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PERFORMANCE EVALUATION OF USAID/ZAMBIA'S COMMUNITY FORESTS PROGRAM

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FINAL EVALUATION REPORT

PERFORMANCE EVALUATION OF USAID/ZAMBIA'S COMMUNITY FORESTS PROGRAM

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ACRONYM LIST

BCP	BioCarbon Partners
CBO	Community Based Organizations
CFMG	Community Forest Management Group
CFP	Community Forests Program
CIFOR	Center for International Forestry
COMACO	Community Markets for Conservation
CRB	Community Resource Board
DNPW	Department of National Parks and Wildlife
EC-LEDS	Enhancing Capacity for Low Emission Development Strategies
EQ	Evaluation Questions
ERPA	Emissions Reductions Purchase Agreement
FD	Forestry Department
FGDs	Focus Group Discussions
FPIC	Free Prior and Informed Consent
GHG	Greenhouse Gas
GRZ	Government of Zambia
KII	Key Informant Interviews
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture
NGOs	Non-Governmental Organizations
NRZ	New Rotations Zambia
NTFP	Non-timber Forest Product
REDD+	Reduced Emissions from Deforestation and Forest Degradation
SI	Statutory Instrument
SOW	Scope of Work
USAID	United States Agency for International Development
VAG	Village Action Group
WB	World Bank
ZAWA	The Zambian Wildlife Authority

I. EXECUTIVE SUMMARY

I.1 BACKGROUND OF THE PROJECT

In February 2014, USAID/Zambia awarded a Cooperative Agreement to BioCarbon Partners, Ltd. (BCP) to implement the Community Forests Program (CFP) in Zambia. The CFP was designed to support the Government of the Republic of Zambia's (GRZ) Reducing Emission from Deforestation and Degradation (REDD+) strategy by establishing the largest REDD+ program to date in Zambia. The CFP aimed to establish REDD+ project areas across a minimum of 700,000 hectares within the Zambezi and Luangwa Valley ecosystems, and in so doing, incentivize better forest management on a total of up to two million hectares, involving up to 10,000 households (BCP 2017 Annual Report).

The CFP is intended to reduce emissions from deforestation through participatory natural resource management of globally biodiverse and significantly forested landscapes. To accomplish this, the CFP included a full suite of activities to help develop, manage, and maintain a comprehensive community forest management and REDD+ project. Specifically, the CFP included components in stakeholder consultations, livelihood improvements, forest management, forest carbon science, carbon market creation, and engagement with the Government.

I.2 EVALUATION PURPOSE

This evaluation will provide USAID/Zambia with an independent review of progress made by the USAID/Zambia CFP project, and identify lessons that can be applied, as appropriate, to future activities in the sector. The evaluation has three main objectives, to:

1. Document the overall effectiveness of the project in reducing deforestation of biologically significant forest landscapes;
2. Identify lessons learned from the project—specifically, the strengths and weaknesses of the design and implementation of the CFP, and how they contributed to project's successes and challenges; and
3. Assess the sustainability of CFP results related to forestry conservation. That is, are the gains and successes of the CFP likely to continue after the end of the project?

I.3 METHODOLOGY

The performance evaluation used a mixed methods approach, where qualitative and quantitative data collection methods were combined to answer the evaluation questions. The evaluation team used baseline data from internal sources, including routine monitoring reports, annual reports, and implementer monitoring plans, to establish baseline conditions and measure performance over the project lifetime. The team supplemented this data with external materials, including published literature, third-party reporting and open databases, and data collection through key informant interviews (KIs) and focus group discussions (FGDs) to address the remaining questions.

FIGURE I - SUMMARY OF FINDINGS

Evaluation Question (EQ)	Summary of Findings
<p>EQ1: To what extent has CFP activities resulted in reduction in deforestation in the areas where activities were implemented?</p>	<p>Strengths</p> <ul style="list-style-type: none"> • The project appears to have had a positive impact on limiting deforestation. • CFP's strong bonds with local leaders encouraged forest conservation. • CFP responded to the threat of forest encroachment from migration. <p>Weaknesses</p> <ul style="list-style-type: none"> • CFP provided limited attention to alternative livelihoods. • Community conservation payments (conservation fees) were insufficient to positively impact households. • CFP progress was impeded by limited project sensitization at the community level over time.
<p>EQ2: To what extent are key stakeholders satisfied with CFP's approach to resolving policy issues?</p>	<p>Strengths</p> <ul style="list-style-type: none"> • GRZ line ministries, Community Resource Boards (CRBs), and village leaders thought that CFP positively influenced the development of community forests and carbon management policies. • CFP helped to resolve policy issues by assisting the GRZ in formalizing forest conservation policies, including inputs on two statutory instruments (SIs).
<p>EQ 3. How have stakeholders perceived the CFP's efforts in building capacity of government and community-based organizations at the national, provincial, district and local level to develop and implement REDD+ strategies?</p>	<p>Strengths</p> <ul style="list-style-type: none"> • The CFP was successful in building capacity within the targeted GRZ field offices, and with several CRBs. The local staff were usually well-versed in REDD+ concepts, understood the agreements with BCP, and had realistic expectations of how things might develop with carbon trading in the future. <p>Weaknesses</p> <ul style="list-style-type: none"> • Only about a half of FGD groups were aware of benefit sharing agreements, and the majority of the FGD respondents were unaware of existing forest management plans.
<p>EQ4: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?</p>	<p>Strengths</p> <ul style="list-style-type: none"> • At the central, provincial, and district levels, the GRZ is supporting REDD+. • The communities involved with the CFP are generally open to continue to be engaged in REDD+ process. <p>Weaknesses</p> <ul style="list-style-type: none"> • The community members were mostly unhappy with the systems put in place by CFP to distribute conservation funds.
<p>EQ5: How can BCP maintain the gains achieved under the CFP?</p>	<p>CFP planned for funding diversification and has begun developing alternative sources of funding. The sustainability of REDD+ efforts started under CFP is dependent on:</p> <ul style="list-style-type: none"> • Both BCP's financial standing and their ability to continue to manage related activities and interact with the communities. • The development of the international market for carbon offsets. • The community and CRB's commitment to conserving the forests.

1.4 CONCLUSIONS

Overall, the evaluation team concludes that the CFP was successful in building the foundational layers of capacity necessary to manage REDD+ projects at the national and district levels, and to a limited extent, the local/village levels.

The CFP is a groundbreaking project, because it was one of the first REDD+ projects funded by USAID to have forest carbon offsets verified and sold¹, and one of the very few REDD+ projects implemented in a dry tropical forest. It was also groundbreaking because the implementing partner, BCP, was a private African-based company and not a traditional international development implementing partner.

This performance evaluation produced several broad findings and lessons for future programming.

- **Capacity building for GRZ officials:** CFP supported the GRZ in the writing of two national policies (statutory instruments) on managing carbon stocks and community forests. The evaluation team found strong evidence of capacity building around REDD+ throughout the GRZ.
- **Low levels of alternative livelihood training:** BCP concentrated their forest conservation efforts, due to the carbon verification process and limited funds, more on carbon management than alternative livelihoods development. A quarter of FGDs reported not receiving any alternative livelihood trainings, including a third of the female-focused FGDs.
- **Community engagement:** After a strong initial Free Prior and Informed Consent (FPIC) process, the project reduced its engagement/sensitization at the community level over the long term. As a result, there was, and still is, confusion and misunderstanding about what the CFP is and what BCP does.
- **Financial uncertainties related to climate politics/markets:** The essence of the CFP is to incentivize forest conservation by using funds generated from the sale of “forest carbon offsets” in climate change mitigation projects. The sustainability of this concept is dependent in part on the capacity and perseverance of BCP, and on the political mandate of national and local institutions involved with the project. However, the sustainability of the project is also dependent on the price of carbon – which in turn is dependent on how the world approaches the issue of climate change over the next five to ten years. This is obviously outside of the influence or control of BCP.

1.5 RECOMMENDATIONS

USAID/Zambia should consider options for maintaining and enhancing the gains achieved under CFP. This might be accomplished by providing additional short-term support directly to BCP, or indirectly, through ancillary support to organizations involved with conservation or alternative livelihoods in the CFP area. USAID should also note that although BCP is a leader in REDD+ implementation in Zambia, they are not the only player. USAID could provide support to strengthen a larger segment of REDD+ proponents – including not only BCP but also organizations focused on conservation and alternative livelihood opportunities like Bee Sweet, Community Markets for Conservation (COMACO), and SNV Netherlands.

¹ Along with the BioREDD Project in Colombia and the TIST project in Kenya.

2. INTRODUCTION

The evaluation report follows the standard USAID evaluation reporting template. We separate the evaluation into four sections: 1) Introduction, 2) Evaluation Methodology and Limitations, 3) Findings and Conclusions, and 4) Recommendations. In the Introduction section, we outline the project, describe the purpose of the evaluation, and present the evaluation questions. The Evaluation Methodology and Limitations section describes our approach and the limitations to our strategy. In our Findings and Conclusions section, we present the key findings of our evaluation, discuss their implications, and summarize our main conclusions. Finally, we present recommendations for future action.

2.1 BACKGROUND OF THE PROJECT

USAID/Zambia awarded a Cooperative Agreement to BCP to implement the CFP project in Zambia. The CFP began on February 1st, 2014 and is expected to run until January 31st, 2019. The Forestry Department (FD) and the Department of National Parks and Wildlife (DNPW) were key GRZ ministries working with BCP on CFP.

The CFP is designed to exemplify and support the GRZ's REDD+ strategy by establishing the largest REDD+ program to-date in Zambia. The CFP aims to establish REDD+ project areas across a minimum of 700,000 hectares within the Zambezi and Luangwa Valley ecosystems, and in so doing, incentivize better forest management on a total of up to two million hectares, involving up to 10,000 households. CFP exceeded these minimum requirements by helping to conserve over a million hectares of forest and assisting over 28,000 households. A detailed overview of CFP's project areas/chiefdoms and ecological environment are presented in Annex II. CFP's main objectives are to:

1. Reduce emissions from deforestation through participatory management of natural resources in globally biodiverse and significantly forested landscapes;
2. Reduce poverty through improvements in smallholder farmers' agricultural productivity;
3. Develop non-timber forest products (NTFP) and expand their markets and value chains; and
4. Support the GRZ in the development of a legal framework and pilot project to demonstrate the viability of REDD+ as a replicable forest management strategy.

To accomplish this, the CFP included a full suite of activities to help develop, manage, and maintain a comprehensive community forest management and REDD+ project. Through a range of stakeholder consultations, forest management, and policy engagement, CFP conducted a number of activities, which include: empowering and equipping communities to lessen the drivers of deforestation through CRB trainings, forest demarcation, use of local conservation funds, and breach action tools; establishing and improving forest and natural resources management plans; promoting alternative livelihoods in lieu of unsustainable charcoal and timber production; and implementing pay-for-performance and revenue sharing programs for forest conservation and carbon sequestration.

CFP worked closely with CRBs to engage with villages in the project areas. CRBs are composed of Village Action Group (VAG) members. Each VAG elects a representative to the local CRB. An "average" Chiefdom may have one CRB with 8-12 members, depending on the size of the Chiefdom. A VAG usually

represents 7-10 villages.² CRBs serve as a mechanism for the GRZ to connect and consult with communities on natural resources management. The GRZ created the CRBs in 1998 through the Wildlife Act, when the CRBs replaced the six Area Development Committees, and Local Leader Committees were abolished. By instituting CRBs, the GRZ increased local authority and control over natural resources.

2.3 EVALUATION PURPOSE

The purpose of this performance evaluation of USAID/Zambia's CFP is to provide an independent review of progress made by this important project, and identify lessons that can be applied, as appropriate, to future activities in the sector.³ The evaluation has three main objectives:

1. Document the overall effectiveness of the project in reducing deforestation of biologically significant forest landscapes;
2. Identify lessons learned from the project—specifically, the strengths and weaknesses of the design and implementation of the CFP, and how they contributed to project's successes and challenges; and
3. Assess the sustainability of CFP results related to forestry conservation. That is, are the gains and successes of the CFP likely to continue after the end of the project?

2.4 EVALUATION QUESTIONS

USAID/Zambia provided five key evaluation questions (EQs) to be answered during this performance evaluation. These questions were divided into two overarching topics: lessons learned and sustainability.

FIRST OVERARCHING TOPIC: LESSONS LEARNED

EQ1: To what extent has CFP activities resulted in reduction in deforestation in the areas where activities were implemented?

EQ2: To what extent are key stakeholders satisfied with CFP's approach to resolving policy issues?

EQ3: How have stakeholders perceived the CFP's efforts in building capacity of government and community-based organizations at the national, provincial, district and local level to understand REDD+ and to develop and implement REDD+ strategies and action plans?

SECOND OVERARCHING TOPIC: SUSTAINABILITY

EQ4: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

EQ5: How can BCP maintain the gains achieved under the CFP?

² For example, in Mambwe District, Jumbe Chiefdom has 9 VAGS and Nsefu Chiefdom has 5 VAGS.

³ It is important to note that this is not an evaluation of the CFP's effectiveness in reducing greenhouse gas (GHG) emissions. Such an assessment is a function of the REDD+ project monitoring and verification process and should address the possibility of the "leakage" of emissions through deforestation displaced to areas outside the intervention sites. This assessment addresses the management of the site itself. Use of this report to draw conclusions on GHG reductions would be inappropriate.

3. EVALUATION METHODOLOGY AND LIMITATIONS

3.1 DATA COLLECTION METHODS

The evaluation used a non-experimental, observation-based design to conduct this performance evaluation. Specifically, we implemented a mixed methods approach to evaluate CFP, where we combined qualitative and quantitative data collection methods to answer the EQs. The evaluation team focused on four data collection methods to conduct the CFP evaluation:

Desk and literature review: The evaluation team used baseline data from internal sources, such as project documents, published literature, third-party reporting, and open databases, to establish objective baseline descriptions of the project's operating environment. Annex A contains a complete list of the documents reviewed.

Breakdown of stakeholder meetings:

- 50 separate KIIs meetings;
- 88 FGDs (in 45 villages);
- Over 900 community members reached;
- 19 CRB members interviewed;
- 22 Government officials interviewed.

Quantitative Data Collection (GIS Data Sets / Reports / Maps): In conjunction with the desk review, the evaluation team collected and analyzed publicly available GIS data and requested additional data from USAID and BCP. This data was used to create, to the extent possible, a statistical and spatial picture of project location, data collection sites, and selected outputs and outcomes from the CFP, including: jurisdictions impacted by the project; locations of land; locations of focus group discussions; and changes in deforestation rates over the life of project in comparison to deforestation rates before the project. These maps enabled the fieldwork to concentrate on areas of most and least deforestation within the CFP areas.

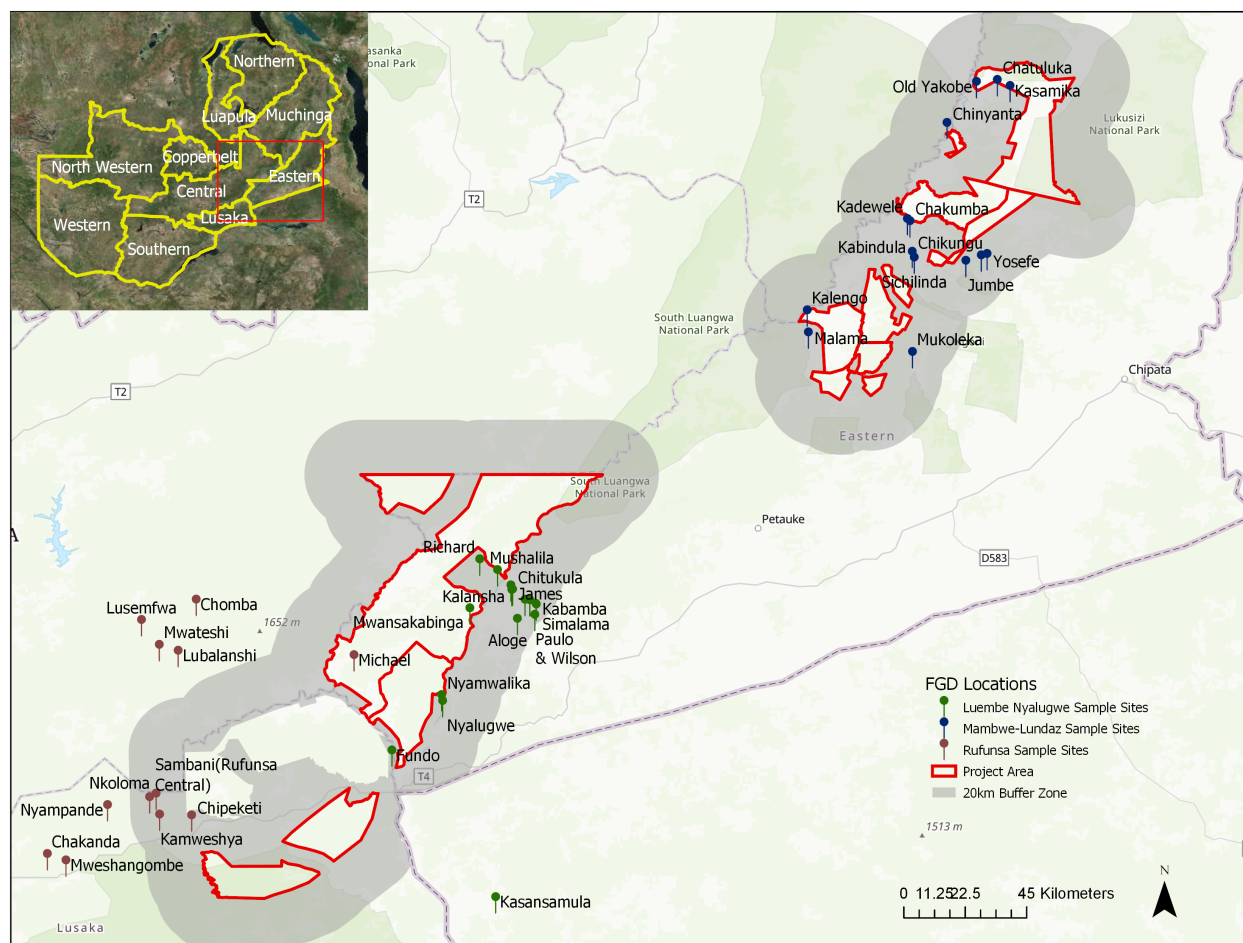
Key Informant Interviews (KIIs): Following USAID/Zambia's guidance, combined with the team's own research, the evaluators identified a list of key informants to interview. These included people from GRZ line ministries, other donors, Non-Governmental Organization (NGOs), and private companies involved in the technical sectors and geographical areas of the CFP, CRBs, local leaders, USAID/Zambia, USAID/Washington, and current and past BCP employees. The evaluation team conducted 50 KIIs with a variety of key stakeholders. Most KIIs lasted no longer than 60 minutes to respect the respondents' work obligations. Data collection was done using mobile devices (tablets and smart phones), when appropriate. Prior to each interview, the team reviewed the KII protocol and determined which questions to focus on for the interviewee. Based on conversations with USAID/Zambia, the evaluation team prioritized interviews with the CRB members, current/former employees of BCP, and stakeholders from various levels of government. The final list of KIIs is provided in Annex F.

KIIs conducted:

- 11 development partners and NGOs
- 2 private sector companies
- 14 central, provincial and district officials
- 12 local authorities
- 11 current and former BCP staff

Focus Group Discussions (FGDs): Data collection in the field occurred over a two-week period between September 3 -15 in the project areas in Nyimba, Mambwe, Rufunsa and Lundazi (see Figure 2).

FIGURE 2: LOCATION OF FGDS



To capture a diverse sample of beneficiaries, and to ensure proficiency in Nyanja, the evaluation team contracted with a Zambian data collection firm, RuralNet, which has extensive experience conducting surveys in Zambia.⁴ Technical Coordinators were appointed for each of the four specified districts (Mfuwe/Lundazi, Nyimba, and Rufunsa) and each coordinator oversaw a team of three junior level research assistants. Before conducting FGDs, the field teams paid courtesy calls to the local chiefs. The chiefs then allowed the teams to conduct the FGDs in their areas. The field teams conducted 88 FGDs in a total of 45 villages, with separate FGDs for men and women in nearly each village.

The FGDs generally lasted between 1-2 hours, depending on the size of the group and interest of the interviewees.⁵ Since time and budget constraints prevented the field teams from conducting FGDs in all CFP communities, the evaluation team developed an FGD sampling strategy based on a combination of BCP implementation information and GIS deforestation data. Based on guidance from USAID/Zambia, an

⁴ Most recently, RuralNet conducted a baseline survey for over 3,500 households in Zambia as part of the USAID/STARR Evaluation, Research and Communication project.

⁵ At the beginning of each FGD, the participants were provided information about note-taking and recording, and clear instructions around the participants' right to leave the conversation at any time. The FGD leader took GPS coordinates and outlined the discussion topics. FGD leaders identified participants by number, rather than name, to ensure anonymity.

effort was made to ensure FGD representation from all four district project areas namely Rufunsa, Nyimba, Mambwe/Mfuwe and Lundazi.

3.2 DATA ANALYSIS METHODS

The evaluation team took detailed written notes at all FGDs and KIIs (with consent), to allow the team to accurately report on the responses. The enumeration team also recorded the FGDs for response summary purposes. The teams collecting the FGD explained in detail that the recordings would not be shared beyond the data collection team and that they would be deleted after the team summarized the FGD responses. The data collection team used safeguards like assigning FGD participants numbers instead of using their names, to ensure the respondents were comfortable with sharing their true opinions. Where appropriate, the team hand-coded the responses to transform these qualitative data into quantitative tabulations.

The evaluation team directly linked each question in the KII and FGD protocols to one of the five EQs. The evaluation team also used GIS analysis to spatially benchmark question responses. In addition to the KII, FGD, and GIS, the evaluation team incorporated desk review results and conducted site verification trips in the field. This triangulation process is designed to ensure the independence and robustness of the team's evaluation findings. We describe our analytical techniques for each question, along with their limitations and underlying assumptions, in the Assumptions and Limitations section below.

3.3 ASSUMPTIONS AND LIMITATIONS

This evaluation methodology described above has, as described below, underlying assumptions and limitations specific to the various evaluation questions.

EQ 1. To what extent have CFP activities resulted in reduction in deforestation in the areas where activities were implemented?

Attributing the success of a project is difficult within a performance evaluation, where there is no counterfactual (or control group) with which to compare. In this instance, the evaluation team assumed that analysis of available GIS data would be adequate to identify appropriate target areas for FGDs, and to measure deforestation rates. Our evaluation strategy hinged on the willingness of properly contextualized community members and other key stakeholders to openly discuss their perceptions of CFP, BCP, CRBs, and deforestation in general. Finally, we assumed that our data collection strategy, including FGD and KII fieldwork, would provide us with a sufficient number of responses to address this question.

Without a counterfactual, our findings are correlational, which means we are unable to directly attribute changes we observed to the project. Our evaluation strategy assumes that we undertook sufficient data collection through KIIs and FGDs to allow us to understand both the extent of CFP activities and the relationship between those activities and deforestation within the implementation areas.

EQ 2. To what extent are key stakeholders satisfied with CFP's approach to resolving policy disputes?

Our key assumption for EQ2 is that key informants would speak freely. The evaluation team assumed that we identified the appropriate key stakeholders and that they understood the policy issues. Our response to this question is based on the answers that these key stakeholders were willing to share with us, along with the documentation we reviewed.

EQ 3. How have stakeholders perceived the CFP’s efforts in building capacity of government and community-based organizations at the national, provincial, district, and local level to understand REDD+ and to develop and implement REDD+ strategies and action plans?

There are several limitations to the measurement of CFP’s capacity building efforts across multiple layers of government and Community Based Organizations (CBOs).

1. We assume that we adequately identified stakeholders from these four layers of government.
2. Given the limited time, we were restricted to assessing their understanding of REDD+ to FGD and KII conversations.
3. REDD+ projects are long-term endeavors and the actual outcomes of the project will not be known until carbon offset credits are sold and change in forest cover is tracked over the long term.
4. Communicating with local stakeholders can be difficult. Even when focusing on fundamental capacity building activities, like trainings, we found that respondents often did not know that the training they attended was funded or organized by CFP. Thus, there is a risk that some of the CFP capacity building work would have been under-appreciated within the KIIs.

The evaluation team faced similar limitations when evaluating capacity building and the understanding of REDD+ among CBOs and other local organizations. Some of these organizations competed for the CFP implementation contract and lost or expected to be involved in the implementation and were not used. We assumed that we identified and spoke with an adequate number of CBO representatives and that these representatives accurately responded to our questions.

EQ 4. To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability being adopted by institutions at the provincial, district, and local levels?

The team assumed that we received adequate documentation and spoke with sufficient people to answer this evaluation question. As mentioned earlier, as CFP is still being implemented. It is difficult to measure adoption over the relatively short span of time, and the full impact of CFP activities might not be observed for several years. Measuring adoption at four levels of institutions also requires responses from a range of GRZ stakeholders.

EQ 5. How can BCP maintain the gains achieved under the CFP?

BCP is a private company and the evaluation cannot conclusively ascertain their capacity, intentions and aspirations. This evaluation assumes that we received adequate and accurate information from BCP on their current and future financial situation. We assessed carbon market opportunities based on our finite knowledge of Zambian opportunities. Our conclusions and recommendations are naturally restricted given the underlying volatility in the carbon markets and our limited access to financial projections of carbon pricing.

3.4 DATA STORAGE

During this evaluation, the evaluation team collected notes on 50 KIIs and 88 FGDs. The anonymized files including the results of the KII and FGD interviews and the GIS information for each of the FGD locations will be stored on a secure cloud server for the indefinite future.

4. EVALUATION FINDINGS

This section of the report is organized according to the five key EQs. The evaluation team based their findings on field data collection and analysis, a review of relevant publications, and their experience designing, managing, and implementing USAID-funded community forestry and REDD+ projects.

EQ1. TO WHAT EXTENT HAVE CFP ACTIVITIES RESULTED IN A REDUCTION IN DEFORESTATION IN THE AREAS WHERE ACTIVITIES WERE IMPLEMENTED?

The CFP utilized various mechanisms to reward communities for setting aside forests for conservation and curbing deforestation. These mechanisms included community partnership projects (as identified and prioritized collaboratively by the local communities in the various chiefdoms, Chiefs and the CRBs), the payment of conservation fees, public outreach on the importance of forest conservation, and capacity building activities related to forest governance. Despite these efforts, some communities continued to show deforestation and/or forest degradation within their set-aside forested areas. The objective of this EQ is to understand to what extent CFP activities have resulted in a reduction in deforestation rates and why the mechanisms that CFP utilized were only effective in some communities.

The scope of this evaluation, and the emphasis on qualitative, rather than quantitative findings, make it difficult to definitively state where CFP reduced deforestation and by how much. Documentation from BCP suggests that deforestation rates slowed within the project areas.⁶ The assessment team was also able to use available GIS data to quantify patterns of deforestation in project areas. The analysis of the data, combined with FGDs, KIs, and the team's professional experience, identifies several important factors that may have impacted the efficacy of CFP interventions on deforestation.

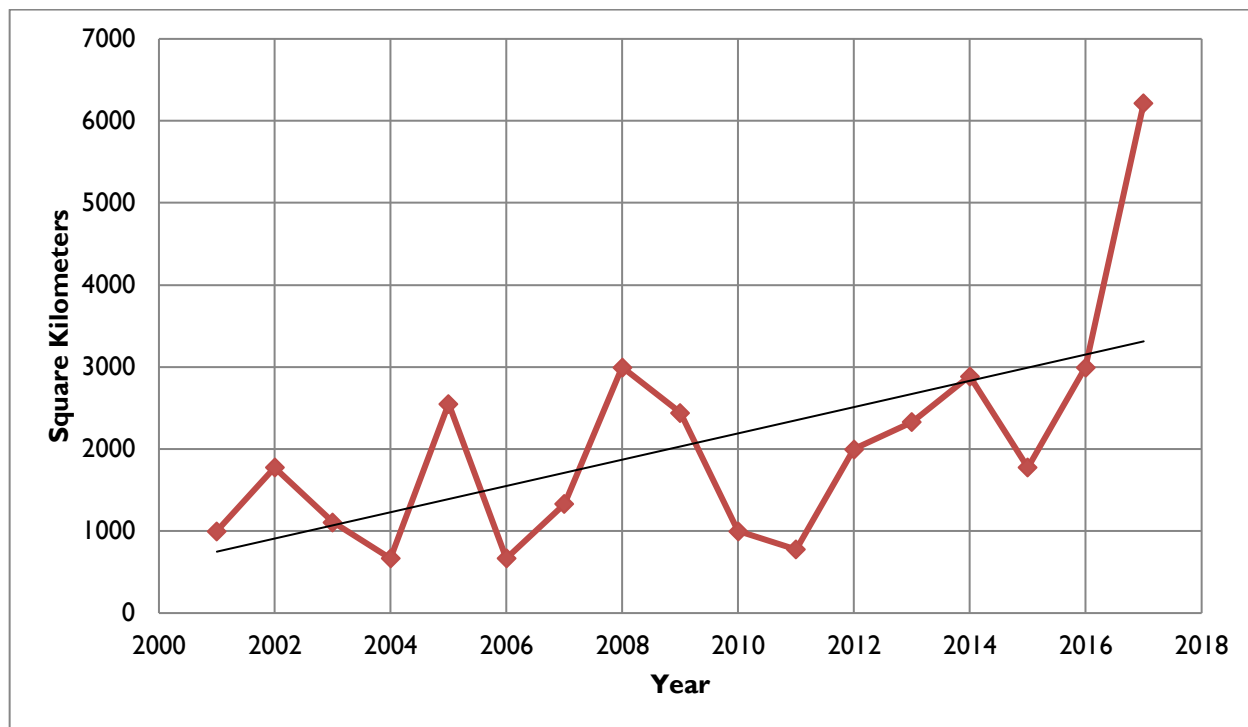
Deforestation Overview

To understand CFP's strengths and weaknesses, one must first have a sense of the state of deforestation in and around the project areas. While we cannot present causal interpretations for our deforestation findings, our GIS analysis provides an overview of deforestation in the CFP areas. Figure 3 shows that deforestation rates in and around the CFP areas are generally on an upward trend. We include some additional information on deforestation in Annex II, where Figure 16 and Figure 17 depict the current state of deforestation in the CFP areas and buffer zones as of 2017.

Recent increases in deforestation rates are of concern, however, the project timeframe was relatively short and there are many factors that may contribute to changing rates of deforestation. In our discussion of the EQs, we present some reasons for why CFP's activity might not have stopped deforestation in project areas.

⁶ As a baseline evaluation was conducted, the evaluation team understands that a quantitative impact evaluation of CFP will be conducted in the future. An impact evaluation would be able to assess and attribute changes in deforestation rates to the project, given an adequate timeframe.

FIGURE 3: AERIAL DEFORESTATION OVER TIME



STRENGTHS OF CFP's APPROACH

I. Overall, the project appears to have had a positive impact on limiting deforestation.

It is difficult to attribute specific changes in deforestation rates (the outcome) to specific interventions of CFP. There are several factors influencing deforestation rates that are outside the control of the project, and the five-year timeframe is just too short to rigorously establish the causes of changes in deforestation rates. There are numerous “outputs” from CFP, however, that can be quantified, tracked, and supported further, and a defensible argument can be made that these outputs are, and will continue to, support the outcome of reduced deforestation. Examples of these outputs include:

1. Management capacity improved in CRBs and District Forestry Department Offices;
2. Local village patrols established to enforce forests in REDD+ zones; and
3. National policies established to manage carbon stocks and community forests.

Our analysis of GIS data shows a correlation between limiting deforestation and project intervention zones. Figure I8 and Figure I9 in Annex II model changes in deforestation rates in these areas over time. From the evaluation team's analysis of Figure I8, it is clear that deforestation exists both within and outside the intervention areas, but that deforestation levels are lower within the intervention areas.⁷ However this analysis is static, not taking time into account. By modeling “hotspot” deforestation analysis in Figure I9, the evaluation team takes recent deforestation patterns into account. The GIS hotspot analysis notes

⁷ It is necessary to acknowledge that there are limitations inherent in using data covering such a short time span to assess how CFP activities impacted deforestation. Also, the evaluation team had limited access to disaggregated GIS data, which prevented a deeper level of analysis of deforestation rates within specific project areas over time. The lack of a counterfactual also makes it difficult to impute causality concerning deforestation to CFP.

higher rates of deforestation in the northwestern and southwestern areas of the project, prior to project implementation. During the project, the GIS analysis did highlight a hotspot for deforestation in the north-central region of the project, but deforestation in the two previously identified hotspots both decreased. Overall, the hotspot analysis supports a conclusion that deforestation rates are trending downward in most of the CFP protected areas.

2. CFP's strong bonds with local leaders helped limit deforestation.

By working collaboratively with GRZ, local chiefs, and CRB members, CFP provided the tools and resources to help limit deforestation within the protected REDD+ forest areas. These tools included CRB trainings, forest demarcation, use of local conservation funds, and breach action tools – quick impact projects. The CFP program provided support to local authorities and specifically CRBs in the practice of good governance of their natural resources and revenues associated with these natural resources. The CRBs were provided training and experience in managing the conservation fees provided by the project. This required work planning, budgeting, and consultation down to the VAG levels. This also required practice in transparent financial accounting practices. Additionally, CFP used a Breach Action tool – where monitoring (community scouts and or other surveillance technique) revealed an encroachment in the REDD+ forest; in such cases a report was written and BCP staff along with local authorities (chiefs and CRB members) would plan a visit to the area to meet with the communities and the community leader to discuss corrective and mitigating actions.

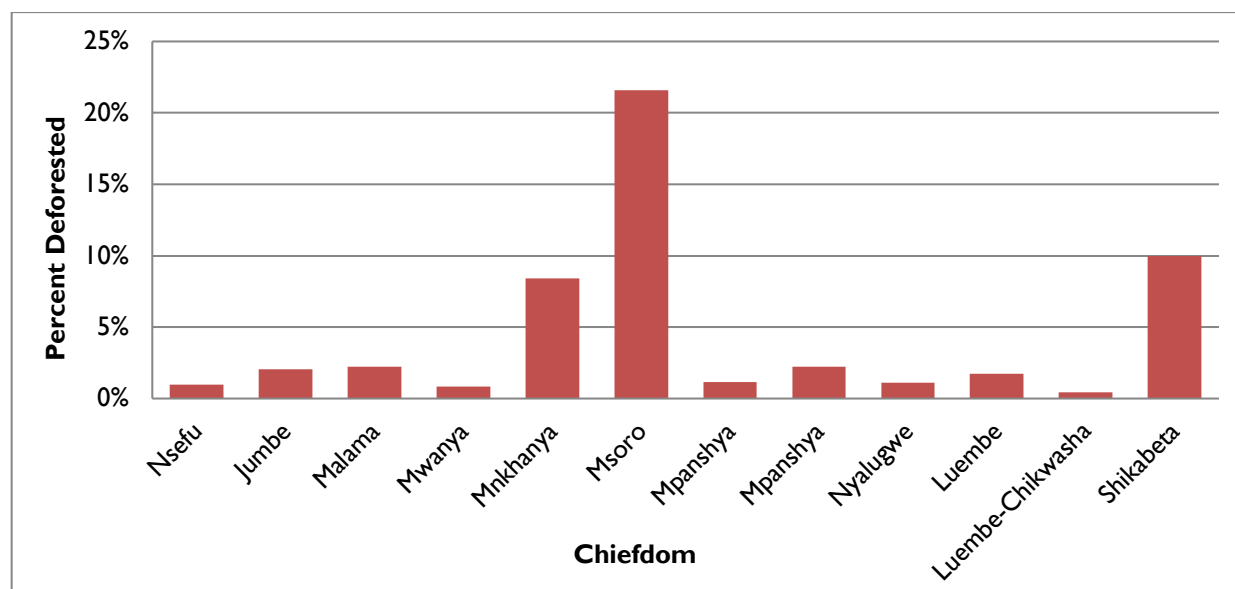
FIGURE 4: CONSERVATION PAYMENTS BY CHIEFDOM

CRB	Round One REDD+ Hectares	Round One Amount (USD)	Round Two REDD+ Hectares	Round Two Amount (USD)
Mwanya	87,417 ha	\$17,483	87,784 ha	\$17,767
Nsefu	-	-	39,779 ha	\$8,051
Jumbe	16,200 ha	\$3,240	16,212 ha	\$3,281
Mnkhanya	34,484 ha	\$6,897	33,608 ha	\$6,802
Msoro	24,076 ha	\$4,815	24,089 ha	\$4,876
Malama	32,283 ha	\$6,457	32,297 ha	\$6,537
Luembe	289,760 ha	\$57,952	289,934 ha	\$58,683
Nyalugwe	61,088 ha	\$12,218	61,088 ha	\$12,364
Mpanshya	83,050 ha	\$16,610	84,663 ha	\$17,136
Shikabeta	80,540 ha	\$16,108	159,444 ha	\$32,271
Totals	828,898 ha	\$141,780	828,898 ha	\$167,768

CFP disbursed conservation fees through a standard mechanism to the CRBs, consisting of payments of two Zambian Kwacha per hectare of protected forest conserved. Figure 4 includes a summary of the two rounds of conservation payments, by chiefdom.⁸ As noted in this figure, the latest round of conservation payments included transfers of over 1 million Zambian Kwacha.

As shown in Figure 5, deforestation rates within protected areas in most chiefdoms remained fairly low throughout the project time period.⁹ Some chiefdoms experienced higher levels of deforestation, including Msoro, Shikabeta, and Mnkhangya. In FGDs in these areas, the evaluation team heard of higher levels of deforestation for charcoal production, and lower levels of community engagement with BCP. However, overall CFP's strategy of direct engagement with the chiefs and CRB chairs appears to have resulted in reduced levels of deforestation.¹⁰ When comparing Figure 4 and 5, two of the three chiefdoms with the highest rates of deforestation also have some of the lowest amounts of protected forests. Shikabeta Chiefdom is an anomaly; here deforestation levels are relatively high and there is a large amount of protected forest. Additional research is needed to understand this situation.

Figure 5: Percent Deforestation by Chiefdom



The evaluation team's KIs and the literature review support the conclusion that strong governance is a decisive factor in preventing deforestation. KII and FGD respondents consistently noted that CFP had solid relationships with local leaders, which prevented local community members from entering the protected forests. When asked who controlled the forests in the area, most FGD respondents mentioned their chief. There is also some evidence to suggest that, at the chiefdom level, better functioning CRBs

⁸ The evaluation team used a historical exchange rate of 0.1012 to convert Zambian Kwacha to USD for the second round of conservation fees.

⁹ Mpanshya is represented twice on Figure 5 because, as shown in Figure 15, CFP included two separate protected areas within this chiefdom.

¹⁰ It is important to note that there are many potential reasons for deforestation in any area, including governance, population growth, and infrastructure/road building.

and more respected local leadership played a pivotal role in preventing deforestation, namely in Jumbe and Nsefu.

3. CFP successfully responded to the threat of encroachment from migration.

Some of the deforestation that is occurring within the intervention zones is a result of the migration of members of the Chewa Clan into REDD+ areas. The CFP developed a method of successfully responding to this migration issue, working with the CRBs to help relocate migrants outside of the project area. This approach worked well in preventing additional deforestation or encroachment in the REDD+ areas. CFP utilized airplane surveillance¹¹, Global Forest Watch data, and on-the-ground monitoring by community scouts and DNPW staff to enforce the agreed upon REDD+ boundaries.

When farmers and herders from other areas resettled in the chiefdoms in Nyalugwe and Jumbe, for example, the encroachments were addressed through a process that started with “Corrective Action Reports.” These reports were shared among the CRBs, Chiefs, and other key stakeholders. Then the key leadership figures visited the sites, talked with the migrants, local community members, and engaged local authorities from the chiefdom where the migrants originated to negotiate a plan to resettle the migrants. This process was successful in removing the migrants and preventing further land degradation and deforestation.

WEAKNESSES OF CFP’S APPROACH

I. CFP progress vis-à-vis deforestation was slowed by limited attention to alternative livelihoods.

BCP is a carbon marketing organization. It was founded, however, by people with wildlife conservation backgrounds. BCP has the mission of making wildlife habitat conservation valuable to people, partly through using carbon offsets to generate funds for wildlife and forest conservation. The evaluation team finding from the field is that, to date, the BCP technical approach has leaned towards forest conservation/protection through enforcement of rules and regulations, and less towards promoting community engagement and supporting alternative livelihoods. This is demonstrated by the emphasis on surveillance and compliance (e.g., airplane surveillance, aerial imagery data, on the ground site visits, village scouts, and development corrective action memos to address encroachment into the REDD+ forest areas).

“People are disappointed with the fact that what was agreed to be done for the community has not been done. This was not what they had expected. They were promised employment but up to now nothing has been done yet.”

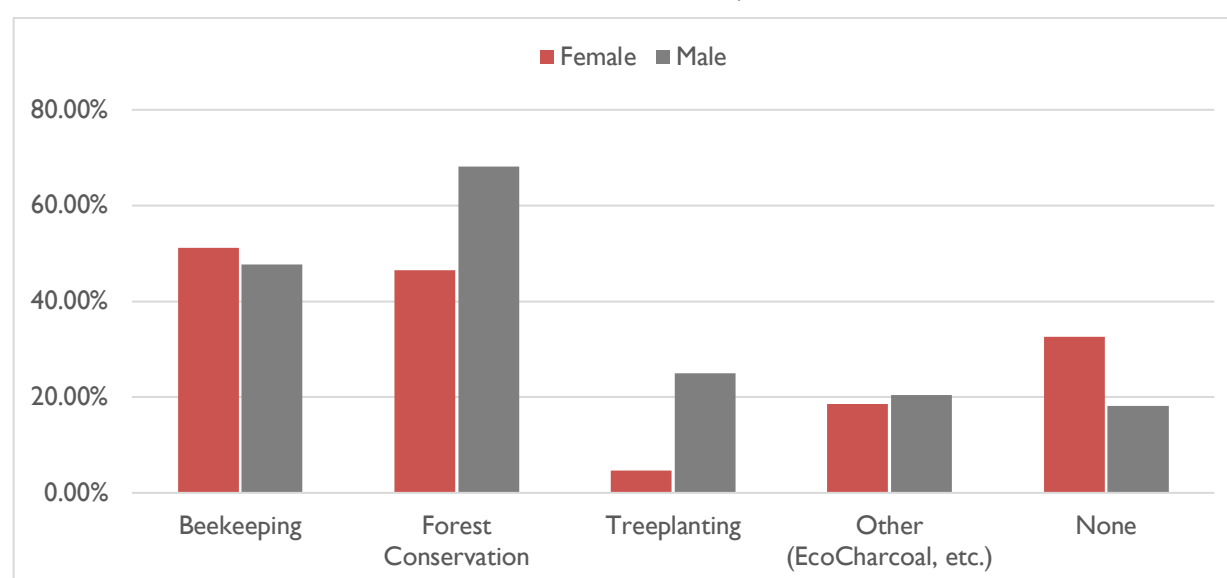
- FGD participant

Conversely, livelihood interventions tended to be small or non-existent. BCP did not have a strong group of partners that could deliver on the livelihood and community engagement components of the project. They did have discussions, and in some cases, even memorandums of understanding, with organizations focused on alternative livelihoods, but these relationships were not fully utilized. For example, due at least in part to budget restrictions, the subcontract with New Rotations Zambia (NRZ) was discontinued after one year, and the memorandum of understanding with COMACO was never operationalized.

¹¹ Aerial surveillance occurs monthly or bimonthly and focuses on areas at risk of encroachment. DNPW sends an observer, and the flights are treated as joint patrols. The project pays for fuel. Given the 700,000-ha project area, this is an effective approach, when combined with remote sensing and field patrols. It is noteworthy that CFP also includes community authorities in over-flights of adjacent forests for perspective.

Although preliminary evidence from MINT’s small-scale evaluation in 2018 suggests reductions in charcoal production in certain project areas, these possible reductions do not appear to be correlated with an expansion in alternative livelihood opportunities for local community members. Figure 6 shows the percent of focus groups reporting livelihood training in beekeeping, conservation farming, tree planting, and other activities, broken down by gender. These results are recorded per focus group, not per participant in each focus group. For example, over 50 percent of male FGDs mentioned receiving conservation farming training. It is noticeable that **a quarter of focus groups were not aware of any livelihood training**. This suggests that there is significant room to provide trainings to support more economic development. Given that many respondents felt that losing access to the forest negatively impacted their livelihood, the livelihood trainings should really be given to all to reduce the negative economic impact of the program and improve sustainability.

FIGURE 6: FGDS REPORTING LIVELIHOOD TRAINING, BROKEN DOWN BY GENDER



Throughout the alternative livelihoods analysis, the evaluation team found that **women consistently reported lower levels of training**. Overall, female focus groups were significantly less likely to report the existence of training programs in almost all areas. This suggests that future trainings might want to specifically target women or design alternative livelihood opportunities for women with high potential in the local context.

Conservation farming is another path to alternative livelihoods within the CFP areas. In the FGDs, men reported conservation farming as the most frequent training they received. The evaluation team heard in KIIs and FGDs of community willingness to provide scouts to protect the forest, along with community openness to alternative farming techniques focused on conserving the forest. The limitation here is finding a sustainable method to pay for these scouts and the capacity to reinforce conservation farming methods to allow for greater adoption levels.

“They need to employ scouts to check on the forest and protect it from the damage from cutting down trees.”

- FGD participant

While the alternative livelihood component of the CFP was not a success story overall, partially due to funding limitations, the CFP was successful in **piloting beekeeping as an alternative livelihood activity that could prove to be a viable option for use on a larger scale**. CFP's beekeeping efforts have resulted in the distribution of over 11,000 hives, which is one of the largest conservation beekeeping efforts to date in Zambia. Since beekeeping is dependent on intact forest, this is a perfect example of the kind of income generating activity that adds value to a REDD+ project and further incentivizes forest protection. Anecdotal evidence of the success of the beekeeping program comes from the Headmaster of a school in Rufunsa, who stated "sometimes the students tell me that they will pay the school fees as soon as their family sells their next honey harvest".

2. Conservation payments to communities were insufficient to impact households.

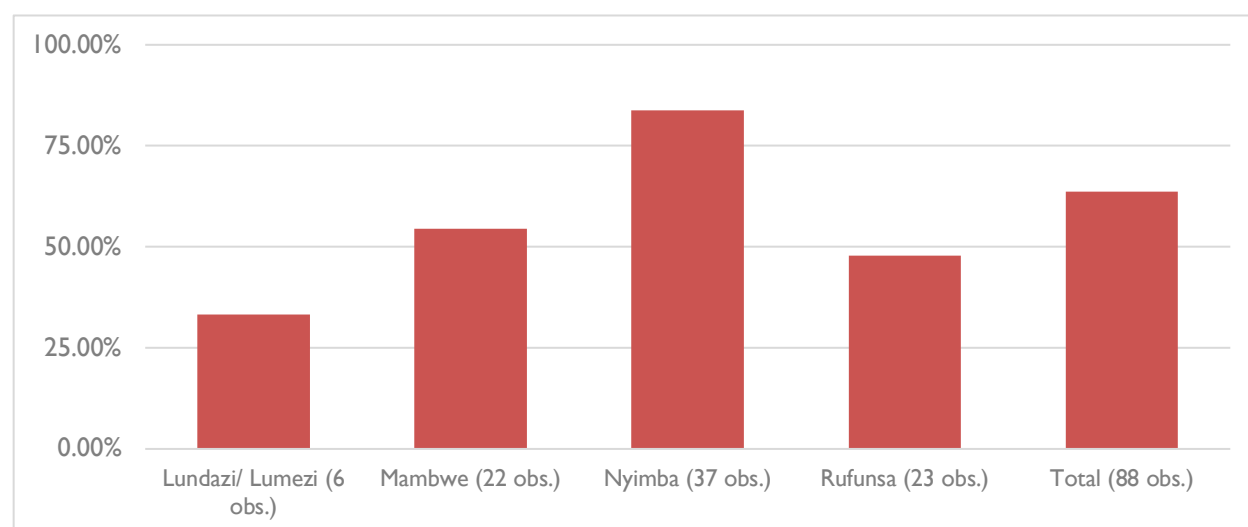
As part of the program, benefits were paid out to communities in exchange for their agreement to preserve the designated forests. Inadequate funds are a common challenge in many development programs, and in the case of the CFP, the size of the payments that went to communities in exchange for conservation, as outlined in Figure 4, were often insufficient to the community. Moreover, activities funded from conservation fees, from building a house for a local head teacher to drilling boreholes, tended to help at a broader community level. As these projects were spread out over the entire community, the impact was disbursed, and often seen as insufficient to compensate individuals for the opportunity-costs of lost forest use.

In the FGDs, participants were asked about whether they were aware of benefits from CFP or BCP. As summarized in Figure 7, many of the community members did not feel that they personally benefitted, and they questioned if the payments were sufficient to earn their support for the project. It is likely that larger payments, which will possibly arrive with future carbon payments, would translate into more noticeable investments in the communities.

"The community has received nothing in terms of benefits. As long as the villagers conserve the forest they were promised boreholes for water, build a clinic, school and introduce income generating activities for their livelihood but this has not happened."

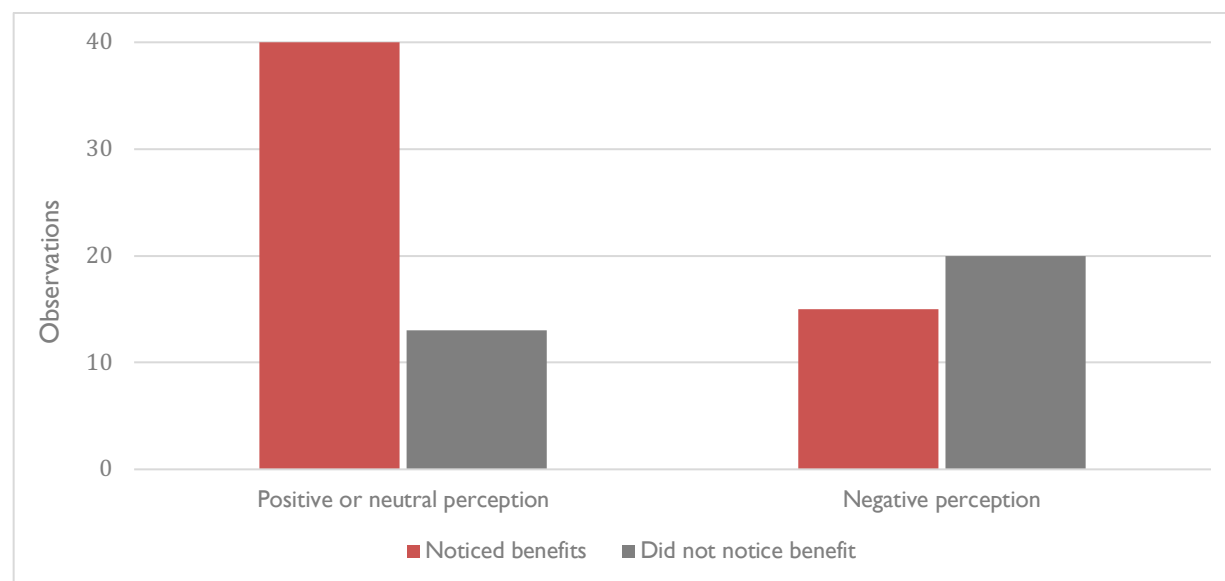
- FGD participant

FIGURE 7: SHARE OF FGDS BY REGION REPORTING THAT THEY BENEFITED FROM CFP PAYMENTS



It is worth noting that **only approximately half of the focus groups reported receiving benefits from CFP**. In some areas, like Rufunsa and Lundazi, the share of focus groups that reported benefits were less than half. As we show in Figure 8, we noted a strong relationship between receiving benefits and having a positive or neutral view of the project.

FIGURE 8: PERCEPTION OF THE PROGRAM CORRELATED WITH OBSERVED BENEFITS



It is quite possible that in some of these cases, benefits were given to communities, but that respondents were not sufficiently informed about the benefits received, or how funds were used. There were also several respondents that expressed concerns that money was mishandled by the CRBs, which may be part of the reason why some communities are not seeing benefits. That being said, CFP worked with the CRBs to monitor the conservation funds and enacted safeguards, like requiring multiple signatories for any withdrawals, to prevent fund mismanagement. BCP noted that under the CFP, CRBs used conservation funds to implement 50 projects (excluding separate CFP alternative livelihood trainings).

Given that the exchange of benefits for conservation is a key part of the program, **more work should be done to ensure that sufficient benefits are being provided to the communities in a timely manner**. In some cases, it may also be important to actively publicize the release of benefits to increase awareness and ensure that the communities feel that they are benefiting from a positive exchange.

3. CFP progress was impeded by inadequate community sensitization.

In general, stakeholders felt that the CFP community sensitization process was insufficient and inconsistent in some communities, and that this was a weakness in the project. However, it is important to note that there are several factors that should also be considered when assessing the effectiveness of this aspect of the CFP:

- The CFP covered 700,000 ha, and this coverage area was much larger if you consider buffer zones, impacted areas, etc. Thus, it would be a challenge for any project implementer to consistently and adequately engage with all the communities in such a large area. The “unusually large” coverage

of the CFP had some logic behind it, and it presented some advantages to the project, but it also resulted in less penetration in the community sensitization process.

- A REDD+ project is a long-term endeavor. Effective community sensitization is also a long-term endeavor, and it cannot be evaluated solely on community impressions during the first several years of the project.
- There were budget constraints that restricted the CFP's ability to engage with other organizations that could have helped to roll out the community sensitization process.

Community members involved in FGDs were often critical of the community sensitization process. They could not describe, or identify, an FPIC process that they were involved with. And they did not feel they were adequately engaged in making decisions about BCP activities in their community.¹²

The FGDs and KIs indicate that stronger and deeper levels of community engagement, beyond interactions with local leaders, were needed. Our research indicates that the project did not adequately engage all of the village authorities. The FGDs and KIs note that there is a missing connection between the Chief/CRB chair level and the Headman (or woman). For example, one KI commented:

"The headmen (who are the leaders closest to the communities, because they live within their respective villages) should have been more actively involved. In many cases, the community and the headmen had refused the project, but the chief wanted it, and it went ahead. They mainly "refused" because of bad rumors, and because they were not initially consulted."

One FGD discussion participant reported that they did not want the program to come to the community, but the Chief wanted it and so "it is like a dictatorship."

The evaluation did not uncover a clear explanation of where and how the initial community engagement process was rolled out. However, in the few areas where there was deep and sustained community engagement from prior REDD+ readiness investments, such as in Rufunsa, our research revealed that communities understood that the REDD+ zones were "off-limits," because they were now being managed differently. They also understood that they were receiving benefits in exchange for foregoing opportunities to use the forest. The beekeeping, conservation fees and conservation farming training they received in exchange for forest conservation were the most appreciated interventions.

The lack of a deep and sustained CFP project sensitization led some individual villages to select protected forests far from their population centers, in areas at lower risk of deforestation to begin with. In Nyimba, for example, the boundary of the REDD+ forest is 10+ kilometers away from most of the villages that were beneficiaries of the CFP project. In the 15 FGDs the evaluation team conducted in Nyimba, almost half mentioned that the forest was "too far" to be of a concern to the local community members. In interviews with ex-BCP staff, the evaluation team confirmed that communities selected the forests they wanted to protect, and they generally chose forests far from them, while using closer resources for exploitation. Selecting these distant forests is sub-optimal from a REDD+ perspective, because they had a low probability of deforestation in the first place, which decreases the price they receive on the carbon markets.

¹² However, it should be noted that community members are often critical of conservation efforts directed from outside the community.

EQ2. TO WHAT EXTENT ARE KEY STAKEHOLDERS SATISFIED WITH CFP'S APPROACH TO RESOLVING POLICY ISSUES

The CFP provides capacity building and policy support to GRZ and other key stakeholders at the national, provincial, district, and local levels. This capacity building is related to REDD+, Enhancing Capacity for Low Emission Development Strategies (EC-LEDS), community-based natural resource management, wildlife management, and climate-smart agriculture. This EQ seeks to assess the extent to which key stakeholders are satisfied with CFP's approach to resolving policy issues and to identify lessons learned for tackling policy issues for future REDD+ projects.

"CFP's involvement in the development of the Statutory Instrument's for Carbon Stock Management was very supportive overall for forest policy development in Zambia"

- Senior Government Official

The assessment team found that, broadly speaking, CFP helped resolve policy issues by providing inputs and trainings to GRZ that formalized their policies around preventing deforestation. CFP was successful in influencing REDD+ policy in Zambia at the central, provincial, and local levels. Specific policies and regulations impacted by CFP include: 1) an Statutory Instrument (SI) for carbon stock management (draft supported by CFP), 2) an SI on Community Forest Management, and 3) operationalizing the Community Forest Management Group (CFMG) as laid out in the Forest Act. Government officials at the central and provincial level stated repeatedly that CFP helped to facilitate dialogue between stakeholders and provided training and technical expertise to help resolve or clarify policy issues. Examples of commonly cited statements included:

- A KII with a Senior Forestry Officer of the Department of Forestry indicated that *"the CFP's support for the development of the Statutory Instrument for Carbon Management was positive"* and he pointed out that GRZ staff that previously involved with the CFP are now working on the new World Bank REDD+ project called the *Zambian Integrated Forest Landscape Project*;
- District government officials reported that as a result of CFP efforts they had some opportunities to provide input into the development of the SIs and were also briefed on the near final versions of policy (e.g. the statutory instruments for carbon management and community forestry);
- The project facilitated the connection between wildlife policy and forest policy.

The SIs developed with CFP assistance was generally viewed positively in the KIIs and are relatively progressive. Several KIIs opined on the impact that the CFP had on the development and/or implementation of these policies. In general, national stakeholders (GRZ, Donors, NGOs) felt that CFP had a positive impact on these policies – although there was some criticism of the project's involvement with the Community Forest Management SI. For example, the Forest Department felt that they should have had more involvement with the development of the agreements between BCP and the communities – rather than just expecting the Department to "just sign off on them" after BCP had already completed the negotiations. With respect to the development of the Carbon Stock Management SI, GRZ and NGO stakeholders felt the project played a significant role in the development of this policy, and that this policy was now well respected. The Forestry Department did reflect that there could be some inherent conflict of interest when the seller of the carbon credits (BCP) is also the entity developing the agreements with the communities.

At the local level, CFP assisted the GRZ in formalizing community rights to both the forests and the materials in the forests. The SIs on carbon stock management and community forest management clearly

signaled that local communities have an ownership stake in the carbon located in their forests. By taking this step, CFP assisted the GRZ in empowering the local communities to find value in protecting their forests.

There was an acknowledgement that Zambia, like other countries, is in the process of developing REDD+ readiness capacity. These stakeholders feel that the CFP strengthened the overall REDD+ framework and contributed to future efforts at implementation of REDD+ approaches. Since Zambia was one of the ten countries selected for early action REDD+ readiness, it has benefited from years of investment from other donors. A case can be made that Zambia is now well-advanced in organizing and implementing REDD+ projects.

EQ 3. HOW HAVE STAKEHOLDERS PERCEIVED THE CFP'S EFFORTS IN BUILDING CAPACITY OF GOVERNMENT AND COMMUNITY-BASED ORGANIZATIONS AT THE NATIONAL, PROVINCIAL, DISTRICT AND LOCAL LEVEL TO UNDERSTAND REDD+ AND TO DEVELOP AND IMPLEMENT REDD+ STRATEGIES AND ACTION PLANS?

Countries are in various states of readiness and have varying levels of engagement with the voluntary carbon market. Therefore, it is critical for any USAID-funded activity to also build government capacity and systems to facilitate additional REDD+ projects in the future. In support of this goal, CFP provides training at multiple levels of government and community-based organizations on areas including financial management, administration, REDD+, and FPIC. This EQ seeks to understand how successful CFP has been in undertaking these efforts.

CAPACITY BUILDING AT THE CENTRAL, PROVINCIAL, AND DISTRICT LEVELS

The assessment team found that CFP was successful in providing capacity building to GRZ, particularly at the central, provincial, and district levels.

Stakeholders noted that CFP played a key capacity building role in REDD+ readiness, particularly as it related to REDD+, EC-LEDS, community-based natural resource management, wildlife management, and climate-smart agriculture. The CFP was also successful in building capacity within the targeted GRZ field offices, and with several CRBs. The staff were usually well versed in the concepts of REDD+, understood the agreements with BCP, and had realistic expectations of how things might develop with carbon trading in the future.

CFP provided training at multiple levels of government. This training and capacity building addressed skills that generally fall under three topics:

1. Skills related to managing REDD+ policy and REDD+ projects;
2. Organization management, financial management, administration, and community development such as FPIC; and
3. Skills related to alternative livelihoods, including bee keeping, sustainable charcoal production, and conservation agriculture.

CFP has high levels of support with national and district level officials

Among the 26 KIs that were conducted with officials and leaders at the national, provincial and district levels, over 85 percent could articulate what REDD+ was and how REDD+ is helping to conserve Zambia's forests.

Overwhelmingly, KIs that were conducted with government staff and local authorities reported that the capacity building work that CFP conducted was successful. A lead scientist with the Zambian Office of the Center for International Forestry (CIFOR), for example, noted: "There is no question that REDD+ capacity

was raised.”¹³ BCP created “Standard Operating Procedures” for the FPIC process in communities impacted by the CFP. The evaluation indicated that these SOP adopted by the BCP, are well-developed, based on realistic field conditions, and they are an example of how the CFP project did, and will continue to, contribute to the REDD+ concept.

CAPACITY BUILDING AT THE LOCAL LEVEL

Capacity building at the local level was more difficult to quantify. CFP used the existing CRBs as the mechanism to engage with communities at the local level, trying to strengthen these existing local governance structures. Government officials in KIs acknowledged that the project enabled them to better understand the need to protect their forests and the capacity to monitor the health of their forests. By building the capacity of the CRBs, BCP attempted to repurpose these groups into the first line of defense against deforestation.

“BCP is coming with syringes to remove our carbon from out trees and this will result in massive drought and no rain here in our community”

- FGD participant from Nyimba

FIGURE 9: FGD EVIDENCE OF REDD+ AWARENESS, FORMAL BENEFIT SHARING AGREEMENT

Question: Is the community aware of a Formal Benefit Sharing Agreement?					
Response	Lundazi/Lumezi	Mambwe	Nyimba	Rufunsa	Overall Average (n=88)
% Yes	20	23	58	60	48
% No	80	73	17	12	33
% Unsure	0	4	25	28	19

While CRB members generally understood the REDD+ concept, the community members were oftentimes uninformed of it in the FGDs. Community members that were directly involved with the CFP alternative livelihood activities, like beekeeping and conservation farming, were generally enthusiastic about the training and assistance they received, and they had some familiarity with the REDD+ concepts. But there was significant confusion about the agreements between BCP and the villages, and the evaluation team found that myths and misunderstandings about terms such as “forest carbon offsets” and “carbon” and “carbon trading” were common. Some community members referred to carbon trading as a “black box”. This lack of understanding of how BCP markets carbon and calculates community payments for future sales is a source of tension and distrust between the community and CFP.

In general, communities showed a mixed level of understanding of REDD+ strategies and an inability to implement REDD+ action plans. These strategies and plans are based on a mutual agreement on how future benefits will be shared and the establishment of a plan to manage the forests going forward. Although all of the communities in our sample should have these agreements and plans, FGD respondents were oftentimes unaware of their existence. Figure 9 shows that only about half of the communities in our FGDs understood they had a benefit sharing agreement. The level of understanding was lower when

¹³ It is relevant to note here that, in some instances, it appears that the government training did not trickle down to the communities. Of particular importance, as previously noted, the FGDs repeatedly highlighted the lack of CFP’s focus on alternative livelihoods at the community level.

the evaluation team asked in the FGD if the communities had a forest management plan, with the majority of the respondents in Figure 10 answering they did not. Without a wider spread of knowledge about REDD+ at the local level, it will be difficult to maintain low levels of deforestation.

FIGURE 10: FGD EVIDENCE OF REDD+ AWARENESS, FOREST MANAGEMENT PLAN

Question: Does your community have a Forest Management Plans?					
Response	Lundazi/Lumezi	Mambwe	Nyimba	Rufunsa	Overall Average (n=88)
% Yes	25	45	12	14	22
% No	75	45	76	75	68
% Unsure	0	10	12	11	10

While the evaluation team found mixed results at the local level regarding community understanding of key REDD+ concepts, CFP did play a role in improving the relationship between governmental authorities and Zambian citizens. CFP trainings helped facilitate positive interactions between the GRZ and the communities. In our research, the majority (60 percent) of Klls¹⁴ reported improved relationships between communities and DNPW and FD; with 30 percent saying it is about the same.

EQ 4. TO WHAT EXTENT ARE THE SYSTEMS AND PROCESSES THAT CFP PUT IN PLACE TO ENSURE TECHNICAL, FINANCIAL, SOCIAL, AND INSTITUTIONAL SUSTAINABILITY, BEING ADOPTED BY INSTITUTIONS AT THE PROVINCIAL, DISTRICT, AND LOCAL LEVELS?

A key component of USAID programming is setting countries on the path to self-reliance.¹⁵ Thus, to evaluate the success of an activity like the CFP, it is necessary to understand the ability of relevant institutions to sustain themselves. Specifically, this EQ seeks to understand if, in the absence of continued USAID funding, gains made by the CFP (via implementation as well as in interaction with higher level entities around REDD+ policy) are likely to be sustained.

The essence of the CFP is to incentivize forest conservation by using funds generated from the sale of “forests carbon offsets” in climate change mitigation projects. The sustainability of this concept is partially dependent on the capacity and perseverance of BCP, and the political mandate of national and local institutions involved with the project. However, the sustainability of the project is also dependent on the price of carbon – and this is dependent on how the world approaches the issue of climate change over the next five to ten years. It is unlikely that BCP will continue if they cannot sell the carbon offsets, and it is unlikely that the communities will continue to protect the REDD+ zones on the basis of payments received from BCP. This is obviously outside of the influence and/or control of BCP but is a risk factor in REDD+ programming.

“The Forestry Act of 2015 is really one of the best in the region- it’s beautiful. The challenge will be in operationalizing it.”

- National Forestry Expert

¹⁴ It is necessary to note that key informants were primarily government representatives and rural elites.

¹⁵ From more information see USAID’s primer on self-reliance, available here: <https://www.usaid.gov/selfreliance>.

SUSTAINABILITY WITHIN GOVERNMENT INSTITUTIONS

USAID programming has always emphasized the importance of helping countries help themselves, and under the current Administration, setting countries on the path to self-reliance is a foundational goal of the Agency. This translates into a focus on building the financial, social, technical, and governance capacity of institutions, civil society organizations, universities, government agencies, and/or individuals to foster and sustain broad based economic development.

The assessment team found that there was enthusiasm from the government to continue to build on the work done by CFP. The Forestry Act of 2015, which CFP supported through training of government staff, is regarded by forestry experts as one of the strongest in the Southern Africa Region and provides a solid legal and institutional platform for the country to build on. In addition, the GRZ recently created the Climate Change and Natural Resources Management Department, which promises to improve coordination of GRZ efforts related to REDD+ projects.

Another indication of sustained interest and adoption by GRZ is that the World Bank is funding several REDD+ projects to expand REDD+ principals in Zambia. In March 2018, the World Bank approved the Zambian Integrated Forested Landscape Project – which is essentially a REDD+ project in the Eastern Province. The World Bank is also designing another REDD+ project called Transforming Landscapes for Resilience and Development in the Northwest, Luapula, and Muchinga Provinces.

At the district level, there are also indications that the GRZ is moving forward with support for the REDD+ concept to the best of their abilities. For example, a District Agricultural Coordinator from the Ministry of Agriculture (MoA) stated in a KII that the efforts started by CFP will continue after USAID support ends.

CFP strategically chose to work with CRBs, as they were local institutions already functioning on the ground, to ensure implementation of their REDD+ plans. The CRBs employ village scouts for monitoring deforestation. They are responsible for annual work planning and budgeting; they support community development project planning and implementation, along with quarterly community engagement and dialogue. In KIIs with the evaluation team, all CRB members could articulate how they worked with the villages in their respective chiefdoms and the budget and financial aspects of each of their annual work plan. They share detailed information about amount and sources of income and how and where those revenues were spent.¹⁶ As CRBs regularly engage with the GRZ, the evaluation team expects that this will continue after conclusion of the CFP.

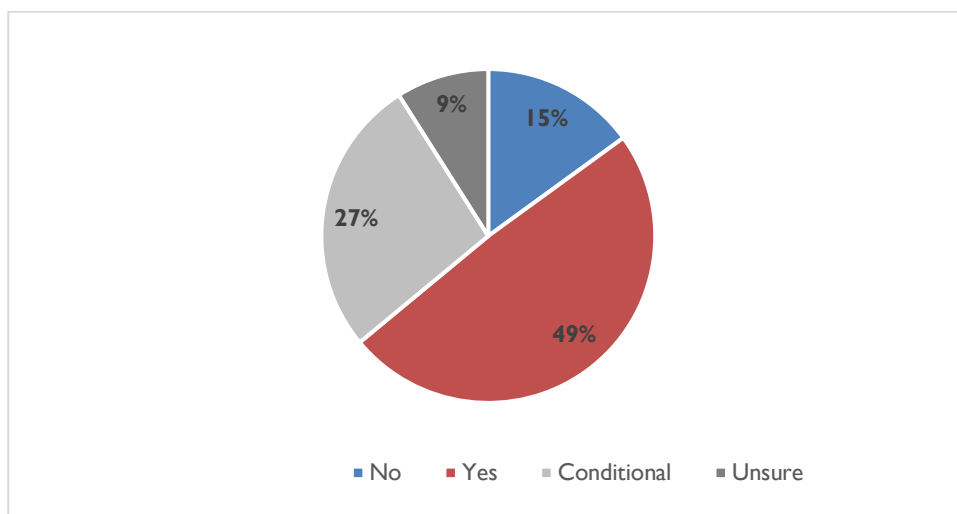
Gaps remain in the capacity of institutions in Zambia to implement REDD+. Historically, for example, CRBs, which are key to sustainability of the CFP gains, have worked through the Zambian Wildlife Authority, now the DNPW, to address issues related to wildlife management and protection. Although CFP provided training on topics like accounting, financial management, and conservation, the CRB budgets and management approval continue to be processed through DNPW. Forest management and working with the FD are new activities and processes for CRBs. **They remain weak in terms of technical knowledge of forest management, and they have yet to view the FD as a key government counterpart.** This may be a significant constraint to sustainability as CFP advances.

¹⁶ In general, most the funds went for community development and natural resource protection, with 10 – 20 percent for administrative costs. The CRB's are also subject to an annual audit by the Ministry of Finance.

SUSTAINABILITY WITHIN COMMUNITIES

Qualitative data from FGDs and KIs indicate that most of the communities involved with the CFP are open to being compensated to protect their forests. But the capacity of communities to work with REDD+ concepts is at a fairly low level. Moreover, it is common for people at the village and community government level to have misunderstandings about what REDD+ means. This has led to confusion about how carbon is quantified and sold. It was common to hear about the project coming to remove carbon from the trees in the REDD+ zone forests. Responses from FGDs indicate that communities will continue to be dependent on local authorities and local institutions like the CRB's to support their interests in the implementation of REDD+ activities. Therefore, strong engagement between communities and local institutions like the CRB is critical.

FIGURE 11: FGD RESPONSE ON PLANS TO PRESERVE AND MANAGE THEIR FORESTS IN THE FOLLOWING YEARS



Community response were mixed in FGD when asked about their plans to preserve and manage their forests in the upcoming years. As shown in Figure 11, about half of the FGDs responded positively to the question. Another quarter of the responses conditioned their continued preservation of the forests on the conservation fee payments. The sustainability of the current reduced deforestation levels appears to be linked to the sustainability of future forest conservation payments.

EQ 5. HOW CAN BCP MAINTAIN THE GAINS ACHIEVED UNDER THE CFP?

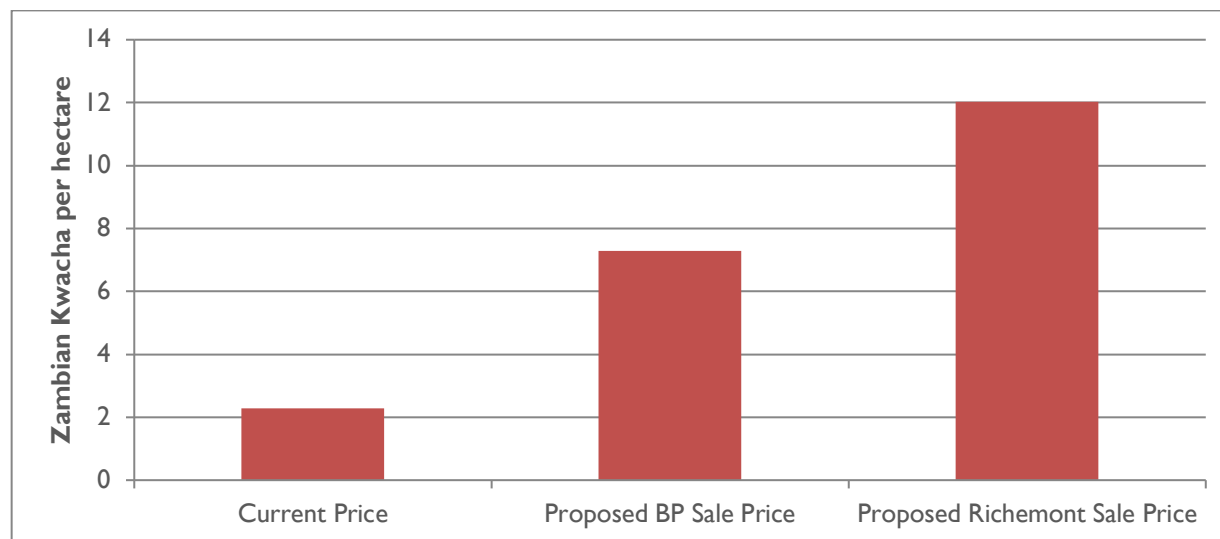
There are several factors that will impact BCPs ability to maintain and continue the progress made under CFP. So, it is difficult to identify specific steps that will guarantee continued success – because each step is dependent on steps that others must take as well. Nevertheless, there are several salient themes emerging from the project that should be considered by USAID, BCP and the CFP stakeholders.

1. BCP needs to secure alternative funding sources.

BCP understands that it needs to find funding after the end of CFP. The sustainability of REDD+ efforts started under CFP is heavily dependent on the financial standing of BCP. To date, BCP has not sold any carbon outside of their pilot Lower Zambezi REDD+ Project, which was formally incorporated into the

CFP in 2015. Its activities have been financed by USAID and BCP has, in turn, passed on transfer payments to local communities. The financial sustainability of BCP is partially dependent on their own capacity to market carbon and manage their finances. This, in turn, is dependent on the existing voluntary market for carbon offsets, and more importantly, on future demand for carbon offsets (either under a market driven by unregulated, or regulated, carbon management schemes). And this is beyond the control of BCP. That said, under conditions that exist today, the evaluation team believes that BCP has the financial capacity, and the desire, to sustain this project for the foreseeable future.

FIGURE 12: CURRENT AND PROPOSED VERIFIED PRICES FOR CFP CARBON

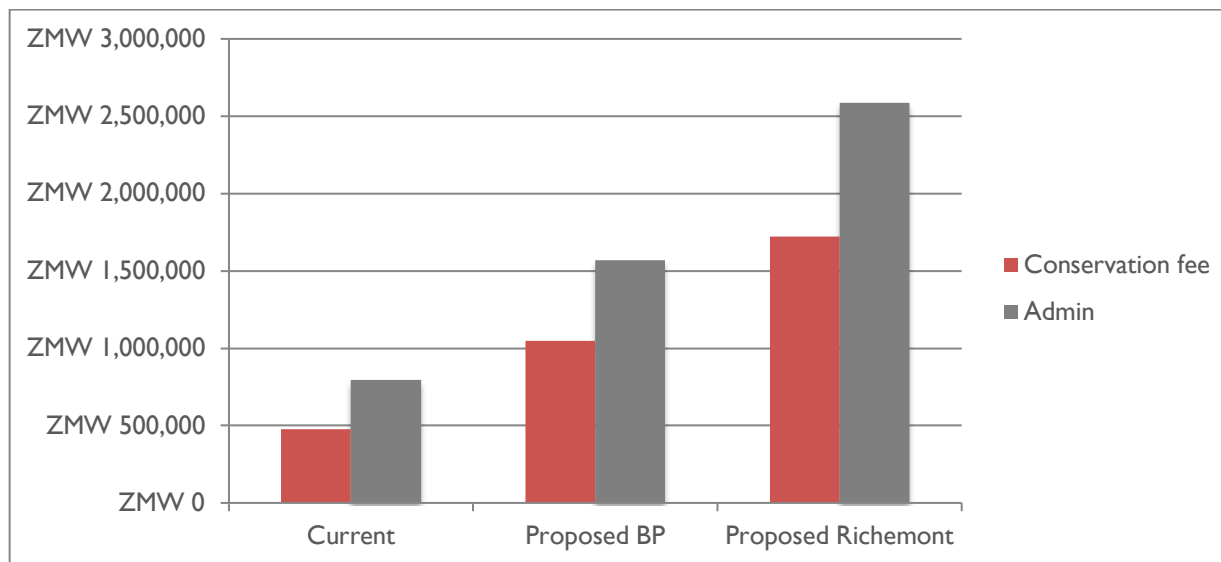


All signs show that carbon offsets will be sold when the verification process is complete, likely in 2019. Until then, BCP operations will attempt to fund themselves through bridge financing available through pre-sales of carbon offsets – known as Emissions Reduction Payment Agreements, or “ERPAs”. They need to further fundraise to provide ERPA bridge financing, which will allow for the continuation of community payments until actual offsets are sold. BCP has recently signed letters of intent with both BP and Richemont, but these funds will not be accessible until after the verification process.

Assuming ERPAs are sold and the carbon is verified, BCP is well positioned to provide an increase in funds to local communities. Currently BCP has passed money from USAID to local communities in the form of two Zambian Kwacha per hectare of land within the protected zones. We show in Figure 12 that the proposed bridge financing from BP and Richemont is noticeably higher than BCP’s conservation fee price. In Figure 13 we provide an example for Luembe Chiefdom, which has set aside 239,000 hectares as a REDD+ zone forest within the CFP. At the proposed verified carbon prices, Luembe Chiefdom would receive a doubling or tripling in their conservation fee payments at the proposed verified carbon financing level.¹⁷

¹⁷ These prices denote total conservation fee payments, including many assumptions such as the amount of carbon captured per hectare. As noted in the figure, these payments are only a portion of the total payments after administrative costs are removed. The FGDs and KIs respondents explained that these payments are split between multiple parties within the communities.

FIGURE 13: LUEMBE EXAMPLE PRICES



2. BCP must set realistic expectations with communities around future conservation funding levels.

As the viability of the carbon market is uncertain, BCP should temper forest conservation funding expectations within the community. It is clear from KIIs and FGDs that CFP was usually successful in developing the understanding among community members that conservation fees will be used as temporary payments in exchange for forest conservation, with the understanding that the revenue stream would continue once the sale of carbon offsets went through. And most of the CRB representatives that we interviewed felt that the payments would be significantly higher than what they are receiving through conservation fees. **However, it is important for USAID and BCP to be clear and realistic with communities about future conservation funding levels.** While KII and FGD respondents were hesitant to provide an exact number on their expected future payments, the evaluation team heard estimates of five to ten times larger than the current conservation fees.

As stated previously, there are many factors that could impact the level of payments communities receive once the CFP payments end. It is assumed by BCP that the community payments will rise dramatically if and when the sale of offset credits is realized. There is KII and FGD evidence that communities are willing to preserve and manage their forests into the future in exchange for payments. **However, it is important to note that success will not change the payment distribution system from CRBs, with which many community members expressed dissatisfaction.** Success could also bring new challenges, including:

- A risk that larger payments to the communities will create an incentive to “skim off the top” and increase corruption in the CRBs.
- The possibility that other resource users, such as safari operators, cotton producers, or illegal forestry exploiters, will offer higher premiums for access to the land.
- The possibility that forest-dependent enterprises such as timber harvesting, tourism, and businesses related to NTFP such as mushrooms, medicinal plants, etc. could suffer from exclusion from REDD+ zones – thus impacting community livelihoods. Even if many of these activities are

technically allowable in REDD+ zones, the evaluation team consistently heard from KII and FGD respondents that the local communities understood they were **not allowed to enter the protected forests for any reason.**

3. BCP should ensure future conservation funding is transparently and equitably shared with communities.

BCP should increase their engagement with local communities to ensure transparent and equitable sharing of conservation funds. In FGD interviews, respondents were generally unconvinced by BCP's strategy of funneling community funds through CRBs. To maintain forest preservation gains in the future, BCP must work with these communities to increase their trust in the REDD+ process.

Although there is documentation of elite capture in some CRBs, evidence from KIIs and from the literature indicate that through the CRBs, progress has been made toward more transparency in managing natural resource revenues. The CRB process is both dynamic and evolving. In 2014, ZAWA moved to dissolve all CRBs and called for new elections. More recently, FGDs and KIIs show that at least two CRBs in the CFP area have been dissolved and new elections are planned. All the CRB chairs that were interviewed are standing for election in the next few years. Even though there continues to be allegations and instances of corruption, one could argue that the process is working because CRB members are being held accountable through an electoral process. Part of the problem is size of the area and large numbers of community members that the CRB represents. It is a resource challenge to consistently share information about work planning and budget planning at the VAG level.

FIGURE 14: PHOTOGRAPH OF CRB BUDGET, INCLUDING REVENUES FROM THE CFP PROJECT/BCP

JUMBE CRB 2018 WORK PLAN AND BUDGETING		
SOURCES OF INCOME		
1	SAFARI OUTFITTER	K 100,000.00
2	D.N.P.W	K 267,060.00
3	BCP	K 39,400.00
4	LEVIES	K 5,000.00
TOTAL INCOME		K 411,460.00
PERCENTAGES		
	RESOURCE PROTECTION - 45%	K 185,157.00
	COMMUNITY DEVELOPMENT - 35%	K 144,011.00
	ADMINISTRATION - 20%	K 82,292.00
TOTAL		K 411,460.00

Figure 14 is a photograph of the cover page of a 2018 work plan and budget from Jumbe Chiefdom that is posted in the CRB office. It clearly shows the sources of income and the level of budgeting, consultation with the VAGS, and overall planning that went into developing the work plan for Jumbe chiefdom. Not all CRB's posted their work planning documents. However, CFP did support the CRB's to increase their capacity to conduct work planning sessions, improve financial management, and overall to improve the consultation process between the CRB's and the communities. This was evident from the KIIs with several CRBs throughout the project area.

The CRB framework is not without challenges, and a history of distrust of government institutions is hard to overcome. However, a local conservation expert in one of the KIs made the argument “what else are you going to put in place of CRBs?” There are adjustments that are being made and support being provided to the CRBs by BCP through skills trainings: leadership, entrepreneurship, financial, good governance, etc. A history of distrust is hard to overcome, but with consistent support over time trust can be established. Since BCP plans to send the carbon revenues through the CRBs, a strong, effective, and trusted CRB is crucial to implementing the future REDD+ requirements.

5. CONCLUSIONS AND LESSONS LEARNED

The CFP is an important project in several ways. First, BCP was not a typical Implementing Partner for a USAID project. Second, this was one of the first REDD+ projects funded by a USAID mission. Third, CFP, along with the BioREDD project and the TIST project, are the first major USAID projects on the verge of having forest carbon offsets verified and sold. Fourth, this project is one of the very few REDD+ projects in a dry forest. And fifth, CFP was implemented and primed by a local organization. From the evaluation team's perspective, the lessons learned from the CFP can be grouped into four broad categories:

- **Government capacity built to discourage deforestation.** Preventing deforestation needs government backing to succeed. The recent formalizing of two SIs on managing carbon stocks and community forests demonstrates the seriousness with which the GRZ is now taking deforestation, which are some of the most progressive global policies to date. CFP deserves some credit for these national policies, as they provided inputs and capacity building to GRZ officials, along with providing an ownership pathway for local communities. In addition to national level changes, the evaluation team found improved management capacity in the CRBs and the District Forestry Department Offices. While the team noted less capacity building at the local level, the implementation of village scouts to patrol protected forests is evidence of a willingness of the local communities to engage with the project.
- **Coordination among government actors encouraged forest protection.** The CFP went beyond assisting policy changes to encouraging bonds between governmental actors. The evaluation team observed various stakeholders, including DNPW, FD, CRBs, and Chiefs, recognizing the connection and synergies between forest protection (in this case this was through the CFP program and REDD+) and wildlife/safari sector. If local stakeholders are observing wildlife number going up (more safari revenue, more local opportunities for hunting) due to forest conservation, this should build buy-in and momentum for this process to continue in the absence of a donor funded project.
- **Low levels of alternative livelihood training.** Results from FGDs and KIs indicate that the communities are generally open to CFP if they perceive benefits from participating. One of the key activities to encourage community participation is the development of alternative livelihood strategies. Conservation farming and beekeeping were the two strategies most commonly highlighted in FGDs.¹⁸ The evaluation team determined that these strategies were not sufficiently prioritized by the project, and as a result the necessary expertise to implement livelihood activities was not put in place. In particular, the female-focused FGDs noted a lack of exposure to alternative benefit strategies. This lack of alternative livelihood focus, if continued in the future, might hinder the sustainability of CFP outcomes.
- **Insufficient long-term community engagement.** Another notable shortcoming in the implementation of the project was the insufficient continued engagement with communities,

¹⁸ Interviews with ex-BCP staff indicate that funding constraints prevented the CFP from expanding into additional alternative livelihood activities.

especially during project rollout. While an FPIC process was undertaken, a more sustained effort by BCP to engage with local communities might have included community level trainings, meetings to outline CFP, greater attention to income generating activities, and mechanisms to work with communities beyond the chiefs and CRBs. Because this engagement work was weak, there is still significant confusion, suspicion and misunderstanding about what the CFP is and what BCP does. A more robust sensitization process at the community level could have avoided some of these misconceptions.

- **Financial uncertainties related to climate politics.** Payments to communities for conserving forests using funds generated from climate change mitigation is the essence of the CFP. The sustainability of this concept is partially dependent on the capacity, perseverance, and political mandate of BCP and the local institutions involved with the project. However, the sustainability of the project is also dependent on the price of carbon – and this, in turn, is dependent on how the world approaches the issue of climate change over the next five to ten years. This is obviously outside of the influence and/or control of BCP.

6. RECOMMENDATIONS

This section provides recommendations/options for how USAID could: 1) provide additional support to maintain the advances achieved under the CFP, and 2) develop new programs to build on the CFP and continue supporting the concept of REDD+ in Zambia.

INTERVENTIONS DIRECTLY RELATED TO CFP/BCP

The evaluation team understands that USAID is not contemplating a major continuation of the CFP. Nevertheless, USAID could consider several approaches to providing additional short-term support to the REDD+ process in Zambia and the communities involved with CFP.

1. Continue supporting community awareness building to maintain what has been accomplished.

Despite shortcomings in the CFP community sensitization process, data indicates that a clear majority of community members are still interested in options for managing their forests more sustainably into the future.

USAID could provide this support through a small grant/contract to BCP to help them build awareness on what has happened in the first phase of the REDD+ project (i.e. the CFP) and what BCP is planning into the near future, and how this might impact communities.

2. Cost share some community conservation payments for six months as a bridge to when the carbon offsets are verified, and carbon sales can be realized.

USAID could engage with BCP to ascertain the most realistic scenario for when financing community conservation fees with revenues from offset sales will be feasible. After there is an understanding of when private financing is likely to be available, USAID can evaluate the option of providing “transition financing” for these community payments so that the communities don’t “lose faith” in the REDD+ concept while BCP is finalizing the sale of offsets.

3. Build linkages to the two new World Bank REDD+ projects.

These linkages could result in the CFP communities transitioning to receive further support from the WB project. But since the WB project will probably include the potential for the WB Biocarbon Fund to invest in purchasing offsets, there could be an opportunity to facilitate a Biocarbon Fund purchase of CFP offset credits.

Pursuing this option would require more research into what activities and resources will be included in the anticipated WB projects. If this research confirms that technical and/or financial resources might be available in the CFP communities, USAID could engage a contractor to help CFP communities access these resources. If research indicates that the BioCarbon Fund might purchase carbon offsets, USAID could engage with the WB to explore the possibility of using BioCarbon Fund financing to purchase offsets verified under the CFP.

4. Link CFP communities to existing or new livelihood development activities.

This is a more general recommendation for USAID consideration. That is, any alternative livelihood activities in the CFP communities that provide income from activities that do not degrade forests, will, by default, make forest conservation more feasible. Thus, any USAID support for alternative livelihoods, whether it be in the sectors of health, agriculture or small business development, would provide indirect support to the REDD+ concept.

INTERVENTIONS BEYOND THE CFP/BCP

BCP is a leader in REDD+ in Zambia, but they are not the only player. USAID could provide support that would strengthen a larger segment of REDD+ stakeholders – including, but not limited to, BCP. For example:

1. Support alternative livelihoods to reduce pressure on forests protected in the CFP.

USAID could consider small grants to entities working with alternative livelihoods in the CFP area (NRZ, Bee Sweet, COMACO, SNV and many others are working in the area and could be interested). For example, FGDs and KIIs showed positive feelings toward the honey production programs piloted by CFP. The few negative comments were usually about not involving enough community members – but there was generally an acknowledgement that the farmers involved did benefit.

USAID could support efforts to scale livelihood activities piloted in the CFP into other geographical areas. As discussed in number 4 above, any support for alternative livelihoods will enhance the sustainability of the REDD+ concept – either directly in CFP communities, or indirectly in other geographic areas where other REDD+ projects could be developed by other donors.

2. Support policy dialogue in Zambia to encourage purchasing forest carbon offsets – both by Zambian companies and internationally.

The sustainability of efforts supported by the CFP will be dependent on the ability to sell forest carbon offsets. BCP already has promising commitments for international buyers like BP and Richemont. However, Zambian companies could also be potential buyers – and could be attracted to this option for reasons of helping their country and their fellow Zambian citizens. USAID Colombia funded a “buy Colombian offset to help your country” campaign through their BioREDD project and this project successfully sold offsets to several Colombian companies. USAID Zambia could fund a similar effort (either through BCP or a separate grant or contract to another entity).

3. Support expanding the REDD+ concept into areas not served by CFP.

This is a general comment to acknowledge that USAID could fund a continuation/expansion of the CFP concept by funding a new project in other parts of the country.

4. Address charcoal markets, which serve as the main driver of deforestation in Zambia. Our evaluation noted that CFP’s work promoting Eco-charcoal had a number of barriers - foremost was the high cost of production making it not financially competitive for the peri-urban and urban charcoal markets that are driving deforestation. While scaling eco-charcoal would undoubtedly lower prices, the evaluation team believes that the significant gap between standard and eco-charcoal prices will be difficult to bridge with increased production alone. Another policy related problem was from CFP’s work in Mambwe District. Since the entire project zone was in GMA’s, and charcoaling is prohibited in the GMA’s, it makes it impossible to legally promote sustainable production of charcoal as part of the larger project.

Options for USAID support in the charcoal space might include supporting technology and financing innovations for more efficient charcoal use (stoves, supply chain distribution, etc.), and for more efficient charcoal production (community woodlots, improved harvesting of natural forests, etc.). Moreover, USAID could sponsor a policy dialogue to increase law enforcement and taxation of charcoal to level the playing field for sustainable charcoal practices.

5. Support sustainable management of forested areas around, but not within, the REDD+ zones.

It was clear from the FGDs that communities are now more dependent on the “buffer” zone areas and steps must be taken to prevent degradation in those “leakage belts.” In several locations across the project zone, the team observed piles of *Pterocarpus* logs, including *P. tinctorius* (syn *P. chrysotrix*) and *P. angolensis*, that had been seized by the Zambian government authorities from loggers. This highly valued natural resource is being essentially “mined” from Zambian forests without any attention to regeneration or proper forest management.

CFP has supported establishing community forestry working groups (at the policy level). USAID could fund a new capacity building effort at the CRB/local level on management and utilization of important biologically and economically viable species (like *Pterocarpus*). This would also continue to build capacity and awareness in the CRBs that were involved with the CFP.

6. Consider developing a regional investment finance project to attract private investment to support future Sustainable Landscapes programs in Zambia and other Southern Africa countries.

The goal would be to increase private sector investment in forest carbon offsets and other forms of “green” land use practices that work to improve unsustainable value chains and land use practices that are contributing to climate change and natural resource degradation.

This would be a major new project. The USAID Regional Development Mission for Asia (RDMA) is doing this now – under their “Green Invest Asia” Project. This type of programming could fit well with the new “regional investment finance hubs” concept that is envisioned under the recently mandated and soon to be established U.S. Development Finance Corporation.

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ANNEX II: GIS DATA

The evaluation team utilized available GIS resources to augment the findings of the focus group discussions and the key informant interviews. In the figures below, we depict:

- The political and ecological environment around the CFP area (Figure 15 and Figure 16);
- An overview of deforestation within and around the CFP, with a close-up of the more active deforestation areas (Figure 17 and Figure 18); and
- Models of deforestation over time (Figure 19 and Figure 20).

POLITICAL AND ECOLOGICAL ENVIRONMENT AROUND THE CFP AREA

In Figure 15, we provide a general overview of where the CFP was implemented, what chiefdoms participated in the project, and in what provinces the project was implemented. It is notable the CFP spreads across only two provinces: Eastern and Lusaka. There are, likely, multiple reasons for this design but contributing factors include proximity to the Luangwa River (the entire project), proximity to protected areas (the northern portion of the project) and proximity to provincial boundaries.

Figure 16 depicts the ecological surroundings of the project, with darker areas reflecting moister forested regions and lighter areas representing drier regions (Sayre, R., et. al., 2014). Northwest of the CFP, one encounters hot moist hills and mountains with mostly deciduous forest. A portion of this ecosystem extends into the Southerly part of the CFP and, for the most part, this area has considerably higher biomass than the rest of the project area. The northern and central parts of the CFP have lower biodiversity and are generally drier.

FIGURE 15: OVERVIEW OF THE PROJECT AREA AND RELEVANT CHIEFDOMS

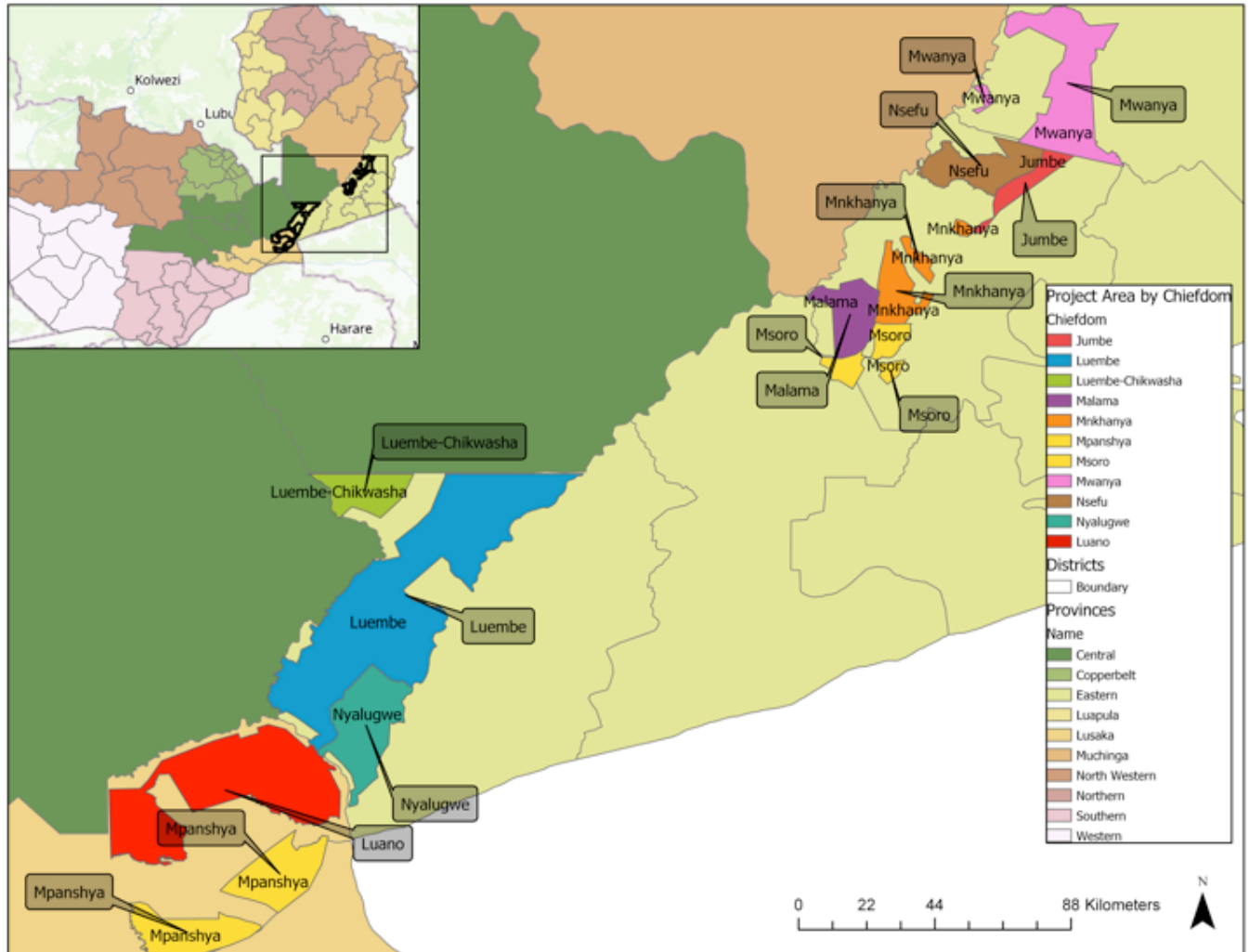
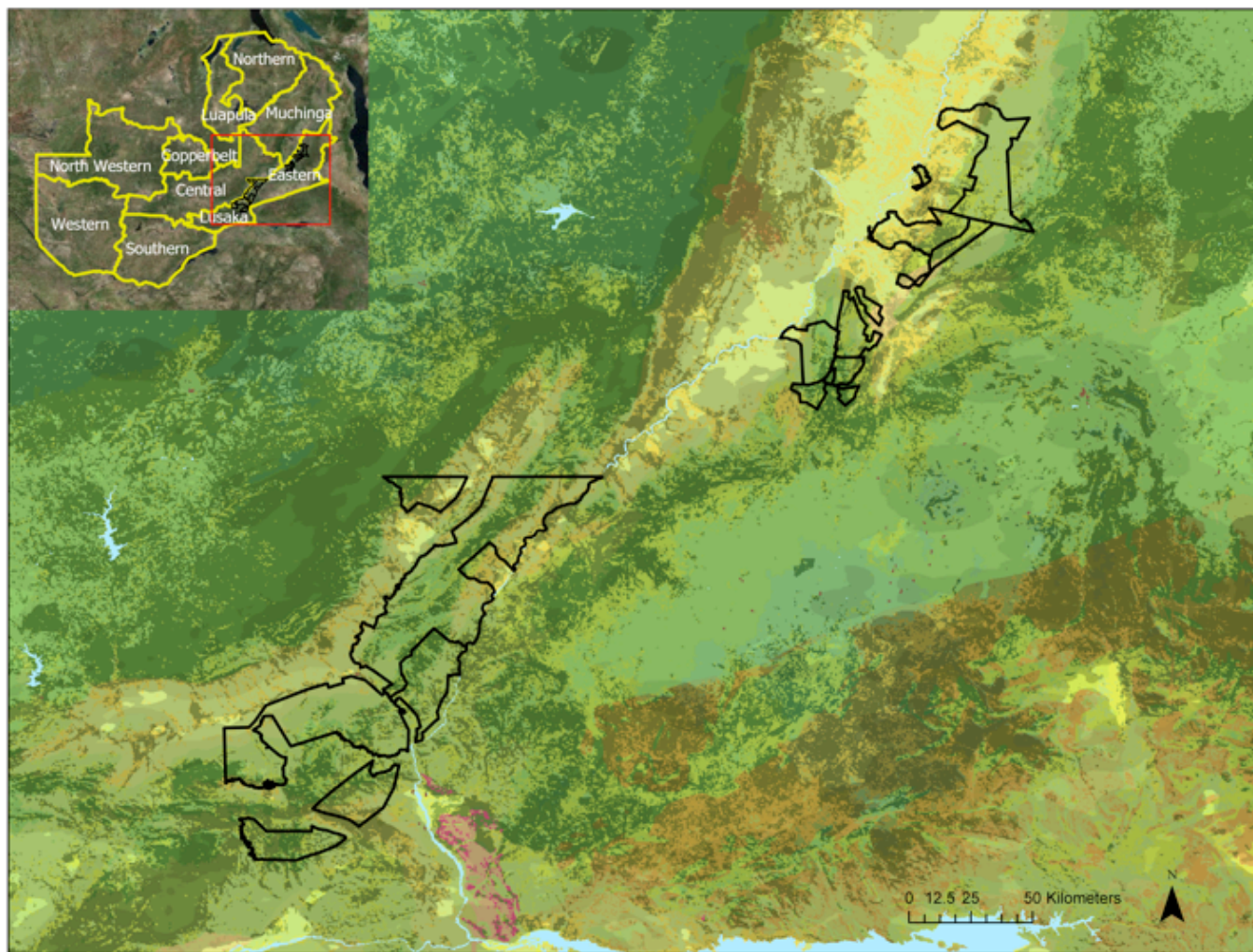


FIGURE 16: ECOLOGICAL ENVIRONMENT AROUND THE CFP



OVERVIEW OF DEFORESTATION WITHIN AND AROUND THE CFP

While remote sensing can provide advantages over ground-based approaches to forest classification and inventory, it is important to understand the caveats, definitions, and data inputs used in such undertakings. The primary dataset used in the evaluation team's analysis is the Hansen, 2013 Global Forest Cover Loss data set. The data set is based on ~30m Landsat data and has been updated to include years 2000-2017 (Hansen, 2013):

- Trees are defined based on a) a percent threshold forest cover per measurement area; b) vegetation taller than 5m.
- 'Forest Cover Loss' is derived based on remotely sensed change of area from forest to non-forest.
- A 'Forest Loss Year', as depicted in the end data set, is the annual disaggregation of forest cover loss. Loss years range from 2001-2017.
- Over the course of the 2001-2017 assessment, it is theoretically possible for a given area to switch states several times (forest to non-forest and back).

Figure 17 below depicts deforestation for the CFP and a 20km buffer (see below). The figure illustrates the deforestation year¹⁹ as a shade of yellow to red with red being the most recent. In this figure, year 0 is 2000. The years increase sequentially, with year 17 being year 2017.

One of the shortcomings of converting high-resolution, small polygons to a large region such as in Figure 17 is that, even at high dpi, many of the dispersed or smaller polygons get lost in printing. This is particularly true in the CFP interior where deforestation is less than in the buffer region. provides a zoomed-in version of Figure 18, evidencing a complex network of deforestation patches. Note that the CFP interior is characterized, almost exclusively, by recent, red, patches of deforestation. This is particularly troubling given the CFPs management priorities.

The Buffer Zone: In addition, we adopted an initial 20km buffer zone (the black region exterior to the white project area in Figure 18) for several reasons. Leakage zones are standard in REDD+, as are, in some cases, ecological buffers, e.g. several REDD+ systems mandate a buffer zone of at least 10km, if not larger. Another reason is that a substantial amount of biogeographic research points to edge impacts being felt up to 20km from the borders of protected areas. Finally, research supports the relationship between edge effect and above ground biomass (AGB), indicating that the greater the edge effect, the greater the chance for tree and plant mortality, fire occurrence, and species abundance (Cochrane and Laurance, 2002; Cochrane, 2003; Didham, 1998; Laurance, 2002; Magura et al. 2001). These edge effects hinder important REDD+ goals, hence a larger, in this case 20km, buffer zone is preferable.

¹⁹ Map is a function of 2000, e.g. "1" is indicative of 2001. This is a constraint of some of the modeling done later in the project.

FIGURE 17: MAP OF THE CFP AND A SURROUND 20KM BUFFER ZONE

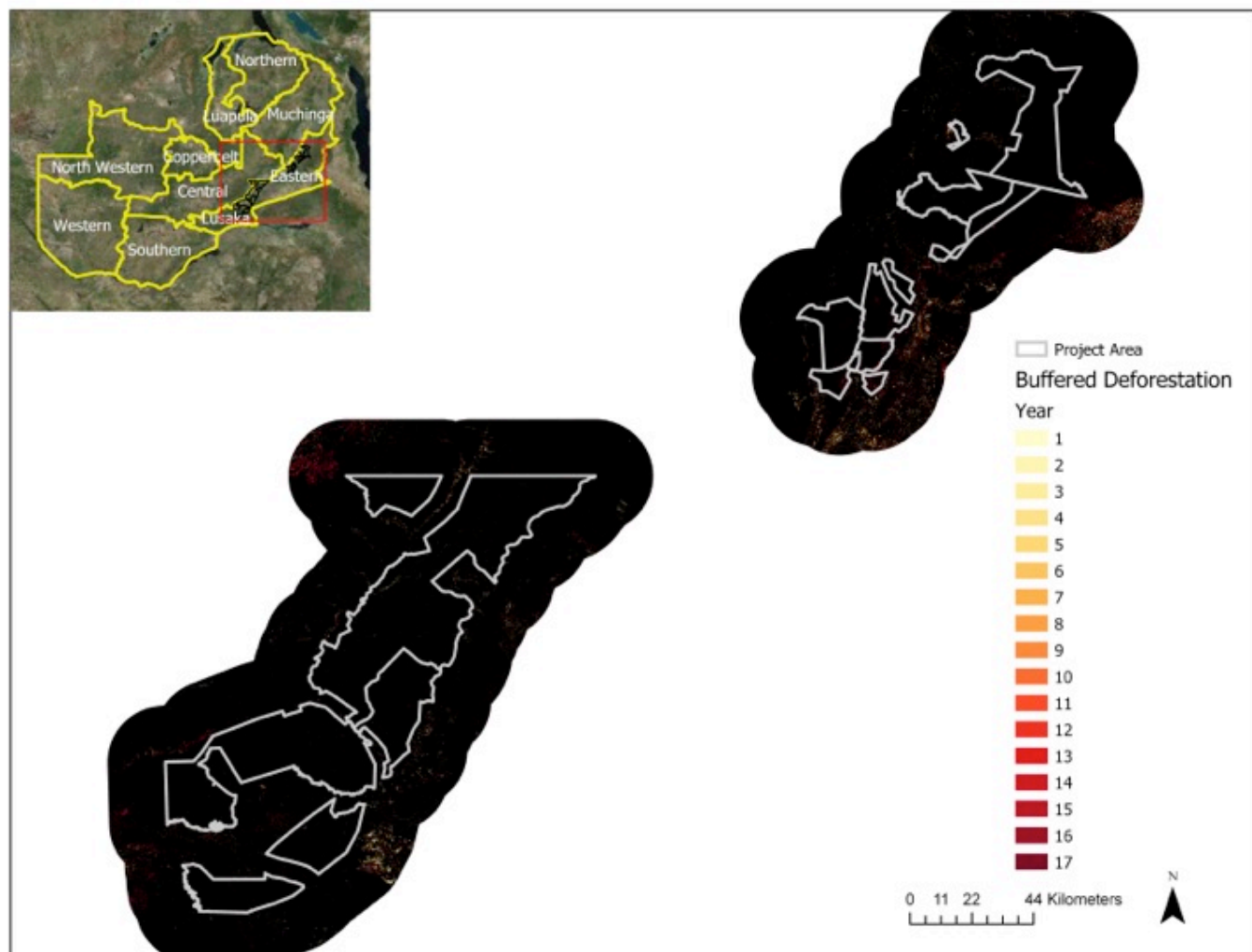
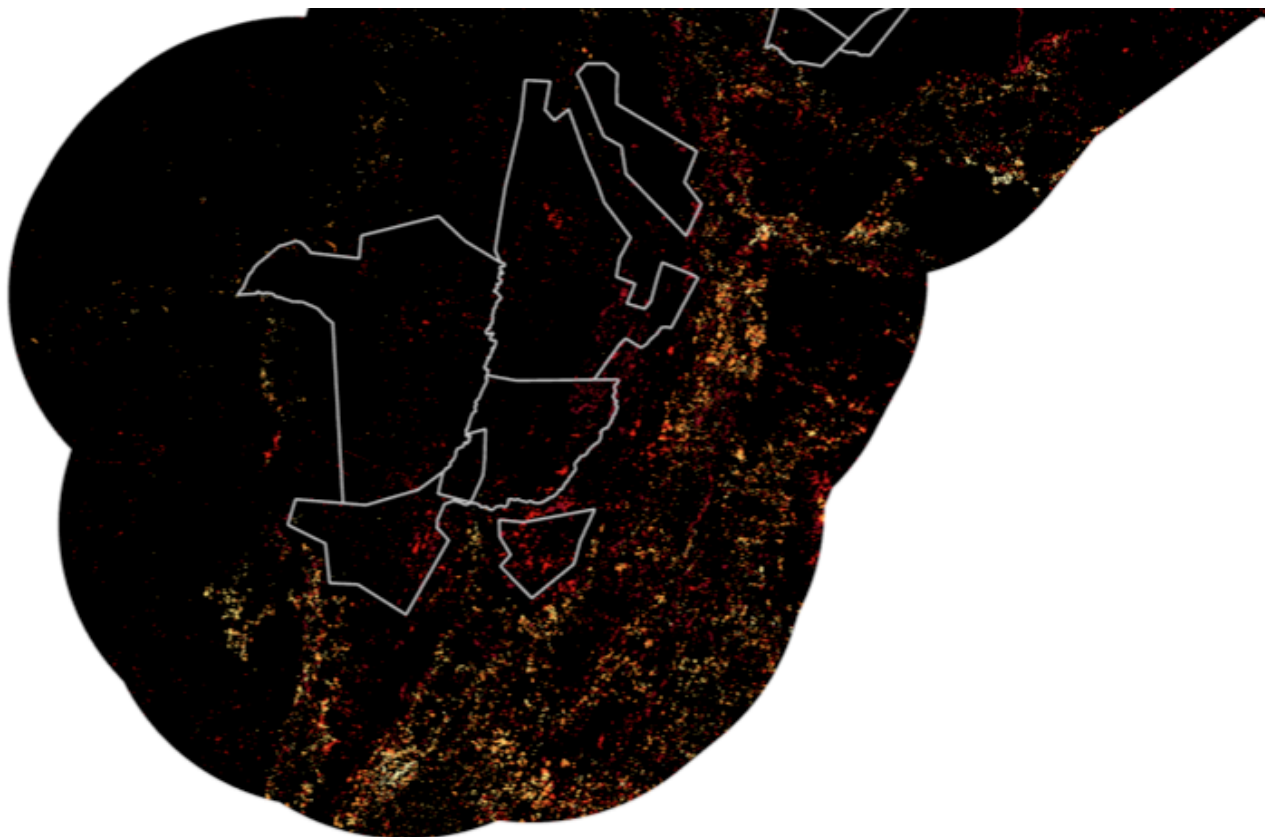


FIGURE 18: ZOOMED IN IMAGE OF DEFORESTATION IN THE CENTRAL REGION OF THE CFP



MODELS OF DEFORESTATION OVER TIME

Figure 19 and Figure 20 use a form of geostatistical modeling known as Areal Interpolation.²⁰ Areal Interpolation is a form of Kriging²¹ and can be used to predict phenomenon in space and/or time. For example, Areal Interpolation can be used to predict how people will vote according to districts and demography.

Figure 19 takes the overall deforestation for the CFP and buffer zone and, where there is deforestation, examines where there is more (red) or less deforestation (blue). The model focuses on clumped, concentrated areas of deforestation. In the process of doing this, the dispersed deforestation in the easterly region of the buffer was ignored. However, it is evident that there was extensive deforestation in the northwestern portion of the CFP buffer and the lower portion of the central area, close to the Zambian border.

Figure 20 portrays deforestation through time and predicts the area where this type of deforestation spread for any given year. Deforestation points are shown as green and red dots. The larger, ringed polygons depict deforestation through time with blue being deforestation taking place toward the earlier part of the century and orange to red taking place toward 2015-2017. Important conclusions indicate higher rates of deforestation in the northwestern and southwestern areas of the project, prior to the actual project (blue). During the project, a hotspot for deforestation is found in the north-central region of the project (red). This might warrant further investigation and could indicate a management priority into the future.

²⁰ Krivoruchko, K., A. Gribov, E. Krause (2011). "Multivariate Areal Interpolation for Continuous and Count Data," *Procedia Environmental Sciences*, Volume 3: 14–19.

²¹ Oliver, M. A. "Kriging: A Method of Interpolation for Geographical Information Systems." *International Journal of Geographic Information Systems* 4: 313–332. 1990.

FIGURE 19: A MODEL OF NET DEFORESTATION FROM 2001-2017

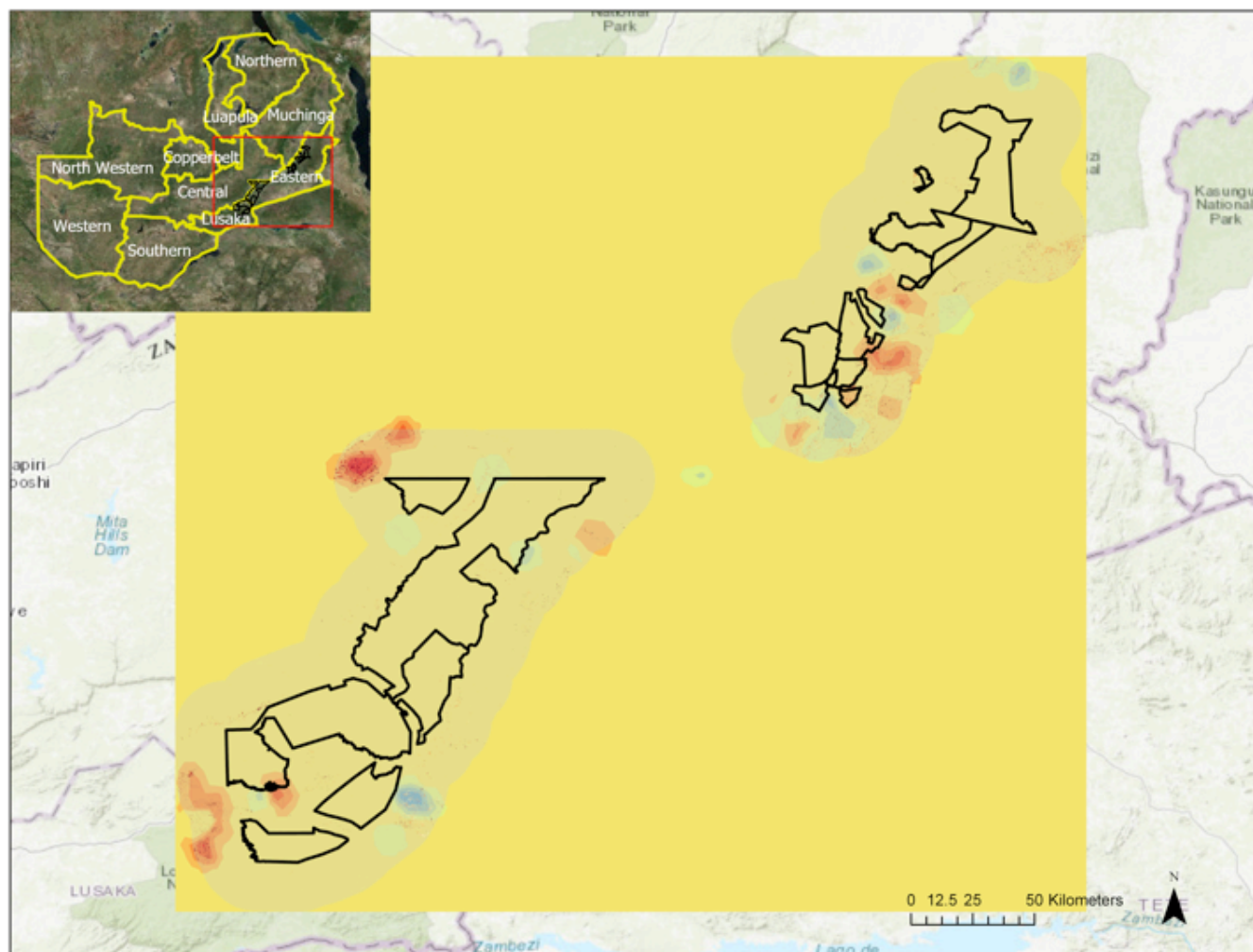
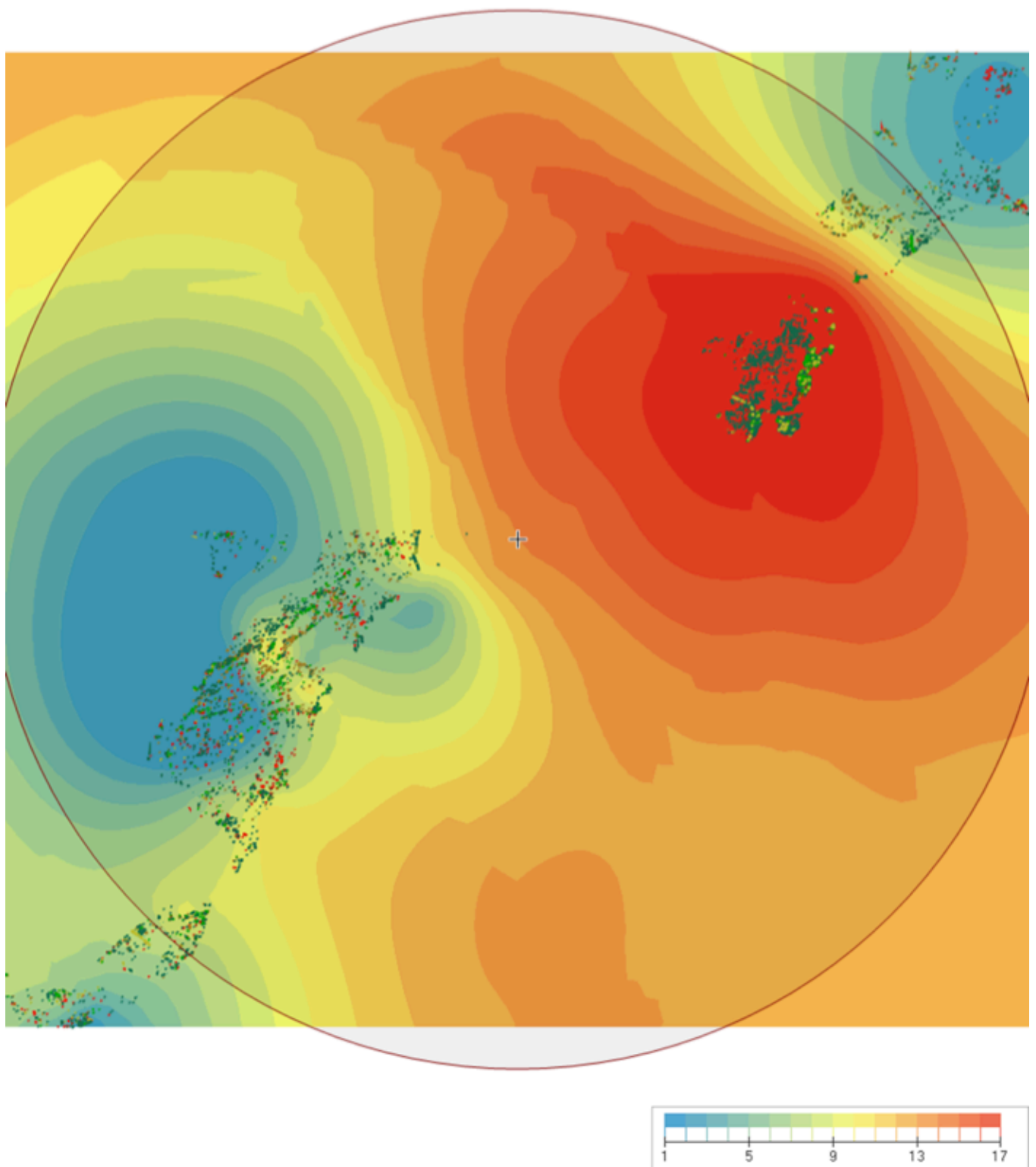


FIGURE 20: DEFORESTATION OVER TIME



ANNEX III: KII INTERVIEW GUIDE

KIIs were a tool that the evaluation team used to help answer the five EQs outlined in the Scope of Work (SOW). A KII is essentially a loosely structured conversation with people who have specialized knowledge. For the purposes of this CFP evaluation, key informants cut across a range of categories, including national government agencies, local/regional government officials, research institutions, donors, NGOS, other local organizations/institutions, and the private sector.

The basic outline and protocol of the KIIs that the evaluation team used is summarized as follows:

- **Part 1 - Introduction:** Before beginning the interview, introduce who we are and what we want to learn from the interview. This will establish the purpose for the interview; explain who is involved in the process (community partnership members); establish credibility for the interview and yourself as the interviewer; explain why their cooperation is important in collecting the information you need; and explain what will happen with the collected information and how the stakeholder will benefit.
- **Part 2 - Key Issues:** We will ask several questions related to key issues and EQs (i.e. capacity building for REDD+, stakeholder satisfactions with CFPs approach to policy issues etc.). The questions are generally open ended and are designed to elicit in-depth information drawn upon from the informant's expertise and unique viewpoint
- **Part 3 - Follow Up/Probing Questions:** As the interview proceeds, we will ask follow-up/probing questions that will encourage participants to reflect more deeply and frankly regarding the effectiveness and approach of the CFP program.
- **Part 4 - Closing Question:** We will provide an opportunity at the end of the interview for the key informant to give any additional information or comments - including other key stakeholders or experts that might be able to provide additional information.

The subjects covered in our KIIs varied by stakeholder, and were separated into general categories below:

Category I: Government actors (national, regional, local)

Key Issue 1: To what extent are government key stakeholders satisfied with CFPs approach in resolving policy issues?

- Can you describe your role /engagement with CFP?
- What has been your experience or knowledge of CFPs work/approach to work on: a) statutory instruments for Carbon Stock management (draft supported by CFP), b) SI for CFM, and c) operationalizing the CFMG.
- What are some other policy issues and challenges that CFP has attempted to resolve during the CFP? What has worked well and why? What has not worked and why?
- Can you talk about your understanding/knowledge of the Community Resource Boards and their role/engagement in CFP?
- In your role as a (Provincial Forestry Officer, District Commissioner, etc.), how has been your engagement with the CRBs? Do they predate the CFP? How do they work, what is their mandate?

- What has been the role of the CRBs in the CFP and what needs to be done to sustain the engagements of the CRBs in forest management?
- How satisfied were you with CFPs efforts at resolving policy issues? Please provide an example.
- Given, the new Forest Act of 2015, what has been its implications for community forestry and the sustainability of the CFP community forest activities?

Key Issue 2: How have government stakeholders perceived the CFPs efforts in capacity building from national through local level to understand and implement REDD+ strategies and action plans?

- What kind of capacity building programs did CFP provide for your government agency? Who participated from your group (REDD+, EC-LEDS, CBNRM, wildlife management, CSA)? What has been more useful and what has not been as important for your department?
- Would you talk about your understanding/knowledge of the REDD+ framework and how your agency will be able to implement REDD+ activities into the future?

Key Issue 3: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

- What were the major programmatic activities your organizations were involved in and that supported and (what has worked well and why and what has not and why?)
- Can you talk about your understanding/knowledge of the Community Resource Boards?
- Do the Community Resource Boards predate the CFP? How do they work, what is their mandate?
- What will continue to motivate the communities to continue to protect the forests for the next 5 years?
- What change in the attitude of local communities have you seen towards the forest and forest resources in CFP sites?
- How has the Government of Zambia changed its approach toward its forests since the inception of CFP?

Category 2: Private sector groups

Key Issue 4: How have private sector groups engaged with CFP in the various mechanisms they used to reward communities for setting aside forested areas?

- What has been your company (Bee Sweet, Vitalite, New Rotation Zambia etc.) involvement in CFP project; what's your personal role been?
- How do you see the continuation of the activities that you were engaged in post CFP?
- Do you mainly work at the national, regional, or local level? To what extent have you worked with the VAGs?
- Are these farmer groups, cooperatives or is the idea to get them more formalized like a cooperative?
- To what extent has CFP policy work impacted your own role in CFP?
- What are your ideas about the financial sustainability of the CFP after USAID support ends?

Key Issue 5: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

- What were the major CFP programmatic activities your organizations were involved in and supported and what has worked well and why and what has not and why?
- Would you talk about your understanding/knowledge of the Community Resource Boards? Do they predate the CFP? How do they work, what is their mandate? (Note: this might be a good question for CIFOR).
- Would you talk about your understanding/knowledge of the Community Resource Boards?
- Do they predate the CFP? How do they work, what is their mandate?
- What has been the role of the CRBs in the CFP and what needs to be done to sustain the engagements of the CRBs in forest management?

Section 3. Local NGOs, partnership organizations, and research/academic institutions

Key Issue 6: To what extent are key NGO, research and civil society stakeholders satisfied with CFPs approach in resolving policy issues?

- Would you describe your role /engagement with CFP: What has been “your organizations experience or knowledge of CFPs work/approach to work on land use policies and practices such as: Statutory instrument for Carbon Stock management (draft supported by CFP), SI for CFM, Operationalizing the CFMG?
- What are some other policy issues and challenges that CFP has attempted to resolve during the CFP? What has worked well and why? What has not and why?
- What are some of the challenges/issues (in terms of decentralization of authority and budget) between the national level and local level authorities around community forestry and REDD+ implementation)?

Key Issue 7: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

- What CFP programmatic activities were your organizations involved in? What has worked well and why? What has not and why?
- Would you talk about your understanding/knowledge of the Community Resource Boards?
- Do they predate the CFP? How do they work, what is their mandate?
- Would you talk about your understanding/knowledge of the Village Action Groups and what has been their role in the CFP?
- Do they predate the CFP? How do they work, what is their mandate?
- What capacity building activities were provided to FD, DNPW, CRBs and VAGs and how has this contributed to sustainability etc.?

ANNEX IV: FGD SEMI-STRUCTURED INTERVIEW GUIDE

Take GPS coordinates for the FGD location. Introduce yourself and other team members. Also assure the respondents of the importance of each response.

Tell the FGD participations we're going to start by talking about their forest resources.

1. I want to know if you have the freedom or rights to go in the forest and gather some products like trees, mushroom and other things that are found in the forest ...do you have the rights of going in the forest as people who live here?
2. How do you interact with the nearby forest? How do you use things from within the forest? (do you sell or consume these products?) (introduction)
3. I would like to know how your forest looks like now, looking at the past three year - how has your forest changed in the way it looks now? What changes have you seen in the past three years? (introduction)
4. Have your rights (opportunities) to use the forest changed in the past few years (legal or reality)? If yes, what caused your rights to change (reduce/increase) – Please explain to me the details on how your rights have changed in using the forest... (#2)
5. In your forest do you plant trees, or manage for regrowth of trees? (#1)
6. What do you think about cutting down trees? (#1)

Instruct the participants that we're now going to talk about rights to make decisions about forest use and forest management.

1. Who has the right to make decisions about the nearby forest? (#1)
2. Is it only your village that uses the nearby forest or do other villages use it as well? (#1)
3. Do government officials meet the villagers to talk about the forest? If yes, who? (#2)
4. Do advocates for conservation (either from the government, from NGOS or from private companies) engage with your village? Are these advocates helpful to you or your community? (#2)
 - a) How were they helpful?
 - b) How could they have been more helpful?

Instruct the participants that we're now going to talk about forest conservation programs.

1. Have you been involved in any projects for conserving/preserving the forest? (#1)
 - a) If yes, what type of programs/mechanisms has your community engaged with CFP on? (Please only provide examples if the community doesn't have any answers. If examples are provided, note this in the recording of your responses. Examples include: community partnership programs, payment of conservation fees, public outreach on the importance of forest conservation, capacity building around forest governance). (#1)

- b) If yes, how was this done?
- 2. Would you provide examples of how these programs worked in your community? (#1)
- 3. What kinds of agriculture/livelihood activities were promoted to encourage forest preservation? (#1)
 - a) Which of these activities did you find the most helpful and why?
 - b) Which of these activities did you find the least helpful and why?
 - c) Do regularly sell any products because of these activities? If yes, who buys products?
- 4. What forest-related training has your community received? (#1)

Instruct the participants that we're now going to talk about the REDD+ program.

- 1. Does your community have a Forest Management Plans?
 - a) If yes, who developed the plan, and do you follow the plan? (#3)
- 2. Is there a formal benefit sharing agreement with your community for forest preservation? (#1)
- 3. Has your community received any benefits for conserving/preserving the forest? (#1)
 - a) If yes, have you received the benefits expected? (#1)
- 4. Do you feel that you have the capacity to help manage the REDD+ program to prevent climate change the future? (#3)
 - a) Would you please provide an example of what you learned?
 - b) How best could your capacity be further increased?
- 5. Do you plan to continue to preserve and manage your forests next year? In the next five years? (#4) and how will you be doing that?
- 6. Can you explain how the CRB's help to manage the forest and what have been some of the challenges? (#4)

Thank the respondents.

ANNEX V: LIST OF KIIs

Date	Time	Name	Position	Organization	Location	Email address	Tel. number
Aug 20 - 24		USAID/Washington	Tegan Blaine	USAID/Africa Bureau / Bureau for Economic Growth, Education and Environment / Global Climate Change	DC RRB		
		Darren Johnson	Former Climate Fellow with GRZ	ZEMA	DC		
		Heather Huntington	Project Manager	Cloudburst	Phone		
		David Antonioli	CEO	Verified Carbon Standard	DC Office		
Aug 29	09:00 - 10:00	Charles Musonda	Environmental Markets Manager	Musika Development Initiatives Ltd.	Lusaka		966261791
	10:00 - 11:00	Numeral Banda	Director, Physical Planning	Ministry of Local Government and Housing	Lusaka		979315425
	11:00 - 12:00	Muketoi Wamunyima	Country Coordinator	Participatory Ecological Land Use	Mulungushi Conference Centre Annex	muketoi@yahoo.com	977700034
	15:00 - 16:00	Joseph Simfukwe	M&E Manager	BCP	BCP Lusaka offices		977708733
	16:30 - 17:30	Davison Gumbo	Manager	CIFOR	Lusaka	d.gumbo@cgiar.org	955552301
Aug 30	08:15 - 9:00.	Charles Musonda	Environmental Markets Manager	Musika Development Initiatives Ltd.	Lusaka		966261791

	09:00 - 10:00.	Paul Cowles	Former COP	BCP	Taj Pamodzi Hotel	paul.cowles@yahoo.com	973966256
	11:00 - 12:00.	Colin Fletcher	Director	New Rotation Zambia	Lusaka	fletch@chc.com.zm	974770823
	14:30 - 15:30.	Mindenda Pande	Deputy Director	Forest Department	Lusaka	mindenda@gmail.com	977742304
Aug 31	09:00 - 16:00	Planning Meeting: Review of SOW, Instruments etc.	US based Evaluation Team and RuralNet	RuralNet Offices	Lusaka		
	14:00 - 15:00	Joseph Simuyota	District Forest Officer	Forestry Department	Nyimba		979477918
	15:30 - 16:30	Probbly Nyirenda	District Planning Officer	Nyimba District Council	Nyimba	probblynyirenda@gmail.com	979049533
		Shadrack Ngoma	Senior Engagement officer	BCP	Nyimba		
Sept 4	14:00 - 15:00	Joyce Munkombe	Principal Forestry Officer	Forest Department	Chipata	joycemunkombe@yahoo.com	977332333
	14:00 - 15:00	Mr. Katebe	Forest Technician	Forest Department	Chipata		976293121
	15:15 - 16:15	Mr. Pythias Kakoma	Senior Chief and Traditional Affairs Officer	Ministry of Chiefs and Traditional Affairs Provincial Office	Chipata	Pythiaskakoma@gmail.com	966314181
	09:30 - 10:30	Darlington Chipeta	Conservation Manager	Rufunsa Conservancy	Rufunsa		976919919
	14:30 - 15:30	Grace Daka	District Forest Officer	Forest Department	Rufunsa		973194735

Sept 5	10:00 - 11:00 (Phone Interview)	Martha Banda	Extension Officer	DNPW	Chongwe (Phone Interview)		977209743
	14:00 - 15:00	Mr. Paul Zyambo	Director	Department of National Parks and Wildlife	Lusaka		
	14:00 - 15:00	Michael Ngulube	District Agriculture Coordinator	MoA	Lundazi	ngulubemichael@yahoo.com	977314274
	15:00 - 16:00	Amukena Musiwa	District Forest Officer	Forestry Department	Lundazi	amukenanmusiwa@yahoo.com	977278588
Sept 6	09:30 - 10:30	Clement Banda	Eco-Charcoal Extension Officer	BCP	Rufunsa		979029568
	8:00- 9:00	Sylvester Slame	Senior Forest Technician	Forestry Department	Chipata	Slysiam@yahoo.co.uk	978074991
	12:00 - 13:00	Mr. Chrispin Chikopa	Board Chairperson	Mpanshya Community Resources Board	Rufunsa		979029568
	11:00 - 1300	Mr Miyoba Hakabanze Moombe	District Forest Officer	Forest Department	Mfuwe/Mambwe		977996823
	14:00 - 15:00	Mr. John Banda	Board Chairperson	Msoro Community Resources Board	Mfuwe		974762844
	15:30 - 16:30	Mr. Edward Tembo	Board Chairperson	Malama Community Resources Board	Mfuwe		965697694
Sept 7	10:00 - 11:00	Kennedy Phiri	District Planner	Mambwe District Council	Mambwe		969593717
Sept 7	09:00 - 10:00	Kennedy Kaputo	District Agriculture Coordinator	MoA	Mambwe	kaputoken@yahoo.com	977969411

	08:30 - 09:30	Adamson Mwale	Senior Agriculture Officer	MoA	Mambwe		
	12:00 - 13:00	CRB Members	Chair, Finance, NR Officer	Jumbe CRB	Mambwe		
	10:00 -	Dr. Dale Lewis	CEO	COMACO	Lusaka	dlewis@itswil d.org	977373747
	11:30 - 12:30	Gillie Cheelo	GIS Specialist	BCP	Lusaka		
	13:00 - 14:30	Patrick Nyirenda	Conservation Coordinator	BCP	Mfuwe		
	16:00 - 17:00	Chicayun da	Livelihoods Coordinator	BCP	Mfuwe		
	17:00 - 18:00	Hassan	CoP	BCP	Mfuwe		
Sept 8	11:00 - 14:00	CRB Members	Chair, Finance, NR Officer	Nsefu CRB	Mambwe		
Sept 10	09:30: 10:30	Iretomiw a Olatunji	Senior Environmental Specialist	The World Bank Group	Lusaka	iolatunji@worl dbank.org	973207869
	11:00	John Fay	Director	Vitalite	Lusaka	john.fay@vitali tegroup.com	
	1:00	Godfrey Phiri	Ex Staff	BCP	Lusaka		
	10:00 - 12:00	MnkHany a CRB Members	Chair, Finance, Vice Chair	Mnkhanya CRB	Mambwe		
Sept 11	11:00 - 15:00	Mnkhany a CRB Members and Village Scouts			Mambwe		

	09:30 - 10:00	Chief Mnkhangana	Chief	Mnkhanganya Chiefdom			
	16:00 - 17:00	Dominic Kapokola	Senior Conservation Officer	DNPW	Mfuwe	dominickapkola@yahoo.com	972823587
Sept 12	09:30 - 10:30	James Mutami	Head Teacher	Ndubulula School, Environment Education Project	Rufunsa		978780339
	12:00 - 13:00	Regina Phiri	Head Woman	Chief Mpanshya Palace	Rufunsa		961029716
Sept 12	14:00 - 15:00	Dr. Stanley Njobvu	District Agriculture Coordinator	MoA	Rufunsa	stanmavula@gmail.com	972967670
Sept 13	09:30 - 10:30	Chief Luembe	Chief		Nyimba		
Sept 13		Mr. Davison Mwanza	CRB Chairperson	Luembe CRB	Nyimba		
Sept 14	08:00 -9:00	Mr. Yulu Joseph Njobvu	CRB Chairperson	Nyalugwe CRB	Nyimba		
Sept 14	2:30	Marjon Tuinsma	Country Director	SNV Zambia	Lusaka	mtuinsma@snv.org	
	5:00	Alex Filippov	Team Leader	AECOM - UN Clean Energy Project	Lusaka	directfilippov@gmail.com	

ANNEX VI: SUMMARY OF FGD RESULTS

The following table lists the number of FGDs by gender in each region.

	Lundazi/Lumezi	Mambwe	Nyimba	Rufunsa	Total
Female	2	12	18	11	42
Male	4	10	18	12	43
Mixed	0	0	1	0	1
Total	6	22	37	23	88

More than 900 locals were interviewed as part of focus groups. This table shows the sum of focus group participants in each region. Note that a small number of records omitted the numbers of participants, making these numbers minimums, and the actual number may have been slightly higher.

Region	Sum of Participants in FGDs
Lundazi/Lumezi	57
Mambwe	239
Nyimba	396
Rufunsa	247
Total	939

A spreadsheet with the results summary can be found at:

<http://www.integralc.com/wp-content/uploads/2018/11/Deidentified-Zambia-FGDs-Summary.xlsx>

EQs	Mambwe/Lundazi	Nyimba	Rufunsa
EQI	<ul style="list-style-type: none"> • Curbed deforestation communities • In communities that generally understood CFP, the people embraced the concept of conserving and preserving the forests. These communities report receiving high levels of project sensitization. • In some cases, the CFP work overlapped with and built on previous COMACO work in the communities. These areas appeared to drive greater adoption of deforestation practices. • Continued deforestation communities • The communities with continued deforestation feel that they are losing control of their forests and there is a lot of charcoal burning in these communities. • These continued deforestation communities report low levels of project sensitization, no follow-through on promised alternative livelihood assistance (many communities haven't even received beehives), and a misallocation of funds by the CRB. In one community the CRB used conservation funds to build a guesthouse, which community members believed many benefited the CRB members. 	<ul style="list-style-type: none"> • Curbed deforestation communities • Communities preventing deforestation within the CRB context focused on proximity of the REDD+ zones to their fields. • Some of the communities adopting conservation efforts had previously worked with topic-related NGOs like COMACO and Caritas. • Continued deforestation communities • In the communities where CFP was unsuccessful, a recurring theme was that the community weren't consulted and/or brought on board. From the point of entry, it seems that the agreement was between the chiefs and CFP/BCP. It was common to hear them say "we don't know what deals were made with the chief..." • The headmen should have been more actively involved. In many cases, the community and the headmen had refused the project, but the chief wanted it, and it went ahead. They mainly "refused" because of bad rumours, and because they were not initially consulted. • The alternative livelihood interventions, including beekeeping, did not curb deforestation in any significant way in the non-REDD+ zone forests. 	<ul style="list-style-type: none"> • Curbed deforestation communities • In communities preventing deforestation, buffer areas, typically about 2 kilometres from CFP conservation areas, seemed to create buy-in. These areas allowed communities a space to access forest resources without disturbing the project. • In some beneficiary communities, like in the easily accessible plateaus within Mpanshya Chiefdom, there was effective project sensitization. This work included marking the protected forest boundaries, which made it easier for the communities to avoid these areas. • Continued deforestation communities • Communities with greater deforestation levels discussed lower levels of project sensitization. • Communities with less project sensitization, like in the Chomba VAG in the Shikabeta Chiefdom, the communities knew little about the project, which might correlate with increased deforestation. • Communities with continued deforestation reported a lack of alternative livelihood options. Beekeeping benefits few households. • Some communities did not connect with BCP due to high levels of staff turnover,

			for example 5 BCP officers in 4 years in the Bundabunda Chiefdom.
EQ2	<ul style="list-style-type: none"> At community level, it is difficult to say. Community members mostly associate the CFP with BCP trainings and the CRB. Community members signalled a need for the CFP to have a better mechanism to directly engage the communities other than involving the CRBs, who are more concerned about animals than the preservation of the forests. At the CRB level, there has been a lot of sensitization about the benefits of conserving forests and the rules involved. 	<ul style="list-style-type: none"> By and large, stakeholders, especially at village level remain dissatisfied with CFPs approach to resolving policy issues. The communities generally wished that CFP would have engaged them from the beginning and that this engagement would have been a continuous process. 	<ul style="list-style-type: none"> The majority of the communities, who were closer to the protected forests and had received reasonable benefits, were satisfied with CFPs approach to resolving policy issues. Communities more distant from the protected areas and who had not received reasonable benefits from the project were unsatisfied, citing an absence of adequate consultation from the project. Others felt that the project used a top-down approach to be dealing with policy issues.
EQ3	<ul style="list-style-type: none"> In some communities, people considered the CFPs efforts to conserve and preserve the REDD+ zones through capacity building of local organizations as positive. However, there were no communities in the Mambwe/Lundazi area that fully understood the REDD+ concept or could clearly explain it in their own words. 	<ul style="list-style-type: none"> The communities in the REDD+ zone forests argued that there was no knowledge-transfer from CFP to the communities that enabled them to understand REDD+ and to develop REDD+ strategies/action plans. In cases where there is some knowledge, the level of resentment towards the CFP people is too high for communities to want to work alongside them. 	<ul style="list-style-type: none"> Community leaders in all chiefdoms have received the concept and are willing to work with the CFP, although no evidence of action plan implementation. CRBs have been trained and resourced to employ Village Scouts. Demarcation of forests done in Mpanshya and Shikabeta. CFP strengthened local structures like CRBs in Mpanshya and Shikabeta and cooperatives in Bundabunda Some evidence of capacity building, for example community members noted that cutting trees reduced rainfall.

EQ4	<ul style="list-style-type: none"> • There was little evidence of community adoption of CFP systems and processes. There might have been greater adopted if the locals were engaged more directly than through CRBs. • At the local level, financial assistance to the community members comes through the CRBs. Community members feel it is not a good idea to have such an arrangement. Some communities have a negative perception about CRBs, whom they regard with suspicion. They suggest that communities be directly involved in all stages of the process. 	<ul style="list-style-type: none"> • At the local level, CFP systems and processes were seemingly non-existent. • While there was evidence of systems and processes at the district and provincial levels, community members suggested they have not seen sufficiently trickle down of these mechanisms to the communities themselves. 	<ul style="list-style-type: none"> • Community projects have been supported, for example with 6% conservation fees given to chiefs and communities respectively. • For sustainability and ownership, CFP should let communities prioritise their own projects rather than impose them • Alternatively, livelihoods training in beekeeping and eco-charcoal. Partnerships with institutions like Bee Sweet for honey marketing and Musika for eco-charcoal. • Local work includes CRB forest management training, conservation agriculture training, and Village Scouts recruitment in Mpashya.
EQ5	<ul style="list-style-type: none"> • Community members requested that BCP more effectively and deliberately engage them on potential project activities, including greater levels of community sensitization. • The roles for CRBs should be adequately and more clearly explained to communities in order to increase community confidence in them. • Many communities do not trust CRBs. 	<ul style="list-style-type: none"> • BCP should shift its approach from an enforcement model to a community participation model. The communities should have a sense of ownership, and not intrusion, for them to cooperate. • BCP needs to work hand-in-hand with other trusted institutions in the area, like COMACO and the ministry of agriculture. • BCP should engage with the communities in strengthening livelihood strategies that will enhance the communities' ability to understand and implement REDD+ strategies. 	<ul style="list-style-type: none"> • Continue providing benefits to the communities for forest conservation. • Create a community interaction plan. • Increase CRB capacity building and community awareness on their roles in forest conservation. • Include community witnesses for all agreements. • Provide sustainable livelihoods. • Continue to forge partnerships with other institutions e.g. Sable, other government departments like DNPW. • Improve relations between village scouts and community members.

ANNEX VII: STATEMENT OF CONFLICT OF INTEREST

The evaluation team has declared that it does not have any conflicts of interest for this performance evaluation. They do not believe that the results from their report are biased in any way by their relationships or previous work relating to this project. The three key personnel, and the sub-contractor, did not report any concerns regarding the evaluation analysis or report. A brief description of the background of the team is presented.

- **Erik Streed** is the Team Leader on this evaluation. Mr. Streed has not previously worked in Zambia. He does have a long history of involvement with USAID forestry programs and with REDD+ projects. He was not, however, involved in the planning or procurement of the CFP and he has no personal interests in the outcome of this project.
- **Scott Bode** is the Community Forestry Expert on this evaluation. Mr. Bode has worked extensively through southern Africa, as a USAID employee and as a USAID contractor, and he has briefly worked in Zambia on several consulting assignments. He was not involved in the planning or procurement of the CFP and he has no personal interests in the outcome of this project.
- **Benjamin Wood** is the Evaluation Expert on this evaluation. He has not worked previously in Zambia or within the REDD+/environmental evaluation space. He was not involved in the planning or procurement of the CFP and he has no personal interests in the outcome of this project.
- **Miguel Menez** is the Research Associate for this evaluation. He has not worked previously in Zambia or within the REDD+/environmental evaluation space. He was not involved in the planning or procurement of the CFP and he has no personal interests in the outcome of this project.
- **RuralNet**, the sub-contracted enumeration team, led the data collection efforts for the baseline impact evaluation at the beginning of the CFP. They do not believe that this previous work experience influenced any part of their data collection or summary of findings work on this current evaluation.

ANNEX VIII: STATEMENT OF WORK

Evaluation of USAID/Zambia's Community Forests Program (CFP)

Statement of Work

1. Description of Activity to be Evaluated

In February 2014, USAID/Zambia signed a five-year, \$14 million award with BioCarbon Partners to implement the Community Forests Program (CFP). The activity is funded with Global Climate Change Sustainable Landscapes and Biodiversity Conservation funding, with the primary goal of reducing deforestation of biologically significant forest landscapes. The CFP is entering into its final year of implementation, in the hopes of securing over 700,000 hectares of forest into the voluntary carbon market. As one of the only USAID activities to go from site identification to carbon verification, USAID is interested in evaluating the CFP to extract lessons that can be applied to future activities in the sector.

2. Background

With the fourth highest amount of forest cover in Africa, and the highest amount of deforestation on the continent, estimated at up to 300,000 hectares per year, Zambia presents significant opportunities to participate in reducing emissions from deforestation and forest degradation (REDD+) in a way that generates incentives and improves rural livelihoods. Under this context, USAID/Zambia developed the CFP, which responds to the following Country Development Cooperation Strategy (CDCS) and Project Appraisal Document (PAD) results framework items:

- CDCS Development Objective 2: Rural poverty reduced in targeted areas
 - Intermediate Result (IR) 2.3: Natural resources management improved
 - IR 2.3.1: Sustainable livelihoods improved.
 - IR 2.3.2: Community and partnership based natural resource management strengthened for forests and wildlife.
 - IR 2.3.3: Policies, legal framework, strategies, and plans strengthened, particularly for forests and wildlife.
 - IR 2.3.4: Science, technology, research, and innovation improved, particularly for forests and wildlife.
- PAD Goal: Improve and maintain forest and wildlife populations while strengthening community livelihoods in focus areas.
 - Objective 1: To promote livelihoods, particularly in forest- and wildlife-dependent communities, that increase household income while decreasing deforestation and poaching.
 - Objective 2: To improve the joint management of natural resources between communities and other partners in targeted areas of Eastern, Muchinga, Central and Lusaka Provinces.

- Objective 3: To build the capacity of the Zambian government and other key stakeholders at national, provincial, district, and local levels to develop and implement legal frameworks, policies, strategies, and plans that support REDD+, EC-LEDS, community-based natural resource management, wildlife management, climate-smart agriculture, and energy.
- Objective 4: To use science, technology, research, and innovation to ensure evidence-based decision-making and facilitate the development and use of new technologies.

The primary objectives of the CFP are to:

1. Reduce emissions from deforestation through participatory natural resource management of globally biodiversity significant forested landscapes in Eastern and Muchinga Provinces.
2. Reduce poverty through increasing smallholder agricultural productivity, the sustainable development of non-timber forest products, expanded markets and value chains.
3. Increase resilience in rural communities through integrated, multi-dimensional poverty reduction frameworks and coordination with USG funded partners in the target areas.
4. Support the Zambian national REDD+ process with pilot demonstration REDD+ projects.

Although experiencing significant roadblocks during implementation, the CFP has managed to get over 700,000 ha of forested land under protection agreements with communities in Lusaka and Eastern Provinces. This was achieved with innovations, such as the use of a Flying Free, Prior and Informed Consent (FPIC) which involved taking community leaders in an airplane to better understand the forested area they would eventually protect. Furthermore, under the new Forest Act of 2015, CFP was able to push conversations on REDD+, including carbon stock management and joint forest management.

The following documents will be made available in preparing for the evaluation:

- Program description of the cooperative agreement.
- Quarterly/Annual reports to date.
- Deforestation maps in project area.
- Zambia REDD+ Rights And Institutional Analysis (done by CFP)
- List of stakeholders.
- Monitoring, Evaluation and Learning plan with detailing performance indicator reference sheets.
- Access to indicator performance tracking table.
- Beneficiary household registry.
- Any other evaluative materials as requested by the evaluator.
- Other necessary documents upon request.

3. Purpose

The purpose of this performance evaluation is to identify the critical components of the CFP implementation that either enabled or disabled it to meet the primary objectives, as well as the ²²sustainability of the interventions. The results will be used by USAID/Washington, the Mission staff, BCP, and the GRZ to inform future efforts for related projects, especially with respect to design and implementation.

Specifically, the evaluation should address:

- **Lessons Learned**
 - Identify key successes and challenges of the CFP and the critical components that enabled or contributed to these.
 - Identify the merits and shortcomings of the CFP strategic approach.
- **Sustainability**
 - Demonstrate how CFP contributed to the development of Zambia's national REDD+ process.
 - Determine the sustainability of the activity results related to forest conservation.

4. Questions

The following evaluation questions are listed below as they relate to the evaluation purpose:

Lessons Learned

1) To what extent has CFP activities resulted in reduction in deforestation in the areas where activities were implemented?

Context: In answering this question, the evaluator should take into account that deforestation is still occurring in some project areas and not others. REDD+ projects take time to set up. While project implementers are identifying forested areas for conservation, developing trust and relationships with communities, establishing mechanisms to ensure alternative livelihoods are sustainable, and going through a third-party verification process, implementers must endeavor to decrease deforestation. The CFP utilized various mechanisms to reward communities for setting aside forests for conservation and curbing deforestation. These mechanisms included community partnership projects (as defined by community need), the payment of conservation fees, public outreach on the importance of forest conservation, and capacity building activities related to forest governance. In spite of these efforts, some communities continued to show deforestation and/or forest degradation within their set-aside forested areas. We are interested in knowing **why** the mechanisms that CFP utilized were only effective in some communities.

²² Sustainability means continued economic and social progress that rests on four key principles: improved quality of life for both current and future generations, responsible stewardship of the natural resource base, broad-based participation in economic life, and effective institutions which are transparent, accountable, responsive and capable of managing change without relying on continued external support.

2) To what extent are key stakeholders satisfied with CFPs approach to resolving policy issues?

Context: As mentioned in the CFP Program Description (PD), BCP policy support is a key component of achieving activity objectives. The PD mentions implementing “concerted national policy engagement” and that their first Chief of Party (COP) is also the Policy and Legal Specialist. Early in the implementation, the COP conducted a “review of the Zambian legal framework” in order to “identify potential barriers to program development.” CFP supported the following policy issues during implementation:

- Statutory Instrument for carbon stock management (draft supported by CFP)
- Statutory Instrument on Community Forest Management
- Operationalized the Community Forest Management Working Group (CFMG) as laid out in the Forest Act

The CFP occurred simultaneously with the development of REDD+ strategies and legislation which, at times, was complicated. Many of these policy issues presented a setback to activity implementation. USAID is interested in learning more about how to tackle policy issues for future REDD+ projects. It can be argued that all potential policy issues be resolved before activity onset, or that the actual implementation facilitates the discussion and passing of necessary policy, or perhaps a hybrid that dedicates policy as a core component. To address this question, it is important to document the CFPs approach to resolving policy issues- from timing to project structure - and gain an understanding of this effectiveness and how it could be improved in future endeavors.

3) How have stakeholders perceived the CFPs efforts in building capacity of government and community-based organizations at the national, provincial, district and local level to develop and implement REDD+ strategy and action plans?

Context: There are few countries, if any, in the world who completely understand and have systems in place for organizing and implementing REDD+ projects. Countries are in various states of readiness and have varying levels of interventions within the voluntary carbon market. Therefore, it is critical for any USAID-funded activity to also build government capacity and systems to facilitate additional REDD+ projects in the future. The CFPs fourth objective is built around this idea.

As in most countries, REDD+ implementation touches multiple levels of government, and in Zambia this includes: national, provincial, district, and local (community) levels. In addition to the policy contributions mentioned in Question 2, the CFP also provided training at multiple levels on financial management, administration, REDD+, Free Prior and Informed Consent (FPIC), etc.

USAID would like to know how these efforts have been received at all levels in assisting stakeholders in better understanding REDD+ and the management necessary around it.

Sustainability

4) To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

Context: A key component of USAID programming is setting countries on the path to self-reliance, which translates into a focus on sustainability, such as building the financial, social, technical, and governance capacity of institutions, Civil Society Organizations, Universities, government agencies, and/or individuals. To evaluate the success of an activity like the CFP, it is necessary to understand where the capacity of ongoing sustainability is strong and where it remains weak. USAID seeks to understand, in the absence of USAID funding, how gains that were made by the CFP (in implementation as well as in interaction with higher level entities around REDD+ policy) are likely to continue and illustrate long-term gains. This question is related to #3.

5) How can BCP maintain the gains achieved under the CFP?

Context: BCP, a private company, was able to grow in size (financial and personnel) during the implementation of the CFP in order to achieve the activity's goals. During the period of expansion, field staff identified forest areas for conservation, conducted FPIC, provided training, developed livelihood activities, and built capacity. Many of these tasks were done to create the enabling environment that would increase BCP's (and other companies') ability to succeed in forest conservation and sale of carbon credits. As the CFP begins the final year of implementation, BCP is reducing its staffing footprint and, therefore, must rely on the advances it has made within the REDD+ enabling environment space. USAID is interested in knowing what aspects of the enabling environment will need additional support as the CFP ends and BCP, as a company, continues its relationship with the communities which are conserving forests for a share of the carbon sale revenue.

5. Methods

This performance evaluation will focus on qualitative information. The evaluation team is expected to include staff from USAID/Zambia as participants in any key informant interviews and focus group discussions (FGDs). The purpose of this is to provide explanations and project-specific information in order to facilitate understanding and context for the rest of the evaluation team. USAID staff will only participate in FGDs with defined stakeholders where undue influence would be greatly reduced (e.g. Traditional chiefs, civil society organizations, donor reps). Disaggregation by sex may be appropriate for some focus group discussions.

Although the evaluator should propose the best methods for responding to the evaluation questions and purpose, USAID considers that interviews with the following stakeholders would be necessary:

- BioCarbon Partners (the implementing partner)
- National, provincial, and district staff from the Department of National Parks and Wildlife

- National, provincial, and district staff from the Forestry Department
- USAID
- National staff from the Zambia Environmental Management Agency (ZEMA)
- Community Resource Board (CRB) members in the project area
- Village Scouts (VS) in the project area
- Traditional Chiefs in the project area
- Civil society representatives
- Other donor representatives working on climate change
- Private sector where appropriate
- Academic institutions
- UNREDD+ implementing institution
- Representatives of the World Bank's ISFL program
- Analysts who have reviewed and advised on the Statutory Instrument that GRZ has been developing for forest carbon management and accounting (e.g. Donna Lee, Darren Johnson)

The evaluation team should plan to travel to Lusaka as well as a sampling of the project areas (Nyimba, Mambwe, and Lundazi districts). English is the official language of Zambia, but fieldwork at project sites will require proficiency in Nyanja when speaking with CRB members, village scouts, and community members.

Data collection and analysis

USAID requests that the evaluator complete the following table as part of its detailed design and evaluation plan.²³

Evaluation question	Data source	Data collection method (including sampling methodology, where applicable)	Data analysis method

²³ Another format may be used if the table is not preferred, but any chosen format should contain all the information specified for each question.

6. Deliverables and Timeline

The evaluation must be completed by December 20, 2018. The following deliverables are required: The expected period of performance is 90 days from September 3 – December 31, 2018 excluding weekends and public holidays.

The evaluation must be completed by December 20, 2018. The following deliverables are required:

#	Deliverable	Timeline	Notes
1	In-brief with USAID	4 days after award of contract	Before commencing fieldwork, the evaluator must meet with USAID for an In-brief to finalize the schedule, discuss methods, and refine any of the evaluator's questions about the evaluation purpose and questions.
2	Evaluation design/Inception Report	21 days after award	Detailed methods and work plan, including logistics and team, draft instruments (including, e.g. questionnaires, interview guides, etc.) within four weeks of award. The evaluation should include identification of key questions, methods, main features of data collection instruments, and data analysis plans. This design will be shared with country-level stakeholders as well as with the implementing partner before being finalized. Final approval from USAID is necessary before any fieldwork may begin.
3	Team Building Meeting	35 days after award	Prior to fieldwork, there will be a team building meeting that will include the external evaluation team members, and USAID staff. This exercise can be half a day with the purpose of arriving at clear understanding of the shared goals, strategies, and work plans, along with the individual roles and responsibilities of team members.

4	Draft evaluation report	65 days after award	<p>Within 30 calendar days of conclusion of field work, the contractor will submit a draft evaluation report to USAID/Zambia for review. USAID will share the draft with peers for comment and return to the evaluator for incorporation of comments, observations, and suggestions within 14 calendar days of receipt. The evaluation report should include a summary of findings, conclusions, and recommendations.</p> <ul style="list-style-type: none"> Findings are based on facts, evidence, and data. This precludes relying exclusively upon anecdotes, hearsay, and unverified opinions. Finding should be specific, concise, and supported by quantitative and qualitative information that is reliable, valid, and generalizable. Conclusions should be based on one or multiple findings (and should state this) and be supported by strong quantitative or qualitative evidence. Recommendations should be supported by a specific set of findings and conclusions, and should be action-oriented, practical and specific. <p>The evaluation report must not exceed 30 pages, excluding annexes (site reports, list of contacts interviewed, bibliography, maps of areas where interviews conducted, interview transcripts, etc.) and must be written in English. The evaluation report will be reviewed against the Evaluation Policy's "Criteria to Ensure the Quality of the Evaluation Report" as described in Appendix I of the USAID Evaluation Policy.</p>
5	Video Teleconference (VTC)	79 days after award	<p>Within 14 calendar days of receiving comments on the draft report from USAID, the contractor will hold a VTC with USAID/Zambia and USAID/Washington to present the final evaluation report. This presentation will allow USAID to make any final comments for the final report.</p>
6	Report Dissemination	85 days after award	<p>Hold dissemination meeting with key stakeholders</p>

7	Final evaluation report	90 days after award	<p>Within 14 calendar days of the VTC, the contractor will submit the final evaluation report to USAID/Zambia. This version incorporates all of USAID's and stakeholder's comments.</p> <p>The evaluation report must represent a thoughtful, well-researched and well-organized effort to objectively evaluate what is working in reaching the development objectives and what is not and why;</p> <ul style="list-style-type: none"> • The evaluation report must address all evaluation questions included in the scope of work; • The evaluation report should include the scope of work as an annex. All modifications to the scope of work, whether in technical requirements, evaluation questions, evaluation team composition, methodology or timeline need to be agreed upon in writing; • The evaluation methodology must be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists and discussion guides will be included in an annex in the final report; • Limitations to the evaluation must be disclosed in the report, with particular attention given to identifying limitations associated with the evaluation methodology; • The evaluation findings must be presented as analyzed facts, synthesized evidence and data and not based on anecdotes, hearsay or a mere compilation of people's opinions. Findings must be specific, concise and supported by strong quantitative or qualitative evidence; • Sources of information must be properly identified and listed in an annex; • Recommendations must be supported by a specific set of findings;
8	Evaluation data	90 days after award	<p>The offeror is expected to submit datasets to USAID's Development Data Library. This includes FGD and KII transcripts from interviews, relevant support documentation. A copy of each data collection tools should be included in the annex of the final report</p>

7. Team Composition

Proposed team members are listed below, but the evaluator should propose the best composition for completing the evaluation. All team members should be familiar with the USAID Evaluation Policy and proficient in English. All team members will be required to provide a signed statement attesting that they have no conflict of interest or describing an existing conflict of interest.

Team Leader

The Team Leader must be an outside expert, external to USAID, with at least 10 years' practical experience in forest/landscape project implementation, including linking socio-economic interventions with conservation objectives. The Team Leader must also have demonstrated knowledge of climate policy and experience working in Africa. At least a Master's level (PhD preferred) degree in forest-related field required. The ideal Team Leader will have excellent interpersonal skills, ability to identify and manage potential conflicts before they arise, excellent organizational and management skills, and demonstrated ability to solicit and effectively use input from a wide range of sources and perspectives. The Team leader must have no existing or contemplated fiduciary relationship with the implementing partner. The Team Leader will mitigate any potential for conflict of interest that may arise, and will be USAID's primary point of contact during the evaluation.

Evaluation Specialist

The Evaluation Specialist must have at least 8 years' experience in evaluation of development programs including mixed-methods (qualitative and quantitative), with significant experience managing and/or evaluating forest-related programs. Must have experience in Africa and at least a Master's (PhD preferred) in evaluation or similar field. Must have relevant experience in the evaluation methods proposed.

Local Specialist

Must have team member who is proficient in Nyanja, with the ability to interpret from English to Nyanya and vice versa. Experience with rural engagement for evaluations in Zambia is highly recommended.

Subject Matter Specialist

Must have at least 8 years' experience with a focus on climate change mitigation and REDD+ (Africa experience preferred). Must have practical experience in project implementation as well as demonstrated knowledge of climate policy, with at least a Master's (PhD preferred) in a forest-related field (e.g. REDD+, natural resources management, or sustainable forest management, etc.)

USAID Staff

As mentioned in the Methods section, the evaluation team will be accompanied by staff from USAID/Zambia to provide context and project-specific information.

Data Collectors

Recent University graduates will be hired to assist with data collection.

7.1. Illustrative Information about expected levels of effort (See example below)

Personnel	Quantity	Number of days
A. International staff		
Team Leader	1	90
Evaluation Specialist	1	90
Subject matter Specialist (REDD+, Natural Resources Management, Sustainable forest management)	1	90
Administrative Support	1	15
B. Local Personnel		
Local Specialist/Consultant	1	35
Technical Coordinator, Mfuwe	1	20
Technical Coordinator, Nyimba	1	20
Technical Coordinator, Rufunsa	1	20
Junior Level Research Assistants/Data entrants	10	30
In country Logistics support Assistant	1	15

8. Scheduling and Logistics

USAID/Zambia will assist the evaluator in making contacts with local government partners. This will include an informational letter to inform stakeholders that the evaluation is taking place and that they will be contacted by the evaluation team. USAID/Zambia will provide contact information for key points of contact but encourages the evaluator to request and communicate with additional contacts during fieldwork.

9. Reporting and Dissemination

A dissemination meeting will be held at USAID with key stakeholders to present findings of the evaluation. The contractor will be expected to print and spiral bind five copies of the report for distribution to USAID/Zambia.

ANNEX IX: APPROVED WORK PLAN

I. BACKGROUND

USAID Zambia awarded a Cooperative Agreement to BioCarbon Partners, Ltd. (BCP) to implement the Community Forests Program (CFP) in Zambia. The CFP began on February 1st, 2014 and is anticipated to run until January 31st, 2019. The CFP is to be jointly implemented by the Forestry Department (FD), Department of National Parks and Wildlife (DNPW) and BCP.

The CFP is designed to exemplify and support the Government of Zambia's (GRZ) Reducing Emission from Deforestation and Degradation (REDD+) strategy by establishing the largest REDD+ program to-date in Zambia. The CFP aims to establish REDD+ project areas across a minimum of 700,000 hectares within the Zambezi and Luangwa Valley ecosystems, and in so doing, to support deforestation mitigation activities taking place on a total of up to 2 million hectares, involving up to 10,000 households.

The main objectives of the CFP are to: a) reduce emissions from deforestation through: participatory natural resource management of globally biodiverse and significantly forested landscapes; b) reduce poverty through improvements in smallholder farmers' agricultural productivity; c) develop of non-timber forest products and expand their markets and value chains; and d) support the Government of the Republic of Zambia (GRZ) in the development of a legal framework and pilot project to demonstrate the viability of REDD+ as a replicable forest management strategy. These objectives are achieved by:

- Empowering and equipping communities to lessen the drivers of deforestation
- Establishing and improving forest and natural resources management plans
- Promoting alternative livelihoods to unsustainable charcoal and timber production; and
- Implementing pay-for-performance and/or revenue sharing programs for forest conservation and carbon sequestration.

To accomplish this, the CFP included a full suite of activities to help develop, manage and maintain a comprehensive community forest management and REDD+ project. Specifically, the CFP included the following components:

- Stakeholder consultations
- Livelihood improvements
- Forest management
- Forest carbon science
- Carbon market creation
- Policy and engagement with GoZ

Now that the period of performance for the CFP is nearing the end, USAID/Zambia has contracted Integra Government Services to complete a comprehensive evaluation of this Project. This document serves as the work plan for completing this evaluation.

II. SCOPE OF WORK

EVALUATION OBJECTIVES

The purpose of this task order is to conduct a performance evaluation of USAID/Zambia's Community Forests Program (CFP), which is nearing completion. This evaluation will provide USAID/Zambia with an independent review of progress made by this important project, and hopefully identify lessons that can be applied to future activities in the sector. The evaluation has three main objectives:

- Document the overall effectiveness of the project in reducing deforestation of biologically significant forest landscapes
- Identify lessons learned from the project—specifically, the strengths and weaknesses of the design and implementation of the CFP, and how they contributed to the project's successes and challenges
- Assess the sustainability of CFP results related to forestry conservation. That is, are the gains and successes of the CFP likely to continue after the end of the project

EVALUATION QUESTIONS

USAID/Zambia provided five key evaluation questions related to lessons learned from the project, and sustainability of the project, to be answered during this performance evaluation. These questions are:

On Lessons Learned

1. To what extent have CFP activities resulted in reduction in deforestation in the areas where activities were implemented?
2. To what extent are key stakeholders satisfied with CFPs approach to resolving policy issues?
3. How have stakeholders perceived the CFPs efforts in building capacity of government and community-based organizations at the national, provincial, district and local level to understand REDD+ and to develop and implement REDD+ strategies and action plans?

On Sustainability

4. To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?
5. How can BCP maintain the gains achieved under the CFP?

III. EVALUATION METHODOLOGY AND TECHNICAL APPROACH

LEAP III will use a non-experimental, observation-based design, which is appropriate for performance evaluations. We will use a mixed methods approach, combining qualitative and quantitative data collection methods and analyzing both types of data to answer the questions as appropriate. The evaluation team may use baseline data from internal sources, such as routine monitoring reports and annual reports and any Activity Monitoring Evaluation and Learning Plan, to establish objective baseline conditions and measure performance over the project lifetime. Internal as well as external sources, such as published literature, third-party reporting and open databases, as well as key informant interviews and surveys may be used, if available / necessary, to address the remaining questions.

Contextual background information provided by USAID/Zambia provides a more detailed description of what USAID hopes to learn from this evaluation. This contextual background underpins the Integra approach to this evaluation.

Evaluation Question 1: Why were CFPs interventions able to curb deforestation in some communities, and not in others?

Context: The CFP utilized various mechanisms to reward communities for setting aside forests for conservation and curbing deforestation. These mechanisms included community partnership projects (as defined by community need), the payment of conservation fees, public outreach on the importance of forest conservation, and capacity building activities related to forest governance. Despite these efforts, some communities continued to show deforestation and/or forest degradation within their set-aside forested areas. In addition to documenting progress to date, USAID/Zambia is interested in knowing why the mechanisms that CFP utilized were only effective in some communities.

Evaluation Question 2: To what extent are key stakeholders satisfied with CFPs approach to resolving policy issues?

Context: The CFP and its implementer, BioCarbon Partners (BCP), provide capacity building and policy support to the Zambian government and other key stakeholders at the national, provincial, district, and local levels related to REDD+, EC-LEDS, community-based natural resource management, wildlife management, and climate-smart agriculture. Policy issues/capacity building related to:

- Statutory Instrument for carbon stock management (draft supported by CFP)
- Statutory Instrument on Community Forest Management
- Operationalizing the Community Forest Management Group (CFMG) as laid out in the Forest Act

The CFP occurred simultaneously with the development of REDD+ strategies and legislation. This work on REDD+ was complicated and, at times, impeded the implementation of the CFP. USAID is interested in learning more about how to tackle policy issues for future REDD+ projects. Thus, it is important to: 1) document the CFPs approach to resolving policy issues - from timing to project structure, and 2) gain an understanding of its effectiveness and how it could be improved in future endeavors.

Evaluation Question 3: How have stakeholders perceived the CFPs efforts in building capacity of government and community-based organizations at the national, provincial, district and local level to understand REDD+ and to develop and implement REDD+ strategies and action plans?

There are few countries in the world, if any, that have systems in place for organizing and implementing REDD+ projects. Countries are in various states of readiness and have varying levels of interventions within the voluntary carbon market. Therefore, it is critical for any USAID-funded activity to also build government capacity and systems to facilitate additional REDD+ projects in the future. The CFPs fourth objective is built around this idea, and the CFP also provided training at multiple levels of government on financial management, administration, REDD+, Free Prior and Informed Consent (FPIC), etc.

Evaluation Question 4: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

Context: A key component of USAID programming is setting countries on the path to self-reliance, which translates into a focus on sustainability, such as building the financial, social, technical, and governance capacity of institutions, Civil Society Organizations, Universities, government agencies, and/or individuals. To evaluate the success of an activity like the CFP, it is necessary to understand where the capacity of relevant institutions is strong and where it remains weak. Specifically, USAID seeks to understand if, in the absence of continued USAID funding, gains that were made by the CFP (via implementation as well as in interaction with higher level entities around REDD+ policy) are likely to be sustained.

Evaluation Question 5: How can BCP maintain the gains achieved under the CFP?

Context: BCP, a private company, was able to grow (financial and personnel) during the implementation of the CFP to achieve the activity's goals. During the period of expansion, field staff identified forest areas for conservation, conducted FPIC, provided training, developed livelihood activities, and built capacity. Many of these tasks were done to create the enabling environment that would increase BCP's (and other companies') ability to succeed in forest conservation and sale of carbon credits. As the CFP begins the final year of implementation, BCP is reducing its staffing footprint and, therefore, must rely on the advances it has made within the REDD+ enabling environment space. USAID is interested in knowing what aspects of the enabling environment will need additional support as the CFP ends and BCP, as a smaller company, continues its relationship with the communities which are conserving forests for a share of the carbon sale revenue.

TECHNICAL APPROACH

Given this contextual background about what USAID hopes to learn from this evaluation, the Integra Team developed an approach/work plan that will guide the evaluation. The table below outlines in more detail the approach the LEAP III Team will use during this evaluation:

EVALUATION DESIGN MATRIX

The table below summarizes the technical approach that the Integra Team will use to answer the five key evaluation questions provided by USAID.

Evaluation questions	Approach	Data Source(s)
EQ1. Why were CFPs interventions able to curb deforestation in some communities, and not in others?	<p>The heart of our approach to answering this question is qualitative feedback, both in the form of KIIs and FGDs from the main CFP stakeholders. We designed our FGD survey instrument to understand why CFP reduced deforestation in some project areas and not in others.</p> <p>Specifically, we will conduct qualitative interviews with CFP team members and local stakeholders to assess the extent the planned activities were implemented and if they were seen as effective in reducing deforestation and accomplishing the other overall objectives of the CFP.</p> <p>We will use geospatial data to independently assess deforestation in the CFP project areas. This data will be collected from publicly available sources and will help identify locations for FGDs and then help corollate the FGDs with the actual conditions in the specific community. We will use existing data to compare average changes in deforestation patterns from before and during CFP implementation. This will help us focus our FGD sampling strategy by allowing us to target subwards with the most and least net deforestation during the project. To further establish the effectiveness of the project, we will map correlations between findings in the qualitative survey and mapped deforestation.</p>	<p>Interviews</p> <p>Email/phone surveys/questionnaires</p> <p>Geospatial data sets such as satellite data, Aerial imagery, etc.</p> <p>Geospatial portals such as Global Forest Watch</p> <p>UN FAO Forest Resource Assessment data</p> <p>Publicly available maps, reports and publications</p> <p>Project resources and publications</p> <p>GIS/ Remote sensing data available with BCP</p>
EQ2. To what extent are key stakeholders satisfied with CFPs approach to resolving policy issues?	<p>To obtain a broad range of responses regarding stakeholder satisfaction, we will conduct qualitative FGDs focused on the areas with the most and least net deforestation in each of the project areas. Given the time allocations for this evaluation, we will draw a convenience sample of CFP communities and conduct both KIIs and FGDs (both draft survey instruments are available in our annexes). We will also conduct KII with key stakeholders, including village leaders, local and national-level officials, and representatives from local NGOs. Based on these KIIs and the individuals identified by the USAID mission, we will “snowball” a limited number of additional KIIs with other donors, private sector actors and NGOs active in NRM/GCC issues.</p>	<p>Representative sample of CFP community members across the four districts</p> <p>Key stakeholders such as community leaders, NGOs, national and provincial government employees.</p>

<p>EQ3. How have stakeholders perceived the CFPs efforts in building capacity of government and community-based organizations at the national, provincial, district and local level to develop and implement REDD+ strategy and action plans?</p>	<p>During our assessments of the CFPs effectiveness in reducing deforestation and resolving policy issues we will interview several relevant stakeholders. We will also take that opportunity to inquire about their opinion on the CFPs capacity building efforts. To address the question from the national, provincial, district, and local levels we will interview a representative sample of CFP communities, NGOs, and government officials. We will conduct FGDs with the communities and KIIs with the NGOs and government officials.</p> <p>The team will use focused questions during interviews and surveys to ascertain the projects impact on “REDD+-readiness “in local, provincial and national government entities. We will review relevant REDD+ strategies and action plans and compare these documents to actions in the field.</p>	<p>Representative sample of CFP communities, NGOs, national and provincial government officials,</p> <p>Review relevant Southern Africa Regional and Zambia climate change reports to UNFCCC such as REDD+ action plans, Zambia NAMA's, etc.</p>
<p>EQ4. To what extent are the systems and processes that CFP put in place to ensure technical, financial, social and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?</p>	<p>We will start with a desk review of the project documents, including CFP proposals, design, and work plans. Based on these documents we will identify the CFP systems and processes that were put into place, we will assess the technical, financial, social, and institutional sustainability of the projects,</p> <p>After gaining a strong understanding of the project activities, we will conduct qualitative interviews with current and former CFP staff, civil society, implementing organizations (and sub-contractors), and project beneficiaries to determine the level of adoption at the provincial, district, and local levels. We will additionally conduct site visits to verify the activities being reported in the KIIs.</p>	<p>CFP proposal, design, and work plan documents</p> <p>Qualitative interviews with CFP staff, civil society, and implementing organizations (and sub-contractors)</p>
<p>EQ5. How can BCP maintain the gains achieved under the CFP?</p>	<p>To answer this question, we will first interact with BCP to assess the organization's interest and ability to continue the work started under the CFP. Secondly, we will explore the broader enabling environment for the community forests work that focuses on communities conserving forests for a share of carbon sale revenue. Specifically, we will seek to identify aspects of that enabling environment that may need continuing support after the end of the CFP.</p>	<p>BCF, national and international climate sector stakeholders, financial investment databases</p>

The technical approach outlined in the above table is augmented by more detailed information provided in the Annexes of this report. These annexes are as follows:

1. Annex A provides a more detailed description of how the Integra Team will utilize geospatial data to strengthen our evaluation.
2. Annex B provides the guidelines that will be followed when carrying out KIIs.

3. Annex C provides the questionnaire that will guide the discussions in the FGDs.
4. Annex D provides the preliminary Key Informant Interview Schedule.

IV. EVALUATION COMPONENTS

This evaluation will include the following components:

1. DEVELOPMENT OF ACTIVITY AUTHORIZATION REQUEST

Based on the Statement of Work provided by USAID/Zambia, LEAP III will provide an Activity Authorization Request (AAR) for Approval.

2. DESK REVIEW AND INITIAL DISCUSSIONS:

Based on documents provided by the Mission, CFP, and through independent data collection, LEAP III conducted an in-depth desk review. Some of the key documents reviewed include: Program description of the cooperative agreement; quarterly/annual reports to date, deforestation maps in project area; Zambia REDD+ Rights and Institutional Analysis (done by CFP); Monitoring, Evaluation and Learning plan with detailing performance indicator reference sheets; Access to indicator performance tracking table; Beneficiary household registry, Community Forest Management SI, draft SI on carbon stock management and other supporting documents.

3. QUALITATIVE DATA COLLECTION (FOCUSED DISCUSSION GROUPS):

Data collection will be conducted over a two-week period. The LEAP III evaluation team will travel to Lusaka, as well as a sampling of project areas in Nyimba, Mambwe, Rufunsa and Lundazi. To capture a representative sample of beneficiaries, and to ensure proficiency in Nyanja, LEAP III has brought in a local Zambia data collection firm, Rural Net, which has extensive experience conducting surveys in Zambia. Most recently, RuralNet conducted a baseline survey for over 3,500 households in Zambia as part of the USAID/STARR Evaluation, Research and Communication project. Data collection will be done using mobile devices (tablets and smart phones) when appropriate.

Technical Coordinators will be appointed for each of the three specified districts (Mfuwe, Nyimba, and Rufunsa) and will oversee the Junior Level Research Assistants.

4. QUALITATIVE DATA COLLECTION (KEY INFORMANT INTERVIEWS):

Per USAID/Zambia's guidance, and combined with the Integra Team's own research, we have initiated the process of identifying KIIs that will be conducted by the Integra Team. This list is provided in Annex D.

5. QUANTITATIVE DATA COLLECTION (GIS DATA SETS/REPORTS/MAPS):

In conjunction with the desk review and the fieldwork, the LEAP Team will collect and analyze publicly available geospatial data. This data will be used to create, to the extent possible, a statistical and graphical picture of both outputs and outcomes from the CFP. The team will use publications, reports and geospatial data to attempt to provide a quantitative assessment of outputs and outcomes such as:

- Jurisdictions impacted by the project
- Locations of land, communities and infrastructure included in the project target area
- Changes in land use over life of project

- Changes in vegetative cover over life of project
- Socio-economic changes in targeted areas

It is important to note that deliverables from this task are dependent on what GIS data is readily available.

6. COMPLETION OF DRAFT EVALUATION REPORT

Within 30 calendar days of concluding field work, Integra will submit a draft evaluation report to USAID/Zambia for review. This report will provide the following:

- A thoughtful, well-researched and well-organized effort to objectively evaluate what aspects of the CFP are working (or not) in reaching its development objectives;
- A thorough analysis of the data collected to address all evaluation questions included in the scope of work;
- A comprehensive description of the evaluation methodology and all tools used in conducting the evaluation such as questionnaires, checklists and discussion guides will be included in an annex in the final report;
- A discussion of the limitations to the evaluation, with attention given to identifying limitations associated with the evaluation methodology;
- A presentation of the evaluation findings based on analyzed facts, synthesized evidence and data and not based on anecdotes, hearsay or a mere compilation of people's opinions. Findings will be specific, concise and supported by strong quantitative or qualitative evidence;
- A description of sources of information will be properly identified and listed in an annex;

The evaluation report will include a summary of findings, conclusions, and recommendations. It will not exceed 30 pages, excluding annexes, bibliography, maps and interview records, and will be written in English.

7. VIDEO TELECONFERENCE WITH USAID (VTC)

Within 14 calendar days of receiving comments on the draft report from USAID, LEAP will hold a VTC with USAID/Zambia and USAID/Washington to present the final evaluation report. This presentation will allow USAID to make any final comments for the final report.

8. VTC WITH KEY STAKEHOLDERS

Within 7 calendar days of the VTC with USAID, LEAP III will hold a dissemination meeting with key stakeholders, with the support of USAID/Zambia.

9. FINAL EVALUATION REPORT

Within 7 calendar days of the VTC with key stakeholders, the contractor will submit the final evaluation report to USAID/Zambia. This version incorporates all of USAID's and stakeholder's comments.

10. SUBMISSION OF EVALUATION DATA

LEAP III will submit datasets to USAID's Development Data Library, including focus group discussions and key informant interviews, transcripts from interviews, relevant support documentation.

V. TIMELINE

A detailed fieldwork timeline is provided below, detailing the day-to-day tasks of each evaluation team member, as well as the RuralNet field teams as a whole. The fieldwork timeline is supplemented with the evaluation's general timeline, which was approved under the Activity Authorization Request.

FIELDWORK SCHEDULE FOR CFP PERFORMANCE EVALUATION

	Erik Streed	Scott Bode	Ben Wood	Stephen Tembo	RuralNet
Week of August 13	Trip preparation and work plan development	Trip preparation and work plan development	Trip preparation and work plan development		Trip preparation and outreach to KIIs
Week of August 20	Trip preparation and work plan development	Trip preparation and work plan development	Trip preparation and work plan development		Trip preparation and outreach to KIIs
27-Aug	Landing in Lusaka	Landing in Lusaka	-		-
28-Aug	USAID (morning), Ruralnet (lunch), BCP (afternoon)	USAID (morning), Ruralnet (lunch), BCP (afternoon)	-	Meet Integra (lunch), BCP (afternoon)	Meet Integra (lunch), BCP (afternoon)
29-Aug	KIIs in Lusaka	KIIs in Lusaka	-	Lusaka	KIIs
30-Aug	KIIs in Lusaka	KIIs in Lusaka	Landing in Lusaka	Lusaka	KIIs
31-Aug	FGD intro/review, enumeration training, pre-test	FGD intro/review, enumeration training, pre-test	FGD intro/review, enumeration training, pre-test	Lusaka	FGD intro/review, enumeration training, pre-test
1-Sep	KIIs in Lusaka	Questionnaire revisions, KII/FGD processes & procedures, sampling	Questionnaire revisions, KII/FGD processes & procedures, sampling	Lusaka	Questionnaire revisions, KII/FGD processes & procedures, sampling, KIIs
2-Sep	-	-	Break, travel to Nyimba	-	Travel to Lundazi/Nyimba, FGDs
3-Sep	Travel to Rufunsa, quality assure FGDs	Quality assure FGDs (morning), KIIs (afternoon)	Quality assure FGDs	travel to Rufunsa, quality assure FGDs	FGDs

4-Sep	Klls in Lusaka	Klls (morning), travel to Chipata (afternoon)	Quality assure FGDs (morning), travel to Chipata (afternoon)	-	FGDs
5-Sep	Klls in Lusaka	Travel to Lundazi (morning), Klls (afternoon)	Travel to Lundazi (morning), Quality assure FGDs (afternoon)	-	FGDs
6-Sep	Klls in Lusaka	Travel to Mambwe (morning), Klls (afternoon)	Travel to Mambwe (morning), Quality assure FGDs (afternoon)	-	FGDs
7-Sep	Klls in Lusaka	Klls around Mambwe	Klls around Mambwe	-	FGDs
8-Sep	Klls in Lusaka	Klls around Mambwe	Klls around Mambwe	-	FGDs
9-Sep	-	Break around Mfuwe	Break around Mfuwe	-	Break
10-Sep	Stephen (morning), Klls (afternoon)	-	Travel to Lusaka, FGD overview with Stephen	Meeting with Erik (morning)	FGDs, overview conversation with Erik & Ben
11-Sep	Klls in Lusaka	Travel to Nyimba (morning), Klls (afternoon)	Leaving Zambia	-	FGDs
12-Sep	Klls in Lusaka	Travel to Rufunsa (morning), Klls (afternoon)	-	-	FGDs
13-Sep	Klls in Lusaka, write up notes	Klls around Rufunsa	-	-	FGDs
14-Sep	Klls in Lusaka, write up notes	Klls around Rufunsa	-	Lusaka	FGDs
15-Sep	Klls in Lusaka, write up notes	Klls in Lusaka/begin data analysis	-	Lusaka	Travel to Lusaka, FGD team debrief
16-Sep	-	-	-	-	Break
17-Sep	Debrief w RuralNet, USAID mission	Debrief w RuralNet, USAID mission	-	Lusaka	Debrief w Integra, USAID mission

APPROVED GANTT CHART FOR THE PERFORMANCE EVALUATION OF USAID/ZAMBIA'S COMMUNITY FORESTS PROGRAM (CFP)

Deliverable	Jul 16	Jul 23	Jul 30	Aug 6	Aug 13	Aug 20	Aug 27	Sep 3	Sep 10	Sep 17	Sep 24	Oct 1	Oct 8	Oct 15	Oct 22	Oct 29	Nov 5	Nov 12	Nov 19	Nov 26	Dec 3	Dec 10
1. Development of AAR																						
<i>(USAID approval of AAR)</i>																						
2. Desk Review and Initial Discussions																						
2.1 Submission of conflicts of interest forms																						
2.2 Desk review																						
2.3 In-brief with USAID/Zambia																						
3. Finalizing Work Plan and Schedule																						
<i>(USAID approval of Work Plan and Schedule)</i>																						
4. Field Work																						
4.1 Pre-trip planning																						
4.2 Team Building Meeting																						

Deliverable	Jul 16	Jul 23	Jul 30	Aug 6	Aug 13	Aug 20	Aug 27	Sep 3	Sep 10	Sep 17	Sep 24	Oct 1	Oct 8	Oct 15	Oct 22	Oct 29	Nov 5	Nov 12	Nov 19	Nov 26	Dec 3	Dec 10
4.3 Data collection																						
4.4 Mission De-brief																						
5. Draft Evaluation Report																						
(USAID review of draft report)																						
6. Video Teleconference with USAID (VTC)																						
7. VTC with Key Stakeholders																						
8. Final Evaluation Report																						
9. Submission of Evaluation Data																						

ANNEX A: CFP EVALUATION USE OF GEOSPATIAL DATA

The Integra Team will utilize available geospatial resources to help refine survey and sampling design and to augment evaluation analysis, interpretation, and reporting. Related activities include:

1. Support for survey and sampling design. Examples include identification of priority survey areas based on findings from 2., below.
2. Analysis of existing data sets to facilitate comparison and contrast of pre- and post- project data. Products will include:
 - Analysis of land use change such as deforestation, reforestation and areas under improved/sustainable agricultural practices
 - Analysis of areas impacted by CFP policy interventions – including new land classifications, land enrolled in REDD+, and land local level land use planning
3. The Integra team will use GIS capabilities to better “tell the story” of survey methodology, data collection, data analysis and interpreting and explaining the results of the data collection process. It will also use GIS capabilities to create maps and graphics that can convey the findings of the evaluation more effectively. Depending on findings, examples could include maps of interventions, impact, evaluation data and findings and other figures and statistics.
4. Support in analysis, interpretation and reporting on the findings of the evaluation. This could include mapping out patterns in results, connecting geographic and demographic information with survey findings, correlating socio-economic factors with specific survey findings, etc.

At the end of the project, all data products and metadata will be made available to USAID/Zambia.

DATA

The functions described in the above are dependent on the availability of data. Most of this data is open source remote sensing and GIS data and has already been identified with inputs from USAID and a previous CFP contractor. Examples of remote sensing and GIS data sources include: Sentinel-2a, Landsat, MODIS (including fire and other products), Government of Zambia Statistics Data (including census data). The evaluation will also gather its own data in the field and, if possible, from GCP.

ANNEX B: CFP EVALUATION KII CONCEPTS AND PROCESSES

Key Informant Interviews (KIIs) are a tool that the Integra Team will utilize to help answer the five evaluation questions outlined in the SOW. A key informant interview is essentially a loosely structured conversation with people who have specialized knowledge. For the purposed of this CFP evaluation, key informants cut across a range of categories, including national government agencies, local/regional government officials, research institutions, donors, NGOS, other local organizations/institutions and the private sector.

The basic outline and protocol of the KIIs that Integra will be conducting is summarized as follows:

- Part A** **Introduction:** Before beginning the interview introduce who we are and what we want to learn from the interview. This will: 1) establish the purpose for the interview; 2) explain who is involved in the process (community partnership members); 3) establish credibility for the interview and yourself as the interviewer; 4) explain why their cooperation is important in collecting the information you need; and 5) explain what will happen with the collected information and how the stakeholder will benefit.
- Part B** **Key Issues:** We will ask several questions related to key issues and evaluation questions outlined in the original USAID/Zambia SoW: (capacity building for REDD+, stakeholder satisfactions with CFPs approach to policy issues etc.) The questions are generally open ended and are designed to elicit in-depth information drawn upon from the informant's expertise and unique viewpoint
- Part C** **Follow up/probing questions:** As the interview proceeds we will ask follow-up/probing questions will encourage participants to reflect more deeply and frankly regarding the effectiveness and approach of the CFP program.
- Part D** **Closing question:** We will provide an opportunity at the end of the interview for the key informant to give any additional information or comments - including other key stakeholders or experts that might be able to provide additional information.

As the subjects covered in our KIIs will vary by stakeholder, we have broken them into general sections below and provided examples of the types of questions we are planning to ask in the interviews.

Section I: Government Actors (national, regional, local)

Key issue I: To what extent are government key stakeholders satisfied with CFPs approach in resolving policy issues?

Illustrative questions:

1. Can you describe your role /engagement with CFP?
2. What has been your experience or knowledge of CFPs work/approach to work on:
 - a. Statutory instruments for Carbon Stock management (draft supported by CFP)
 - b. SI for CFM
 - c. Operationalizing the CFMG

3. What are some other policy issues and challenges that CFP has attempted to resolve during the CFP? What has worked well and why? What has not worked and why?
4. Can you talk about your understanding/knowledge of the Community Resource Boards and their role/engagement in CFP?
5. In your role as a (Provincial Forestry officer, District Commissioner, etc.), how has been your engagement with the CRBs? Do they predate the CFP? How do they work, what is their mandate?
6. What has been the role of the CRBs in the CFP and what needs to be done to sustain the engagements of the CRBs in forest management?
7. How satisfied were you with CFPs efforts at resolving policy issues? Please provide an example.
8. Given the new Forest Act of 2015, what has been its implications for community forestry and the sustainability of the CFP community forest activities

Key Issue 2: How have government stakeholders perceived the CFPs efforts in capacity building from national through local level to understand and implement REDD+ strategies and action plans?

Illustrative questions:

1. What kind of capacity building programs did CFP provide for your government agency? Who participated from your group (REDD+, EC-LEDS, CBNRM, wildlife management, CSA)? What has been more useful and what has not been as important for your department?
2. Would you talk about your understanding/knowledge of the REDD+ framework and how your agency will be able to implement REDD+ activities into the future?

Key Issue 3: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

Illustrative questions:

1. What were the major programmatic activities your organizations were involved in and that supported and (what has worked well and why and what has not and why
2. Can you talk about your understanding/knowledge of the Community Resource Boards?
3. Do the Community Resource Boards predate the CFP? How do they work, what is their mandate?
4. What will continue to motivate the communities to continue to protect the forests for the next 5 years
5. What change in the attitude of local communities have you seen towards the forest and forest resources in CFP sites
6. How has the Government of Zambia changed its approach toward its forests since the inception of CFP?

Section 2. Private sector groups

Key issue 4: How have private sector groups engaged with CFP in the various mechanisms they used to reward communities for setting aside forested areas?

Illustrative questions:

1. What has been your company (Bee Sweet, Vitalite, New Rotation Zambia etc.) involvement in CFP project; what's your personal role been?
2. How do you see the continuation of the activities that you were engaged in post CFP
3. Do you mainly work at the national, regional, or local level? To what extent have you worked with the VAGs?
4. Are these farmer groups, cooperatives or is the idea to get them more formalized like a cooperative?
5. To what extent has CFP policy work impacted your own role in CFP?

6. What are your ideas about the financial sustainability of the CFP after USAID support ends?

Key issue 5: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

Illustrative questions:

What were the major CFP programmatic activities your organizations were involved in and supported and what has worked well and why and what has not and why?

1. Would you talk about your understanding/knowledge of the Community Resource Boards?
 - a. Do they predate the CFP? How do they work, what is their mandate? (Note: this might be a good question for CIFOR)
2. Would you talk about your understanding/knowledge of the Community Resource Boards?
3. Do they predate the CFP? How do they work, what is their mandate?
4. What has been the role of the CRBs in the CFP and what needs to be done to sustain the engagements of the CRBs in forest management?

Section 3. Local NGOs and Partnership organizations (COMACO, other subs) and research/academic institutions

Key issue 6: To what extent are key NGO, research and civil society stakeholders satisfied with CFPs approach in resolving policy issues

Illustrative questions:

1. Would you describe your role /engagement with CFP: What has been “your organizations experience or knowledge of CFPs work/approach to work on land use policies and practices such as:
 - a. Statutory instrument for Carbon Stock management (draft supported by CFP)
 - b. SI for CFM
 - c. Operationalizing the CFMG
2. What are some other policy issues and challenges that CFP has attempted to resolve during the CFP? What has worked well and why? What has not and why?
3. What are some of the challenges/issues (in terms of decentralization of authority and budget) between the national level and local level authorities around community forestry and REDD+ implementation)?

Key Issue 7: To what extent are the systems and processes that CFP put in place to ensure technical, financial, social, and institutional sustainability, being adopted by institutions at the provincial, district, and local levels?

Illustrative questions:

1. What CFP programmatic activities were your organizations involved in? What has worked well and why? What has not and why?
2. Would you talk about your understanding/knowledge of the Community Resource Boards?
3. Do they predate the CFP? How do they work, what is their mandate?
4. Would you talk about your understanding/knowledge of the Village Action Groups and what has been their role in the CFP?
5. Do they predate the CFP? How do they work, what is their mandate?
6. What capacity building activities were provided to FD, DNPW, CRBs and VAGs and how has this contributed to sustainability etc.

ANNEX C: PARTICIPATORY FGD CHECKLIST FOR CFP EVALUATION

Take GPS coordinates for the FGD location. Introduce yourself and other team members. Also assure the respondents of the importance of each response.

Tell the FGD participations we're going to start by talking about their forest resources

1. I want to know if you have the freedom or rights to go in the forest and gather some products like trees, mushroom and other things that are found in the forest ...do you have the rights of going in the forest as people who live here?
2. How do you interact with the nearby forest? How do you use things from within the forest? (introduction) (do you sell or consume these products?)
3. I would like to know how your forest looks like at this time, looking at the past three year - how has your forest changed in the way it looks now? What changes have you seen in the past three years? (introduction)
4. Have your rights to use the forest changed in the past few years? If yes, what has caused your rights to change (reduce/increase) - I am kindly asking you to give me the details on how your rights have changed in using the forest.
5. In your forest do you plant and grow trees? (#1)
6. What do you think about cutting down trees? (#1)

Instruct the participants that we're now going to talk about forest rights

1. Who owns the nearby forest? (#1)
2. Is it only your village that uses the nearby forest or do other villages use the forest as well? (#1)
3. Do Government of Zambia officials ever meet with the villagers to talk about the forest? If yes, who? (#2)
4. Do forest conservationists regularly visit your village? (#2)
5. Are forest conservations helpful for your village? (#2)
 - a) How could they have been more helpful?
6. Do people from forest-related NGOs regularly visit your village? (#3)
 - a) If yes, how have they been helpful?
 - b) Please provide an example of how they could have been more helpful?

Instruct the participants that we're now going to talk about forest conservation programs

1. Have you been involved in any projects for conserving/preserving the forest? (#1)

- c) If yes, what type of programs/mechanisms has your community engaged with CFP on? (please only provide examples if the community doesn't have any answers. If examples are provided, note this in the recording of your responses. Examples include: community partnership programs, payment of conservation fees, public outreach on the importance of forest conservation, capacity building around forest governance) (#1)
- d) If yes, were these programs provided as a package or individually?
- 2. Would you provide a few examples of how these programs worked in your community? (#1)
- 3. What kinds of agriculture/livelihood activities were promoted to preserve the forest? (#1)
 - d) Which of these activities did you find the most helpful and why?
 - e) Which of these activities did you find the least helpful and why?
 - f) Do regularly sell any products as a result of these activities?
 - i. If yes, who buys these products from you?
- 4. What forest-related training has your community received? (#1)

Instruct the participants that we're now going to talk about the REDD+ program

- 1. Does your community have a Forest Management Plans?
 - b) If yes, who developed the plan, and do you follow the plan? (#3)
- 2. Is there a formal benefit sharing agreement with your community for forest preservation? (#1)
- 3. Have you received any payments for conserving/preserving the forest? (#1)
 - b) If yes, have you received the amount of money you expected? (#1)
- 4. Do you feel that you have the capacity to help manage the REDD+ program in the future?
 - c) Would you please provide an example of what you learned?
 - d) How best could your capacity be further increased?
- 5. Do you plan to continue to preserve and manage your forests next year? In the next five years? (#4) and how will you be doing that?
- 6. IS anyone here a member of the community resource board for this district? Can you explain how the CRBs help to manage the forest and what have been some of the challenges?

Thank the respondents

ANNEX D: PRELIMINARY KEY INFORMANT INTERVIEW SCHEDULE

Date	Time	Name	Position	Organization	Location	Venue	Meeting Confirmation
Tue, 8/28/18	9:00-11:00 am	In brief Meeting with USAID		USAID/Zambia	USAID Offices		Confirmed
	15:00-16:00 pm	Velice Nangavo	Environmental Specialist	UNDP	Lusaka	UNDP offices	To be confirmed
Wed, 8/29/18	15:00-16:00 pm	Joseph Simfukwe	CFP M&E Manager	BCP	Lusaka	BCP Lusaka Office	Confirmed
Thu, 8/30/18	09:00-10:00 am	Paul Cowles	Former COP		Lusaka	TBA	Confirmed
	11:00 am-12:00 pm	Colin Fletcher	Director	New Rotations Zambia	Lusaka	TBA	Confirmed
	14:30-15:30 pm	Mindenda Pande	Deputy Director	Forest Department	Lusaka	Forestry Offices	Confirmed
	14:30-15:30 pm	Paul Zyambo	Director	Department of National Parks and Wildlife	Lusaka	DNPW offices	To be confirmed
Fri, 8/31/18	Evaluation Team Training						
Sat, 9/1/18	Evaluation Team Training						
Sun, 9/2/18	Travel for Evaluation Teams						
Mon, 9/3/18 - Fri, 9/14/18	TBD	Dr. Hassan Sachedina	COP	BCP	Mfuwe		To be confirmed
	TBD	Paul Cowles	Former COP		Lusaka		To be confirmed

	TBD	Charles Musonda	Environmental Markets Manager	Musika Development Initiatives Ltd.	Lusaka		To be confirmed
	TBD	Pythias Kakoma	Senior Chief and Traditional Affairs Officer	Ministry of Chiefs and Traditional Affairs Provincial Office	Chipata		To be confirmed
	TBD	Nathan Enright	Chief Executive Officer	Bee Sweet	Plot No. I Jacopo Rd Luanshya turn off, Ndola, Zambia		To be confirmed
	TBD	Kennedy Kaputo	Mambwe District Agriculture Coordinator	Ministry of Agriculture	Mfuwe/Mambwe		To be confirmed
	TBD	Philimon Lungu	Lundazi District Senior Agriculture Coordinator	Ministry of Agriculture	Lundazi		To be confirmed
	TBD	Moses Katundu	Nyimba District Senior Agriculture Coordinator	Ministry of Agriculture	Nyimba		To be confirmed
	TBD	Stanley Mvula Njobvu	Rufunsa District Agriculture Coordinator	Ministry of Agriculture	Rufunsa		To be confirmed
	TBD	John Fay	Director	Vitalite	Lusaka		To be confirmed
	TBD	Colin Fletcher	Director	New Rotations Zambia	Lusaka		To be confirmed
	TBD	Christopher Kaoma		Department of National Parks and Wildlife	Lusaka		To be confirmed
		Joyce Munkombwe	Provincial Forest Officer	Forest Department	Chipata, Eastern Province		To be confirmed

		Syvester Siame	Provincial Forest Officer	Forest Department	Chipata, Eastern Province		To be confirmed
			District Forest Officer	Forest Department	Nyimba		To be confirmed
		Miyoba Hakabanze Moombe	District Forest Officer	Forest Department	Mfuwe/Mambwe		To be confirmed
		Amukena Musiwa	District Forest Officer	Forest Department	Lundazi		To be confirmed
		Technical Experts to Confirm	District Forest Officer	Forest Department	Rufunsa		To be confirmed
		Mr. Bweupe	Forest Officer	Forest Department	Chinyunyu, Rufunsa		To be confirmed
		Dr. Dale Lewis	C.E O	COMACO	Lusaka		To be confirmed
		Technical Experts to Confirm	District Planner	Local Authority	Nyimba		To be confirmed
		Technical Experts to Confirm	District Planner	Local Authority	Mfuwe/Mambwe		To be confirmed
		Technical Experts to Confirm	District Planner	Local Authority	Lundazi		To be confirmed
		Technical Experts to Confirm	District Planner	Local Authority	Rufunsa		To be confirmed
		Technical Experts to Confirm	District Planner	Local Authority	Lusaka		To be confirmed
		Members	Mwanya Community Resource Boards		Mfuwe/Mambwe		To be confirmed
		Members	Nsefu Community Resource Boards		Mfuwe/Mambwe		To be confirmed

		Members	Jumbe Community Resource Boards		Mfuwe/Ma mbwe		To be confirmed
		Members	Mnkhanya Community Resource Boards		Mfuwe/Ma mbwe		To be confirmed
		Members	Msoro Community Resource Board		Mfuwe/Ma mbwe		To be confirmed
		Members	Malama Community Resource Board		Nyimba		To be confirmed
		Members	Luembe Community Resource Board		Nyimba		To be confirmed
		Members	Nyalugwe Community Resource Board		Nyimba		To be confirmed
		Members	Mpashya Community Resource Board		Rufunsa		To be confirmed
		Members	Shikabeta Community Resource Board		Rufunsa		To be confirmed
		Members	Sandwe Community Resource Board		Petauke		To be confirmed
		Beneficiaries	Livelihood household beneficiaries in different districts				To be confirmed
		Mr. Davison Mwanza	Board Chairperson	Luembe Community	Nyimba		To be confirmed

				Resources Board			
		Mr. Yulu Joseph Njobvu	Board Chairperson	Nyalugwe Community Resources Board	Nyimba		To be confirmed
		Mr. Chrispin Chikopa	Board Chairperson	Mpanshya Community Resources Board	Rufunsa		To be confirmed
		Mr. Mathews Nyangu	Board Chairperson	Shikabeta Community Resources Board	Rufunsa		To be confirmed
		Mr. George Tembo	Board Chairperson	Sandwe Community Resources Board	Mfuwe		To be confirmed
		Mr. John Banda	Board Chairperson	Msoro Community Resources Board	Mfuwe		To be confirmed
		Mr. Edward Tembo	Board Chairperson	Malama Community Resources Board	Mfuwe		To be confirmed
		Mr. Augustine Mulwangi	Board Chairperson	Mnkhanya Community Resources Board	Mfuwe		To be confirmed
		Mr. Lovedale Lungu	Board Chairperson	Nsefu Community Resources Board	Mfuwe		To be confirmed
		Mr. Musamba Phiri	Board Chairperson	Jumbe Community Resources Board	Mfuwe		To be confirmed
		BCP to provide contact	Board Chairperson	Mwanya Community Resources Board	Mfuwe		To be confirmed

		BCP to provide contact	Board Chairperson	Chitungulu Community Resources Board	Mfuew		To be confirmed
		Sabera Khan	Director	Africa Carbon Credit Exchange	Lusaka		To be confirmed
		Muketoi Wamunyima	Country Coordinator	Participatory Ecological Landuse Management	Lusaka		To be confirmed
		Numeral Banda	Director	Physical Panning, Ministry of Local Government and Housing	Lusaka		To be confirmed
		Derrick Sikombe	Deputy Director	Policy and Planning Department, Ministry of Agriculture	Lusaka		To be confirmed
		Chitembo Chunga	Coordinator	Zambia National Climate Change Secretariat	Lusaka		To be confirmed
Mon, 9/17/18 September 17	15:30-17:00 pm	Outbrief meeting with USAID		USAID/Zambia	Lusaka	USAID	Confirmed