration covers all of Zambia and procedure users suggest a more locally appropriate system is required to allow smoother implementation.

3.2.3 Addendums

PEP II has the following addendums:

- Addendum 1 involved the prioritisation and streamlining of activities. The addendum reallocated funds and changed the activities of the PE. This included the allocation of funds to ZIAMIS and the removal of support to a Fisheries and Aquaculture Policy⁵⁷. Addendum 1 brought in a logframe and defined the DSAs, etc. for GRZ staff. It reduced the total DSA amount of the PE as per a request from the EUD⁵⁸
- Addendum 2 - Change of one of the signatories
- Addendum 3 - Increased the budget for operational costs and showcased GRZ contribution to the PE (vehicle, paying running expenses, furniture and PM salary).
- Addendum 4 – Addressed the change of Imprest Accounting Officer.
- Addendum 5 - prioritisation and budget re-allocations compared to addendum III including the merger of activities. Budget lines in common areas are to be streamlined by the PIU.

The process of agreeing Addendums has led to disagreement, implementation delays and reduced efficiency of PEP II converting inputs into outputs. Different perceptions exist between key stakeholders regarding the need for, and type of PE adjustments required and defined in Addendums.⁵⁹ Perceptions regarding Addendum 5 provide an example of this. The view of the TA Team is that activities in the PE needed to be prioritized and streamlined for more efficient delivery, and the budgets needed to be aligned accordingly. They warn that 'not signing the Addendum has serious consequences concerning implementation as there is no prioritisation. As such key activities will not have the necessary budgetary allocations and the implementation timeframe is not realistic'.⁶⁰ The NAO perspective is that activities do not require the level of streamlining proposed by the TA. NAO representatives felt the TA should prioritise implementation. Senior Ministry Managers perceive the TA as 'attempting to prolong the process' and causing further delay.

At the time of MTE field work a lack of clarity existed where perceptions differed regarding the status of Addendum 5. During the November TWG meeting it was reported that a version of Addendum 5 had been approved by the NAO. However, the TA had not been involved in the finalization of this document and questioned its content and feasibility. Following this meeting the TA Team Leader emphasized that the addendum had not been fully approved as only the Imprest Administrator had signed the document.

⁵⁶ PEP II Financial Operational Procedures Manual (Section 7.9)

⁵⁷ PEP II Six-Month Report November 2016 to April 2017 Page17

⁵⁸ Some stakeholders report this PE was prepared without the TAT (was not yet contracted). Others report that the EUD invited the previous TA Team Leader and KE2 to comment on the original PE and its enhancement. This is reported, by some key informants, to have led to conflict and significant loss of goodwill between the TA and Ministry staff.

⁵⁹ Ministry representatives commenting on the draft MTE report point out that addendums should be prepared by the Ministry to highlight pertinent changes which the Ministries see as relevant. The problem has been that addendums have been TA driven, which should not be the case. These representatives suggest the TA should play a neutral role allowing the Ministries to prepare addendums to reduce conflicts.

⁶⁰ TA to PEP II, Six-Month Interim Progress Report 1st May 2019 – 31st October 2019 page 1

3.2.4 Major Factors Influencing Efficiency

Project Implementation Unit Team Work

Levels of team work within the Project Implementation Unit (PIU) are influencing the efficiency of PEP II. MTE respondents commonly report different understandings of the project purpose and its approaches within the implementation team.⁶¹ Some members of the Technical Assistance team have different perspectives regarding the best way forward (i.e. Addendum 5⁶²) compared to the Program Manager (and partner Ministries and the NAO). Different perspectives also exist regarding the Financial and Operations manual. Interviewees regularly point to low levels of trust and mutual respect between PIU members when aiming to find a mutually agreeable way forward. Government respondents report issues to do with TA leadership and attitudes that have limited team work as well as stakeholder engagement and participation in PEP II activities.

Role and responsibilities of the TA

Different perspectives exist regarding the role and responsibilities of the TA. The TA manager understood the TA role given in their TOR as being to guide and facilitate the PE and accompany Ministry staff in its implementation. This key informant strongly felt the TA did not have an advisory role. This perspective is not shared by the TA team who see themselves as advisors. The difference between providing advice and offering guidance is questionable and reflects the poor interpersonal relationships that exist between the individuals involved.

The TA role in developing the financial and operations manual, monitoring expenditures and allowances, suggested as 'policing' the PE by some interviewees, and has also contributed to poor working relationships that currently exist both within the PIU and between the TA and staff members within GRZ partner institutions. The Financial and Operations Manual gives the TA a role to 'sign off on requests to finance activities as per PE that are lodged by the focal points' and 'ensure compliance with the rules and procedures as specified in the PRAG and within this manual'⁶³ The role adopted by the TA has led to conflict and reduced efficiency.

Delays in Receiving Authorisations

Meeting EDF (i.e. from Imprest Admin and Accounts) and Ministerial approval requirements has also led to implementation delays. It has been time consulting for the PIU to gain approvals for activities in an environment where key signatories (i.e. Permanent Secretaries) have limited available time. Procurement has been a significant challenge for PEP II in a context of GRZ and EDF administrative requirements. Staff turnover in key positions has also led to more time being needed to agree implementation. Ministry staff that fulfil Imprest Administrator and Accounting Office roles report not given training in the roles they are required to fulfil for PEP II. This led to more time being required for them to understand their position and delay. PEP II planned activities to support M&E are waiting agreement of Strategic Plans. This wait is leading to delay and inefficiency in program delivery.

Ministerial Split and Negotiating Complex Institutional Arrangements

The division of the Ministry of Agriculture and Livestock into two separate ministries during the Inception phase of PEP II led to delays in implementation and reduced efficiency. The PEP II Inception Phase was initially set for three months. During this time the creation of the MOA and MFL created replica departments and units, with different functions that competed for fiscal space and control over the project. The Inception Phase was extended to 8 months which implied that a considerable amount of TA time and cost was devoted to this phase before implementation of work-plan activities. The ministerial realignment has increased implementation complexity in maintaining a balance in service delivery to both Ministries and increased the time required to engage members from both Ministries.

⁶¹ This is suggested as lead to a lack of clarity and provincial and district levels. In Luapula, although staff were able to share activities they had done with PEP II, they reported there was no coherent road map on where PEP II is coming from, how it was working and where it was going.

⁶² This Addendum calls for the adjustment of activities. MTE fieldwork shows difference perspectives exist regarding the most appropriate adjustments. The Addendum has not been agreed for eighteen months.

⁶³ Financial Procedures Manual Final December 2018 Section 3.4.7

The NAO has also been significantly involved in the project leading to increased levels of institutional complexity. NAO representatives see their increased involvement as justified due to the challenges faced during PEP II implementation requiring additional support. Other stakeholders view this increased involvement as lengthening discussions to agree ways forward with the additional time required to resolve differences of opinion leading to reductions in efficiency.

Suspension

The suspension of the PE had a predictable crippling effect on planned activities and adverse knock-on effects on the achievement of outputs set out in both the revised PE and the TA Service Contract. The likelihood of efficiency gains set into motion through an enhanced PE, well aligned with the budget, as well as work-plans and implementation methods that were supposedly more realistic in matching the changed operating context, were not upheld and ineligible expenditures subsequently led to suspension of implementation of activities covered by the PE budget.

Although some activities continued under a derogation, the project could not be implemented in an integrated, well-sequenced and harmonized manner, as per the revised work-plan produced during the inception period⁶⁴. The consequence was loss of value-for-money on activities that were not at risk of fiduciary loss. The suspension, though justified by the magnitude of ineligible expenditures (approximately Euro 160,000), relating to field level activities of data collection for the farmer register, also strained relations between the major implementing arms of the project. The suspension of some of the activities reduced economies of scale in utilisation of the TA Team resources to support the implementation of the PE activities. Hence the amount spent on TA, per unit of corresponding PE expenditure was higher than planned during the period of the suspension. This adversely affected execution of activities, and delayed the achievement of the planned outputs, under all three result areas of PEP II.

3.3 Effectiveness

Hypothesis: The PEP II programme is effectively producing results that are contributing to its outcomes and objectives.

PEP II is not yet producing results that are contributing to its outcomes or objectives. Given challenges in converting inputs into outputs and the failure of assumptions relating to funding the Action has not contributed to enhanced delivery of services to farmers.

Review of PE logical framework indicators (Table 4) shows progress at an activity level as opposed to achieving outcomes. For example, the e-portal is being developed to disseminate technologies and curricula are being updated and, in the case of nutrition, used in Agricultural Training Institutes. However, it is either too early for students to use their learning with farmers as they have not yet graduated or trained staff can't apply learning and Operational Guidelines due to funding challenges.

TA logical framework outcome indicators focus on productivity (yields for maize and soya), fish production, livestock units, crop and dietary diversity. At the time of the MTE the project had not achieved sufficient outputs to justify attribution or contribution to change in these indicators. It is hoped that the project will contribute to changes in these indicators. However, the time required for change and many other contributing factors (weather, disease, other projects) question if these indicators will inform the assessment of effectiveness and impact.

⁶⁴ Interviews with the TAT.

Table 4: Specific Objective Level Logical Framework Findings

Specific Objective / Purpose / Outcome Definition	Indicator (Indicators 1 to 3 relate to the PE and remaining indicators are for the TA)	Baseline	Target	Situation Nov 2019
To improve the capacity of the Ministry of Agriculture and Ministry of Fisheries and Livestock to deliver quality services to smallholder farmers towards increased productivity and enhanced diversity of Zambia's agricultural sector.	1) Number of technologies disseminated in fisheries, livestock, crops and soils.	0; 2 and 5 annually	2; 2 and 5 annually by project end	None - E-Extension portal development ongoing.
	2.1) In Service Curricula updated with best practices in gender sensitive extension services contents.			Modules for a new in-service curriculum have been developed
	2.2) Number of Curricula in Agricultural Training Institutes updated in line with developments in the ag sector.			Nutrition curricular have been updated and adapted in 9 Agric colleges
	3) % of extension workers using Operational Guidelines for Food and Nutrition.		80% by project end	Less than 2% due to minimal funds ⁶⁵
	Yields (tonnes per hectare) for - maize	1.9 in 2016	4 in 2021	2.5 (IAPRI 2018), 1.29 (2018/2019 Post harvest report) ⁶⁶
	Yields (tonnes per hectare) for - soya beans	1.48 in 2016	2 in 2021	1.45 Soya beans (IAPRI 2018) 1.18 (2018/2019)
	Fish production (aquaculture and capture) ⁶⁷	105,000t in 2013	125,000t in 2021	119,000 (IAPRI 2018)
	Number of Tropical Livestock Units (TLU)	5,000,000	6,000,000	3,430,554 in Jan 2018 (LAC) ⁶⁸
	Crop diversification ⁶⁹	1.04 in 2016	0.83 in 2021	0.35570
	Minimum dietary diversity for children 6-23 months (used for Baseline). Minimum acceptable diet for 6 to 23-month olds (used to report progress)	22% in 2014	30% by Dec 2020	12% in 2018 ⁷¹

⁶⁵ Estimate based on MTE fieldwork. Some creative fieldworkers are performing visits using other projects or vehicles.

⁶⁶ Quoted by e-mail by the PIU Programme Manager

⁶⁷ The TA Team Leader reports that the team are less involved in aquaculture as there is a large AfDB project, a GIZ project and in future an EDF supported project and that they were requested to focus more on crops and livestock. If this is the case, then this indicator should be removed.

⁶⁸ This figure is calculated using administrative data from front line Ministry staff. Data is not scientifically collected data and results are illustrative as opposed to rigorous. The Livestock and Aquaculture Census should be used provide more accurate data. Baseline and target data were based on administrative data, not on actual time-based data.

⁶⁹ This indicator is unclear. Three diversification indices are reported: Gibbs Martin, reported as recently calculated by PEP II where the higher the index the higher the diversification; Bhata, higher the index the lower the diversification index and Singhs - higher index score means lower diversification. I was unclear at the time of the MTE which indices were used for the baseline and target figures used in the logical framework.

⁷⁰ Source: MoA Crop Forecast Survey 2019

⁷¹ This indicator depends on a DHS Indicator. In 2018 the DHS changed the definition of the indicator to Minimum acceptable diet for 6 to 23-month olds. This was the standard indicator used by DHS 2018. The baseline figure is for a different indicator Minimum dietary diversity for children 6-23 months (MDD-C).

Result Area 1

PEP II has facilitated additions to the farmer register that now includes details for 900,000 producers. This register is reported as being used to improve targeting of FISP beneficiaries. Some observers hope that FISP will offer the farmer the opportunity to buy the inputs what he/she wants and contribute to crop diversification. MTE fieldwork observation at agro dealers in Southern Province suggested FISP allowances were primarily being used to buy maize seed. Consultations from Mansa and Kawambwa districts in Luapula show that the farmer registration process triggered positive effects at the extension/farmer interface. Extension contact with farmers was reported to have increased. MTE Luapula fieldwork suggested there were indications that farmer profiling through the register is enabling Camp officers to better target farmers and this has future potential to increase productivity. This claim is again challenged by levels of fieldworker funding.

Result Area 2

It is hoped that effectiveness can be improved in this area with the delivery of anticipated results (i.e. e-extension, building extension worker capacity, improving linkage to research). The Chief Extension Methodologist under the MOA commented “for us the project has not really started except for the e-extension work, we have a lot of expectations for this project.”

Result Area 3

The PEP II College approach to nutrition is expected to contribute to positive outcome when students graduate and take up professional roles that allow interaction with farmers. At the time of MTE fieldwork there were promising signs as students reported taking messages home to change practices in their families. Students felt they were most likely to target employment with NGOs or the private sector when they graduate.

Nutrition has been mainstreamed into annual workplans with a budget line (i.e. Southern Province) with PEP II support. Resources have yet to be dispersed by GRZ to support implementation of nutrition activities in the workplans. This has frustrated Gov. field officers. It is also disappointing that there is no mention of nutrition in 2020 National Budget.

3.3.1 Major Factors Influencing Effectiveness

Delivery

The main reason PEP II is not effective is because it has not delivered many outputs. The factors influencing delivery of outputs are detailed in Section 3.2.4. Where outputs have been delivered (i.e. increasing capacity in nutrition) MTE field work results show sufficient funding is not available for fieldworkers to interact with farmers and effectively convert outputs into intended outcomes.

3.3.2 Environment and Climate Change

The Action does not significantly address environmental issues. The e-extension system has potential to address climate change. It is intended that the Conservation Farming Unit will contribute material to the virtual library.

No evidence of the drought in Southern Province effecting PEP II has been found as part of the MTE. Alarming levels of acute malnutrition are reported in Zambia, notably Southern and Western Provinces.⁷² In the short term, it is suggested that an emergency food relief is needed. PEP II is not an appropriate vehicle for this type of response. PEP II support to early warning, statistics and M&E are ways of monitoring and informing future actions. PEP II should also lobby its Ministry partners to increasingly monitor, plan and act to mitigate the future effects of climate change.

3.3.3 Dietary Diversity

PEP II outputs are yet to significantly contribute to increasing dietary diversity particularly for women and children in poor rural households.

⁷² See the IFRC Information bulletin Zambia: Food Insecurity Sept 2019

Effectiveness of this expected result can be improved by providing sufficient funding for fieldworkers to visit poor rural households to convey information in ways that positively change attitudes and behaviours.⁷³

3.4 Impact

Hypothesis: The PEP II programme is or is expected to contribute to its overall objective

PEP II is not expected to contribute to its overall objective and needs to adapt. Recommendations for adjustments are made in Section 4.3.

3.4.1 Overall Impact

The midterm evaluation has found few early signs of positive medium and long-term effects of the programme contribution to its Overall Objective.

There are no signs of changes triggered by the intervention yet at the farmer level although some Ministry staff at the provincial level are beginning to raise questions about which farmers to target with extension messages⁷⁴ to achieve desired increases in productivity and crop diversification as result of the profiles provided by the farmer register.

There are also signs of Provincial and District level officials using the farmer register to manage FISP. This may help increase FISP efficiency and effectiveness in a way that contributes to better food security.

PEP II support to college nutrition curriculum has potential to improve diet and dietary diversity when students graduate and enter the workplace. A significant number of students reported the intention of working for NGOs. These organisations are less likely to rely on Government funding to reach small holder farmers.

3.4.2 Unintended Impacts

Frustration is a significant and unintended outcome resulting from PEP II. Some fieldworkers interviewed during MTE fieldwork that had received PEP II training were extremely frustrated that they could not reach rural households to provide support. These people saw an urgent need to provide support. They were using some of their own resources and begging lifts with other organisations. It is probable that the best of these people will leave public service and join other organisations that do have resources to perform their role.

High levels of frustration also exist within PEP II implementers, within the PIU including the TA, and in their managers. All parties want PEP II to be implemented and are increasingly frustrated by the lack of progress.

Key stakeholder comments received during the MTE report initially unintended activities such as support to Smart Zambia Institute under a contingency arrangement. The support has helped is activities such as developing the farmer register.

⁷³ Key informants commenting on the MTE report note that the Ministries identified the need to provide funding in the PE to contribute to increasing dietary diversity particularly for women and children in poor rural households under PEP II Activity Area 3.2 Mainstream nutrition into agricultural, livestock and fisheries services at district level. This was aimed at addressing the challenge highlighted in the MTE. However, this activity was removed following advice by the EUD that financing for this activity will be provided under the SUN Fund. The key informants report that if Government funding is a challenge, assistance can be provided under PEP II through contingency funds or otherwise as the need was already identified.

⁷⁴ Some staff feel that some farmers are 'safety-net cases' and are less likely to increase their productivity despite the extension effort. One senior key informant also indicated that the top producing smallholder farmers do not wait for, or use FISP and generally get their support/advisory services from their input suppliers.

3.4.3 Potential Human Rights, Gender and Environmental Impact

No evidence has been found as part of the MTE to suggest that PEP II has had an expected or unexpected impact on human rights, gender mainstreaming/gender equality or the environment.

The Action has no specific focus on human rights; however, its capacity development approach is designed to promote equitable access to services by both farmers and frontline staff that work directly with farmers.

The Action's main focus is on SDG's 1 and 2 that deal with poverty reduction and food and nutrition security. PEP II has components that contribute to mainstreaming of climate change and environmental issues.⁷⁵

- Farmer registration process includes a specific conservation agriculture section
- The extension e-portal will include conservation agriculture and environmental data to help farmers to better deal with changing weather patterns.

PEP II promotes equitable participation of men and women and includes monitors women's participation in project components. Gender guidelines have been reviewed and were being disseminated in the two target ministries at the time of MTE fieldwork. Gender disaggregated data is collected on all project initiatives. For example, the PEP II baseline survey and the farmer register has gender disaggregated data. In addition, it is planned to produce a gender related report from livestock census data to show the land and livestock ownership patterns by gender. The nutrition component has a specific focus on gender and nutrition that supports and prioritizes maternal and child nutrition as part of combating the high levels of stunting.

3.5 Sustainability

Hypothesis: The results from the PEP II programme will continue to benefit target beneficiaries after support has finished.

If PEP II does not adapt to improve performance then it is not expected that its results will continue after support has ended. Exceptions are (i) support linked to FISP (i.e. the farmer register) and (ii) PEP IIs work to bring nutrition into Agricultural College curriculum. A full analysis of which PEP II results are anticipated to continue to be used is presented in Annex 9: Other technical annexes.

It is expected that the government will prioritize the farmer register given its link to FISP. The value GRZ places on FISP gives hope that central government funds will be available to fund updates of the register. Government is reported to have invested USD \$400,000 in ZIAMIS in mid/late 2019 to support FISP, which is a positive indicator for farmer register sustainability. Smart Zambia is also hosting and providing technical support for the development of the e-extension system. The MoA reports budgeting for e-extension over the past three years, suggesting interest in this area.

The critical challenge to sustainability is again funding. GRZ was experiencing severe resource constraints at the time of the MTE. At this time, it was unclear how (i) capacity will be maintained by Ministries (i.e. updating E Extension software, replacing hardware – i.e. PEP I distributed tablets that lasted less than three years) or how costs involved for extension workers to visit farmers will be funded. PEP IIs work to bring nutrition into Agriculture College curriculum is well institutionalized. This result is expected to be sustainable as colleges are expected to continue using the curriculum in future.

Ownership of PEP II results is clouded as the TA do not have clear counterparts necessary to help institutionalise results within Ministries. MTE Luapula fieldwork also questioned sustainability as ownership of PEP II was reported as an issue. Many staff in the province reported being unclear of programme approach and what it is doing.

⁷⁵ It was noted that there were a number of climate change initiatives (Dominic- Green Funds) in the MoA and MFL but there was limited interaction between the initiatives.

3.6 Coherence

Hypothesis: The PEP II programme is coherent with other ongoing support initiatives performed by other actors.

The PEP II programme is coherent with other support and has complemented the Government of the Republic of Zambia (GRZ) actions, private sector, and other donors' interventions.

PEP II activities complement a former Conservation Agriculture Scaling Up (CASU) Project⁷⁶ implemented between June 2013 and December 2017 by the FAO and funded by the EU.⁷⁷ The CASU project developed an administration and monitoring system that formed the basis for the Farmer Input Support Programme (FISP) e-voucher system. PEP II has further contributed to farmer registration that formed part of the administration and monitoring system. PEP II also collaborated with FAO in the rolling out of the e-Voucher System, Public Private Partnership (PPP) in agriculture value chains and gender mainstreaming.

PEP II support to the e-Extension Portal has potential to complement GRZ actions, private sector, and other donors' interventions. The e-Extension Portal will support GRZ farmer extension and provide a 'one stop' information service via the internet. This is intended to include information from organisations such as JICA, FAO, IFAD, Seed Co and Zamseed. The system also intends to collaborate with the private sector and donor programmes as part of its messaging system.

USAID and UNICEF support the Scaling Up Nutrition (SUN)⁷⁸ intervention in Zambia. SUN has not been implemented in Zambia during the lifetime of PEP II. However, PEP II is using SUN materials in college modules (using i.e. key messages) that have acted as a 'quick win'. PEP II in-service training of GRZ staff also used SUN materials that were updated and adapted at a district level.

3.7 EU added value

Hypothesis: The PEP II programme adds value to the results of other Member States interventions.

PEP II has not yet added value to the results of member state interventions. There is potential to do this in future. PEP II is engaging participants from Member States organisations in its activities. This engagement is yet to result in additional benefits.

Public Private Partnership (PPP) platforms include participants from Member state organisations. SIDA supported Musika provides the chairman for the national platform. Also, GIZ representatives attend provincial level PEP II supported change management events.

PEP II support to the e-Extension Portal has potential to bring additional benefits to Member State interventions. In particular the e-Extension Portal should provide a 'one stop' platform for accessing information and agriculture-based applications via the internet. The knowledge base information provision component, used to disseminate information to Front Line Staff and Farmers, is and may be further used by a number of Member State organisations such as GIZ,⁷⁹ CABI⁸⁰ and others to disseminate their extension bulletins.

Information collected in the PEP II supported farmer register may be used by other member state projects involved in agriculture and rural development for the generation of statistics, selecting and targeting farmers by farm typology for the tailoring of interventions, sampling for surveys and monitoring and evaluation. PEP II representatives report potential of the conservation farming

⁷⁶ <http://www.fao.org/evaluation/evaluation-digest/evaluations-detail/en/c/1147949/>

⁷⁷ <http://www.fao.org/africa/news/detail-news/en/c/1142863/>

⁷⁸ <https://scalingupnutrition.org/sun-countries/sun-donor-conveners/>

⁷⁹ <https://www.giz.de/en/html/index.html>

⁸⁰ <https://www.cabi.org>

section of the register to contribute to the objectives of the DFID funded Conservation Farming Unit (CFU).⁸¹

PEP II should have generated benefits that added to DFID / GIZ application development and training support in M&E to the Government wide MIS system in Zambia.⁸² It was intended that PEP II would roll out support at sub national levels provincial and district levels for agriculture complementing Member State assistance at a national level. GIZ and DFID withdrew their support in early 2019. This has contributed to delays in PEP II M&E activities with more effort necessary to fill gaps left at a national level. It is intended that components of the Government wide MIS project will be used to develop and roll out the separate M&E/MIS system currently under design by PEP II.

3.8 ROM Mission Findings

Hypothesis: Findings from the ROM mission have been incorporated into the PEP II programme.

Findings from the ROM mission have been incorporated into the programme to a moderate extent and PEP II has attempted to address most of the issues (Table 5). Concluding addendums remains challenging (see Section 3.2.3). In line with MTE findings, the following ROM recommendations remain pertinent:

R8: The importance of marketing and agricultural value chain

R9: Giving more prominence to the environment and climate change

R10: The need for an exit strategy

Table 5: Actions taken to Address ROM Mission Findings

N°	ROM Recommendation	Action Taken
R1	If not already done the addendum to the PE has to be concluded and signed as a matter of urgency. Otherwise more valuable time will be lost.	Differences of opinion regarding Addendum 5 remain. Status of Addendum 5 at the time of the MTE was unclear. Some report it has been agreed by the NAO and is to be transmitted to the EUD.
R2	The Imprest Administrator should take firm control of the project with the assistance of full-time designated ministry staff. It is suggested that the current de facto project manager with suitably prepared ToR be considered for this role alongside a junior assistant. The TAT now that it is located in the ministry headquarters and fully staffed should ensure full support and include an increased assistance as well as advisory role. Bringing the project accountants and the rest of the TAT together will be a major boost to efficiency. ToR for the accountants should be reviewed to ensure clear lines of responsibility. It is suggested they be responsible to the TA team leader and the Imprest Accountant. The EUD and the NAOs office should then return to their contractual roles and the IA convene regular briefing meetings at which together they can question and comment on progress.	The Imprest Administrator (Mr Kalumbi, John) is in place and reports to the PS. The PS is in overall control in line with Ministry protocol. Full time designated ministry staff members have been allocated in the form of the PM. No junior assistant has been hired. TAT is located in the NAO building. The project accountants and TAT have been brought together. The accountants have ToRs. The accountants are responsible to the PE PM who was hired after the ROM. The TWG has been formed and meets monthly. The NAO and EUD remain fully involved to check implementation and finance given the history of the project.
R3	The PSC should be speedily convened to receive a report on project progress and future inputs and provide appropriate comment. The agenda should	Two PSC have been held by Nov 2019. Addendum 5 has changed the role of the Change Management

⁸¹ <https://conservationagriculture.org>

⁸² <https://www.szi.gov.zm/ziamis/>

N°	ROM Recommendation	Action Taken
	<p>consider the role of the CMTs particularly vis-à-vis the role of the TAT counterparts, the prioritization of activities and a paper presented by the TAT of the lessons learned since start up. All stakeholders should be invited to contribute. The TAT should also prepare alongside prioritization of activities recommendations on technical assistance time inputs for both key and nonkey experts. A mid-term review should be programmed following the PSC deliberations</p>	<p>Team (CMT). Project suspension impacted on the PSC following the ROM. By Nov 2019, change management can be an agenda item on one of the weekly Senior Management Team meeting in both Ministries. These meetings include all the members of the CMT (Directors and PS). The TAT and PM are supposed to request time in these meetings where change management is an agenda item. The TAT made recommendations on activities for KEs and NKEs as part of preparation for Addendum 5 and during the reformulation of budgets and activities as part of project inception processes. A mid-term review has been implemented.</p>
R4	<p>Consideration should be given to include in the work programme, short lectures, short workshops and discussion groups on the meaning and implications of change management for senior ministry staff. In parallel, information on the role of the project in general and change management should be communicated to the relevant Ministry staff through literature and word of mouth. Information can be communicated to the rural community by radio for example. Whilst engaging with senior ministry staff political leaders could be included.</p>	<p>Change Management is now an Agenda Item in the Senior Management Meeting chaired by the Permanent Secretary of the respective Ministry. Information on the role of the project relies on word of mouth and PowerPoint presentations. A documentary (video) that will also have an audio version is planned for 2019. Engagement with senior ministry staff and political leaders occurs at Agricultural and Commercial Show and the Agri Expo.</p>
R5	<p>With less than half the funds advanced for farmer registration retired (accounted for), replenishment of the project account will be jeopardised at the time of the audit. This should be given maximum attention.</p>	<p>This was given maximum attention and accounts were replenished.</p>
R6	<p>Logistical and reporting issues require review. Purchase and use of cars is always a sensitive issue. In this instance the absence of budgets for purchase and replacement of transport from the PE estimates does not properly consider the age and conditions of the existing vehicles, coupled to the state of the Zambian roads. If the Project is to project itself to the provincial and district and farmer population it has to be seen in the field. Neither can the staff network or carry out their duties if existing vehicles are in the field and no office car is available. Six monthly reports are to be required from both the TA and the MoA/MFL. If regulations insist so be it. Nevertheless, this is a duplicative and time-consuming exercise that serves little practical</p>	<p>NAO have provided an old vehicle. In addition, Addendum No. 5 to the PE has reallocated some financial resources to purchase two motor vehicles. PEP II provides a TA 6 monthly report. In addition, the PE PM also provides a separate 6 monthly report that is submitted to the NAO and EUD, the two PSs. This is similar to the TA biannual reports.</p>

N°	ROM Recommendation	Action Taken
	purpose and the imprest administrator would best sign off on a combined progress report.	
R7	Whilst there are other players in the farmer registration programme PEP II should take the lead in organising a workshop to review the lessons learnt from the past year and the way forward. There are many issues to consider. As it is understood that the EU will in future engage more in the e-voucher programme both could be linked together.	A workshop was conducted in mid-2019 to take forward the farmer register.
R8	Marketing plays an important part in the agricultural value chain but is not included as an item either through workshops or extension staff sensitisation. It is recommended that this subject be included in the work programme perhaps involving the MoA agri-business department.	Not done. To be considered.
R9	Whilst PEP II has supported publication of the national Agricultural Extension Strategy which includes reference to the environment and climate change it is suggested that it is given more prominence in the extension and training work programmes	Extension guidelines are to be streamlined and disseminated. Issues of climate change and the environment are not prominent in PEP II.
R10	For the outputs of this intervention to have an impact and be sustainable it is the responsibility of the two ministries as the project owners. Training in new techniques or the introduction of improved methodology is a question of both acceptance and financial support. The projected economic situation does not allow for a great increase in financial support. It is therefore essential that plans are in place to absorb the project gains in 2021. MoA/MFL should therefore start preparing an exit strategy well before the PEP end date. This should not be left until the final report.	Exit strategy formulation to be initiated.

4 CONCLUSIONS AND RECOMMENDATIONS

4.1 Lessons Learnt

Team work

If there is mutual respect, trust, good communication, shared understanding of goals between key stakeholders then there will be good will, engagement and buy in by all. If the TA role as a neutral advisor or facilitator is compromised or unclear then trust and good will can be eroded and key partners withdraw support to implementation. PEP II experience shows different perceptions of the TA role existed and contributed to a loss of respect and goodwill. For efficient implementation the understanding of the TA role needs to be consistent across all development partners (EUD, NAO, MOA and MFL) and not compromise their position as trusted advisors, guides and facilitators to PEP II.

Incentives

If incentives exist for intended performance then implementation efficiency and effectiveness are more assured. If the EUD introduces Results Based Financing then it will help achievement of higher-

level objectives (i.e. approval of policies and strategies). If program design can look for practical and positive ways to incentivise performance then success is more likely.

Project Suspension

If PE activities are suspended while TA Service Contract to support implementation of the PE continues to run, the cost of TA support per unit of funds spent on PE activities increases drastically, thus reducing cost-effectiveness of the overall intervention.

If an EU funded project is suspended but derogation is invoked to enable part of the activities to continue, it mitigates but does not eliminate loss of goodwill among the project stakeholders. In addition, prioritisation of activities to continue under a derogation may not necessarily result in the most logical, coherent and efficient sequencing of activities as per the original design of the project.

If an EU-funded project is suspended due to reasons within the control of the project stakeholders, and corrective measures imposed as a pre-condition for the lifting of the suspension are implemented and the suspension is lifted, there is a natural expectation from within the project counterparts for a qualified no-cost extension, since the problems leading to the suspension will have been resolved and activities must be completed.

Institutional Structure

A leaner institutional structure for project management increases the efficiency of decision-making and approval of project activities, resulting in faster absorption of funds. The evolution of two Ministries has resulted in slower absorption.

If a government ministry that is hosting an EU project is split into two ministries after the project design process has been completed or when the project is already running, a decision to accommodate the two ministries into the project management structure can result in slower absorption by creating, at least initially, more complex institutional arrangement where lines of authority, responsibility and accountability for performance need to be agreed as the two ministries jostle for power and influence over the project.

If a government ministry splits into two while a project it is hosting is running, retaining management responsibility over the project within the original hosting government department could minimise transactional costs associated with setting up and running a new institutional structure for project oversight. It is possible for the new departments created to still receive resources and support but with a clear line of authority resting in the ministry that is now the new home of the government department that led the development of the project.

District Level Platforms

If there is investment in an innovation platform at a district level to implement a multi stakeholder approach then support can better strengthen adaptive Research & Extension and value chains / markets to increase productivity. District administration is both connected to farmers and influential in the government system. It is therefore a logical point to bring stakeholders together when targeting rural development.

4.2 Conclusions by Evaluation Criteria

Efficiency (Has PEP II Delivered)

PEP II has not efficiently converted inputs into outputs given that two thirds of the implementation period has taken place. Exceptions to this general finding are (i) that the Farmer Register has started to support GRZ management of FISP by removing duplicates and assisting farmer targeting and (ii) the agricultural college approach has started to build capacity in nutrition and shows promising signs of changing behaviour, at least in students. MTE finding from the review of PE and TA logical framework indicators combined with interviewee responses show low levels of result delivery for both PE and TA PEP II components. PE expenditure is significantly below expected levels. Levels of TA expenditure are more consistent with expectations.

Key factors contributing to PEP II efficiency are (i) low levels of Project Implementation Unit team work; (ii) the contradictory role and responsibilities of the TA; (iii) complex institutional arrangements wrapped within high levels of GRZ and EDF bureaucracy leading to delays in authorisations and approvals (i.e. causing procurement to be a significant challenge) and (iv) the temporary suspension of most activities.

Effectiveness

PEP II has not effectively delivered results. Again, MTE findings from fieldwork interviews and the review of logical framework indicators for both the TA and PE components show expected results are not sufficiently being delivered and no meaningful contribution is being made to objectives. The failure of logical framework assumptions relating to funding is a serious issue challenging effectiveness. This can best be seen in PEP II's nutrition work where improved capacities in Ministry staff resulting from training cannot be used to engage small holder farmers and their families as resources do not exist for field visits.

Impact

MTE results show there are few early signs of positive medium and long-term impact from PEP II on its intended objectives. Fieldwork shows provincial and district level officials are using the farmer register to help manage FISP which may help increase efficiency and effectiveness of this important GRZ programme. Provincial level Ministry staff are beginning to raise questions about which farmers to target with extension messages. PEP II support to college nutrition curriculum has potential to improve diet and dietary diversity when students graduate and enter the workplace.

Overall there is frustration and disappointment with PEP II. Ministry staff members are disappointed that PEP II has not met expectations. The programme appears less popular than its predecessor PEP I with signs of Ministerial detachment resulting from the dissatisfaction. Frustration is clear in Ministry front line staff that cannot apply their PEP II supported capacities to engage and support farmers in the face of an on-going food and nutrition crisis. Frustration is also clear in PIU team members who desperately want implementation to accelerate.

Sustainability (Will PEP II Results Continue to Deliver after the End of the Programme)

Sustainability is a key challenge. PEP II results which are well institutionalised or valued by GRZ will continue to deliver results. Nutrition information built into agricultural college curriculum will continue to be taught. The PEP II supported farmer register is valued by GRZ as a tool to help it manage FISP and is likely to be used. PEP II does not have an exit strategy.

The key challenge to sustainability is GRZ funding which is under severe resource constraints. It is currently unclear how capacity will be maintained by Ministries (i.e. updating Farmer Register, E Extension). The tactic of negotiating budget lines for activities was failing at the time of the MTR as GRZ allocations are not disbursed. General low levels of Ministerial ownership at national and provincial levels again threaten sustainability.

Relevance

The PEP II overall objective remains relevant. Climate change is becoming increasingly important and an urgent need to address food and nutrition security (i.e. drought in Southern Province) was present at the time of the MTE. MTE fieldwork also stressed the importance of markets / value chain and adaptive research. The EUD reports it is supporting these areas through other initiatives. Logical framework assumptions related to funding are not being maintained and this is compromising the intervention logic. An exception is PEP II support to Agricultural College curriculum that is institutionalised and funded through the education system.

The quality of planning documents is variable. Planning has focused on activities and given less focus to (i) results and (ii) how the TA component will support the PE. PEP II has detailed activity plans and good quality six monthly reports are produced. Design could more specifically identify which capacities PEP II intends to build at a result level and better clarify how any changes will be

measured. PEP II has two similar log frames for the PE and TA components that are underutilised. The PE logical framework should show the purpose and intervention logic of the PEP II program, as it attempts to do. In turn, the TA logical framework should communicate the purpose and intervention logic of the TA. This logical framework should show how technical advice will support the PE. The Baseline study had unclear linkage to logical framework indicators and was late limiting its usefulness.

Institutional arrangements for the TA have become inappropriate. This compromises ownership and has reduced TA authority. The move out of the Ministries has reduced day to day contact with key Ministry staff. TA staff members do not have clear senior level Ministerial counterparts to build ownership and lack authority as a result. The NAO have become increasingly involved in PEP II implementation with extended negotiations of proposed changes to PE addendums and the suspension. Different perspectives exist on this development, with some PIU members feeling it adds value while others view it as adding to delays. Importantly, differences of opinion between NAO representatives and TA team members regarding how to implement (streamlining activities) the PEP II PE need to be resolved to speed implementation.

Coherence with other Similar Interventions

PEP II is coherent with other projects and programmes. Examples are:

- FAO Conservation Agriculture Scaling Up (CASU) support to FISP farmer register and e-voucher system
- Also collaborated with FAO in the rolling out of Public Private Partnership (PPP) in agriculture value chains and gender mainstreaming
- e-Extension Portal has potential to complement GRZ actions, private sector, and other donors' interventions. Include information from organisations such as JICA, CABI, FAO, IFAD, Seed Co and Zamseed
- USAID and UNICEF, PEP II used SUN materials in college modules

Added Value to Member States Interventions

PEP II has engaged participants from Member States interventions in its activities. There is potential to add value to their initiatives. Examples are:

- SIDA supported Musika engage in PEP II supported PPP platforms
- GIZ representatives attend provincial level PEP II supported change management events
- GIZ and CABI provide information e-Extension Portal
- The DFID supported Conservation Farming Unit contributes to a data section in the Farmer Register

Incorporation of ROM Mission Finding

PEP II has attempted to address and incorporate most of the issues raised in ROM mission findings. The finalisation of addendums remains challenging. The first ROM recommendation recommended agreeing Addendum 1. The MTE finds Addendum 5 as challenging for programme partners to agree. In line with MTE findings, the following ROM recommendations remain pertinent and potential exists for further incorporation:

- Recommendation 8: The importance of marketing and agricultural value chains
- Recommendation 9: Giving more prominence to the environment and climate change
- Recommendation 10: The need for an exit strategy to ensure sustainability

4.3 Recommendations

Recommendation Summary Table

Recommendation	Actions to be taken	Organisation Responsible	Timeframe
Enhance PIU team work through facilitation of team building exercise.	Hire an external independent facilitator	European Union	Immediately
	Perform team building event/s	External facilitator	
Develop Individual PIU Team Member Work Plans	Facilitate individual PIU team member workplans	External facilitator	Immediately
Review Project Logical Frameworks	Review and enhance PE and TA Logical Frameworks	External facilitator	Immediately
Enhance GRZ Management of the TA	Perform regular PIU and TA performance appraisals against the individual team member and Key Expert work plans	PIU team members performance should be appraised by the PIU Programme Manager The Programme Manager performance appraisal should be performed by the Imprest Administrator The TA performance appraisal should be performed by the TA Contract Manager	Within the next three months and repeated quarterly.
Buy some goodwill with GRZ	Review and adapt the TA role in managing, controlling or monitoring PE spending.	European Union	Immediately
	Facilitate the agreement of addendums to the PE	European Union and GRZ	Immediately
	Review and adjust the role of the TA given in the Procedures and Operations Manual	PEP II Programme Manager	Immediately
		European Union	

Recommendation	Actions to be taken	Organisation Responsible	Timeframe
	Commission separate audits and accountancy checks of PEP II		
Use some goodwill	Address present and future funding of PEP II outputs / results through high level advocacy	PEP II Programme Manager working with Permanent Secretaries of both Ministries to engage Ministers, EUD Heads of Mission and the Senior GRZ representatives that take funding decisions.	Within the next six months
	Development a PEP II exit strategy	PEP II Programme Manager	Within the next six months
	Build Ministerial capacity to raise funds	Ecorys Technical Assistance	Within the next six months
Move the TA back into the Ministers	Identify counterparts for each TA team member and make arrangements for individuals to sit in the same or nearby office space.	Permanent Secretaries of each Ministry	Within the next one month
	Hold TA weekly team meetings	TA Team Leader	Within the next one month
	Hold PIU fortnightly planning and review meetings	PIU Programme Manager	Within the next one month
Move to Results Based Financing	Review PEP II deliverables that could be financed on delivery and re-arrange financing agreements accordingly.	European Union with GRZ	Within the next three months

1. Build PIU Team Work

The PIU needs to enhance its levels of team work.

An external independent facilitator should be engaged to perform a team building facilitation exercise. This event should bring together key actors (i.e. PIU, TA, NAO, MOA and MFL) in a manner that allows personal reflection and solves challenges. It should find solutions by reaching consensus without imposing or dictating a particular outcome. Facilitation should bring people together in a neutral way to explore concerns, resolve conflicts, build a common understanding on the way forward and develop a mutually agreed results-based way forward for the remainder of PEP II implementation. It should also build trust, enhance team work and identify and initiate appropriate and effective ways of holding partners accountable for future PEP II performance. Facilitating individual PIU and TA team member workplans should be part of this exercise.

2. PIU Team Member Individual Plans for the Remainder of PEP II

Each PIU team member should have a clear action plan with agreed time bound deliverables / results and clearly measurable milestones. Team member workplans should be synchronised to ensure a coordinated approach to achieving results. These individual work plans should be facilitated by the independent facilitator.

The following suggestions are provided as examples for TA roles:

- KE1 – tasked with finalising the livestock sector policy and strategy documents and push for funding to support use of capacities
- KE2 – further build the e-extension (including capacity building) and expanding the farmer register
- KE3 – (i) develop a ‘bush week’ program with colleges that allows students to practice skills with farmers, (ii) perform in-service training of CEOs on block release programmes (iii) role out IEC (community radios) to remote farmers

3. Review Project Logical Framework Documents

To help clarify roles and responsibilities PEP II should review and use its logical frameworks. Logical framework review should form part of the team building exercise with potential linkage to team member action plans.

Logical frameworks should clearly distinguish the different roles and responsibilities related to the PE and the TA. The GRZ should be responsible for the PE logical framework, which should clearly show PEP II objectives and results. The TA logical framework is the responsibility of Ecorys, and should show the specific objective / purpose and results where they are responsible. A suggested TA Theory of Change and logical framework are presented in Annex 9. The revised TA logical framework should clearly show how TA component support to PE implementation will be measured. Examples of TA specific objective level indicators to do this are:

- % of PE outputs / results delivered according to plan
- % of PE activities implemented according to plan
- Level of actual PE expenditure compared to planned expenditure

It should also describe the capacities the TA will build in the Ministries. Clear, practical and informative indicators should measure these results. Examples of indicators for TA Result 1 are:

- % of targeted Ministry staff involved in policy making, planning and budgeting that report successfully using training messages provided by the TA
- % of targeted Ministry staff involved in policy making, planning and budgeting that report successfully using procedures supported by the TA
- % of targeted Ministry staff involved in policy making, planning and budgeting that report effectively using equipment provided by PEP II

PE logical framework review should consider the terminology used in the intervention logic and follow conventional definitions i.e. of results, outcome etc. Review of assumptions should cover availability of finance and development of an exit strategy (an exit strategy could be an output in the PE logical

framework). Logical framework indicators also need to be reviewed as some are obsolete or of limited value. Indicators also need to be appropriate. For example, the PEP II PE may be expected to increase soya yields, but this may not be a realistic measure of TA performance.

4. Enhance GRZ Management of the TA

The TA Contract Manager with the PIU Program Manager should initiate and perform regular PIU and TA performance appraisals against the individual team member and Key Expert work plans produced as part of Recommendation 1 and 2. If necessary, the external facilitator could return to help facilitate these appraisals. It is recommended that appraisals are performed quarterly, given the relatively short remaining implementation period. Appraisals should aim to clearly measure and improve the performance of the team members and experts. They provide opportunity for feedback, improving communication, understanding training needs, clarifying roles and responsibilities and determining how to address any barriers (bureaucratic and/or institutional) that are affecting the experts work. They should facilitate performance in ways that increase the future potential and value of the TA to the Ministry. The performance appraisal should make sure that the Ministries expectations are clearly communicated. The appraisal should also make it easier for the Ministries to ensure that the most important positions are filled by the most capable individuals.

5. Buy some goodwill with GRZ

To work effectively, the TA need enhanced levels of goodwill with the MOA, MFL and NAO. To do this it is recommended that focus is given to their advisory, guidance, facilitation and accompanying role. The EUD and TA should review engagement (perceived or otherwise) in managing, controlling or monitoring PE spending. To assist this process the following sub-recommendations are made:

- The EUD, NAO and GRZ should negotiate and take responsibility for any adjustments (addendums) to the PE
- The preparation and approval of addendums should be done within an agreed timeframe
- The role of the TA given in the Procedures and Operations Manual 'signing off on requests to finance activities as per PE' and 'ensures compliance with the rules and procedures as specified in the PRAG' should be adapted in a way that does not compromise their advisory role. Similar roles and responsibilities should also be reviewed
- Review the unpopular 75% : 25 % allowance rule. Alternatives need to be researched and implemented as part of the Addendum to the Operations Manual
- To ensure financial rectitude the EUD should commission separate audits and accountancy checks of PEP II finance and budgetary administration that are clearly separate from the TA.

6. Use some goodwill

PEP II needs to address present and future funding of its outputs / results to ensure both relevance and sustainability.

High level advocacy is needed to leverage GRZ funding. The PEP II PIU needs to work with all its key partners to do this. In particular the programme should engage and involve senior members of the EUD and partner Ministries to lobby for future GRZ funding. Funding is required to support nutrition and further prioritise crop / livestock diversification in the face of climate change.

PEP II needs to prioritise development of an exit strategy with Ministries. This should show how PEP II outputs will be sustained, including (i) how updating of the farmer register will be funded and (ii) how e-Extension hardware will be replaced after PEP II. The exit strategy should plan out (i) how other development partner projects can contribute to building on PEP II results and (ii) how GRZ funding can be sourced, at least to source minimum enabling budgets such as a communication funding that could be used to find more finance.

PEP II should support Ministerial capacity to raise funds. It should continue to look at provincial and district level funding to maintain its results. This should include exploring ways to work with NGOs and the Private Sector to fund front line extension and the use of district structures to build research to extension linkage. If funding cannot be found i.e. for fieldworkers to visit farmers, significant parts of the PEP II intervention logic fail and a major adjustment to the approach will be required.

7. Move the TA back into the Ministers to increase ownership and give authority to the TAs work

The TA need to work with authority and PEP II results need to be owned by the Ministries. The TA need senior level Ministerial counterparts to provide authority and build GRZ ownership of results. To effectively achieve these aims individual TA members should each have single clear counterparts at Director level. The individual TA should sit in the same office or have office space close to this counterpart to allow day to day contact (as was the situation with PEP I). Other PIU members should remain in NAO offices. To enhance authority, counterparts should take a lead role in presenting PEP II initiatives, i.e. the role out of change management or e-Extension at provincial level. The TA should support (guide, facilitate and accompany) as opposed to lead this work.

With a move back into Ministries the TA and PIU will need clear and regular team meetings to ensure a coordinated and consistent approach. The following meetings are suggested:

- TA weekly team meeting led by the TA Team Leader
- PIU fortnightly planning and review meetings led by the Program Manager
- Continuation of the monthly Technical Working Group meetings chaired Imprest Administrator
- Continuation of the bi-annual Steering Committee meetings

8. Move to Results Based Financing

To help develop incentives for delivery, the EUD should enhance levels of results-based financing where possible. An example in PEP II is the need for Ministry strategic plans to be approved to allow M&E system development. Approval of the strategic plans is a clear deliverable that is the responsibility of the Ministry. To incentivise approval for this example, the transfer of PEP II payments to GRZ should be contractually linked to delivery of the approved Ministry strategic plan. This would be a clear PE logical framework result and a GRZ responsibility.

ANNEXES

Annex 1: Terms of Reference

SPECIFIC TERMS OF REFERENCE

Mid Term Evaluation of the Performance Enhancement Programme for the Ministry of Agriculture and the Ministry of Fisheries & Livestock for Better Service Delivery to Farmers

FWC SIEA 2018 – LOT 1 Sustainable Management of Natural Resources and Resilience

EuropeAid/138778/DH/SER/multi

Request for Service 2019/407-706

Contracting Authority: The European Union Delegation to the Republic of Zambia and COMESA

BACKGROUND

1.1 Relevant country / sector background

The Zambian economy grew at an average annual rate of 5.6 % between 2009 and 2018, on the back of high copper prices, Foreign Direct Investments in the mining sector, government investment in infrastructure and expanding private sector investments in construction and services. More recently from 2015 to 2018 economic growth has substantially declined to an average annual rate of 3.45%. However this economic growth has not translated into inclusive development. With a Gini index of 57.1 in 2015, Zambia is among the five countries with the highest income inequality in the world. With a Human Development Index of 0.588, it ranked 144 out of 189 countries in 2017. Despite significant improvements in the reduction of urban poverty, the poverty level among rural dwellers (that make up 2/3 of the country's population) is still at 77 %. The gap between urban and rural poverty continues to widen. Poverty is the principal obstacle to achieving better nutrition. The prevalence of both stunting and anaemia remains very high in Zambia especially in rural areas, which in turn reduces the economic potential of the agricultural economy.

Zambia's climate is highly variable and over the last few decades has experienced series of climatic extremes, e.g. droughts, seasonal floods and flash floods, extreme temperatures and dry spells, many of these with increased frequency, intensity and magnitude. Their impacts on the country are evident in climate-induced changes to physical and biological systems, which increasingly exert considerable stress on the country's vulnerable sectors, especially agriculture and energy production. Extreme rainfall and droughts also impact aquaculture production significantly, with surface and groundwater shortages hitting pond farmers and shifts in water levels and storms impacting lake-based producers. The country's land base is environmentally fragile and easily degraded. Human-induced factors often linked to agriculture cause major land degradation. These include inappropriate agriculture practices further compounded by a severe decline in soil fertility due to soil nutrient depletion linked to maize monoculture and the related lack of crop rotation. The underperformance of the agricultural sector is strongly linked to the overexploitation of natural resources and the need to diversify agricultural production by enhancing the use of new species and varieties that are locally-adapted.

Agriculture generates approximately 10% of the GDP and provides livelihoods for more than 70% of the population. According to the Bank of Zambia (BoZ) annual report, the sector grew by 16.5% in 2017 compared to 3.7% in 2016, accounting for the highest contribution to GDP growth of 1.21%. The highest increase was recorded in maize production which is estimated to have increased by 25.5%. Still, the sector has marginally led to an increase in rural incomes and contributed marginally to poverty reduction and increased food and nutrition security. Aquaculture, in particular, contributes significantly to national food security and public health with fish and fish products accounting for more than 20 % of animal protein intake and providing essential micronutrients to the majority of Zambia's population who are highly vulnerable to malnutrition. As such, the sector has the potential to play a driving role in supporting more inclusive economic growth, creating jobs and reducing poverty. Further development of a market-oriented, effective and sustainable agricultural sector would also highly contribute to the much needed economic diversification.

1.2 The Actions to be evaluated

Titles of the Actions to be evaluated

- Multi Annual Programme Estimate
- Technical Assistance Contract

Budgets of the Actions to be evaluated

- Multi Annual programme Estimate EUR 5,750,000
- Technical Assistance Contract EUR 2,550,625

CRIS numbers of the Actions to be evaluated

- Multi Annual Programme Estimate FED/2016/379-595
- Technical Assistance Contract FED/2016/378-217

Dates of the Actions to be evaluated

Multi Annual Programme Estimate

- Start: 01/01/2017
- End: 30/06/2021

Technical Assistance Contract

- Start: 7/11/2016
- End: 6/5/2021

Overview: The Performance Enhancement Programme II (PEP II) follows on from the 10th EDF Performance Enhancement Programme (PEP), which had as its overall objective to facilitate the agricultural sector to contribute to economic growth and poverty reduction in Zambia. The purpose of PEP was to contribute to creating a conducive environment and deliver appropriate services to spur growth in the agricultural sector.

PEP II builds on the achievements of PEP and has an Overall Objective to support the Government of the republic of Zambia's (GRZ) policy to reduce rural poverty and enhance food and nutrition security. The programme's Purpose is to improve the capacity of the Ministry of Agriculture and the Ministry of Fisheries and Livestock to deliver quality services to smallholder farmers, with the aim increasing productivity and enhanced diversity of Zambia's agricultural sector.

From the start PEP II was an ambitious programme with a large number of activities to implement; however, this was further complicated, early in its inception, by the splitting of the Ministry of Agriculture into the Ministry of Agriculture and the Ministry of Fisheries and Livestock. As a result both ministries had their particular expectations and demands of the programme.

The programme consists of two interdependent but related contracts. 1). a Multi Annual Programme Estimate, (which will run from the 1st of January 2017 to the 30th of June 2021) and a Technical Assistance contract, (which commenced on the 7th of November 2016 and is contracted to last for a period of 54 calendar months i.e. to the 6th of May 2021). 2). A Technical Assistance contract which essentially provides support to the implementation of the Multi Annual Programme Estimate but is not however responsible for its implementation, for the Government of the Republic of Zambia (GRZ) has that responsibility.

Multi Annual Programme Estimate: The purpose of the Multi Annual Programme Estimate is to improve the capacity of the Ministry of Agriculture (MoA) and the Ministry of Fisheries and Livestock (MFL) to deliver quality services to smallholder farmers towards increased productivity and enhanced diversity of Zambia's agricultural sector.

The implementation of the Multi Annual Programme Estimate has been less than smooth with all activities having been suspended on the 25th of May 2018 due to an unacceptably high number of ineligible expenses as identified in the 2017 Expenditure Verification report. On the 6th of September 2018 a partial derogation was granted to allow for the implementation of five priority activities. On the 10th of April 2019, with the meeting of the three criteria below, the suspension was lifted:

- Development and operationalisation of a Financial and Operational manual.
- Appointment of a full-time PEP II Project Coordinator, co-financed by the Government of the Republic of Zambia.
- Settlement of 1st January to the 31st December 2019 ineligible expenses.

Technical Assistance: The purpose of this action is to provide technical assistance to the Ministry of Agriculture and the Ministry of Fisheries and Livestock towards increased institutional capacity and improved service delivery to farmers in the framework of PEP II. As such the Technical Assistance complements the actions undertaken under the Multi Annual Programme Estimate. There are three expected results to be achieved under this element of the programme:

1. Improved use of evidence for policy making, planning and budgeting in the two ministries underpinning service delivery to rural households.
2. Enhanced capacity of the Ministries' staff to coordinate and provide extension services that contribute to increased productivity and improved food and nutrition security in small scale farming households.
3. Increased dietary diversity of women and children in poor rural households through more effective nutrition-sensitive farmer extension and services facilitated by the Ministries.

1.3 Stakeholders of the Action

The primary stakeholders of the programme are the Ministry of Agriculture, the Ministry of Fisheries and livestock and the National Food & Nutrition Commission (NFNC). With Zambian farmers, principally Smallholder farmers (which make up around 75% of the farming community), being the final beneficiaries through better service delivery of extension services and social transfers, such as the Farmer Input Supply Programme (FISP), from the relevant ministries.

The Ministry of Agriculture and the Ministry of Fisheries and Livestock are the key actors in the programme and have representatives that sit on both the Technical Working Group and Project Steering Committees. They have selected key staff members to be interlocutors with both the Multi Annual Programme Estimate and the Technical Assistance. Constructive working relationships with both ministries are vital for the implementation of both elements of the programme.

Farmers, and specifically Smallholder Farmers, are the final beneficiaries. It is expected that the programme substantially improves extension service delivery to this population resulting in greater diversification of crops, (maize is currently the main crop under production by smallholders) and more efficient delivery of social transfers under the FISP programme that encourages further diversification.

1.4 Other available information

Evaluators will use all relevant available analytical including but not limited to the Results Oriented Mission (ROM) that took place in February 2018. This report will be shared with the Mid Term Evaluators following their mobilisation and prior to commencing the desk study. The key conclusions/recommendations of the ROM mission were:

1. In order to implement a change management policy requires full commitment and participation at senior level of the two ministries involved, which has not been the case during the implementation, so far of PEP II.
2. That quality of outputs should be prioritised over quantity of outputs, especially given that there are 64 sub activities.
3. That a full time designated ministry staff member should be employed to help with facilitating implementation.
4. The Private sector should be further engaged and that marketing should be included in the work programme.
5. That there has to be greater ownership of the programme by the two ministries.

2 DESCRIPTION OF THE EVALUATION ASSIGNMENT

Type of evaluation

Mid Term

Coverage

The entirety of the two actions (Multi Annual Programme Estimate and Technical Assistance contract)

Geographic scope

Lusaka, Zambia

Period to be evaluated

From: 7/11/2016 to 30/09/2019

2.1 Objectives of the evaluation

Systematic and timely evaluation of its programmes and activities is an established priority of the European Commission. The focus of evaluations is on the assessment of achievements, the quality and the results of Actions in the context of an evolving cooperation policy with an increasing emphasis on result-oriented approaches and the contribution towards the implementation of the SDGs.

From this perspective, evaluations should look for evidence of why, whether or how these results are linked to the EU intervention and seek to identify the factors driving or hindering progress.

Evaluations should provide an understanding of the cause and effect links between: inputs and activities, and outputs, outcomes and impacts. Evaluations should serve accountability, decision making, learning and management purposes.

The main objectives of this evaluation are to provide the relevant services of the European Union, the interested stakeholders and the wider public with:

- an overall independent assessment of the past performance of the Multi Annual Programme Estimate and Technical Assistance Contract, paying particular attention to its intermediate results measured against its expected objectives; and the reasons underpinning such results;
- key lessons learned, conclusions and related recommendations in order to improve current and future Actions.

In particular, this Mid Term Evaluation will serve to provide an assessment of the results achieved to date and make recommendations so that the programme can achieve, as much as possible, its goals as stated in the programming documents. It should also identify impediments to the efficient and effective implementation of the programme to date and make recommendation to overcome or circumvent these impediments in the most prudent manner possible.

The main users of this evaluation will be the relevant EU Services (DG DEVCO), the EU Delegation to the Republic of Zambia and COMESA, the National Authorising Office, the Ministry of Agriculture, the Ministry of Fisheries and Livestock, the National Food and Nutrition Commission, the Multi Annual Programme Estimate Programme Manager, and the Technical Assistance Team that are involved in the implementation of the Action to be evaluated. It is expected that the findings from this Mid Term Evaluation will be presented to the Project Steering Committee meeting at the first meeting that takes place after the findings are accepted by the EU and that these findings will contribute to an adjustment in the implementation pathway.

2.2 Requested services

2.2.1 Scope of the evaluation

The evaluation will assess the Action using the five standard DAC evaluation criteria, namely: relevance, effectiveness, efficiency, sustainability and perspectives of impact. In addition, the evaluation will assess two EU specific evaluation criteria:

- the EU added value (the extent to which the Action brings additional benefits to what would have resulted from Member States' interventions only);
- the coherence of the Action itself, with the EU strategy in the Republic of Zambia and with other EU policies and Member State Actions, and other donors such as the FAO, WFP, NGOs etc.

The evaluation team shall furthermore consider whether: gender; environment and climate change were mainstreamed; the relevant SDGs and their interlinkages were identified; the principle of Leave No-One Behind and the rights-based methodology was followed in the identification/formulation documents as well as the extent to which they have been reflected in the implementation of the Action, its governance and monitoring.

2.2.2 Issues to be addressed

The Issues to be addressed as formulated below are indicative. Based on the latter and following initial consultations and document analysis, the evaluation team will discuss them with the Evaluation Manager and propose in their Inception Report a complete and finalised set of Evaluation Questions

with indication of specific Judgement Criteria and Indicators, as well as the relevant data collection sources and tools.

Once agreed through the approval of the Inception Report, the Evaluation Questions will become contractually binding.

Issues to be addressed:

1. Relevance

1.1. The evaluation should consider the appropriateness of the PEP II programme in relation to the needs and priorities of the beneficiaries, and to the policy environment within which they operate.

1.2. In assessing the quality of project design, the evaluation should investigate the coherence of the intervention logic, quality of the planning documents and appropriateness of the institutional arrangements.

1.3. Was gender equality taken into account and included throughout the Action (design, implementation and monitoring)?

2. Efficiency

2.1. The evaluation should establish whether the results have been obtained at reasonable cost and in the most appropriate way, i.e. how well means and activities are converted into results, and the quality of the results being achieved.

2.2. It should consider how efficiently the programme has cooperated with other stakeholders including but not limited to Cooperating Partners, Private Sector etc.

2.3. An assessment should be undertaken of the impact of the Financial & Operational Manual and whether it is being fully implemented and respected.

2.4. What services or goods have been received or are expected to be received respectively by men and women, boys and girls as a result of this action.

3. Effectiveness

3.1. To what extent has the Action contributed to enhanced delivery of services to farmers?

3.2. The evaluation should identify the major factors influencing the achievement or non-achievement of the programme objectives and make recommendations for future implementation of the programme.

3.3. To what extent does the Action address environmental issues as a cross cutting issue.

3.4. To what extent did the Action outputs contribute to increasing dietary diversity particularly for women and children in poor rural household? How can the effectiveness of this expected result be improved?

4. Impact

4.1. The evaluation should analyse any early signs of the positive and negative medium and long-term effects of the programme contribution to the Overall Objective.

4.2. Make recommendations on missed opportunities, if they exist, to broaden or deepen the impact of the programme.

4.3. The evaluation should consider what effects the Actions is likely to have on the environmental.

4.4. What is the expected likelihood that the Action will have expected or unexpected impact/s on human rights and Gender Mainstreaming/Gender Equality?

5. Sustainability

5.1. The evaluation should assess the expected continuation of benefits produced by the programme after the support has ended.

6. Coherence

6.1. The evaluation should make an assessment of the extent to which the programme's activities undertaken complement the Government of the Republic of Zambia (GRZ) actions, private sector, and other donors' interventions.

7. EU added value

7.1. The extent to which the Action brings additional benefits to what would have resulted from Member States' interventions only.

8. ROM Mission Findings.

8.1. The evaluation should consider to which extent the findings of the ROM mission have been incorporated into the programme.

All responses should also focus on how to improve future implementation and as such should provide a practical Road Map for what remains of the implementation period highlighting future achievable targets etc.

2.3 Phases of the evaluation and required outputs

The evaluation process will be carried out in four phases:

- Inception
- Field
- Synthesis
- Dissemination

The outputs of each phase are to be submitted at the end of the corresponding phases as specified in the synoptic table in section 2.3.1.

2.3.1 Synoptic table

The following table presents an overview of the key activities to be conducted within each phase and lists the outputs to be produced by the team as well as the key meetings with the Contracting Authority and the Reference Group. The main content of each output is described in Chapter 5.

Phases of the evaluation

Key activities

Outputs and meetings

Inception Phase

- In-depth document/data collection
- Background analysis
- Interviews with relevant stakeholders
- Stakeholder analysis
- Reconstruction (or as necessary, construction) of the Intervention Logic, and / or description of the Theory of Change (based upon available documentation and interviews)
- Identification of information gaps and of hypotheses to be tested in the field phase
- Methodological design of the evaluation (Evaluation Questions with judgement criteria, indicators and methods of data collection and analysis), Field Phase and evaluation matrix
- Kick-off meeting with the Contracting Authority and the Reference Group at the EU

Delegation in Lusaka, Zambia

- Inception report
- Power Point presentation of the Inception Report

Field Phase

- Gathering of primary evidence with the use of the most appropriate techniques.
- Data collection and analysis (linked to the hypotheses to be tested in the field and in view of filling the gaps, if defined during a desk phase)
- Power Point presentation of key findings of the field phase
- Debriefing with the Reference Group

Synthesis phase

- Final analysis of findings (with focus on the Evaluation Questions)
- Formulation of the overall assessment, conclusions and recommendations
- Reporting
- Draft Final Report
- Executive Summary according to the standard template published in the EVAL module
- Final Report

Dissemination phase

- Organisation of the final presentation seminar
- Final presentation seminar
- A four page brief page leaflet highlighting the main issues and way forward.

2.3.2 Inception Phase

This phase aims at structuring the evaluation and clarifying the key issues to be addressed.

The phase will start with a kick-off session in Lusaka at the EU Delegation to the Republic of Zambia and COMESA between the Reference Group and the evaluators. Half-day presence of evaluators is required. The meeting aims at arriving at a clear and shared understanding of the scope of the evaluation, its limitations and feasibility. It also serves to clarify expectations regarding evaluation outputs, the methodology to be used and, where necessary, to pass on additional or latest relevant information.

In the Inception phase, the relevant documents will be reviewed and analysed (see annex II) and interviews undertaken with the programme management, EU Delegation, Cooperation Partners etc.

Further to the review of the political, institutional and/or technical/cooperation framework of EU support to the Ministry of Agriculture and the Ministry of Fisheries and Livestock, the evaluation team, in consultation with the Evaluation Manager, will reconstruct or recommend reconstructing the intervention logic (and logframe) if deemed relevant, resulting in the reformulation of realistic indicators which will be used to measure the results of the programme to date.

Furthermore, based on the Intervention Logic, the evaluators will develop a narrative explanation of the logic of the Action that describes how change is expected to happen within the Action, all along its results chain, i.e. Theory of Change. This explanation includes an assessment of the evidence underpinning this logic (especially between outputs and outcomes, and between outcomes and impact), and articulates the assumptions that must hold for the Action to work, as well as identification of the factors most likely to inhibit the change from happening.

Based on the Intervention Logic and the Theory of Change the evaluators will finalise i) the Evaluation Questions with the definition of judgement criteria and indicators, the selection of data collection tools and sources, ii) the evaluation methodology, and iii) the planning of the following phases.

The methodological approach will be represented in an Evaluation Design Matrix, which will be included in the Inception Report. The methodology of the evaluation should be gender sensitive, contemplate the use of sex- and age-disaggregated data and demonstrate how actions have contributed to progress on gender equality (see annex VII).

The limitations faced or to be faced during the evaluation exercise will be discussed and mitigation measures described in the Inception Report. Finally, the work plan for the overall evaluation process will be presented and agreed in this phase; this work plan shall be in line with that proposed in the present ToR. The evaluation team will also fine-tune the evaluation tools to be used during the Field Phase. Any modifications shall be justified and agreed with the Evaluation Manager.

On the basis of the information collected, the evaluation team should prepare an Inception Report; its content is described in Chapter 5.

The evaluation team (specifically the Team Leader) will then, present in Lusaka at the EU Delegation the Inception Report to the Reference Group.

2.3.3 Field Phase

The Field Phase starts after approval of the Inception Report by the Evaluation Manager.

If any significant deviation from the agreed work plan or schedule is perceived as creating a risk for the quality of the evaluation or not respecting the end of the validity of the specific contract, these elements are to be immediately discussed with the Evaluation Manager and, regarding the validity of the contract, corrective measures undertaken.

In the first days of the field phase, the evaluation team shall hold a briefing meeting with the programme management, and Delegation.

During the field phase, the evaluation team shall ensure adequate contact and consultation with, and involvement of the different stakeholders; with the relevant government authorities and agencies. Throughout the mission the evaluation team will use the most reliable and appropriate sources of information, respect the rights of individuals to provide information in confidence, and be sensitive to the beliefs and customs of local social and cultural environments.

At the end of the field phase, the evaluation team will summarise its work, analyse the reliability and coverage of data collection, and present preliminary findings in a meeting with the programme management, the EU Delegation, the Reference Group.

At the end of the Field Phase a Slide Presentation will be prepared; its content is described in Chapter 5.

2.3.4 Synthesis Phase

This phase is devoted to the preparation by the contractor of two distinct documents: the Executive Summary and the Final Report, whose structures are described in the Annex III; it entails the analysis of the data collected during the desk and field phases to answer the Evaluation Questions and preparation of the overall assessment, conclusions and recommendations of the evaluation.

The evaluation team will present, in a single Report with Annexes, their findings, conclusions and recommendations in accordance with the structure in Annex III; a separate Executive Summary will be produced as well, following the compulsory format given in the EVAL module (see Annex III).

The evaluation team will make sure that:

- Their assessments are objective and balanced, statements are accurate and evidence-based, and recommendations realistic and clearly targeted.
- When drafting the report, they will acknowledge clearly where changes in the desired direction are known to be already taking place.
- The wording, inclusive of the abbreviations used, takes into account the audience as identified in art. 2.1 above.

The evaluation team will deliver and then present in Lusaka, Zambia the Draft Final Report to the Reference Group to discuss the draft findings, conclusions and recommendations. One day of presence is required of – as minimum – the Team Leader.

The Evaluation Manager consolidates the comments expressed by the Reference Group members and sends them to the evaluation team for the report revision, together with a first version of the Quality Assessment Grid (QAG) assessing the quality of the Draft Final Report. The content of the QAG will be discussed with the evaluation team to verify if further improvements are required, and the evaluation team will be invited to comment on the conclusions formulated in the QAG (through the EVAL Module).

The evaluation team will then finalise the Final Report and the Executive Summary by addressing the relevant comments. While potential quality issues, factual errors or methodological problems should be corrected, comments linked to diverging judgements may be either accepted or rejected. In the latter instance, the evaluation team must explain the reasons in writing. After approval of the final report, the QAG will be updated and sent to the evaluators via EVAL Module.

2.3.5 Dissemination phase

The Dissemination Phase will consist of a Final Presentation Seminar in a local hotel for approximately 50 persons. The purpose of the Seminar will be to present the results of the Mid Term Evaluation and explain the recommendations of the evaluation to key stakeholders especially where these recommendations involve a refocussing of activities or an evaluation of any refocussing that the programme has done to date. As such a clear case for a future implementation strategy must be made with a one page leaflet (50 copies) containing the proposed strategy must also be produced so that the participants have a clear idea of what is being proposed.

The costs associated with the Final Presentation will be borne by the Frame Work Contractor, which will include, but not be limited to, the hiring of a suitable meeting room, lunch, coffee break etc.

2.4 Specific Contract Organisation and Methodology (Technical offer)

The invited Framework Contractors will submit their specific Contract Organisation and Methodology by using the standard SIEA template B-VII-d-i and its annexes 1 and 2 (B-VII-d-ii).

The evaluation methodology proposed to undertake the assignment will be described in the Chapter 3 (Strategy and timetable of work) of the template B-VII-d-i. Contractors will describe how their proposed methodology will address the cross-cutting issues mentioned in these Terms of Reference and notably gender equality and the empowerment of women. This will include (if applicable) the communication action messages, materials and management structures.

By derogation of what is specified in the standard SIEA template B-VII-d-i, the maximum length of the specific Contract Organisation and Methodology is 7 pages, written in Times New Roman 12 or Arial size 11, single interline, excluding the framework contractor's own annexes (maximum length of such annexes: 3 pages), additional to the Annexes foreseen as part of the present Specific ToRs. The timetable is not accounted and may be presented on an A3 page.

2.5 Management and Steering of the evaluation

2.5.1 At the EU level

The evaluation is managed by the Evaluation Manager of the EUD; the progress of the evaluation will be followed closely with the assistance of a Reference Group consisting of members of EU Services (the Evaluation Manager and the Results Advisor of the EU Delegation to Zambia) and the National Authorising Officer, as well as representatives from the Ministry of Agriculture and the Ministry of Fisheries and Livestock.

The main functions of the Reference Group are:

- To define and validate the Evaluation Questions.
- To facilitate contacts between the evaluation team and the EU services and external stakeholders.
- To ensure that the evaluation team has access to and has consulted all relevant information sources and documents related to the Action.
- To discuss and comment on notes and reports delivered by the evaluation team. Comments by individual group members are compiled into a single document by the Evaluation Manager and subsequently transmitted to the evaluation team.
- To assist in feedback on the findings, conclusions, lessons and recommendations from the evaluation.
- To support the development of a proper follow-up action plan after completion of the evaluation.

2.5.2 At the Contractor level

Further to the Requirements set in the art. 6 of the Global Terms of Reference and in the Global Organisation and Methodology, respectively annexes II and III of the Framework contract SIEA 2018, the contractor is responsible for the quality of: the process; the evaluation design; the inputs and the outputs of the evaluation. In particular, it will:

- Support the Team Leader in its role, mainly from a team management perspective. In this regard, the contractor should make sure that, for each evaluation phase, specific tasks and outputs for each team member are clearly defined and understood.
- Provide backstopping and quality control of the evaluation team's work throughout the assignment.
- Ensure that the evaluators are adequately resourced to perform all required tasks within the time framework of the contract.

2.6 Language of the Specific contract

The language of the specific contract is to be English.

3 EXPERTISE REQUIRED

3.1 Number of experts and of working days per category

The table below indicates the minimum number of evaluators and the minimum number of working days (overall and in the field), per category of experts to be foreseen by the Contractor.

In particular, the Team Leader (to be identified in the Organisation and Methodology and in the Financial Offer) is expected to be a Cat I expert, possess a demonstrable senior evaluation expertise coherent with the requirements of this assignment and not provide less than 40 working days, out of which 34 in the field. It is recommended that the Cat I expert spend 6 days; the Category II experts spend a combined total of 10 days outside of Lusaka.

3.2 Expertise required

Minimum requirements of the team:

- The team shall have a cumulative experience of over 15 years in the area of evaluation with at least 6 mid-term or final term evaluations conducted in sub Saharan Africa;
- The team will have a minimum cumulative professional experience over 5 years in managing evaluations as a Team Leader;
- The team shall demonstrate strong expertise and minimum 10 years of cumulative professional experience in designing, monitoring or evaluating development programmes in the fields of Agriculture, Agricultural Extension and Nutrition;
- The team shall demonstrate a working experience of at least 10 years in the Southern African region.

Additional requirements of the team

(i) Team leader, Cat. I expert

- Qualifications and skills: Education at least to Master's Degree in a relevant discipline (e.g. Agriculture, Development Studies, or a similar field) or in its absence, an equivalent relevant professional experience of at least six (6) years and at least 5 other evaluations in a similar thematic context, above the general and specific professional experience required below;
- General professional experience: At least twelve (12) years' experience in the sector(s) related to the Sustainable Management of Natural Resources and Resilience;
- Specific professional experience: Experience in EU Evaluation Programmes with at least three previous evaluations undertaken in thematic areas related to agriculture.

(ii) Key Expert II, Cat. II Agriculture Extension expert:

- Qualifications and skills: Education at least Master's Degree in a relevant discipline (e.g. Agriculture, Development Studies, or a similar field) or in its absence, an equivalent relevant professional experience of at least six (6) years above the general and specific professional experience required below;
- General professional experience: At least six (6) years' experience in agricultural extension;
- Specific professional experience: At least three years' experience working to improve the service delivery of a sub Saharan agricultural extension service, or similar specific professional experience. At least two years demonstrated experience in EU Project evaluations.

(ii) Key Expert III, Cat. II Nutrition expert:

- Qualifications and skills: Education at least Master's Degree in a relevant discipline (e.g. nutrition, or a similar field) or in its absence, an equivalent relevant professional experience of at least six (6) years above the general and specific professional experience required below;
- General professional experience: At least six (6) years' experience in the nutrition sector.
- Specific professional experience
 - o At least three contracts working specifically on issues surrounding health education, ideally including strategies for reducing stunting and mal nutrition.
 - o Demonstrated experience, covering over five years, in training and education in the field of nutrition.

Language skills of the team:

- All team members must have at least a C2 level (Native or Proficient user understanding, writing and speaking) in English;

Languages levels are defined for understanding, speaking and writing skills by the Common European Framework of Reference for Languages available at <https://europass.cedefop.europa.eu/en/resources/european-language-levels-cefr> and shall be demonstrated by certificates or by past relevant experience.

The European Union pursues an equal opportunities policy. Gender balance in the proposed team, at all levels, is highly recommended.

3.3 Presence of management team for briefing and/or debriefing

The presence of members of the management team is not required for briefing or debriefing purposes.

4 LOCATION AND DURATION

4.1 Starting period

Provisional start of the assignment is late October/early November 2019.

4.2 Foreseen duration of the assignment in calendar days

Maximum duration of the assignment: 120 calendar days.

This overall duration includes working days, week-ends, periods foreseen for comments, for review of draft versions, debriefing sessions, for dissemination activities and distribution of outputs.

4.3 Planning, including the period for notification for placement of the staff

As part of the technical offer, the framework contractor must fill in the timetable in the Annex IV (to be finalised in the Inception Report). The 'Indicative dates' are not to be formulated as fixed dates but rather as days (or weeks, or months) from the beginning of the assignment (to be referenced as '0').

Sufficient forward planning is to be taken into account in order to ensure the active participation and consultation with government representatives, national / local or other stakeholders.

4.4 Location(s) of assignment

The assignment will take place in Lusaka, Zambia with field visits in Luapula and Southern Provinces.

5 REPORTING

5.1 Content, timing and submission

The outputs must match quality standards. The text of the reports should be illustrated, as appropriate, with maps, graphs and tables; a map of the area(s) of Action is required (to be attached as Annex).

List of outputs:

Number of Pages (excluding annexes)

Main Content

Timing for submission

Inception Report

10 pages

- Intervention logic
- Stakeholder map
- Methodology for the evaluation, incl.:
 - o Evaluation Matrix: Evaluation Questions, with judgement criteria and indicators, and data analysis and collection methods
 - o Consultation strategy
 - o Field visit approach including the criteria to select the field visits
- Analysis of risks related to the evaluation methodology and mitigation measures
- Work plan

End of Inception Phase

Intermediary Note

5 pages

- Activities conducted during the field phase
- Difficulties encountered during the field phase and mitigation measures adopted
- Key preliminary findings (combining desk and field ones)

End of the Field Phase

Draft Final Report

40 pages

- Cf. detailed structure in Annex III

End of Synthesis Phase

Draft Executive Summary – by using the EVAL online template

N/A

- Cf. detailed structure in Annex III

End of Synthesis Phase

Final report

40 pages

- Same specifications as of the Draft Final Report, incorporating any comments received from the concerned parties on the draft report that have been accepted

2 weeks after having received comments to the Draft Final Report.

Executive Summary – by using the EVAL online template

N/A

- Same specifications as for the Draft Executive Summary, incorporating any comments received from the concerned parties on the draft report that have been accepted

Together with the final version of the Final Report

5.2 Use of the EVAL module by the evaluators

It is strongly recommended that the submission of deliverables by the selected contractor be performed through their uploading in the EVAL Module, an evaluation process management tool and repository of the European Commission. The selected contractor will receive access to online and offline guidance in order to operate with the module during the related Specific contract validity.

5.3 Comments on the outputs

For each report, the Evaluation Manager will send to the Contractor consolidated comments received from the Reference Group or the approval of the report within 14 calendar days. The revised reports addressing the comments shall be submitted within 10 calendar days from the date of receipt of the comments. The evaluation team should provide a separate document explaining how and where comments have been integrated or the reason for not integrating certain comments, if this is the case.

5.4 Assessment of the quality of the Final Report and of the Executive Summary

The quality of the draft versions of the Final Report and of the Executive Summary will be assessed by the Evaluation Manager using the online Quality Assessment Grid (QAG) in the EVAL Module (text provided in Annex V). The Contractor is given – through the EVAL module - the possibility to comment on the assessments formulated by the Evaluation Manager. The QAG will then be reviewed following the submission of the final version of the Final Report and of the Executive Summary.

The compilation of the QAG will support/inform the compilation by the Evaluation Manager of the FWC SIEA's Specific Contract Performance Evaluation.

5.5 Language

All reports shall be submitted in English.

5.6 Number of report copies

Apart from their submission -preferably via the EVAL Module-, the approved version of the Final Report will be also provided in 4 paper copies and in electronic version as a word doc at no extra cost.

5.7 Formatting of reports

All reports will be produced using Font Arial or Times New Roman minimum letter size 11 and 12 respectively, single spacing, double sided. They will be sent in Word and PDF formats.

The four-page brief at Dissemination should be produced to a professional standard and be in a style that makes it easy to read and interpret.

Annex 4: Evaluation Matrix

	Judgement Criteria	Indicators	Data Collection Method
1. Relevance			
<i>Hypothesis: The PEP II programme is relevant to the needs of small holder farmers.</i>			
1.1. The evaluation should consider the appropriateness of the PEP II programme in relation to the needs and priorities of the beneficiaries, and to the policy environment within which they operate.	Consistency of PEP II support with (i) beneficiary needs and priorities in terms of food security and nutrition and (ii) with policy	Food security and nutrition indicators including incidence of rural poverty, % of children under 5 who are stunted and Crop diversification index	FGD with beneficiaries, KIIs with observers, review of secondary data on food security and nutrition
1.2. In assessing the quality of project design, the evaluation should investigate the coherence of the intervention logic, quality of the planning documents and appropriateness of the institutional arrangements. (Additional) Are the roles of the two Ministries, NAO and TA clear and contribute to effectiveness?	Logic of programme design, document quality and usefulness and institutional arrangements	Level of logical hierarchy in design, levels of institutional overlap / gaps in arrangements, levels of document use, levels of clarity in roles and responsibilities	KIIs with project staff and implementing partners. Review of project documents.
1.3. Was gender equality taken into account and included throughout the Action (design, implementation and monitoring)?	Levels of gender inclusion in design, implementation and monitoring, % of female involvement	Levels of gender inclusion in design, implementation and monitoring.	KIIs with project staff and implementing partners. Review of project documents.
1.4. (additional) Is the focus on the farmer database relevant?	Potential uses of the data base, uses of the database. Who uses it and what for? Relevance to Govt policy.	Number of users, type of user. Consistency with other Govt policy.	KIIs with project staff, implementing partners and observers. FGDs at district level.
2. Efficiency			
<i>Hypothesis: The PEP II programme is efficiently converting inputs into results.</i>			
2.1. The evaluation should establish whether the results have been obtained at reasonable cost and in the most appropriate way, i.e. how well means and activities are converted into results, and the quality of the results being achieved.	Cost comparison to similar projects. Comparison to local prices. Comparison to other approaches.	Cost ratios compared to similar interventions. Costs compared to local prices. Costs of alternative approaches.	KIIs with project accountants / financial managers.

2.2. It should consider how efficiently the programme has cooperated with other stakeholders including but not limited to Cooperating Partners, Private Sector etc.	Level and quality of interaction with other stakeholders.	Number of meetings / cooperation events with other stakeholders. Quality of interaction (co-activities, co funding, joint initiatives).	KIIs with Cooperating Partners, Private Sector etc. and project staff.
2.3. An assessment should be undertaken of the impact of the Financial & Operational Manual and whether it is being fully implemented and respected.	Changes resulting from use of the Financial and Operational Manual.	Levels of manual use (who uses the manual and what for). Levels of change resulting from manual use.	KIIs with project staff. KIIs with users of the Manual. KIIS with observers - people who have seen or can comment on results arising from the manuals use.
2.4. What services, or good have been received or are expected to be received respectively by men and women, boys and girls as a result of this action.	Levels of service delivery.	Number of target beneficiaries receiving services. Types of services being delivered, disaggregated by gender and age.	FGDs with target beneficiaries from the action disaggregated by sex and age. Secondary data review, review of project documents.
3. Effectiveness			
<i>Hypothesis: The PEP II programme is effectively producing results that are contributing to its outcomes and objectives.</i>			
3.1. To what extent has the Action contributed to enhanced delivery of services to farmers?	Technologies disseminated, extension message content, training curricula. Improved access to extension services, for example use of ICT/interactive platforms, farmer/extension contact approaches. Quality of support received.	1) Number of technologies disseminated in fisheries, livestock, crops and soils. 2.1) In Service Curricula updated with best practices in gender sensitive extension services contents. 2.2) Number of Curricula in Agricultural Training Institutes updated in line with developments in the ag sector.	KIIs with project staff, implementing partners and observers. FGDs at district level and with farmers. Review of secondary data and project information.
3.2. The evaluation should identify the major factors influencing the achievement or non-achievement of the programme objectives and make recommendations for future implementation of the programme.	Changes in farmers income, Changes in capacity, Technologies disseminated, extension message content, training curricula.	Number and type of factors contributing to achievement of objectives.	Team review of results from primary and secondary data to identify themes / factors influencing performance.
3.2 (a) (additional) Is the TA team effectively contributing to results?	Changes in objectives, outcomes and results	Number and type of changes that the TA team has contributed to.	KIIs with project staff, implementing partners and observers at all levels. Review of secondary data and project information.

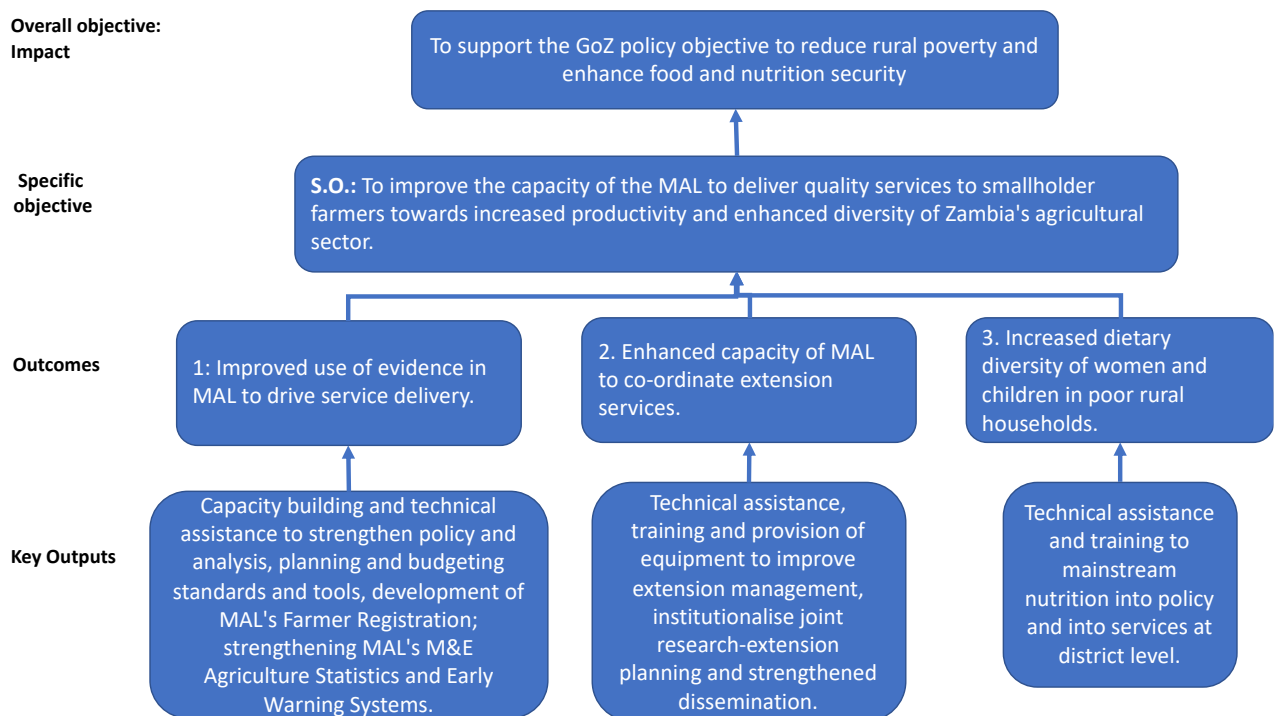
3.3. To what extent does the Actions address environmental issues as a cross cutting issue.	Inclusion of climate change / environmental issues in the Action.	Levels of inclusion of environmental issues in project activities, documents and results.	Kills with project staff, implementing partners and observers at all levels. Review of secondary data and project information.
3.4. To what extent did the Actions outputs contribute to increasing dietary diversity particularly for women and children in poor rural household? How can the effectiveness of this expected result be improved?	Levels of dietary diversity	3) % of extension workers using Operational Guidelines for Food and Nutrition.	Kills with project staff, implementing partners and observers at all levels. FGDs at district and community level. Review of secondary data and project information.
4. Impact			
<i>Hypothesis: The PEP II programme is or is expected to contribute to its overall objective</i>			
4.1. The evaluation should analyze any early signs of the positive and negative medium and long-term effects of the programme contribution to the Overall Objective.	Income, poverty levels, levels of malnutrition and crop diversification.	<ul style="list-style-type: none"> • Incidence of rural poverty • % of children under 5 who are stunted • Crop diversification index 	Kills with project staff, implementing partners and observers at all levels. Review of secondary data and project information.
4.2. Make recommendations on missed opportunities, if they exist, to broaden or deepen the impact of the programme.	Opportunities related to impact objectives.	<ul style="list-style-type: none"> • Incidence of rural poverty • % of children under 5 who are stunted • Crop diversification index 	Joint review with project staff and partners of opportunities based on evaluation findings.
4.3. The evaluation should consider what effects the Action is likely to have on the environment.	Levels of environmental change related to the action.	Potential production levels of crops and livestock linked to climate change.	Kills with project staff, implementing partners and observers at all levels. Review of secondary data and project information.
4.4. What is the expected likelihood that the Action will have expected or unexpected impact/s on human rights and Gender Mainstreaming/Gender Equality.	Consideration of expected and unexpected impacts.	Number and type of expected and unexpected impacts.	Kills with project staff, implementing partners and observers at all levels. Review of secondary data and project information.
5. Sustainability			
<i>Hypothesis: The results from the PEP II programme will continue to benefit target beneficiaries after support has finished.</i>			

5.1. The evaluation should assess the expected continuation of benefits produced by the programme after the support has ended.	Probability of benefits continuing after program support ends.	Required levels of future funding. Potential sources of future funding, potential levels of future funding from Ministry, other donors, private sector. Required funding levels after the end of the program.	KIIs with project staff, implementing partners and representatives of similar initiatives. Review of secondary data and project information.
6. Coherence			
<i>Hypothesis: The PEP II programme is coherent with other ongoing support initiatives performed by other actors.</i>			
6.1. The evaluation should make an assessment of the extent to which the program's activities undertaken complement the Government of the Republic of Zambia (GRZ) actions, private sector, and other donors' interventions.	Consistency and cooperation with other interventions.	Levels of cooperation (i.e. interaction with other interventions, examples of joint initiatives /co investment). Levels of complementarity (i.e. co investment, joint planning, participation in joint working groups / coordination forums and other similar events).	KIIs with representatives from GRZ, private sector, and other donors' interventions.
7. EU added value			
<i>Hypothesis: The PEP II programme adds value to the results of other Member States interventions.</i>			
7.1. The extent to which the Action brings additional benefits to what would have resulted from Member States' interventions only.	Joint investment, collaboration, complementarity with other Member States interventions.	Number of complementary interventions and level of complementarity with other Member States interventions.	KIIs with representatives from Member States
8. ROM Mission Findings.			
<i>Hypothesis: Findings from the ROM mission have been incorporated into the PEP II programme.</i>			
8.1 The evaluation should consider to which extent the findings of the ROM mission have been incorporated into the programme	Proportion of ROM findings addressed. Changes resulting from addressing ROM findings.	Number of ROM findings that have been addressed by the program. Results from addressing ROM findings.	KIIs with project staff and implementing partners. Review of secondary data and project information.

Annex 5: Intervention logic / Logical Framework matrices (planned/real and improved/updated)

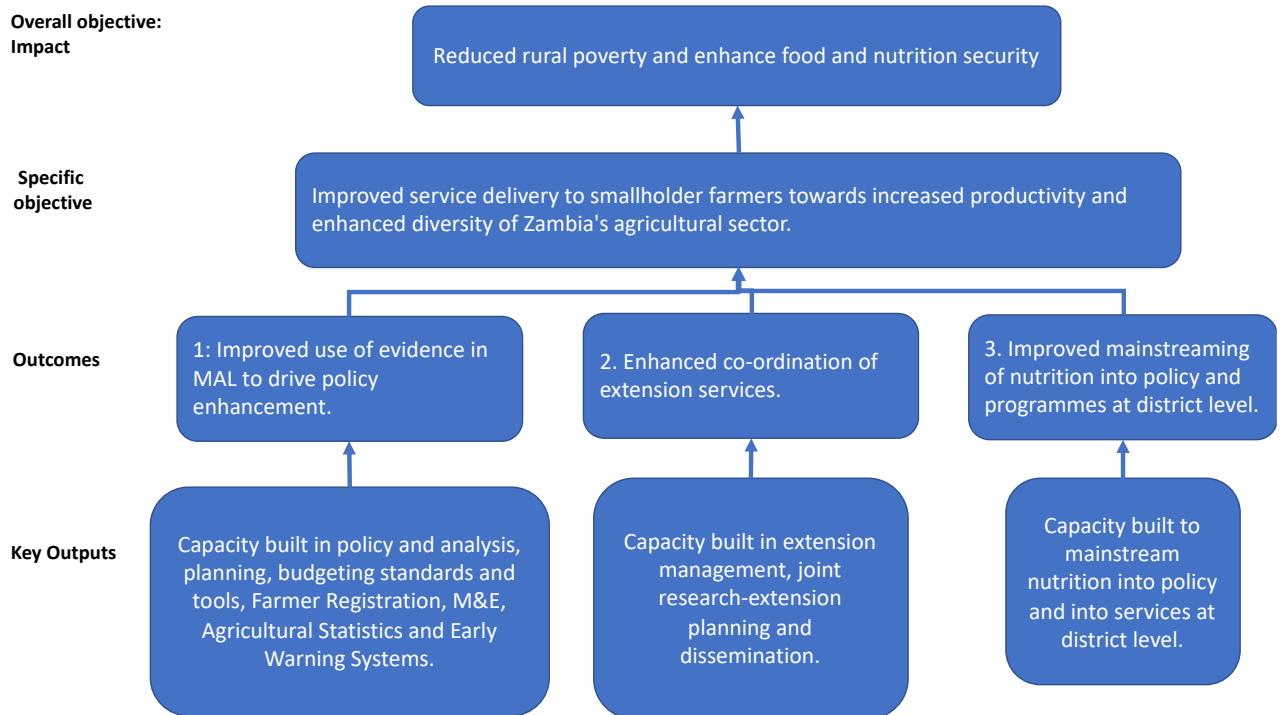
PEP II intervention logic based on the Mid Term Evaluation ToR Annex VI: Logical Framework Matrix is presented in Figure 1. This logic is based on PEP II delivering three key outputs. The first is capacity building and technical assistance to (i) strengthen policy and analysis, planning and budgeting standards and tools; (ii) develop the Ministries Farmer Registration and (iii) strengthen Ministry M&E Agriculture Statistics and Early Warning Systems. The second key output supports training and provision of equipment to improve extension management, institutionalise joint research-extension planning and strengthened dissemination. The third key output focuses on technical assistance and training to mainstream nutrition into policy and into services at a district level. By delivering these outputs it is expected that there will be improved use of evidence in the Ministries to drive service delivery. Enhanced capacity is also expected to better coordinate extension services. Delivery of the third nutrition related output is expected to increase dietary diversity in women and children in poor rural households. The intervention logic suggests that the occurrence of these outcomes will lead to increased productivity and enhanced diversity in Zambian agriculture and help contribute to deduced poverty and improved food and nutrition security. Inception phase interviews and secondary data suggests PEP II is at the output level of its intervention logic.

Figure 1 Reconstruction of the Intervention Logic



Based on the intervention logic, the Evaluation team formulated a tentative Theory of Change (Figure 2) to guide the assessment. This Theory of Change tries to show the outputs that will be produced by PEP II and the resulting intended outcomes. In particular for nutrition, it repositions dietary diversity as a higher level outcome above the delivery of services. It also places the improvement of policies (as outcomes) as a necessary precondition for the improvement of services (at specific objective level).

Figure 2: Proposed Theory of Change



Annex 6: Geographic Map Showing Luapula and Southern Province



Source: <http://www.vidiani.com/zambia-map-with-provinces/>

Annex 8: Literature and documentation consulted

The International Federation of Red Cross and Red Crescent Societies (IFRC) Information bulletin Zambia: Food Insecurity, 18th September 2019
PEP II Strengthening the capacity of the staff of the Policy Analysis Units in the Ministries of Agriculture and Fisheries and Livestock in Policy Analysis, Monitoring and Evaluation and identification of policy studies on issues of critical importance to the ministries. INCEPTION REPORT Daniel Njiwa 30 May 2018
Eu Final Evaluation of PEP and Operationalisation Of PEP II, Final Evaluation Report & Strategic Recommendations for PEP II JULY 2016
EU Zambia Access to Finance Study for partner Country Zambia Final Report January 2019
Ministry of Agriculture and Co-Operatives, The National Agriculture Policy 2012-2030
Ministry of Agriculture, The National Agricultural Extension & Advisory Services Strategy 2016 to 2020.
Ministry of Fisheries and Livestock, National Livestock Development Policy, Lusaka, 2019
Ministry of National Development Planning Seventh National Development Plan 2017-2021
National Food and Nutrition Commission of Zambia The First 1000 Most Critical Days Programme (Mcdp) li “Zambia’s Five-Year Flagship Stunting Reduction Programme” 2018-2022 March 2017
PEP II A Road Map & Action Plan for Efficient Public – Private Cooperation/Service Delivery in Providing Extension Services Daniel Njiwa 30 NOVEMBER 2018
PEP II Consolidated ROM Report March 2018
PEP II Financial Operational Procedures Manual
PEP II Six-Month Interim Progress Report 1st May – 31 October 2017
PEP II Six-Month Interim Progress Report 1st May 2018 – 31st October 2018
PEP II Six-Month Interim Progress Report 1st May 2018 – 31st October 2018
PEP II Six-Month Interim Progress Report 1st November 2017 – 30 April 2018
PEP II Six-Month Interim Progress Report November 2016 to April 2017
PEP II Six-Month Interim Progress Report 1st May 2019 – 31st October 2019 DRAFT
PEP II Terms of Reference Conduct a Functional Review of the Ministry of Agriculture and the Ministry of Fisheries & Livestock which includes the Development of Institutional Re-Structuring Proposals & Capacity Building of the Human Resources Departments
PEP II Training Needs Assessment, Training Strategy and Package of Tailor-Made Courses for Field Staff in the Ministry of Agriculture and the Ministry of Fisheries and Livestock, Inception Report Piet Stevens, 6th August 2019
PEP II Training Needs Assessment, Training Strategy and Package of Tailor-Made Courses for Field Staff in the Ministry of Agriculture and the Ministry of Fisheries and Livestock. Training Needs Assessment Report Piet Stevens, 4th October 2019
Policy Analysis in Agriculture, Daniel Njiwa PowerPoint Slide Presentation
Policy Formulation Process, Daniel Njiwa PowerPoint Slide Presentation

Annex 9: Other technical annexes

Table showing PEP II Expected Achievements

Result level	Result description	Expected Achievement (Without MTE Recommendations)	Expected Achievement (With MTE Recommendations)	Comments
Overall objective	Reduced rural poverty and enhance food and nutrition security	Unlikely to be met	Unlikely to be met	<ol style="list-style-type: none"> 1. Not much progress made to-date 2. Only one agricultural season is remaining
Specific Objective	Improved service delivery to smallholder farmers towards increased productivity and enhanced diversity of Zambia's agricultural sector	Unlikely to be met	Likely to be met to some extent	<ol style="list-style-type: none"> 1. Capacities have been built for updating farmer register, and mainstreaming nutrition into extension service delivery up to block level and among new extension personnel through colleges 2. Use of capacity to improve service delivery is incumbent upon government disbursing allocated resources 3. Government is currently under fiscal austerity measures 4. MTE recommends results-based financing of PEP II to ensure PEP II outputs are prioritised and achieved
Outcomes PE	1: Improved use of evidence in MAL to drive policy enhancement	Likely to be met to a very small extent	Likely to be met to some extent	<ol style="list-style-type: none"> 1. Livestock census results likely to inform Cabinet processes for approving the Livestock Development Policy 2. Cabinet approval of sector policy and planning documents is slow 3. PEP II has not yet commissioned policy reform-oriented studies on issues of critical importance to the two ministries 4. Anecdotal evidence exists of the use of the information in the farmer register to guide FISP

Result level	Result description	Expected Achievement (Without MTE Recommendations)	Expected Achievement (With MTE Recommendations)	Comments
	2. Enhanced co-ordination of extension services	Unlikely to be met	Likely to be met to some extent	1. PEP II not yet begun building coordination capacities 2. E-extension portal will enable agricultural experts to share information with extension personnel and farmers 3. Implementation of National Agriculture Extension Strategy printed (4,000 copies) and disseminated in 2017 through PEP II support may improve coordination of extension services 4. PEP II delivery of CEO training and tablets may assist coordination.
	3. Improved mainstreaming of nutrition into policy and programmes at district level	Likely to be met to some extent	Likely to be met	1. New Livestock Policy Document mainstreams nutrition 2. Capacities have been created and annual district level work plans for both ministries mainstream nutrition 3. Allocation of resources to nutrition activities has been achieved, but disbursement is pending and is assumed to be released 4. Disbursement of resources to nutrition might be achieved if MTE recommendation to introduce results-based financing of PEP II is implemented.
Results TA	1: Improved use of evidence for policy making, planning and budgeting	Likely to be met to a very small extent	Likely to be met to some extent	1. Livestock policy document mainstreaming key nutrition statistics but not yet approved 2. Cabinet approval of sector policy and planning documents is slow in Zambia 3. PEP II policy reform-oriented studies are few
	2. Enhanced management, coordination and quality of public extension services	Likely to be met to a very small extent	Likely to be met to some extent	1. PEP II not yet begun building coordination capacities 2. E-extension portal will enable agricultural experts to share information with extension personnel and farmers 3. Implementation of National Agriculture Extension Strategy printed (4,000 copies) and disseminated in 2017 through PEP II support may improve coordination of extension services

Result level	Result description	Expected Achievement (Without MTE Recommendations)	Expected Achievement (With MTE Recommendations)	Comments
	3. Strengthened nutrition-sensitive services and policies across the agriculture and livestock sectors	Likely to be met to some extent	Likely to be fully met	<ul style="list-style-type: none"> 1. New policy documents are mainstreaming nutrition 2. Annual work plans are mainstreaming nutrition 3. Allocation of resources to nutrition activities has been achieved, but disbursement is pending - assumed this will be released as part of this analysis. 4. Disbursement of resources to nutrition might be achieved if MTE recommendation to introduce results-based financing of PEP II is implemented.
Key Outputs PE	1. Capacity built in policy and analysis, planning, budgeting standards and tools, Farmer Registration, M&E, Agricultural Statistics and Early Warning Systems	Likely to be met to some extent	Likely to be met to a large extent	<ul style="list-style-type: none"> 1. Two M&E and Planning workshops have been held for each ministry 2. None of the activities under Activity 1.2 (<u>strengthening of planning and budgeting standards and tools</u>) have been implemented, only 1.2 is likely to be implemented if Addendum V is approved, if not approved then the activities are all behind schedule 3. Farmer registration training as been carried out, plans are on track to do second round updating of the farmer register, this Activity is likely to be fully achieved by end of the project 4. Work on the development of a costed action plan for the development of a statistical and early warning unit in the PPD of MFL not yet started, but likely to be completed by end of project, but there will be limited time to operationalise it
	2. Capacity built in extension management, joint research-extension planning and dissemination	Unlikely to be met	Likely to be achieved to a very small extent	<ul style="list-style-type: none"> 1. Work on institutionalising joint research-extension planning and strengthening dissemination has not yet started, and partially on hold pending approval of Addendum 5

Result level	Result description	Expected Achievement (Without MTE Recommendations)	Expected Achievement (With MTE Recommendations)	Comments
	3. Capacity built to mainstream nutrition into policy and into services at district level	Likely to be met to a large extent	Likely to be fully met	<p>1. Training of core technical staff in the two ministries and other nutrition cross-cutting technical and advisory staff on mainstreaming nutrition into planning and implementation of agriculture, fisheries and livestock activities has been completed up to block level in the two pilot provinces and up to provincial level in all provinces of the country.</p> <p>2. At least 4 Strategic ministry documents had already mainstreamed nutrition by the time of the MTE (these include the Livestock Development Policy, and Strategic Plans 2019-21 for both Ministries)</p> <p>3. All provinces mainstreamed nutrition into the 2019 Annual Work Plans</p> <p>4. The challenge is lack of disbursement of resources through the government fiscus to operationalise the plans at district level</p> <p>5. Except for the post of camp extension officer, staffing for nutrition technical and advisory services has not increased at all levels due to austerity measures</p> <p>6. Anecdotal evidence exists of some district and block level staff of both ministries conducting community outreach activities with support from NGO projects, that mainstreams nutrition into extension services, but at a low scale due to funding constraints</p>

Suggested TA Theory of Change

Level in Logical Hierarchy

Linkage to Evaluation Criteria

Overall objective

Improved service delivery to smallholder farmers reducing rural poverty and enhancing food and nutrition security

Impact

Specific objective

Provide support for the implementation of the Multi Annual Programme Estimate.

Effectiveness

Results

1: Build capacity in evidence based policy making, planning and budgeting

2. Build capacity for enhanced management, coordination and quality of public extension services

3. Build capacity for strengthened nutrition-sensitive services and policies across the agriculture and livestock sectors .

Efficiency

Suggested TA Logical Framework

	Logical Hierarchy	Indicators	Means of Verification	Assumptions
Overall objective	Improved service delivery to smallholder farmers reducing rural poverty and enhancing food and nutrition security	Incidence of rural poverty	GRZ reports i.e. Living Conditions Monitoring Survey.	Funding is available to allow use of capacities, sufficient good will exists between partners to allow implementation
		Stunting prevalence of children under five years of age	Demographic Health Survey	
		Numbers of smallholder farmers using extension messages to improve production and productivity	End line survey	
Specific Objective / Purpose	Support the implementation of the Multi Annual Programme Estimate	% of PE outputs / results delivered according to plan	Comparison of actual to planned PE results	
		% of PE activities implemented according to plan	Comparison of actual to planned PE activities	
		Level of actual PE budget expenditure compared to planned expenditure	Comparison of PE actual and planned expenditure	
Result 1.	Build capacity in evidence-based policy making, planning and budgeting	% of targeted Ministry staff involved in policy making, planning and budgeting that report successfully using training messages provided by the TA	Ex post follow up sample surveys with Ministry staff	
		% of targeted Ministry staff involved in policy making, planning and budgeting that report successfully using procedures supported by the TA		

	Logical Hierarchy	Indicators	Means of Verification	Assumptions
		% of targeted Ministry staff involved in policy making, planning and budgeting that report effectively using equipment provided by PEP II		
Result 2.	Build capacity for enhanced management, coordination and quality of public extension services	% of targeted Ministry staff involved in extension that report successfully using training messages provided by the TA % of targeted Ministry staff involved in extension that report successfully using procedures supported by the TA % of targeted Ministry staff involved in extension that report effectively using equipment provided by PEP II	Ex post follow up sample surveys with Ministry staff	
Result 3.	Build capacity for strengthened nutrition-sensitive services and policies across the agriculture and livestock sectors	% of targeted Ministry staff involved in nutrition that report successfully using training messages provided directly or indirectly by the TA % of targeted Ministry staff involved in nutrition that report successfully using procedures supported by the TA % of targeted Ministry staff involved in nutrition that report effectively using equipment provided by PEP II	Ex post follow up sample surveys with Ministry staff	

Annex 10: Detailed Answers to the Evaluation Questions

	Criteria	Indicators	Detailed Findings
1. Relevance			
1.1. The evaluation should consider the appropriateness of the PEP II programme in relation to the needs and priorities of the beneficiaries, and to the policy environment within which they operate.	Consistency of PEP II support with (i) beneficiary needs and priorities in terms of food security and nutrition and (ii) with policy	Food security and nutrition indicators including incidence of rural poverty, % of children under 5 who are stunted, minimum acceptable diet and Crop diversification index. Extension to farmer ratio.	<p>PEP II intervention logic based on the Mid Term Evaluation ToR Annex VI: Logical Framework Matrix. This logic is based on PEP II delivering three key outputs. The first is capacity building and technical assistance to (i) strengthen policy and analysis, planning and budgeting standards and tools; (ii) develop the Ministries Farmer Registration and (iii) strengthen Ministry M&E Agriculture Statistics and Early Warning Systems. The second key output supports training and provision of equipment to improve extension management, institutionalise joint research-extension planning and strengthened dissemination. The third key output focuses on technical assistance and training to mainstream nutrition into policy and into services at a district level. By delivering these outputs it is expected that there will be improved use of evidence in the Ministries to drive service delivery. Enhanced capacity is also expected to better coordinate extension services. Delivery of the third nutrition related output is expected to increase dietary diversity in women and children in poor rural households. The intervention logic suggests that the occurrence of these outcomes will lead to increased productivity and enhanced diversity in Zambian agriculture and help contribute to reduced poverty and improved food and nutrition security.</p> <p>The PEP II overall objective to support GRZs policy reducing rural poverty and enhancing food and nutrition security remains relevant. The deteriorating food and nutrition security situation in Zambia at the time of the MTE resulting from a short fall in rains shows that achieving this overall objective is increasingly important.</p> <p>Changes in the financial position of the GRZ challenge the assumptions made in the PEP II PE and TA logical frameworks at objective levels. The PE logical framework assumes a level of financial, organisational, and human resources can be mobilised by the Government that are adequate to sustain reforms advocated by the project over the longer term. The TA logical framework assumes MoA and MFL have adequate capacity to absorb reforms and foster their operationalisation. Financial restrictions have challenged the operationalisation of PEP II results, such as building the capacity of front-line extension staff in nutrition as these employees lack sufficient funds to visit farmers.</p> <p>The PEP II is seeking to increase smallholder farmer access to public extension services through e-extension services, strengthened research/extension linkages and strengthened training provision to frontline staff. There are currently 2701 agricultural camps manned by camp extension officers serving smallholder farmers. This would give a national average of 800-900 farmers per camp extension officer, although some provinces, (for example Luapula reported 450 to 700 farmers per camp officer) have better CEO/farmer ratio. On average a camp has 30-40km radius; and Provincial and District authorities reported that most camps have no motor bikes which greatly limited the ability of CEO's to physically interact with farmers. It was evident that the purpose of the Action was relevant. The E-extension is clearly relevant as it has potential to improve farmer access to extension services provided both the CEO's and farmers are able to access internet services on their mobile phones and other ICT devices. The project is also investing in tablets targeted at CEO's and this has potential to further motivate the frontline field staff that are currently constrained by lack of mobility. The planned induction and refresher training of frontline staff is a clear need as shown by the TNA Report of September 2019.</p> <p>From the field level, farmers consulted for example in Mansa and Kawambwa Districts expressed great need for information on commodity markets, prices, inputs and soils as well as practical training on farming of new varieties and crops and draught power to expand their cropping area. Improved research/extension linkages and dissemination of research-based extension messages through the e-extension system would go a long way to meet the needs of farmers. E-extension will complement more practical approaches like adaptive research, on-farm demonstrations, field days and farmer to farmer learning that are needed especially given the low literacy levels and limited communication networks in some of the camps.</p>

		<p>For the Livestock sector the e-extension system has an application on animal identification and traceability which is under development. Key informants in the MFL indicated that this was driven by demand from parliamentarians, police, farmer organizations and farmers that are concerned about the high rates of livestock thefts. The system would also be useful for disease surveillance and was reported to be working well in Namibia and Swaziland.</p> <p>There is no question about the need for government to intensify efforts to scale-up nutrition in Zambia given that the Zambia Demographic Health Survey (ZDHS) of 2018 found 35% of children under the age of five years stunted⁸³, and 12% severely stunted (below -3 SD) with some provinces (such as Northern Province) even reaching 46%, and rural areas worse off than urban. The bigger question answered by this evaluation was one of the approach used in PEP II to address this challenge.</p> <p>Among the major causes of the high proportion of children that are stunted were found to be poor diets, coupled with inappropriate infant and young child feeding practices in the first 1,000 days of a child's life. According to the ZDHS 2018, only 12% of children age 6-23 months met the criteria for a minimum acceptable diet. Children age 18-23 months (8%) were much less likely than children in other age groups to consume an acceptable diet (12%-16%).</p> <p>One of the major underlying causes of these drivers of poor diets and stunting has been the gap in knowledge of nutrition, not only among rural households (where stunting prevalence is highest), but front-line staff of government who provide extension services on health and nutrition, on one hand, and agricultural production (crop and livestock) on the other.</p> <p>PEP II is trying to address these drivers by directly tackling the knowledge gap on nutrition, including causes of malnutrition, importance of production of a diversified food basket, positive nutrition purchasing behaviours, recommended food preparation methods and feeding practices (among others). One of the interventions is mainstreaming nutrition into the pre-service training curriculum and delivery the training through 9 agricultural colleges (the 10th is supported by a project funded by USAID). This intervention targets front-line extension workers who play a crucial role at community level as change agents. The only limitation of this approach is that the extension workers are poorly resourced and too few to reach out to large numbers of farmers. In Southern Province, the camp extension officer-to-farmer ratio was estimated at 1:1500, by the Provincial Agricultural Coordinator, and 1:1746 by the District Agricultural Coordinator (DACO) for Kalomo District. The extension workers do not have functional motor-cycles, nor daily subsistence allowances to do meaningful community outreach⁸⁴. Hence the in-service training strategy is relevant to the extent that the CEOs are able to reach out to large numbers of farmers (possibly through farmer groups, cooperatives or zonal leaders).</p> <p>Mainstreaming of nutrition into the training curriculum of agricultural colleges that are offering certificate and diploma courses in agriculture is highly relevant to the needs in rural Zambia, where the diet is predominantly starch-based. The strategy is consistent with the priorities of government as enunciated in Strategic Direction One of the National Food and Nutrition Strategic Plan (NFNSP, 2017 - 2021) and the second Phase of the First 1000 Most Critical Days Programme (MCDP II) for Zambia which has prioritized <u>dietary diversification through nutrition-sensitive agriculture</u> as one of the six high-impact interventions that have evidence of reducing stunting. The importance of training of frontline extension staff is further corroborated by a recent training needs assessment study commissioned through PEP II which was conducted in October 2019⁸⁵. The study confirmed that knowledge of human nutrition is limited among front-line extension workers and their supervisors in the two PEP II pilot provinces (Luapula and Southern) and the four districts sampled for the study (Choma, Monze, Samfya and Kawambwa). The gaps included skills and approaches to mainstream nutrition in extension messaging to farmers, healthy and safe food handling, food processing, and gender equality in nutrition.</p>
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⁸³ Children whose height-for-age is below minus 2 standard deviations (-2 SD) from the median of the reference population are considered short for their age, or stunted, which is a condition that reflects the cumulative effects of chronic malnutrition. Children whose height-for-age falls below minus 3 standard deviations (-3 SD) from the median of the reference population are considered severely stunted.

⁸⁴ Whilst nutrition is budgeted for, disbursements are limited.

⁸⁵ Stevens, Piet (2019). Training Needs Assessment, Training Strategy and Package of Tailor-Made Courses for Field Staff in the Ministry of Agriculture and the Ministry of Fisheries and Livestock, conducted by Piet Stevens. 4 October 2019.

		<p>PEP II advocated for the repositioning of the Food and Nutrition Unit (FNU) (originally in the Ministry of Agriculture before the ministry was split into two) to ensure the establishment of a cross-cutting technical and advisory service across both ministries (covering agriculture, fisheries and livestock). Common practice in the Southern Africa region as regards the setting up of nutrition units shows it is more effective when each ministry sets up its own nutrition desk to coordinate core nutrition actions assigned to that sector ministry with the rest of the government. Supporting the creation of a nutrition unit within the fisheries and livestock is a noble initiative provided the government has resources in the budget to support the positions proposed, and is receptive to the idea. The slow response by the Ministry of Fisheries and Livestock in taking action on options for the repositioning of the Food and Nutrition services presented by the TA support to PEP II⁸⁶, raises questions about the level of priority given to the review of the mandate and repositioning of the FNU.</p> <p>Improving diets requires a significant investment in creating the right messages and disseminating them through appropriate channels accessible to the target groups for behaviour change. PEP II collaborated with FAO to generate the evidence needed to develop key messages from the Food Based Dietary Guidelines developed with support from FAO and these have been tested in Lusaka and Chongwe, and further testing is planned in Luapula in November 2019. As the key messages and visuals are being tested, the envisaged consumers of the information are being consulted on the most appropriate channels for delivery of the messages. This approach is relevant given that channels that will be used are those recommended by the users of the information. One question that could be asked none-the-less is about the added value of PEP II on an activity (Food Based Dietary Guidelines) where FAO was already working. PEP II was able to use this activity to further the capacity building activities it was directing to the core staff with a mandate of mainstreaming nutrition, especially the members of the Technical Working Group who have been involved in developing and testing the nutrition messages and visuals.</p> <p>Another activity supported by PEP II under Result 3 was the organisation and convening of the quarterly meetings of the Nutrition Technical Working Group. This group was established under the SUN initiative, but was no longer meeting due to lack of resources. PEP II support filled a critical funding and technical assistance gap. Members had little understanding of ideal composition of the TWG, roles and responsibilities of other departments in Government, and PEP II used the platform to advocate for more commitment and support from other critical departments that were supposed to participate.</p> <p>The meetings of the TWG focused on discussing progress made, upcoming projects and planned events in order to coordinate the multi-sectoral approach to nutrition. PEP II also used the platform to develop training manuals and deliver the training that was aimed at enhancing knowledge of key staff at national and subnational levels on nutrition-sensitive agriculture. Enhancement of such knowledge is essential for budgeting for nutrition and ensuring that resources are allocated accordingly. PEP II also ensured that TWG members were given exposure to the real issues at community level, by organising for them special learning visits to interact with communities and see the challenges that farmers are experiencing in their efforts to increase production of livestock and fish. This field visits were appreciated for being very relevant in giving the TWG members first-hand information on what their roles should be to address the challenges faced by farmers.</p> <p>PEP II also supported the convening of a national advocacy conference on nutrition targeting the highest level of government (the President) to give strategic directives on funding to sector ministries. This intervention was very relevant in that one of the biggest gaps in nutrition programming in Zambia is inadequate funding for nutrition through both the central local government budgets, and this results in less than optimal coverage of core nutrition actions. It is for this reason, MCDP II has identified: (1) improving policy, coordination, financing and partnerships; and (2) improving coverage and quality of priority high-impact nutrition interventions, as some of the five critical objectives to be tackled. The evaluation findings point to the fact that advocacy on increasing funding for nutrition at the highest</p>
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⁸⁶ Technical Assistance (TA) to Support the Performance Enhancement Programme for the Ministry of Agriculture and Ministry of Fisheries and Livestock for Better Service Delivery to Farmers Contract Number: FED/2016/378-217. Zambia. Six-Month Interim Progress Report, 1st May 2018 – 31st October 2018.

			<p>level is probably the single most important and necessary condition for the effectiveness and sustainability of any public sector capacity building initiative to promote nutrition programming. If resources are not increased for nutrition, any capacity building initiative is unlikely to achieve its full potential in terms of impact as government staff will not have the resources to implement activities they will have planned to realise the nutrition objectives.</p>
<p>1.2. In assessing the quality of project design, the evaluation should investigate the coherence of the intervention logic, quality of the planning documents and appropriateness of the institutional arrangements. (Additional) Are the roles of the two Ministries, NAO and TA clear and contribute to effectiveness?</p>	<p>Logic of programme design, document quality and usefulness and institutional arrangement s</p>	<p>Level of logical hierarchy in design, levels of institutional overlap / gaps in arrangement s, levels of document use, levels of clarity in roles and responsibilities</p>	<p>Based on the intervention logic, the Evaluation team formulated a Theory of Change (TOC) (Figure 1) to guide the assessment. This TOC shows the outputs that should be produced by PEP II and the resulting intended outcomes. For nutrition; the TOC positions dietary diversity as a higher-level outcome above the delivery of services. It also places the improvement of policies (as outcomes) as a necessary precondition for the improvement of services (at specific objective level).</p> <p>The PE and TA components of PEP II target similar results in their approach. Result 1 aims to build capacity in policy, analysis, planning and budgeting standards and tools, develop MOA/MFL's Farmer Registration, strengthen MOA/MFL's M&E Agriculture Statistics and Early Warning Systems. The improved use of evidence for policy making, planning and budgeting is emphasised. This result area is relevant.</p> <p>The overall quality of project design is good. The intervention logic is understandable being based on increasing capacity to improve policy and service delivery as a way of addressing poverty and food and nutrition security. Project design could enhance clarity to say more specifically which capacities it intends to build at a result level and how these changes will be measured.</p> <p>The quality of planning documents used by PEP II is mixed.</p> <p>It is unclear why PEP II has two similar but different logical frameworks. The PE and TA purposes as given in the MTE ToR⁸⁷ are similar as is the intervention logic used in the two logical frameworks. To increase clarity one harmonised logical framework could be produced. Alternatively, the purpose statements for the PE and TA components could be made more distinct. The TA logical framework could then more clearly reflect the support role and specific deliverables (outputs or results) that this component of PEP II should produce. MTE findings suggest that implementation may have been smoother if the PE logical framework showed how PEP II would achieve its goal and the TA logical framework (or another planning document) clearly communicated how the TA would support the PE.</p> <p>A lot of attention has been given to detailed activity level plans and good quality planning documents have been produced. These include the 2017 TA Inception Report and the six-monthly progress reports. Other documents that support planning are not of the same quality. Logical frameworks present some baseline and target information that could be more complete. The PEP II baseline presentation seen during the MTE did not appear to be focused on PEP II. Links to logical framework indicators were unclear and at times the information reflected a more general situation analysis. The baseline report has not been seen by the MTE team. It is hoped that information from the baseline report can be used to populate PEP II logical frameworks. The baseline has also been performed after implementation mid-point.</p> <p>Institutional arrangements are inappropriate. In particular, TA institutional arrangements need to change to enhance the performance of PEP II.</p> <p>Institutional arrangements have undergone significant change over the PEP II implementation period due to the target Ministry dividing into two and the move of the TA into NAO offices. The division into two ministries has challenged efficient implementation with implications for relevance. Ministerial institutional arrangements are complex. Alternates existing for the two EDF Imprest roles that the PIU reports to regarding the PE. These alternates are divided between the Ministries. In addition, a TA managerial role is filled by a</p>

⁸⁷ See MTE ToR page 3 and 4

		<p>member of the MFL.⁸⁸ PEP II has had to balance support equally between ministries. An approach focused on tailoring assistance to specific capacity needs that vary between Ministries would have been more appropriate.</p> <p>The design of the Extension Services intervention (e-extension & in-service training) although HQ driven, the target of the planned refresher training is frontline field staff in particular camp, block and district officers. Development experience indicate that the trickle-down effect particularly in large government institutions takes a long time to get to the frontline staff and farmers. The observation from the field show that the main interface of extension and farmers is at District, Block and Camp levels. This may therefore suggest that the design of the extension services capacity development component should be focused and driven by these levels for it to achieve the desired increase in productivity at the farm level. For example, investment in district level multi-stakeholder innovation platforms have potential to foster research and extension linkages as well as collaboration between stakeholders (research, extension, commodity market actors, agro-dealers, farmer organizations) to tackle locally relevant issues and farmer's bottlenecks in key value chains of the respective districts. The planned (PEP II- TNA driven) induction and refresher training program envisages mass country-wide training of frontline staff as opposed to a district specific program driven by local stakeholders and locally relevant issues and needs. The District level innovation/change platform is close to the camp/farmer level interface and has sufficient authority to make the case for needed changes in the extension delivery system.</p> <p>The design of the nutrition component in theory consists of the essential building blocks needed to strengthen the strategic direction and technical capacity within MoA and MFL to promote nutrition-sensitive services and policies across the agriculture, fisheries and livestock domains of government services.</p> <p>Under Result 3 of PEP II, project was configured in such a way as to strengthen the position of food and nutrition in national policies, support the government to create an effective institutional structure to mainstream nutrition, advocate for an increase in resource allocation to nutrition at central and local government levels, institutionalise the integration of nutrition into the curriculum for pre-service training of front-line staff across crop, livestock and fishery domains, design and provide in-service training to enhance the planning, budgeting, coordination and delivery of nutrition cross-cutting technical services in the two ministries targeted, as well as more generally in the context of the Nutrition Technical Working Group. This combination of activities as per design of Result 3 has some of the essential elements needed to scale-up nutrition. What is missing in the design is a component of in-service training of the front-line extension staff, especially the camp extension officers and community-based workers providing technical advice to farmers in fisheries and livestock. While advocacy for resource allocation to nutrition was foreseen and promoted through the national high-level conference attended by the President of Zambia, what is missing from the design is the tracking of policy commitments on funding of nutrition, and supportive instruments to buttress implementation. The advocacy strategy should be more comprehensive (and not singular events) so that the recommendations made by PEP II to government are supported with the necessary combination of actions and instruments to drive real change at the higher level of government. Without a stronger advocacy strategy, capacity development at the lower levels of government will not yield much as the application of new knowledge and skills that have been acquired requires strong political will, consistency of policy direction and above all funding. The evaluation has noted these three as the most critical gaps affecting effectiveness of PEP II.</p> <p>Are the roles of the two Ministries, NAO and TA clear and contribute to effectiveness?</p> <p>The designation of officers in the two ministries to serve as focal points and counterparts of the TA Team is a noble development. Discussions with one of the counterparts, assigned to work with the TA expert responsible for Result 3, revealed clear understanding of roles and responsibilities and satisfaction with the joint implementation approach that is contributing to effectiveness. In addition, some specific activities to educate the two ministries on their roles were included in the project. For example, under Result 3, the project included an activity on the expansion of the composition of and support to the Nutrition Technical Working Group (NTWG) (created under</p>
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⁸⁸ The TA report to this person in addition to the PIU Programme Manager.

			<p>the SUN initiative but had become dormant) in its new mandate to promote agriculture links. This work included a review of the terms of reference for the NTWG, defining the mandate of the two ministries, determining the technical staff from the two ministries who should join the NTWG, and orienting them on their roles and responsibilities. This activity also defined the overall function, frequency of meetings and agenda of the NTWG. Given the new mandate and clarity of functions, staff from the human resources, and policy and planning divisions that were previously excluded during SUN, were included.</p> <p>The approach to implementation of PEP II activities has been inclusive, encouraging direct involvement of the most relevant staff in government, as well as technical committees and working group members who are best placed to serve as change agents on nutrition (policy, funding, implementation, M&E). A good example is the deliberate involvement of the Technical Working Group of the two ministries in the design and delivery of (re)training modules for the staff engaged in the Food and Nutrition Cross-cutting Technical Service. Cross-cutting staff included all others important for pathways to enhance their understanding of nutrition issues in Zambia, clarify their roles, and improve knowledge on what they need to make a better contribution to nutrition going forwards. Such clarity was brought to all essential staff at the provincial, district and block levels in the two pilot provinces using the ToT approach.</p>
1.3. Was gender equality taken into account and included throughout the Action (design, implementation and monitoring)?	Levels of gender inclusion in design, implementation and monitoring, % of female involvement	Levels of gender inclusion in design, implementation and monitoring.	<p>The design of PEP II included an activity to explicitly tackle gender mainstreaming. This was: <i>Review, update and operationalisation of the Gender Mainstreaming Guidelines and to ensure dissemination and staff awareness within both Ministries from national, to camp levels</i>. The scope of the activity would address systemic issues of awareness, mainstreaming of activities funded by the action as well as those funded by government and other agencies in the two ministries, review of indicators in each division of the ministry to track gender equality and continuous provision of information on key gender mainstreaming messages through IEC materials such pamphlets and poster. What appeared missing was strong advocacy to finalise and apply the guidelines that were reviewed by the TA team. The 6 monthly progress report on PEP II (May 2018 to October 2018) confirms this point as follows: “<i>The TA reviewed the draft Gender Mainstreaming Guidelines and provided comments and the way forward to the gender focal points in both Ministries during the previous reporting period. No progress has been made as both focal points are over-occupied with other duties. The TA proposes that maybe new gender focal points should be considered</i>”.</p> <p>The 6-monthly progress reports of the TA Team do not show that gender mainstreaming is being systematically addressed in implementation and reporting. The progress reports do not have any gender-disaggregated data on achievements (outputs and outcomes). Gender equality is not mainstreamed into progress reporting. If this was done, sex disaggregated information would (as a minimum) be provided in all sections of the report dealing with training, and changes in knowledge, attitudes and behaviours. In addition, where committees or technical working groups are covered, the report would allude to the age and sex composition of these. The Action collects gender disaggregated data for example on farmer register and livestock survey census.</p>
1.4. (additional) Is the focus on the farmer database relevant?	Potential uses of the data base, uses of the database. Who uses it and what for? Relevance to Govt policy.	Number of users, type of user. Consistency with other Govt policy.	<p>The farmer data base is the backbone of the FISP program and a base of the e-extension system that is under development. In addition, the farmer register is already being used by field extension staff to better target their extension interaction with smallholder farmers. The farmer register and e-extension is consistent with government policy that is prioritizing e-government.</p> <p>Is the focus on the farmer database relevant?</p> <p>From a nutrition perspective, the farmer register can be a crucial tool to gather information on diversity of production and guide the selection of interventions that should be promoted in various parts of the country to address dietary diversity. The activities under Result 3, however, do not speak of how the farmer register is being used to enhance nutrition planning and coordination, at national, provincial and district levels. The main purpose and value created by the register appears to be elimination of double dipping which was prevalent before the real-time electronic register was set-up. This is one of the areas where potentially further work may be required to strengthen synergies between the activities under the three components of the Action. It is good to note that there were good efforts by the project to link and combine training needs assessments envisaged under Results 2 and 3, and to deliver them as a combined activity under Result 2.</p>
2. Efficiency			

<p>2.1. The evaluation should establish whether the results have been obtained at reasonable cost and in the most appropriate way, i.e. how well means and activities are converted into results, and the quality of the results being achieved.</p>	<p>Cost comparison to similar projects. Comparison to local prices. Comparison to other approaches. Quality of college materials.</p>	<p>Cost ratios compared to similar interventions. Costs compared to local prices. Costs of alternative approaches.</p>	<p>When the cost of TA and that of the PE are compared, according to the design 0.44 Euro cents were supposed to be spent on TA for every Euro spent on the PE activities. However, by 31 October 2019, Euro 1.24 of TA budget had been spent per every Euro spent on PE activities. The three –fold increase was partly a result of the suspension and partly a result of delays in approval of PE activities, which was reported in several progress reports of the TAT.</p> <p>There is also a mis-match between the amount of implementation time that has lapsed and budget absorption or the “spend-rate”. For the TAT, while 67% of the project life had been used by 31 October 2019, approximately 75% of the budget had already been spent. The converse was true for the PE where expenditure seriously lagged behind the time lapse, at 28% of budget and 63% of project life, respectively.</p> <p>See cost analysis in the main report.</p> <p>PE Costs</p> <p>Summary table of budget consumption by budget heading in Zambian Kwacha</p> <table border="1" data-bbox="696 627 1796 1431"> <thead> <tr> <th data-bbox="696 627 779 938">Code</th> <th data-bbox="779 627 1021 938">Title</th> <th data-bbox="1021 627 1144 938">Programme estimate budget -1</th> <th data-bbox="1144 627 1267 938">Previous records -2</th> <th data-bbox="1267 627 1391 938">Current record -3</th> <th data-bbox="1391 627 1514 938">Sum total of records (4) = (2) + (3)</th> <th data-bbox="1514 627 1637 938">Available balance (1) – (4)</th> <th data-bbox="1637 627 1796 938">Rate of consumption (%) (4) / (1)</th> </tr> </thead> <tbody> <tr> <td data-bbox="696 938 779 983">1</td> <td data-bbox="779 938 1021 983">ACTIVITIES</td> <td data-bbox="1021 938 1144 983"></td> <td data-bbox="1144 938 1267 983"></td> <td data-bbox="1267 938 1391 983"></td> <td data-bbox="1391 938 1514 983"></td> <td data-bbox="1514 938 1637 983"></td> <td data-bbox="1637 938 1796 983"></td> </tr> <tr> <td data-bbox="696 983 779 1131">1.1</td> <td data-bbox="779 983 1021 1131">Support to policy making, planning and budgeting</td> <td data-bbox="1021 983 1144 1131">1,735,856.52</td> <td data-bbox="1144 983 1267 1131"></td> <td data-bbox="1267 983 1391 1131">247,625.32</td> <td data-bbox="1391 983 1514 1131">247,625.32</td> <td data-bbox="1514 983 1637 1131">1,488,231.20</td> <td data-bbox="1637 983 1796 1131">14.27%</td> </tr> <tr> <td data-bbox="696 1131 779 1279">1.2</td> <td data-bbox="779 1131 1021 1279">Strengthening of Planning and Budgeting standards and tools</td> <td data-bbox="1021 1131 1144 1279">1,171,788.16</td> <td data-bbox="1144 1131 1267 1279">-</td> <td data-bbox="1267 1131 1391 1279">17,887.50</td> <td data-bbox="1391 1131 1514 1279">17,887.50</td> <td data-bbox="1514 1131 1637 1279">1,153,900.66</td> <td data-bbox="1637 1131 1796 1279">1.53%</td> </tr> <tr> <td data-bbox="696 1279 779 1431">1.3</td> <td data-bbox="779 1279 1021 1431">Development and strengthening of the Farmers Registration, M&E, Agriculture,</td> <td data-bbox="1021 1279 1144 1431">22,444,510.91</td> <td data-bbox="1144 1279 1267 1431">-</td> <td data-bbox="1267 1279 1391 1431">8,774,754.91</td> <td data-bbox="1391 1279 1514 1431">8,774,754.91</td> <td data-bbox="1514 1279 1637 1431">13,669,756.00</td> <td data-bbox="1637 1279 1796 1431">39.10%</td> </tr> </tbody> </table>	Code	Title	Programme estimate budget -1	Previous records -2	Current record -3	Sum total of records (4) = (2) + (3)	Available balance (1) – (4)	Rate of consumption (%) (4) / (1)	1	ACTIVITIES							1.1	Support to policy making, planning and budgeting	1,735,856.52		247,625.32	247,625.32	1,488,231.20	14.27%	1.2	Strengthening of Planning and Budgeting standards and tools	1,171,788.16	-	17,887.50	17,887.50	1,153,900.66	1.53%	1.3	Development and strengthening of the Farmers Registration, M&E, Agriculture,	22,444,510.91	-	8,774,754.91	8,774,754.91	13,669,756.00	39.10%
Code	Title	Programme estimate budget -1	Previous records -2	Current record -3	Sum total of records (4) = (2) + (3)	Available balance (1) – (4)	Rate of consumption (%) (4) / (1)																																				
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1.2	Strengthening of Planning and Budgeting standards and tools	1,171,788.16	-	17,887.50	17,887.50	1,153,900.66	1.53%																																				
1.3	Development and strengthening of the Farmers Registration, M&E, Agriculture,	22,444,510.91	-	8,774,754.91	8,774,754.91	13,669,756.00	39.10%																																				

				Fisheries and Livestock Statistics and Early Warning Systems								
			2.1	Strengthening of extension services management	11,785,573.79	-		1,011,339.69	1,011,339.69	10,774,234.10	8.58%	
			2.2	Institutionalise joint research-extension planning and strengthened dissemination	1,584,659.20	-	-	-	-	1,584,659.20	0.00%	
			2.3	Strengthening training provision for MoA and MFL staff	5,869,486.30	-		328,990.50	328,990.50	5,540,495.80	5.61%	
			3.1	FOOD AND NUTRITION INTERVENTIONS	4,324,525.88	-		2,200,013.28	2,200,013.28	2,124,512.60	50.87%	
			4	CHANGE MANAGEMENT	2,094,540.80	-		138,570.16	138,570.16	1,955,970.64	6.62%	
			5	COMMUNICATION AND VISIBILITY	1,749,500.00	-		1,002,550.00	1,002,550.00	746,950.00	57.30%	
			6	INVESTMENT		-		-	-	0	0.00%	
			6.1	Equipment	250,000.00	-		8,030.00	8,030.00	241,970.00	3.21%	
			7	OPERATION COSTS		-		-	-	0	0.00%	

7.1	Staff costs	3,730,49 2.90	-	1,867,11 1.33	1,867,11 1.33	1,863,38 1.57	50.05%
7.3	Office operating costs	618,000.00	-	588,811.76	588,811.76	29,188.24	95.28%
7.4	Vehicle operating costs	744,000.00	-	231,608.32	231,608.32	512,391.68	31.13%
8	Bank charges and exchange differences	100,000.00	-	53,825.00	53,825.00	46,175.00	53.83%
9	Expenditure verifications*	1,046,400.00	-	-	-	1,046,400.00	0.00%
10	Contingencies	1,965,065.54	-	-	-	1,965,065.54	0.00%
	TOTAL	61,214,400.00	0.00	16,471,17.77	16,471,17.77	44,743,282.23	26.91%

TA Costs (Euros)

DETAILS	Nov 2016 - Apr 2017	May 2017 - Oct 2017	Nov 2017 - Apr 2018	May 2018 - Oct 2018	Nov 2018 - Apr 2019	May 2019 - Oct 2019 (est)	Total till Oct 2019	Balance 31 Oct 2019
A. FEES								
Key Experts								
Team Leader	116,850	65,600	123,000	99,425	100,450	111,725	617,050	305,450
Senior M & E Expert	114,800	128,125	62,525	130,175	85,075	124,538	645,238	46,638
Senior Nutrition Expert	74,825	63,550	77,900	74,825	34,850	87,125	413,075	48,175
Non Key Experts								
Senior Non Key Expert	-	-	5,250	69,700	40,800	45,900	161,650	8,350
Junior Non Key Experts	-	-	-	-	-	-	-	60,000
							-	

TOTAL FEES	306,475	257,275	268,675	374,125	261,175	369,288	1,837,013	468,613
B. INCIDENTALS	-	5,496	8,023	12,993	9,161	19,988	55,661	144,339
C.EXP. VERIFICATION	5,000	5,000	5,000	5,000	5,000	5,000	30,000	15,000
TOTAL	311,475	267,771	281,698	392,118	275,336	394,276	1,922,673	627,952

Inception phase activities over an extended period of 8 months were reported by the TA Team to have delayed delivery of the planned outputs of the project to a large extent. While the team needed to familiarise with the project scope, including the activities and resources in the PE, they also needed to gain an early understanding of the changes that had occurred in the operating context, acquaint themselves with the latest EC guidelines (e.g., on nutrition, among others), and recalibrate their approach and methods for delivery of the TA support.

KE3 (nutrition) together with the other experts spent a considerable proportion of the first year of implementation conducting preparatory work, including a comprehensive desk review of project technical documents, receiving briefings from key stakeholders (e.g., senior officials and focal points for PEP II in the two ministries, and the EC Nutrition Advisory Services) to gain insight into what they were already doing in the field of nutrition and programmes funding such initiatives, reworking the PE and drafting the Inception Report. The Inception report presented the reformulated nutrition activities, outlined the approach to TA service delivery, updated the project's log-frame, and presented an updated work-plan with more refined activities for the first year. KE 3 also contributed to the revision of the budget for the PE, aligning it with nutrition sub-activities identified at inception. Some of the time was also spent on the preparing information for the Rider to the PE.

While these efforts, of largely administrative nature, pre-occupied the key experts at Inception, they were in theory important for improving the efficiency of implementation subsequently. The work on the reviewing and refining the PE was necessary as the TA Team were to serve as advisors in respect of the design and delivery of the Programme Estimate. In addition, the first draft of the PE was developed before the mobilization of the TA Team⁸⁹. Hence, the TA Team needed to critically assess suitability of the activities, and advise the two ministries and the EC. According to the TA Team, activities in the PE needed to be prioritized and streamlined for more efficient delivery, and the budgets needed to be aligned accordingly.

While the Inception Phase was initially set for three months, the complexity of the PE realignment process, in an environment where activity expectations exceeded the limited budget allocation, and the split of the Ministry of Agriculture and Livestock into two ministries, created replica departments and units, with different functions but competing for fiscal space and control over the project, the Inception Phase was extended to 8 months which implied that a considerable amount of TA time and cost was devoted to the extension phase before implementation of work-plan activities.

However, the likelihood of efficiency gains set into motion through an enhanced PE, well aligned with the budget, as well as work-plans and implementation methods that were supposedly more realistic in matching the changed operating context, were not upheld through an appropriate institutional structure and the necessary financial and operational systems to safeguard the project against the risk of ineligible expenditures that subsequently led to suspension of implementation of activities covered by the PE budget. This adversely

⁸⁹ Technical Assistance (TA) to Support the Performance Enhancement Programme for the Ministry of Agriculture and Ministry of Fisheries and Livestock for Better Service Delivery to Farmers Contract Number: FED/2016/378-217. Zambia. Six-Month Interim Progress Report: November 2016 to April 2017.

			<p>affected execution of activities, and delayed the achievement of the planned outputs, under all three result areas of PEP II. As with other result areas, Result 3 activities were equally affected by the suspension. For example, only five major activities from the three Result Areas were allowed to continue under the derogation. Of these, Nutrition only had one: “integration of nutrition into the curricula for extension staff in both Ministries”⁹⁰.</p> <p>The suspension of the PE had a predictable crippling effect on planned activities and adverse knock-on effects on the achievement of outputs set out in both the PE and the TA Service Contract. Although some activities continued under a derogation, the project could not be implemented in an integrated, well-sequenced and harmonized manner, as per the revised work-plan produced during the inception period⁹¹. The consequence was loss of value-for-money on activities that were not at risk of fiduciary loss. The suspension, though justified by the magnitude of ineligible expenditures (in excess of Euro 160,000), relating to field level activities of data collection for the farmer register, also strained relations between the major implementing arms of the project. The suspension of some of the activities reduced economies of scale in utilisation of the TA Team resources to support the implementation of the PE activities. Hence the amount spent on TA, per unit of corresponding PE expenditure was higher than planned during the period of the suspension.</p> <p>Many of the activities relating to Result Area 3 were workshops, trainings, and meetings. Costs for workshops/seminars/trainings were kept low by following the principles issued by the EU Delegation on 5 December 2016 regarding the Organisation of Workshops/Seminars/Trainings in the Framework of Projects Financed by the European Development Fund (EDF). As per the general rule laid out by the EUD, workshops/seminars/trainings and similar activities for Result Area 3 (and for other result areas) were organized in the places where the majority of the participants resided and worked. In addition, the workshops/seminars/trainings for provincial staff were organised in provincial capitals that were central not the capital Lusaka. The same was done for district workshops/trainings. This reduced the number of overnight stays and travel needed and kept costs at reasonable levels. For national level meetings, no allowances were paid in those cases where the EU catered for the venues and lunches. For training of lecturers from the nine agricultural training institutions, PEP II used the NRDC as a more affordable venue to reduce costs. Orientation of teaching staff in agricultural training colleges was done on site with three people (facilitators/trainers) coming from Lusaka to provide the orientation using a standard PowerPoint presentation. On site orientation sessions were preferred as an approach because they reached more staff than off-station trainings.</p> <p>Enhancement of the knowledge and nutrition sensitive agriculture of key staff at national and subnational levels was done using a team approach comprising among others, the TAT and TWG members from the two ministries in order to increase value for money. The training covered content such as “Why nutrition matters”, “Why involve the officers in nutrition”, “Policy, programmes and activities that could promote good nutrition”, then it moved to how to mainstream nutrition into the work-plans, budgets and day-to-day operations of the key staff with a role in nutrition. The training was at central and provincial levels and support from PEP II was used to first capacitate the TWG and then divide its members and assign them to provinces to jointly train government staff. Three sessions were held, one in Ksama which covered 3 provinces, then another for the Copperbelt which covered another 3 provinces and lastly, Lusaka which hosted the training of 4 provinces. Each provincial level training had a member of the TWG as a facilitator to ease follow-up⁹².</p>
2.2. It should consider how efficiently the programme has cooperated with other stake holders	Level and quality of interaction with other stakeholders .	Number of meetings / cooperation events with other stakeholders	PEP II has cooperated with FAO to develop the Farmer Register. The engagement has leverage synergies, filled gaps and complemented other programmes. According to the 2 nd six-monthly report of the TAT, “during the (review) period various meetings were held with the Food and Agriculture Organisation (FAO) and Smart Zambia to discuss the operations of the ZIAMIS (ex CASU-FIMS) system, the part played by each supporting organisation (PEP II, FAO and Smart Zambia), overall planning and budgeting. PEP II was assigned to be responsible for the training of sub national staff, kick-starting the data collection exercise and monitoring the training and

⁹⁰ Technical Assistance (TA) to Support the Performance Enhancement Programme for the Ministry of Agriculture and Ministry of Fisheries and Livestock for Better Service Delivery to Farmers Contract Number: FED/2016/378-217. Zambia. Six-Month Interim Progress Report: May to October 2018.

⁹¹ Interviews with the TAT.

⁹² Interview with TAT and also with trainees.

<p>including but not limited to Cooperating Partners, Private Sector etc.</p>		<p>. Quality of interaction (co-activities, co-funding, joint initiatives).</p>	<p>data collection exercise. FAO was assigned to be responsible for application development and training the National level master trainers. Smart Zambia was assigned responsibility for hosting the application and technical monitoring of the application operations”.</p> <p>PEP II is working with a wide range of partners in the development of the e-extension portal. The project is leveraging technical capacity in the development of the e-extension portal from Smart Zambia, the government agency responsible for leading the e-government initiative. Smart Zambia also hosts the farmer register which is linked to the e-extension portal. In addition, the project is working with CABI/Plantwise application which is supporting the development of messaging service as a component of the e-extension system. CABI will fund its component targeting 85 000 smallholder farmers with e-extension messages.</p> <p>PEP II is building on the JICA project that was doing district socio-economic profiles, only 23 districts were still to be completed country-wide and it's planned that PEP II will complete the remaining districts. These district profiles will form the base for updating crop, fisheries and livestock data for the extension service. PEP II is also collaborating with FAO on the review of current public-private-partnerships in research and extension and possible options.</p>
<p>2.3. An assessment should be undertaken of the impact of the Financial & Operational Manuel and whether it is being fully implemented and respected.</p>	<p>Changes resulting from use of the Financial and Operational Manual.</p>	<p>Levels of manual use (who uses the manual and what for). Levels of change resulting from manual use.</p>	<p>The PEP II Financial and Operational Manual has divided opinion with different perspectives found regarding its use. The manual has helped ensure that activity reports are submitted on time⁹³ and some observers suggest it has improved management. However, the manual has also led to a loss of goodwill between TA team members and Ministry staff. The manual has also led to increased administration.</p> <p>The procedures contained in the manual are aimed at improving the technical, operational and financial management of the PEP II PE implementation, and ensuring that the overall operational management of the programme is well-coordinated and managed. The manual was prepared by the TAT with the recommendation that it be reviewed and approved/validated by the Programme, the NAO and the EUD.⁹⁴ At the time of MTE fieldwork the PEP II Financial Accountant reported that an addendum was being prepared to enhance the manual.</p> <p>Feedback received by the evaluators confirms that the new Financial Operational Procedures Manual is being used, especially the 75% and 25% rule for daily subsistence allowance (DSA) paid through the PEP II PE (Box 1). TA MTE respondents report that roles and responsibilities have become clearer and checks and balances tightened to reduce the risk of financial losses on the project through irregular expenditures, and slow/non-recovery of unspent advances.</p> <p>According to the Manual, before the start of a field mission, the focal point - with assistance of the counterpart TA - will analyse how many staff will take part in the mission and in which capacity with the view to ensuring that only those most relevant and needed participate. This provision is being applied, to ensure that participation is substantiated by the roles and inputs to be provided by the experts.</p> <p>Major implementation issues with the manual reported by the PIU Financial Accountant are (i) the 75%/25% ratio and (ii) recipients requiring a bank account. The use of the payment ratio contravenes the terms and conditions of GRZ civil service employment contracts. It also requires civil servants to partially fund their expenses in advance, something reported as notably challenging for junior staff. The need for recipients to have a bank account is reported to have increased administration requirements as clear account information is required. Mistakes in entering this data have led to payment delays, reducing trust and challenging working relationships with intended recipients.</p>

⁹³ Review of the Financial Operations Manual

⁹⁴ PEP II Revised Financial Operational Procedures Manual 19 Dec 2018 (page 10)

<p>2.4. What services, or good have been received or are expected to be received respectively by men and women, boys and girls as a result of this action.</p>	<p>Levels of service delivery.</p>	<p>Number of target beneficiaries receiving services. Types of services being delivered, disaggregated by gender and age.</p>	<p>Levels of service delivery (see progress against logframe targets in the main report)</p> <p>Results: 1, 2&3- Number of target beneficiaries receiving services: The project has reached almost all block and camp extension officers (plus 2000) except the newly recruited officers through the farmer registration exercise which has brought noted benefits at the camp level as well as efficiencies in the FISP program. The nutrition training component has reached agricultural colleges and extension staff at province, district and block level in the two pilot provinces.</p> <p>Major Factors Influencing Efficiency</p> <p>Project Implementation Unit Team Work</p> <p>Levels of team work within the Project Implementation Unit (PIU) are influencing the efficiency of PEP II. MTE respondents commonly report different understandings of the project purpose and its approaches within the implementation team.⁹⁵ Some members of the Technical Assistance team have different perspectives regarding the best way forward (i.e. Addendum 5⁹⁶) compared to the Program Manager (and partner Ministries and the NAO). Different perspectives also exist regarding the Financial and Operations manual. Interviewees regularly point to low levels of trust and mutual respect between PIU members when aiming to find a mutually agreeable way forward. Government respondents report issues to do with TA leadership and attitudes that have limited team work as well as stakeholder engagement and participation in PEP II activities.</p> <p>Role and responsibilities of the TA</p> <p>Different perspectives exist regarding the role and responsibilities of the TA. The TA manager understood the TA role given in their TOR as being to guide and facilitate the PE and accompany Ministry staff in its implementation. This key informant strongly felt the TA did not have an advisory role. This perspective is not shared by the TA team who see themselves as advisors. The difference between providing advice and offering guidance is questionable and reflects the poor interpersonal relationships that exist between the individuals involved.</p> <p>The TA role in developing the financial and operations manual, monitoring expenditures and allowances, suggested as ‘policing’ the PE by some interviewees, and has also contributed to poor working relationships that currently exist both within the PIU and between the TA and staff members within GRZ partner institutions. The Financial and Operations Manual gives the TA a role to ‘sign off on requests to finance activities as per PE that are lodged by the focal points’ and ‘ensure compliance with the rules and procedures as specified in the PRAG and within this manual’⁹⁷ The role adopted by the TA has led to conflict and reduced efficiency.</p> <p>Delays in Receiving Authorisations</p> <p>Meeting EDF (i.e. from Imprest Admin and Accounts) and Ministerial approval requirements has also led to implementation delays. It has been time consulting for the PIU to gain approvals for activities in an environment where key signatories (i.e. Permanent Secretaries) have limited available time. Staff turnover in key positions has also led to more time being needed to agree implementation. Ministry staff that fulfil Imprest Administrator and Accounting Office roles report not given training in the roles they are required to fulfil for PEP II. This led to more time being required for them to understand their position and delay. PEP II planned activities to support M&E are waiting agreement of Strategic Plans. This wait is leading to delay and inefficiency in program delivery.</p> <p>Ministerial Split and Negotiating Complex Institutional Arrangements</p>
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⁹⁵ This is suggested as lead to a lack of clarity and provincial and district levels. In Luapula, although staff were able to share activities they had done with PEP II, they reported there was no coherent road map on where PEP II is coming from, how it was working and where it was going.

⁹⁶ This Addendum calls for the adjustment of activities. MTE fieldwork shows difference perspectives exist regarding the most appropriate adjustments. The Addendum has not been agreed for eighteen months.

⁹⁷ Financial Procedures Manual Final December 2018 Section 3.4.7

			<p>The division of the Ministry of Agriculture and Livestock into two separate ministries during the Inception phase of PEP II led to delays in implementation and reduced efficiency. The PEP II Inception Phase was initially set for three months. During this time the creation of the MOA and MFL created replica departments and units, with different functions that competed for fiscal space and control over the project. The Inception Phase was extended to 8 months which implied that a considerable amount of TA time and cost was devoted to this phase before implementation of work-plan activities. The ministerial realignment has increased implementation complexity in maintaining a balance in service delivery to both Ministries and increased the time required to engage members from both Ministries.</p> <p>Suspension The suspension of the PE had a predictable crippling effect on planned activities and adverse knock-on effects on the achievement of outputs set out in both the revised PE and the TA Service Contract. The likelihood of efficiency gains set into motion through an enhanced PE, well aligned with the budget, as well as work-plans and implementation methods that were supposedly more realistic in matching the changed operating context, were not upheld and ineligible expenditures subsequently led to suspension of implementation of activities covered by the PE budget.</p> <p>Although some activities continued under a derogation, the project could not be implemented in an integrated, well-sequenced and harmonized manner, as per the revised work-plan produced during the inception period⁹⁸. The consequence was loss of value-for-money on activities that were not at risk of fiduciary loss. The suspension, though justified by the magnitude of ineligible expenditures (approximately Euro 160,000), relating to field level activities of data collection for the farmer register, also strained relations between the major implementing arms of the project. The suspension of some of the activities reduced economies of scale in utilisation of the TA Team resources to support the implementation of the PE activities. Hence the amount spent on TA, per unit of corresponding PE expenditure was higher than planned during the period of the suspension. This adversely affected execution of activities, and delayed the achievement of the planned outputs, under all three result areas of PEP II.</p>
3. Effectiveness			
3.1. To what extent has the Action contributed to enhanced delivery of services to farmers?	Technologies disseminated, extension message content, training curricula. Improved access to extension services, for example use of ICT/interactive platforms, farmer/extension contact approaches.	1) Number of technologies disseminated in fisheries, livestock, crops and soils. 2.1) In Service Curricula updated with best practices in gender sensitive extension services contents. 2.2) Number	<p>PEP II is not yet producing results that are contributing to its outcomes or objectives. Given challenges in converting inputs into outputs and the failure of assumptions relating to funding the Action has not contributed to enhanced delivery of services to farmers.</p> <p>Review of PE logical framework indicators (see main body of report) shows progress at an activity level as opposed to achieving outcomes. For example, the e-portal is being developed to disseminate technologies and curricula are being updated and, in the case of nutrition, used in Agricultural Training Institutes. However, it is either too early for students to use their learning with farmers as they have not yet graduated or trained staff can't apply learning and Operational Guidelines due to funding challenges.</p> <p>TA logical framework outcome indicators focus on productivity (yields for maize and soya), fish production, livestock units, crop and dietary diversity. At the time of the MTE the project had not achieved sufficient outputs to justify attribution or contribution to change in these indicators. It is hoped that the project will contribute to changes in these indicators. However, the time required for change and many other contributing factors (weather, disease, other projects) question if these indicators will inform the assessment of effectiveness and impact.</p> <p>Farmers accessing E-based Public Extension Services It was noted that activities in support of extension services were severely affected by the 10-month suspension of PE and as result the e-based public service is still to be launched and therefore no farmers were accessing the project e-extension services by the time of the MTR. However, the project has made good progress in laying the base for the implementation of the e-extension service:</p>

⁹⁸ Interviews with the TAT.

	Quality of support received.	of Curricula in Agricultural Training Institutes updated in line with developments in the ag sector.	<ul style="list-style-type: none"> • The project has developed an on-line e-Extension Portal providing a one stop shop to farmer-based applications. This is building on the farmer registered supported by the project. • The project has designed and developed a knowledge base for Camp Officers and farmers access to extension bulletins and other documentation; • It has also supported the development of an application for the Animal Identification and Traceability System; and related encoding of the brands database. This development is driven by the demands of stakeholders- parliament, police, farmers- that are concerned about the high levels of stock theft. • Support to the Plant wise e-Messaging on Fall Army Worm. This initiative is collaborating with CABI. <p>It is the view of the TAT that E-extension could transform the way the extension services operate and result in a massive increase in farmer contact and thus in the potential effectiveness of the extension services and other Ministry departments in its overall outreach to the farmers. The e-extension system is linked to the farmer register and the main components of the e-extension system are shown in the diagram below.</p> <p>In the field extension staff showed interest in e-extension and reported that they had gone through e-extension sessions up to camp level, however due to the delays in its launch they noted that further training on e-extension would be required. Staff at province, district and camp level emphasized that the e-extension would only complement the current practical approaches such as on-farm training and demonstrations, field days and farmer to farmer learning. Apart from network and internet access challenges in some rural areas, it was also noted that farmers still need more interactive approaches to see and learn by doing. E –extension has potential and would need to build on existing ICT based messaging systems that officers and farmers are already familiar with and customize the e-extension to take in account local circumstances including languages. For the MFL the animal identification and traceability and encoding of brands bring a number of benefits. The digitization of brand codes has already been done and making the work of the department more efficient as they have moved away from the massive paper based system. The traceability system comes together with a package of statutory instruments (SI), for example it would require every farmer to register and keep an update livestock register. The system is still to be tested before it's launched nationwide. The system when launched will contribute to reducing stock theft and would enable exports of beef/meat to countries that demand traceability system for meat exports for example to the EU and Japan.</p> <p>Consultations at the district and camp levels showed that agro-dealers and the radio were key sources of advisory services to smallholder farmers complementing government extension services, and consequently the e-extension would need to find ways of building on or collaborating with these current sources of extension information.</p> <p>Research Inventory and technologies disseminated: The digitization of the inventory of research outputs is still to take place and there are no technologies disseminated that can be specifically attributed to PEP II intervention although extension is promoting improved varieties and practices in a wide range of crops-cassava, maize, sweet potatoes, legumes and rice to increase productivity and dietary diversity at the farmer level. In the field it was emphasized that there was need for demand stimulation for improved technologies through value chain approaches. It was noted that the value chain approach allowed the service providers to provide information about their products and services directly to camp officers and farmers rather than expect the Camp Officer to know everything.</p> <p>Institutionalization of joint research-extension planning (leading to increase in technology dissemination) The underlying argument of this result area is that research and extension linkages are weak. The Project seeks to invest in research/extension liaison officers (RELO), digitization of research inventory and sustainable mechanisms for strengthening the research/extension linkage.</p> <p>RELO's: PEP II has so far identified 16 officers in the two principal ministries including from ZARI who will be appointed as research extension liaison officers to spear head the strengthening of the research extension linkage. There were questions raised in one of the technical working group meetings on the 15th November 2019 about the effectiveness of these RELO posts especially that they used to exist in the past and were discontinued in the Ministry of Agriculture. In the consultations with ZARI it was noted that one of the mandates of the farming systems research team in each research station was to strengthen research/extension linkage to ensure that research</p>
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			<p>outputs are disseminated to the farmers. Consultations indicated that the Farming systems teams (Mansa, Mount Makulu) work closely with District and Camp level extension staff especially on establishing on-farm trials, demonstrations, field days and farmer trainings on improved varieties and practices. At the camp level and district level (Kawambwa) extension staff indicated a close working relation with research, although at provincial (Luapula) level there was concern that consultation with research was limited. As the objective of project intervention is to ultimately increase productivity at the farmer level, there would clearly be a need to analyze the research/extension linkage problem from the smallholder perspective so that relevant and appropriate strategies are devised that lead to increased productivity at the farmer level. There may be need for strategic level collaboration to strengthen joint planning of research and extension service priorities at HQ level and four joint review meetings are planned and still to take place. However, in the field, approaches raised and advocated for in the consultations were more to do with adaptive research within priority value chains for each district. This would bring together key stakeholders including research and extension to tackle farmer bottlenecks to increased productivity. This was based on the understanding that the farmer's challenges went beyond research and extension, for example the need for predictable and reliable commodity markets and prices were recurring themes in the consultations. One Block Officer, for example in Mansa North indicated, "if we had two or so high value commodities with a clear market in our area there would be a lot of demand for our research/extension services as farmers would want to meet market specification. It makes us more relevant!" Another senior key informant indicated that "research does not produce outputs on a weekly or monthly or yearly basis and therefore it is difficult to maintain active linkages! Linkages should be based on demand and value added." All this raises the question for the project to think through whether the proposed strategies are pursuing research/extension linkages for bureaucratic purposes or for increasing farmer productivity?</p> <p>It was also noted that at the provincial level there was potential for the Provincial Change Management Team meetings to help enhance research/extension linkages as well as other collaborative relationships for example with agro-dealers that also provide advisory services to smallholder farmers.</p> <p><i>Improved access to extension services:</i> In the PEP II pilot provinces (Luapula and Southern), all key staff involved in the food and nutrition cross-cutting technical services were trained on nutrition-sensitive programming. The training started at national level brought in the Technical Working Group of the two ministries and the Food and Nutrition Commission as resource persons, and cascaded down to provincial, district and block level using a training of trainer's approach. Provincial level training covered all provinces in the country, but district and block level training sessions were confined to those in the pilot provinces. The composition of cross-cutting staff included all others important for the three nutrition enhancement pathways (production, income and women empowerment). At the provincial level, the training was provided to core staff (two for MoA and two from MoFL) and others important such planners, budget officers and administration staff. At the district level, four subject matter specialists per district were trained as trainers of block level staff. Two were from MoFL and another two from MoA. At block level data assistants, fisheries assistants and livestock assistants were trained⁹⁹.</p>
<p>3.2. The evaluation should identify the major factors influencing the achievement or non-achievement of the programme objectives and make recommendations for future implementation of the programme.</p>	<p>Changes in farmers income, Changes in capacity, Technologies disseminated, extension message content, training curricula.</p>	<p>Number and type of factors contributing to achievement of objectives.</p>	<p>See main body of report.</p> <p>Access to quality and relevant extension services The set up at the farmer/extension interface is that the Camp Extension Officer works with a Camp Agricultural Committee made up of representatives of cooperatives, camp zones, lead farmers, women and youth groups. Although the 2018 baseline show a 64% level of farmer satisfaction with access and quality of services, consultations from the field show the key problem to access to extension services as the CEO:farmer ratio that range from 1:450 to over 1:1000 in some districts, lack of officer transport and lack of up to date knowledge on improved technologies and practices. Consultations at the camp level indicated that in practice direct extension/farmer contact is limited to a few farmers that CEO can reach or that can come to the camp office.</p> <p>The project carried out a training needs assessment and has designed a training program of induction and refresher courses that is still to be rolled out to cover in-service training for plus 2700 frontline field extension staff. Some of the proposed courses from the TNA done in September 2019 in the two pilot provinces (Southern & Luapula) include: Participatory extension methodology; Farming as a business;</p>

⁹⁹ This was confirmed in an interview with the Provincial Agricultural Coordinator, Choma

		<p>Climate change consequences and adaptation technologies as priority needs and a further three presumed cross-cutting subjects were confirmed as: Human nutrition; ICT and Induction.</p> <p>Consultation with key informants in the ministries show that the proposed mass refresher training of nearly 3000 frontline staff is less likely to achieve desired results unless it is action/practically oriented and locally customized to meet local needs. There was a sense that it was important to have a training strategy and plan and to see what was possible within the PEP II resources and what would need more resources from other sources to deliver capacity development support that would add value to extension services rather than rush to cover the whole country with classroom type training. There was a view in the ministries that training needs were identified in the pilot provinces but there was no shared understanding of how the training needs should be provided for. There was a sense that the proposed training program is a tick box exercise rather than a program building capacity to deliver on going induction and refresher in-services courses within the relevant departments.</p> <p>Ideally capacity development support aimed at increasing productivity of the farmer should be targeted at the operational level nearest to the farmer, for example building a district level innovation-platform that would a build common understanding of locally relevant issues and strategies to tackle bottlenecks of the farmer. These strategies may include short focused hands on training of extension staff and or lead farmers. It was evident from the consultations with farmers and camp officers that lack of up to date knowledge was only one of many constraints to increasing farmer productivity and hence a more value chain-oriented approach would be more effective in the circumstances than the proposed mass training of camp officers. There were also questions on whether the quick TNA captured locally relevant capacity development needs of frontline staff and whether these would be representative of the different farming districts country wide.</p> <p>Consultations from the (Mansa, Kawambwa-Luapula) show that the farmer registration process triggered positive effects at the extension/farmer interface. For example, the register provides profiles of farmers and was able to eliminate duplicates and or ghost farmers for the FISP program; and extension contact with farmers was reported to have increased as result of the farmer registration process. There were even indications that the farmer profiling through the register is enabling Camp officers to better target farmers that had potential to increase productivity.</p> <p>In addition, the distribution of ICT hardware and training to frontline staff to operationalize the e-extension system was expected to further motivate field staff once the system is rolled out. This was projected to improve the quality of extension services to farmers.</p> <p>Capacity to mainstream nutrition in extension was also built in extension staff up to Block level and the training was still to be cascaded to the camp and farmer levels. Operational resources were cited as the key constraint to cascading the nutrition training to camp officers and farmers. (See nutrition result area)</p> <p>Result 3- Nutrition</p> <p><i>Quality of support received:</i> Interviews with core staff of both Ministries held in Choma, Kalomo and Kazungula districts carried out by evaluators confirmed that knowledge and hands-on skills to mainstream nutrition in planning and budgeting for extension service activities had been enhanced, and quality work-plans and budgets were produced at all levels for 2018 and 2019¹⁰⁰. The training was relevant and well delivered (both rated 5 on a scale where 1=low and 5=very high) although the training could have been longer to adequately cover the practical aspects. According to district level staff from Kazungula who were trained, the trainers were knowledgeable and experienced, and came from diverse backgrounds (nutrition, crops, livestock and fisheries) which “<i>enabled trainers to cover each other’s gaps and ensured all concepts were adequately explained</i>”.</p> <p>Veterinary and fisheries assistants and the livestock officer trained on nutrition mainstreaming in Kazungula confirmed that they had started using the nutrition knowledge to reach out to farmers but did not have resources to organise such education sessions as stand-alone activities with adequate time allocated to such efforts. They were riding mostly on on-going NGO project activities to get transport and other resources to reach out to farmers, but such opportunities to rely on activities of other organisations were too few to reach out to a significant number of farmers. So far, by the time of the evaluation, they had only reached about 50 farmers each, against a target of at least 2,800 farmers per person. In addition, given that they were depending on other planned activities, the time-slots they were</p>
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¹⁰⁰ This was confirmed in an interview with Provincial Agricultural Planner (Budget Officer), Southern Province.

		<p>given to education farmers on nutrition were too short and the messaging tended to be rushed due to time limitations. Extension service delivery on nutrition was therefore not robust, lacked depth of content, and could only focus on theory rather than practical demonstrations which require more time and resources to organise and deliver.</p> <p>The challenge of depending on NGO programmes to leverage support for government extension service delivery was echoed by trainees interviewed in Choma, where the MoA staff trained on nutrition indicated that most NGO projects covered only 2 -3 camps, out of a total of, say, 27 camps in a typical district. Hence, although helpful to ride on such initiatives, more concerted efforts were needed to provide predictable and adequate funding, and devise alternative extension methods, in order to cover all farmers in a district with nutrition education.</p> <p><i>Rate of budget allocations to nutrition for both Ministries:</i> During the field visits, Evaluators found that delivery of nutrition education services to farmers was pending resource allocation and disbursement by central government. Allocation of resources would enable the officers to implement the nutrition activities planned, including nutrition messaging to communities. With fiscal austerity measures announced by the President of Zambia in 2016, effectiveness of PEP II nutrition-related capacity-building activities has been severely curtailed.</p> <p>According to the PEP II TAT, “the situation has not been helped by the low budget allocation to nutrition activities in PEP II PE”¹⁰¹. The resources allocated to nutrition have been too small to support the last-mile activities to educate farmers and change nutrition behaviours at community level. The activities included in the WP for PEP II PE were mostly to support the development of pro-nutrition activities but without resources to strengthen outreach to farmers, or tracking the implementation of provincial, district and block level nutrition-sensitive work-plans that were developed. The PE and TAT resources were also too little to support monitoring of trainees to see how they applied the knowledge gained during training to enrich extension advice to farmers.</p> <p>To demonstrate the magnitude of the problem of lack resources, one of the camp extension officers interviewed by evaluators in Kazungula District indicated the following:</p> <div style="border: 1px solid blue; padding: 5px;"> <p><i>“2015/16 was the last time I saw a budget for camp/block extension officers but was very little for 19 camps in the district, it catered for 10 litres per camp extension officer per year instead of 40 litres per month for the CEOs to work effectively on the ground”.</i></p> <p style="text-align: center;"><i>Source: Interview with CEOs, Kazungula District.</i></p> </div> <p>PEP II advocated for an increase in budget allocation to nutrition by the two hosting ministries and five other core ministries with a mandate to programme for nutrition in line with the nutrition promotion pathways. This work built on the work done by CSOs on SUN and it supported the hosting of a high-level nutrition conference officiated by the President of the Republic of Zambia to advocate for increased budget allocation. Despite the President having issued a directive that 7 core ministries do increase budget allocations, and MoA, MoFL and other ministries having included nutrition budgets in the yellow book, the key issue is lack of disbursement of the allocated funds, hence extension staff still lack the resources to reach out to farmers with, among others, nutrition education.</p> <p>The same challenge of lack of disbursement of allocated funds, is being faced by agricultural training colleges that received support from PEP II to review their food and nutrition courses. Principals interviewed confirmed that the lack of disbursements had left them with no option but to depend on student fees, and internally generated revenues from farming activities they are concurrently carrying out as part of practical training for the students, but these sources were not sufficient to equip the colleges with transport and other resources needed to support students to conduct community outreach activities. Students trained using the Basic Human Nutrition Module for</p>
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¹⁰¹ Interview with TAT.

		<p>Agricultural Training Institutions have largely been unable to reach out to farmers for this reason, but confirmed during interviews with Evaluators that they have educated their friends and immediate family members whom they could reach at no additional cost. While their funding is supposed to be based on a 50-50 cost-share arrangement in which government contributes 50% and student fees match the government contribution, only the student fees were being realised. Hence the intensification of income generating activities using college resources.</p> <p>Extension message content: According to trainees from Kazungula and Livingstone districts who attended the 3-day course on nutrition-sensitive programming conducted by PEP II in Choma they were empowered with the right content and ready to transmit it to farmers. The nutrition knowledge they gained, and they could now convey to farmers was broad: (i) the nutrition status of the country and in their province (training gave them nutrition statistics for each province); (ii) diseases caused by under-nutrition and over-nutrition; (iii) importance of balanced meals; (iv) types of balanced meals; and (v) way forward as a province and district (practical examples of what each subsector (agriculture, fisheries and livestock) can do to address the problem of malnutrition in the province/district. The trainers recommended to trainees that extension officers encourage farmers to use the farm input subsidy not only for maize inputs, but to diversify to other crops, including fruits. According to one of the trainees from Kazungula District:</p> <div data-bbox="698 560 1899 791" style="border: 1px solid blue; padding: 5px;"> <p><i>“We were taught that, as farmers are receiving inputs, we should encourage them to take orange maize, cowpeas and sorghum, not just white maize. As they plan for crops, farmers should decide to access seeds for groundnuts, cowpeas, sorghum, and orange maize. They should shift from white maize. When we come to extend FISP and hold meetings with farmers, we encourage them to get vegetables and also medication for their livestock”.</i></p> <p style="text-align: center;">Source: Interview with Trainee from Kazungula District who attended training on nutrition-sensitive programming in Choma.</p> </div> <p>Training curricula developed/updated: PEP II has completed the updating of the food and nutrition curriculum taught in Agricultural Training Institutes, and this is being offered in 9 training institutions. USAID had already supported the 10th ARI, and PEP II built on that work by USAID to review the curriculum of nine others. The new curriculum has been named “<i>Human Nutrition Module for Agricultural Training Institutions</i>”. The evaluation confirmed that the curriculum is in use and, in some of the colleges visited during the evaluation, tutorship using the enhanced nutrition content had started in 2018 and continued into 2019, with some of the students having already graduate from the colleges and now on the job market. Many of them are hoping to join either the NGO sector that is working in the field of nutrition, or the government as camp extension officers or the private sector as field staff. The evaluators also learnt that Government had increased the number of camps and recruited new camp extension officers, but could not establish whether some who benefitted from the new curriculum and have since graduated were part of those recently recruited by the government.</p> <p>PEP II has also developed a curriculum and (re)training modules for the staff engaged in the Food and Nutrition Cross-cutting Technical Service. This was done jointly with the Food and Nutrition Commission and the Technical Working Group for the two ministries hosting PEP II, in order to facilitate follow-up and additional support even beyond PEP II¹⁰². The modules have been used and a total of 144 staff with a nutrition-related mandate had been trained by the time of the evaluation.</p> <p>Nutrition-sensitive strategic Ministry documents: Mainstreaming of nutrition into the extension service delivery system is being reinforced through PEP II support by ensuring that the two ministries have strategic plan documents that effectively mainstream nutrition. The strategic plan document for the MoFL had been finalised and submitted to cabinet, but that for MoA was still being finalised at the time of the evaluation. Key stakeholders interviewed within the NAO confirmed that Cabinet approval of such national documents is oftentimes a lengthy process.</p>
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¹⁰² Interview with TAT.

		<p>Increased staffing for nutrition technical and advisory services at all levels: This objective is yet to be met, partly due to budget limitations.</p> <p><i>Delivery of nutrition messages to farmers:</i> The nutrition-mainstreaming and budgeting training did not reach camp extension officers due to resource constraints. An assumption was made during the design of PEP II that CEOs would be reached through the pre-service training component. The activity was to mainstream nutrition into the curriculum of agricultural training institutions. The ARIs would then train front-line agriculture, fisheries and livestock extension officers. The ARIs would offer trainees either certificate or diploma courses depending on what the students elected to study at the colleges.</p> <p>Yet CEOs are at the frontline educating farmers on which crops to grow, how and why. They are therefore better placed to carry the message on nutrition to farmers. An exception was the block level officers for fisheries and livestock who also happened to be the front-line staff for the Ministry of Fisheries and Livestock. These were trained together with other staff deployed at block level, but they were too few to reach all farmers, especially as they usually “<i>did not have resources for transport and subsistence for up to 10 months of the year</i>”¹⁰³.</p> <p>The two main challenges reported to be affecting delivery of nutrition messages to farmers were: a) too few staff trained on nutrition (compared to the number of farmers to be reached) and; b) under-resourcing of the government extension service system in general. According to information received from the PACO, Southern Province, at the time of the evaluation, there was, on average, approximately one camp extension officer per 1,500 farmers in the province, and one block extension officer per 4 to 8 CEOs. This was corroborated by the district team (from both MoA, MoFL) in Kalomo who indicated that one CEO covered, on average, 1,750 farmers. Similarly, a veterinary camp officer interviewed in Kazungula district, who had been trained on nutrition mainstreaming, had an annual target to reach 2,800 farmers. The issue of under-staffing was pronounced in the livestock production domain where Kazungula district had only one livestock assistant in post, the cadre was trained and was expected to cover the entire district. In an environment where Kazungula district received in May only 7% of the approved 2019 budget¹⁰⁴, the ability of the livestock assistant to reach out to farmers was severely curtailed. According to the District Fisheries and Livestock staff members interviewed in Kazungula district, government’s focus on the concept of “appropriation in aid” directs departments to concentrate on activities that bring revenue to government, and leaves public good services such as nutrition messaging to farmers.</p> <p><i>Changes in capacity:</i> During the field visits, evaluators received generally positive feedback on the two curricula from trainees in the colleges and staff in the two ministries and others reached. The content and method of delivery were highly rated, but the duration of the in-service training curriculum was considered to be too short and needed to be increased by two days to focus on practical sessions.</p> <p>In addition, for both curricula, trainees recommended observed that the nutrition education component lacked materials for trainees to use to reach out to farmers. The information pack (handouts) given to trainees needed to be enhanced with the view to enabling them to pass on the nutrition knowledge acquired to others. In this regard, students in colleges recommended that more copies of the student work-book be provided so that each student retains a copy. A summary of the content should be provided in appropriate information packs for distribution to farmers. Students needed to be supported to reach out to farmers using the college outreach programme, which Popota Agricultural College termed “Bush Week”, or when they eventually get employed as extension officers. Furthermore, students recommended that the pre-service training component be complemented with transport resources for students to carryout community outreach activities. College students interviewed at Popota Agricultural College in Choma district indicated that they could reach as many 40-50 farmers per week, each , during community outreach activities. What they needed was especially transport to go to the community and resources to do research, and less those for subsistence requirements. Students interviewed at Popota Agricultural College indicated that if transport were to be provided, they could even self-finance their subsistence requirements during the Bush Week, a clear indication that they did not have a donor dependency syndrome.</p>
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¹⁰³ Interviews with block level staff in Kalomo and Kazungula Districts.

¹⁰⁴ Interview with District Fisheries and Livestock Coordinator.

<p>3.2 (a) (additional) Is the TA team effectively contributing to results?</p>	<p>Changes in objectives, outcomes and results</p>	<p>Number and type of changes that the TA team has contributed to.</p>	<p>Result 1&2: TAT contributions to change. Key contributions by TAT are in farmer register and development of the e-extension system and building a team to operationalize the e-extension system which is almost ready for launching. Training needs assessment in the two pilot provinces and the development of a plan to meet the training needs.</p> <p>Result 3: <i>Changes in objectives, outcomes and results:</i> At output level, despite the obvious crippling effects of a longer than planned inception phase and the subsequent suspension of the PE, the TAT expert responsible for nutrition has produced notable outputs that are well appreciated by the focal points in government working with her on mainstreaming nutrition, trainees in the core service areas of the two ministries with a mandate to address nutrition, and students in agricultural training institutions. The successful review of the curriculum for the food and nutrition course in all the nine selected Agricultural Training Institutions, adequate orientation of lecturers at these colleges, production of training materials and rolling out of the training by the colleges in such a successful manner that at only two of the nine colleges nearly 500 students have already received the new course, is so far singled out as one of the most significant achievements she has contributed to.</p> <p>What is so far missing is the achievement of the planned higher level results (outcomes), such as:</p> <ul style="list-style-type: none"> • Approved and operational nutrition-sensitive strategic Ministry documents • Increased budget allocations to nutrition for both Ministries • Increased staffing for nutrition technical and advisory services at all levels • Increased number of women receiving nutrition education at camp level • Increased number of households using improved crop varieties, animal and fish breeds • Crop diversification • Increased number of male and female farmers involved in on-farm processing, storage and value-addition • Improved quality of diets for children 6-23 months and women of reproductive age <p>Number and type of changes that the TA team has contributed to: As regards the changes that the senior nutrition expert has contributed to, her inputs have been recognised in the following achievements:</p> <ul style="list-style-type: none"> • Development of appropriate food and nutrition indicators that will be integrated with AMIS • Holding of nutrition conference leading to a directive by the President to 7 core ministries to increase budget allocation (but disbursement is lagging) • Incorporation of nutrition indicators into the Joint Sector Work Plan • Orientation of provincial, district and block level staff of the two ministries on planning, budgeting and implementing nutrition interventions • Development of nutrition-sensitive provincial, district and block-level annual work plans • Mainstreaming of nutrition into strategic MoA and MoFL documents • Development of Food Based Guidelines, messages, visuals, IEC materials and pre-testing of the materials (on-going) • Reactivating the TWG, defining and refining the terms of reference, broadening the composition, and supporting meetings and field visits of the TWG • Review of curriculum, and development of course materials for the basic human nutrition course for Agriculture Training Institutions
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<p>3.3. To what extent does the Actions address environmental issues as a cross cutting issue.</p>	<p>Inclusion of climate change / environmental issues in the Action.</p>	<p>Levels of inclusion of environmental issues in project activities, documents and results.</p>	<p>Levels of inclusion of climate change and environmental issues in project activities, documents and results:</p> <p>Result 1&2: Although PEP II focuses on enhancing capacity of the two ministries to deliver services to smallholder farmers it recognises the increasing importance of climate change and environmental issues as evidenced by the planned in-service training priorities that include climate change consequences and technology adaptation. In addition, the farmer register specifically profiles conservation agricultural practices of each farmer as a way promoting conservation agriculture, a climate smart agricultural practice. The e-extension system has components that deal with weather data, early warning systems, pests, disease and livestock tracking systems and agroforestry as well as knowledge resources related to climate change and environmental issues. In addition, PEP collaborates with other agencies, notably CABI, GIZ, CASU and GIZ on related issues.</p> <p>Result 3: Activities under Result Area 3 advance a food systems approach which seeks to capacitate all people and institutions from all sectors, who have a mandate to produce and make available more diverse and nutritious foods, to make food more accessible. It is promoting a wide range of foods that people are able to grow, purchase, process, prepare and consume in order to diversify diets. It is addressing climate change by specifically promoting crop diversification from a maize dominated diet to one that includes drought tolerant small grains such as sorghum, cowpeas and groundnuts. It is encouraging farmers to diversify their protein sources by increasing production of high-quality protein through small livestock (such as indigenous chickens and goats) which have shorter production cycles than cattle.</p> <p>The new training content on Basic Human Nutrition Module for Agricultural Extension Workers educated college students on the use of energy-saving stoves, and the use of solar powered equipment in food processing (drying fruit, fish and vegetables), is reducing the pressure to cut down trees for fuelwood, and in a manner that preserves nutrients. In addition post-harvest management technologies are being promoted through the nutrition curriculum in order to reduce the pressure on natural resources. The content on food safety is promoting the safe use of pesticides through the promotion of good agricultural practices.</p>
<p>3.4. To what extent did the Actions outputs contribute to increasing dietary diversity particularly for women and children in poor rural household? How can the effectiveness of this expected result be improved?</p>	<p>Levels of dietary diversity</p>	<p>3) % of extension workers using Operational Guidelines for Food and Nutrition.</p>	<p>To what extent did the Actions outputs contribute to increasing dietary diversity particularly for women and children in poor rural household? How can the effectiveness of this expected result be improved?</p> <p>Levels of dietary diversity It is too early to expect to see improvements in dietary diversity at population level, given that those so far trained on mainstreaming nutrition into agricultural extension work have not had received the resources to extend the information to farmers. Anecdotal evidence from the field trips shows that students trained at agricultural colleges have at an individual and family level changed nutrition attitudes and practices as a result of what they have learnt through the Basic Human Nutrition Module for Agricultural Extension Workers. Box 2 shows the testimonies of behaviour changes on nutrition that students at Zambia College of Agriculture and Popota Agricultural College are practicing after training.</p> <div data-bbox="696 1117 1895 1444" style="border: 1px solid black; padding: 5px;"> <p>Box 2: Examples of nutrition behaviours and practices started by college students</p> <p><u>Testimonies of Zambia College of Agriculture Students</u></p> <ul style="list-style-type: none"> • Reducing sugar intake • Reducing the intake of oils and fats • Empowering women to cook the types of foods they know are best suited for children • Educating women farmers on what to eat and what not to eat • Now always aiming for a balanced meal on the plate (meat, vegetable, fat, carbohydrate, pulse, fruit) • Choosing foods based on their nutrient content • Started poultry project to diversify diet in practice • Started small garden to grow vegetables • Educated parents on balanced diet </div>

			<ul style="list-style-type: none"> • Eating more fruits <p><u>Testimonies of Popota Agricultural College Students</u></p> <ul style="list-style-type: none"> • Eating balanced diet while young, used to think balanced diet is for the old people • No longer taking local drink adding ash • Now classifying what I eat into the six food groups and identifying what is missing • Now eating carrots, that have essential nutrients, did not know certain foods have essential vitamins and minerals in human diet • Now encouraging pregnant women to eat nutritious foods, I did not know malnutrition starts in mother's womb • Now eating and feeding children according to age-groups, in the past we used to eat the same food • Eating three meals per day (now understand importance of breakfast, lunch and dinner and what to eat at each stage) • Now handle my food with care, now knowing dangers of unsafe food, now know rats are poisonous • Got to know why at college we are fed eggs and beans, now like to eat them unlike previously <p>% of extension workers using Operational Guidelines for Food and Nutrition: The IEC materials are still being developed and pre-tested. They have not yet been launched.</p> <p>The main reason PEP II is not effective is because it has not delivered many outputs. The factors influencing delivery are detailed under efficiency.</p>	
4. Impact				
4.1. The evaluation should analyze any early signs of the positive and negative medium and long-term effects of the programme contribution to the Overall Objective.	Income, poverty levels, levels of malnutrition and crop diversification.	<ul style="list-style-type: none"> • Incidence of rural poverty • % of children under 5 who are stunted • Crop diversification index 	<p>Income, poverty levels, levels of malnutrition and crop diversification</p> <p>The midterm evaluation has found few early signs of positive medium and long-term effects of the programme contribution to its Overall Objective.</p> <p>There are no signs of changes triggered by the intervention yet at the farmer level although some Ministry staff at the provincial level are beginning to raise questions about which farmers to target with extension messages¹⁰⁵ to achieve desired increases in productivity and crop diversification as result of the profiles provided by the farmer register.</p> <p>There are also signs of Provincial and District level officials using the farmer register to manage FISP. This may help increase FISP efficiency and effectiveness in a way that contributes to better food security.</p> <p>PEP II support to college nutrition curriculum has potential to improve diet and dietary diversity when students graduate and enter the workplace. A significant number of students reported the intention of working for NGOs. These organisations are less likely to rely on Government funding to reach small holder farmers.</p> <p>Unintended Impacts</p> <p>Frustration is a significant and unintended outcome resulting from PEP II. Some fieldworkers interviewed during MTE fieldwork that had received PEP II training were extremely frustrated that they could not reach rural households to provide support. These people saw an urgent need to provide support. They were using some of their own resources and begging lifts with other organisations. It is probable that the best of these people will leave public service and join other organisations that do have resources to perform their role.</p>	

¹⁰⁵ Some staff feel that some farmers are 'safety-net cases' and are less likely to increase their productivity despite the extension effort. One senior key informant also indicated that the top producing smallholder farmers do not wait for, or use FISP and generally get their support/advisory services from their input suppliers.

			High levels of frustration also exist within PEP II implementers, within the PIU including the TA, and in their managers. All parties want PEP II to be implemented and are increasingly frustrated by the lack of progress.
4.2. Make recommendations on missed opportunities, if they exist, to broaden or deepen the impact of the programme.	Opportunities related to impact objectives.	<ul style="list-style-type: none"> • Incidence of rural poverty • % of children under 5 who are stunted • Crop diversification index 	<p>Recommendations to improve delivery and potential impact:</p> <p>Emerging Issues/lessons and possible recommendations</p> <ol style="list-style-type: none"> 1. At the provincial and district levels, although staff were able to share activities, they had done with PEP II there was no coherent road map on where PEP II is coming from, how it was working and where it was going. There were also some issues reported to do with TA leadership and condescending attitude that limited effective stakeholder engagement and participation in the PEP II activities. Recommendation: There is a clear need for facilitation to build a shared understanding of this capacity development support program to ensure more inclusive buy-in and engagement of staff at the different levels. The project leadership should provide a clear sense of purpose, empower, connect and inspire teams at HQ, Province, District and Block levels to cascade the same to their colleagues and deliver on the project targets. 2. E-extension has great potential to increase extension reach to farmers, however it is also the case that farmers like most people need to see things and learn by doing. Consequently practical approaches like on-farm trials, demonstrations, farmer to farmer learning, field days are still critical to increase the productivity of the farmer. It was noted that the sustainability of e-extension was linked to farmer register. Recommendation: Reinforce practical approaches by enhancing the capacity of a district level platform for collective effort to tackle bottlenecks of farmers. The e-extension system should complement practical approaches and stay linked to the national farmer register system and find ways of overcoming current challenges related to working with the FISP linked national farmer register. 3. The farmer constraints to increasing productivity and diversity for food and nutrition security go beyond what research and extension can provide. Research and extension services work in combination with other factors, for example market and input suppliers to support farmers to increase productivity. Recommendation: There is an option for the project to invest/facilitate a district level innovation platform that brings together stakeholders to seek ways that remove farmer related bottlenecks in the different value chains relevant to the district. An existing platform, for example the District sub-committee on agriculture and natural resources, would be preferable for sustainability reasons. The project input would build facilitation skills for collective impact (achieving collective results without structural authority) in the extension department so that it plays a backbone function for the multi-stakeholder platforms at District and Camp level i.e. camp agricultural committee. 4. The research/extension linkages at the camp level and to some extent at the district level were reported to be working reasonably well. However at the provincial and national levels research/extension linkages were noted to be weak. Recommendation: It was suggested that research should use adaptive research approaches and be an active player in the district level innovation platform designed to seek ways to tackle bottlenecks in the farmer value chains. 5. Training is a key component of in-service capacity development however its effectiveness would depend on how it is delivered and how locally relevant it is. There were questions on whether the TNA carried out in the two pilot provinces captured locally relevant capacity development needs of frontline staff? There are questions raised around the planned refresher training of about 3000 frontline staff especially how it would be delivered. Recommendation: Build a shared understanding on the strategy/strategies to meet the capacity development needs of frontline staff. It may be more useful to build district level capacity to support locally relevant capacity development on an on-going basis and this may be done as part of training or demonstrating improved practices at the farmer level.

			<p>6. There was a recognition that the lack of operational resources at the field level was severely limiting the ability of staff to apply their newly gained knowledge for the benefit of farmers and this was going to continue for the foreseeable future. Recommendation: It was suggested that a program of this nature i.e. capacity building should provide minimum enablers for example communication budget at the district and camp level that allow staff to communicate, actively engage and leverage resources or lean on other funded initiatives.</p> <p>The training of camp extension officers in post was a missed opportunity. Another was the lack of resources to enable those trained to do community outreach and contribute to improvements in diets. To fill this gap the following recommendations are made:</p> <p>Introduce In-service Re-training of Camp Extension Officers on the Human Nutrition Model The additional resources allocated to nutrition should also be used to cascade the training on nutrition-sensitive programming by launching an in-service retraining programme targeting camp extension officers. PEP II could introduce this initiative in the form of block-release training sessions whereby CEOs come to the colleges for a short duration course on the Human Nutrition Module for Agricultural Training Institutions.</p> <p>Strengthen College Outreach Programmes for Community Nutrition Education The resources reallocated to nutrition should be used in the remaining 19 months of the PE (from December 2019 to the 30th of June 2021) to support students and teaching staff at the nine agricultural training institutions that have benefitted from the Human Nutrition Module for Agricultural Training Institutions developed through PEP II support, to conduct outreach activities such as the Bush Week Programme and reach out to farming families. For these they will need transport, IEC materials, research skills, and documentation and demonstration equipment. Students partly self-finance their tuition and subsistence which enhances efficiency and sustainability.</p> <p>Further strengthen the capacity of agricultural training colleges to offer pre- and in-service training Given the multiplier effects of curriculum review and staff orientation on human nutrition at Agricultural Training Institutions, it is recommended that more staff be trained at each ATI. Lecturers also recommended that teaching laboratories and kitchens be well-equipped to offer state of the art training on food processing, packaging, preservation, storage, preparation, utilisation and safety.</p> <p>Launch Mass IEC Programme on Nutrition Using Multiple Approaches In the remaining period PEP II should support pro-nutrition community radio programmes, food fairs, market days, agricultural shows and farmer field schools to reach more households with messages on how to improve human nutrition, in a climate-relevant manner. The messages should build on the capacities created in government officers trained at national, provincial, district and block level as well as students at Agricultural Training Institutions. Result 3 activities should be bolstered by adding a stronger element of community nutrition education. Students should be supported to carryout research on barriers to nutrition, map problems, identify key messages based on the theory and practical training they receive from the ARIs, work with journalists to develop community radio programmes whose content and producers will be the community.</p> <p>Link PEP II to Scaling-Up Nutrition Programme for Wider Impact at Community Level In the remaining 17 months of the TA Service Contract (December 2019 to April 2021), part of the level of effort of the Senior Nutrition Expert should be devoted to linking the PEP II investments in Nutrition to those of the multi-donor funded “First 1000 Most Critical Days Programme (MCDP) II “Zambia’s Five Year Flagship Stunting Reduction Programme” 2018-2022. This work will involve providing targeted, results-oriented technical assistance to the National Food and Nutrition Council, key line ministries (especially MoA and MoFL), SUN Networks and implementing partners to leverage resources for the training of Camp Extension Officers, and using the Agricultural Training Institutions strategically to: 1) intensify social behaviour change and communication through students and CEOs trained through the PEP II Human Nutrition Module for Agricultural Training Institutions; and 2) promote dietary diversification through nutrition-sensitive agriculture by leveraging resources from SUN to support implementation of the food and nutrition work plans developed with PEP II support at provincial, district and block levels.</p>
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4.3. The evaluation should consider what effects the Action is likely to have on the environment.	Levels of environmental change related to the action.	Potential production levels of crops and livestock linked to climate change.	<p>Levels of environmental change related to the Action</p> <p>It is too early to project any potential PEP II triggered changes as most of the project outputs are still to be realized. However, if capacity is built-up in the frontline staff to offer accessible and quality services to increasing numbers of farmers then it is likely that there would be positive climate change adaptation benefits along with improved productivity at the farmer level.</p> <p>It was evident from the field that climate change (especially variability and unpredictability of weather patterns) is an area of major concern to extension staff and farmers.</p>																																																										
4.4. What is the expected likelihood that the Action will have expected or unexpected impact/s on human rights and Gender Mainstreaming/Gen der Equality.	Consideration of expected and unexpected impacts.	Number and type of expected and unexpected impacts.	<p>Human rights and gender: Expected and Unexpected Impacts</p> <p>It is projected that capacity development of frontline staff would lead to more equitable access to good quality extension services. The farmer register leads to more transparent and gender disaggregated ownership of land and other assets at the community level.</p> <p>However, during field visits, learners and lecturers at two of the colleges (Zambia College of Agriculture in Monze district and Popota Agricultural College in Choma district) who were interviewed by the Evaluations confirmed that both male and female students at the colleges, who are the primary target group for training on the Human Nutrition Model for Agricultural Extension Workers, had indeed received the training.</p> <p>The college in Monze had started using the curriculum and teaching resources in 2018 and had already trained 400 students (Table 2). In addition, PEP II had provided orientation to their teaching staff at two stages: a) national-level orientation of the lecturers who would train students on food and nutrition; and b) college-level orientation of all teaching staff across all disciplines (including agricultural engineering) on how to mainstream nutrition into their work.</p> <p>Table 2: Statistics on Lecturers and Students who Received Orientation / Training on Human Nutrition Model for Agricultural Training Institutions at Selected Colleges</p> <table border="1" data-bbox="696 858 1910 1345"> <thead> <tr> <th>College</th> <th>Participant Category</th> <th>Nutrition Training/Orientation</th> <th>Duration</th> <th>Males</th> <th>Females</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td rowspan="4">Zambia College of Agriculture</td> <td>Diploma (3 Year) Students</td> <td>Classroom training</td> <td>3 months</td> <td>70</td> <td>30</td> <td>100</td> </tr> <tr> <td>Certificate (3 Year) Students</td> <td>Classroom training</td> <td>3 months</td> <td>210</td> <td>90</td> <td>300</td> </tr> <tr> <td>All Lecturers</td> <td>Staff orientation workshop</td> <td>2 days</td> <td>11</td> <td>7</td> <td>18</td> </tr> <tr> <td>Food and Nutrition Lecturers</td> <td>Orientation Training</td> <td>1 week</td> <td>0</td> <td>3</td> <td>3</td> </tr> <tr> <td rowspan="3">Popota Agricultural College</td> <td>Certificate (3 Year) Students</td> <td>Classroom training</td> <td>4 months</td> <td>57</td> <td>23</td> <td>80</td> </tr> <tr> <td>All Lecturers</td> <td>Staff orientation workshop</td> <td>2 days</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Food and Nutrition Lecturers</td> <td>Orientation Training</td> <td>1 week</td> <td>2</td> <td>0</td> <td>2</td> </tr> <tr> <td>Total</td> <td></td> <td></td> <td></td> <td>350</td> <td>153</td> <td>503</td> </tr> </tbody> </table> <p>Source: Student and staff records provided by Principals of Zambia College of Agriculture College and Popota Agricultural College.</p>	College	Participant Category	Nutrition Training/Orientation	Duration	Males	Females	Total	Zambia College of Agriculture	Diploma (3 Year) Students	Classroom training	3 months	70	30	100	Certificate (3 Year) Students	Classroom training	3 months	210	90	300	All Lecturers	Staff orientation workshop	2 days	11	7	18	Food and Nutrition Lecturers	Orientation Training	1 week	0	3	3	Popota Agricultural College	Certificate (3 Year) Students	Classroom training	4 months	57	23	80	All Lecturers	Staff orientation workshop	2 days	0	0	0	Food and Nutrition Lecturers	Orientation Training	1 week	2	0	2	Total				350	153	503
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			<p>Students studying for a diploma in agriculture were trained in their 3rd year in 2018 and those studying for a certificate in agriculture were trained in their second year of college training in 2019.</p> <p>At Popota, two streams of students studying for a certificate in agriculture received the enhanced training on nutrition and 45 graduated in 2019, while another 35 took the course also in 2019 but will graduate in 2020. Of those trained, 32 and 25 were males and 13 and 10 were females, respectively.</p> <p>While activities to train staff in nutrition-sensitive agriculture mainstreaming had been fully achieved by the time of the evaluation and reached a total of 42 trainees, however information on their sex disaggregation was not available.</p> <p>Technical support for the expansion of the composition of the Nutrition TWG had been completed with the drafting of the terms of reference, but data on the sex disaggregation of new members (and existing members) were missing. The facilitation of the convening of the TWG meetings was targeting a total of 16 meetings and the target achievement was 85% by 31 October 2019, however, the progress report did not mention the number and sex composition of the group members. Similarly statistics on the number of staff that were supposed to be equipped food and nutrition promotional materials was not documented.</p>
5. Sustainability			
5.1. The evaluation should assess the expected continuation of benefits produced by the programme after the support has ended.	Probability of benefits continuing after program support ends.	Required levels of future funding. Potential sources of future funding, potential levels of future funding from Ministry, other donors, private sector. Required funding levels after the end of the program.	<p>See main body of the report and Annex 9.</p> <p>Probability of benefits continuing after PEP II support</p> <p>Result 1: It is not expected that PEP II results will continue after support has ended. Exceptions are (i) support linked to FISP (i.e. the farmer register) and (ii) PEP IIs work to bring nutrition into Agricultural College curriculum.</p> <p>Again, the critical challenge to sustainability is funding. GRZ was experiencing severe resource constraints at the time of the MTE. At this time, it was unclear how capacity will be maintained by Ministries (i.e. updating E Extension software, replacing hardware – i.e. PEP I distributed tablets that lasted less than three years).</p> <p>Result 2: The e-extension system is one of the key outputs under the extension result area. Although this is still to be launched there are clear indications that it will continue to be supported and to be of benefit to extension staff beyond the life of the project for three key reasons. The government is prioritizing e-government and therefore putting resources into Smart Zambia to spearhead the e-government initiative. Smart Zambia is hosting and providing technical support for the development of the e-extension system. In addition the Ministry of Agriculture has been budgeting for e-extension for the past three years showing its interest in e-extension. The second reason is that the e-extension is closely linked to the farmer register and the extension frontline staff are responsible for farmer registration and its regular updating. The farmer register is a key tool in the delivery of the FISP, a priority program for central government that receives the bulk of the public resources allocated to the agricultural sector. Thirdly the research and extension staff from the ministries working on the system and its content are keen and believe this is where the world is going. There is capacity being developed in the ministries which will be able to continue as long as Smart Zambia continues to play its part. In addition there was interest in e-extension from field staff during the MTR consultations, and they have an appreciation of its potential and challenges. The way the system is rolled out and the support to frontline staff would be critical to the sustainable utilization of e-extension services. One would have to monitor and see how applicable it will be once it's launched.</p> <p>In-service training/capacity development: Consultations from the field show that knowledge based benefits, for example the planned in-service training will continue to be of benefit in service delivery to farmers beyond the life of PEP II.</p>

			<p>Result 3 Knowledge on nutrition transferred to government staff at national, provincial, district and block levels, as well as that acquired by students at agricultural colleges is likely to be retained as it triggers lifetime changes in diets. Such behaviour changes will be sustained at an individual level. Field interviews confirmed that the new knowledge gained by students at agricultural training colleges will be retained among them and their immediate family members they are able to educate on nutrition. Already anecdotal evidence from college students who have trained using the Basic Human Nutrition Module for Agricultural Training Institutions interviewed during the field mission, confirms that the training was compelling upon them to change their diets, by growing, purchasing and preparing more nutritious food. As the benefits of positive behaviour changes manifest in their health and nutrition, as well as that of their children and other family members, the behaviour changes will be further reinforced. The block extension workers who are opportunistically riding on on-going NGO projects to reach out to farmers, will continue this way and continuation of the service delivery to farmers will depend on continuation of NGO Projects and the planned roll-out of the multi-donor funded SUN initiative (MCDP 2).</p>
6. Coherence			
6.1. The evaluation should make an assessment of the extent to which the program's activities undertaken complement the Government of the Republic of Zambia (GRZ) actions, private sector, and other donors' interventions.	Consistency and cooperation with other interventions .	Levels of cooperation (i.e. interaction with other interventions , examples of joint initiatives /co investment). Levels of complementarity (i.e. co investment, joint planning, participation in joint working groups / coordination forums and other similar events).	<p>The PEP II programme is coherent with other support and has complemented the Government of the Republic of Zambia (GRZ) actions, private sector, and other donors' interventions. PEP II activities complement a former Conservation Agriculture Scaling Up (CASU) Project¹⁰⁶ implemented between June 2013 and December 2017 by the FAO and funded by the EU.¹⁰⁷ The CASU project developed an administration and monitoring system that formed the basis for the Farmer Input Support Programme (FISP) e-voucher system. PEP II has further contributed to farmer registration that formed part of the administration and monitoring system. PEP II also collaborated with FAO in the rolling out of the e-Voucher System, Public Private Partnership (PPP) in agriculture value chains and gender mainstreaming.</p> <p>PEP II support to the e-Extension Portal has potential to complement GRZ actions, private sector, and other donors' interventions. The e-Extension Portal will support GRZ farmer extension and provide a 'one stop' information service via the internet. This is intended to include information from organisations such as JICA, FAO, IFAD, Seed Co and Zamseed. The system also intends to collaborate with the private sector and donor programmes as part of its messaging system.</p> <p>USAID and UNICEF support the Scaling Up Nutrition (SUN)¹⁰⁸ intervention in Zambia. SUN has not been implemented in Zambia during the lifetime of PEP II. However, PEP II is using SUN materials in college modules (using i.e. key messages) that have acted as a 'quick win'. PEP II in-service training of GRZ staff also used SUN materials that were updated and adapted at a district level. The e-extension is part of GRZ's thrust for e-government and is being undertaken in cooperation with Smart Zambia, the government agency leading the e-government initiative. E-extension is also collaborating with CABI on the bulk extension messaging. CABI is targeting 85,000 smallholder farmers and will fund its component within the e-extension initiative.</p>
7. EU added value			

¹⁰⁶ <http://www.fao.org/evaluation/evaluation-digest/evaluations-detail/en/c/1147949/>

¹⁰⁷ <http://www.fao.org/africa/news/detail-news/en/c/1142863/>

¹⁰⁸ <https://scalingupnutrition.org/sun-countries/sun-donor-conveners/>

7.1. The extent to which the Action brings additional benefits to what would have resulted from Member States' interventions only.	Joint investment, collaboration , complement arity with other Member States interventions	Number of complement ary interventions and level of complement arity with other Member States interventions	<p>PEP II has not yet added value to the results of member state interventions. There is potential to do this in future. PEP II is engaging participants from Member States organisations in its activities. This engagement is yet to result in additional benefits.</p> <p>Public Private Partnership (PPP) platforms include participants from Member state organisations. SIDA supported Musika provides the chairman for the national platform. Also, GIZ representatives attend provincial level PEP II supported change management events.</p> <p>PEP II support to the e-Extension Portal has potential to bring additional benefits to Member State interventions. In particular the e-Extension Portal should provide a 'one stop' platform for accessing information and agriculture-based applications via the internet. The knowledge base information provision component, used to disseminate information to Front Line Staff and Farmers, is and may be further used by a number of Member State organisations such as GIZ,¹⁰⁹ CABI¹¹⁰ and others to disseminate their extension bulletins.</p>
8. ROM Mission Findings.			
8.1 The evaluation should consider to which extent the findings of the ROM mission have been incorporated into the programme	Proportion of ROM findings addressed. Changes resulting from addressing ROM findings.	Number of ROM findings that have been addressed by the program. Results from addressing ROM findings.	<p>See main body of the report.</p> <p>Findings from the ROM mission have been incorporated into the programme to a moderate extent and PEP II has attempted to address most of the issues (Table 5). Concluding addendums remains challenging (see Section 3.2.3). In line with MTE findings, the following ROM recommendations remain pertinent:</p> <p>R8: The importance of marketing and agricultural value chain</p> <p>R9: Giving more prominence to the environment and climate change</p> <p>R10: The need for an exit strategy</p>

¹⁰⁹ <https://www.giz.de/en/html/index.html>

¹¹⁰ <https://www.cabi.org>