

PARTICIPATORY EXTERNAL EVALUATION

EASTERN AND SOUTHERN AFRICA

PARTNERSHIP PROGRAMME (ESAPP)

PHASE III
(2007 – 2010)



Foto: DERAD / Q906 / GESTION DES PATURAGES POUR LE CHEPTEL DE PETITS RUMINANTS (OVINS ET CAPRIN)

FINAL REPORT

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Evaluators and authors of the report

Monika Egger	Egger Consulting for Evaluation and Strategic Planning (ECES Ltd.) Olten, Switzerland (lead of evaluation team)
George Krhoda	Executive Director, Redplan Consultants, Nairobi, Kenya
Gete Zeleke	General Manager, Avallo International Research and Development (AIRD) Addis Abeba, Ethiopia

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ACRONYMS AND ABBREVIATIONS

ALS	Autodidactic Learning for Sustainability
ASAL	Arid and Semi Arid Lands
BM	Basic Mandates (of ESAPP)
CBO	Community Based Organisations
CD	Capacity Development
CDE	Centre for Development and Environment, University of Berne / Switzerland
EFP	ESAPP (national) Focal Points
EIA	Environmental Impact Assessment
ESA	Eastern and Southern Africa
ESSA forests	Ecole Supérieure des Sciences Agronomiques, Département des Eaux et Forêts de l'Université Antananarivo
ESAPP	Eastern and Southern Africa Partnership Programme
GIS	Geographic Information System
HEC	Human-Elephant-Conflict
JMS	Joint Management System
LRP	Laikipia Research Program
NGO	Non Governmental Organisation
NGOLO	The Ngolo cultivation technology is an appropriate soil fertility management technology to mitigate land degradation and to enhance productivity in the heavily degraded areas of North-Eastern and coastal parts of Tanzania.
NRM	Natural Resources Management
PAP	Priority Action Projects (of ESAPP)
SA	Study Area
SCRP	Soil Conservation Research Programme
SDC	Swiss Development Cooperation
SLM	Sustainable Land Management
SRD	Sustainable Regional Development
SWC	Soil and Water Conservation
TOR	Terms of Reference

EXECUTIVE SUMMARY

Donor	SDC, Swiss Development Cooperation
Report title	Participatory external Evaluation, Eastern and Southern Africa Partnership Programme (ESAPP), Phase III (2007 – 2010)
Subject No	
Geographic Area	Eastern and Southern Africa: Eritrea, Ethiopia, Kenya, Madagascar, Mozambique, Tanzania
Sector	Sustainable land management (SLM) and sustainable regional development (SRD)
Language	English
Date	April-May 2010
Collation	
Evaluation type	Summative and formative Evaluation
Status	ongoing
Authors	Monika Egger, George Khoda, Gete Zeleke

Subject description

ESAPP is a programme building on partnership between an institution in the North (CDE University of Bern) and partners in the South (6 countries in Eastern and Southern Africa) with a topical focus on SLM and on SRD. ESAPP also builds on partnership between the partners in the South. The programme combines research and research action with development. SDC is the only donor of ESAPP financing it since 1999 with a total amount arriving at 12.1 Mio CHF (phase 1 1999-2002: 2.8 Mio CHF; phase 2 2003-2006: CHF 4.4 Mio CHF; phase 3 2007-2010: 4.9 Mio CHF). A number of PAP have co-funding from other institutions. The financing of a 4th phase 2011-2014 is already foreseen and SDC mandated this external evaluation to assess the relevance and the results of phase 3 and to identify recommendations for further improvement of ESAPP in terms of performance, relevance and results.

Evaluation methodology

This evaluation combines elements of a summative end of phase evaluation (assessing results) with a formative evaluation (learning in the process). The approach for this evaluation is highly participatory for reasons of the evaluation participating actively in the ESAPP capitalisation workshop in Madagascar (Toliara, May 2010). The evaluation team undertook further field visits, a series of interviews with ESAPP management, coordinators and ESAPP partners and shared with communities their appreciation of the project implementation at their site. The study of the very extensive ESAPP documentation provided insights in phase III activities as well as information on ESAPP since its start in 1999.

Major findings

ESAPP is highly relevant to some of the most important issues in SLM and SRD in the region and especially in linking these processes to poverty and marginalisation. The combination of research, research action and development is fruitful and allows mutual learning and improvement in research and in development action. ESAPP builds bridges between academic knowledge, endogenous knowledge and know-how and development action. These bridges are relevant for all stakeholders involved in Switzerland (SDC, CDE University of Berne), for the partners in the six countries Eritrea, Ethiopia, Kenya, Tanzania, Mozambique and Madagascar from academia, civil society and from the government, as well as from the private sector. ESAPP produces relevant and good outcomes for the livelihoods in the concerned areas of implemented Priority Action Projects and for the beneficiaries.

ESAPP is a pioneer and pilot in many aspects: in focussing on building partnerships through intensive field

based research in 6 countries and in aiming at producing good practices for problem resolution based on small Priority Action Projects that can be up- and out-scaled by other actors. ESAPP is relevant for South-South as well as North-South cooperation. There is very high thematic relevance of ESAPP projects to the partners and the region. The activities are well thought through and are able to lead to the necessary outcome. Through a local to regional perspective, ESAPP tries to address the contextual complexity of global issues, while providing up scalable solutions based on an inclusive trans-disciplinary approach. ESAPP projects have high impact with low inputs in terms of funding and project duration. There is no need for fundamentally restructuring the programme but there is a need to steer the programme towards better visibility and towards enlarging the dissemination of findings and experiences not only within the ESAPP network but with the larger development community in the region. To inform the global discourse of these findings and experiences ESAPP needs to develop an adequate communication strategy.

In general, the topical focus of ESAPP on SLM and SRD is producing good outcomes. The spatial focus at bridging micro-meso-macro scales is ambitious but important and needs further to be systematically addressed in ESAPP. Capacity development produces valuable improvements of the competencies of the partners, the partners of the partners and at community level. The partnership focus of ESAPP makes the programme unique in the sense of balancing North and South interests, knowledge and competencies via transfer and exchange mechanisms.

Lessons learnt

ESAPP has worked for 10 years on designing and implementing highly relevant research issues on natural resources management and beyond widening ESAPP approach into socio-economic fields and providing decision-support at various levels. ESAPP is a small sized Programme and addresses the challenges of up-taking and out-scaling in innovative way achieving a level of uptake that is impressive when considering the small volume base. At academic level the up-take is through the use of new teaching material; at policy level it is through reformulation of policies; at community level through adoption of better farming techniques. An important up-take is further through capacity building of the partners, through dissemination of information and through awareness creation on the base of ESAPP outputs and outcomes (publications, software, emissions at Radio and TV, teaching, workshops). ESAPP has not yet gained full maturity in terms of performance management for the whole programme. There is still significant imbalance of performance and of results among the different countries involved that need to be addressed in phase IV. This is explained by (i) the history of ESAPP with, in some cases longstanding research partnerships before ESAPP (Kenya) and (ii) by the specific contexts and constellations (availability of data, political) in the countries. There is still potential for the improvement of performance, relevance and effectiveness by fine-tuning the interdisciplinary approach integrating further important aspects of social sciences. Even when the results at output level are mainly good ESAPP has difficulty to explicitly demonstrate its programme results at outcome level. Quantitative indicators as well as qualitative indicators must further be elaborated to trace the changes that take place at different levels. The results are mainly presented in the form of long lists of activities and outputs. More work has to be done in terms of aggregates, of lessons learnt and of best practices that can be replicated. ESAPP is already implementing this issue through thematic Networks that aggregate experiences from PAP (to be concluded by End of phase III). ESAPP capital is rich, but it has to be shown with more clarity and profile. A communication strategy would help disseminating ESAPP results with customised information tools and products.

Recommendations

The evaluation recommends SDC to continue ESAPP and to improve its ownership in order to elicit greater benefit out of the programme's capital for its bilateral cooperation as well as for its engagement in international cooperation. SDC should be kept updated in knowledge and know-how on SLM and SRD at all times to effectively engage on global change issues in Africa in particular and in the world in general. Hence it is advisable that SDC continues being linked to ESAPP beyond Phase IV to get maximum benefit of its investments and to also continue to be informed on global change issues in its strategic directions.

To CDE the evaluation recommends to consolidate and to honour the ownership of the south partners in ESAPP by integrating a south representation into the institutional set-up of ESAPP (south representatives in the Advisory Board). To ESAPP the evaluation advises as the main recommendation making more explicit and more visible its capital, that is, the creation of relevant integrated knowledge and best practices for multi-disciplinary problem resolution in highly relevant development challenges in the Region. The evaluation further recommends implementing a systematic monitoring mechanism at programme level and at the level of the national ESAPP focal points for better monitoring and steering of both the ESAPP programme and the Priority Action Projects. ESAPP PAP are so far almost national and it is recommended that some more regional PAP are designed and implemented in a way that intensifies further the regional exchange in ESAPP (a few PAP are already transboundary between Kenya and Tanzania in the Pangani basin and Umba basin and the Kitendeni corridor).

Detailed list of recommendations

The evaluators recommend SDC to:

- 1 **finance ESAPP in phase IV 2011 – 2014 with the same overall budget of 4.9 Mio CHF** as in phase III in order to consolidate the capital that ESAPP has built in the last years and to further develop and disseminate research based knowledge and know how for development.
- 2 **increase institutional ownership for ESAPP of SDC** by having more representatives from SDC in the Advisory Board (desk Mozambique and representatives from Global Programme).
- 3 **facilitate links between SDC country offices in Mozambique and Tanzania with ESAPP** in order to institutionalise communication, to explore synergies so that SDC benefits from the important ESAPP capital on sustainable land management and rural development, livelihoods, food security, climate change, governance and environment.
- 4 **define strategic interests of SDC in ESAPP partnership beyond 2014** in order to guarantee making further benefit out of its longstanding ESAPP financial partnership for SDC bilateral and multilateral cooperation.

The evaluators recommend SDC and CDE Advisory Board to:

- 5 **honour and to steering through the ownership of southern partners of ESAPP** and to adapt the steering set up accordingly by integrating 1 or 2 representatives from the ESAPP partner countries (national focal points) into the Advisory Board. It could be possible to follow rotational arrangements among national ESAPP focal points (EFP) with strong follow-up arrangements between successive EFP.

The evaluators recommend CDE to

- 6 **make the strategic decision on the role of Mozambique in ESAPP with the vie of establishing a national ESAPP focal point and linking it with SDC coordination office:** Mozambique is, since the beginning of ESAPP in 1999, a “special case” for different reasons:

language, performance of ESAPP national coordination and no continuity, and currently no national ESAPP Focal Point is established. The evaluators recognize that Mozambique has very unique and strategic importance in the region from the context of biodiversity conservation and management.

7 **make the strategic decision on balancing better ESAPP countries in view of reorienting and providing specific support to those partner countries with relatively smaller ESAPP capital.** Two of the countries (Eritrea and Mozambique) are behind the group in terms of number of projects and outcomes. From the regional development perspective these countries have an important role in terms of SLM and SRD as well as in many specific aspects. Hence, CDE should apply additional efforts and the necessary corrective measures to provide better support to these countries both at PAP and BM level.

The evaluators recommend ESAPP to:

8 **aggregate data and research findings of ESAPP and to create central database** in order to guarantee overview and accessibility to the capital of ESAPP for its partners and for the larger interested research and development community.

9 **continue to invest in capitalisation of research outputs** (e.g. basic, adaptive and applied) and to translate the gained knowledge into concrete and relevant dissemination tools such as

- books for teaching of qualified graduates and technicians,
- manuals through synthesis of knowledge, approaches, techniques and methods at various levels.

10 **identify and invest in up-scaling and out-scaling of best practices.** For instance of the indigenous land management technology, NGOLO, that has proven multiple benefits in soil and water conservation, soil moisture management, soil fertility enhancement, weed suppression, crop yield and biomass increment.

11 **invest in systematic identification, characterisation, documentation and dissemination of best practices** as for instance in available Soil Water Conservation (SWC) technologies and approaches (based on the example of Ethiocat).

12 **invest more in tailor-made dissemination of information gained** from research and research action to diverse interest groups (SDC and other donors, academia, governments, NGOs, private sector).

13 **continue the integration of socio-economic competence and mechanisms in ESAPP trans-disciplinary approach** in order to make it more explicit and visible

14 **continue to invest and capitalise on SDA (Sustainable Development Appraisal) tool for a sustained knowledge-based and well targeted stakeholder negotiations process** in order to come to effective resource sharing arrangements and to reduce conflicts among competing user groups

15 **promote innovative research leading to technology development relevant to climate change (CC) adaptation and mitigation** at local and national level and to develop and undertake human capacity building to address adaptation and mitigation to CC

16 **continue to develop tools for addressing the issues of urban environments;** urban areas in East and South Africa present a duality - a set of risks and opportunities - for urban dwellers and administrations. Participatory mapping of urban development priorities with GIS helps integrating tacit and formal knowledge, and therefore enhance the value and relevance of such processes based on the Nakuru experience in Kenya

17 **invest more in integrated assessment at livelihood level and link to policy level.** Successful identification and mixed rooting of livelihood-oriented policy recommendations requires integrated risk and opportunity assessment at livelihood level, as well as a good knowledge of the policy environment.

18 **continue the outreach set-up with a special effort on visibility:** ESAPP has been implemented in six countries with many partners. It has managed to successfully implement many PAPs and BM driven specific projects. Each project has generated valuable information and most triggered follow-up actions by different actors. Visibility of ESAPP can further be enhanced by documenting better ESAPP outcomes and in the interaction with the partners.

- 19 **improve capitalization:** The knowledge generated and the experience acquired constitutes ESAPP capital that needs careful synthesis and documentation to transfer knowledge within the region and elsewhere in the world.
- 20 **improve management of ESAPP at national level** by clarifying further role and tasks of Focal points. Develop lean guidance tools and procedures.
- 21 **clarify the role of CDE senior professionals in each country.** Informal coaching of senior professionals is basically good, but their role is not clearly defined in the ESAPP process.
- 22 **strengthen and cross-fertilize more south-south-partnership:** Although the thematic networking and capitalization workshops are in the making and had generated interest and increased commitment and exchange, there is still a need for more cross-fertilization work within south-south partners and North.
- 23 **establish a systematic Monitoring and Evaluation (ME) system at different levels:**
 - programme monitoring with indicators for the expected outcomes 2014;
 - project monitoring with indicators at national level;
 - combine internal monitoring with external impact assessment

1 INTRODUCTION

1.1 Background

The *Eastern and Southern Africa Partnership Programme* (ESAPP) was set up in April 1999, is financed by SDC / Division of East and Southern Africa and managed by the Centre for Development and Environment (CDE) of the Geographical Institute of the University of Berne. ESAPP's mission is to promote *Sustainable Land Management* (SLM) and *Sustainable Regional Development* (SRD) in Eastern and Southern Africa by means of integrated concepts and innovative tools, research and research partnerships, capacity building and development support. ESAPP activities are involving individuals and institutions inside and outside the region. ESAPP overall development goal is to contribute to the sustainable development in Eastern and Southern Africa in an attempt to fight poverty and to enhance economic development, social welfare, and ecological sustainability.

The approach of the program combines concept-driven Basic Mandates (BM) with demand-driven Priority Action Projects (PAP). Both are important components of ESAPP. Countries for partnerships and for interventions are Eritrea, Ethiopia, Kenya, Tanzania, Mozambique and Madagascar. The regional strategies are based on the history of ESAPP activities in the different countries¹. These mandates date back to the 1980's and the 1990's and laid the foundation for ESAPP and for the creation of action-oriented and system-oriented knowledge and database on NRM and SRD. These past investments are the capital on which ESAPP could build on and implement important lessons learnt such as the need for parallel processes combining academic requirement-driven with local demand-driven action. This concept gave rise to the specificity of ESAPP approach. A special thematic focus was developed in Kenya and Tanzania on sustainable regional development, in Ethiopia and Eritrea on sustainable land management, in Madagascar on rural communication, and in Mozambique on rural development and natural resource management. In 2010 ESAPP has built a rich capital based on a total of more than 220 Prior Action Projects (PAP) implemented in the six countries of ESAPP².

1.2 Mandate and objectives of the evaluation

The current phase III of ESAPP will end in December 2010. It is already foreseen that phase III will be followed by phase IV 2011-2014 of comparable financial volume³. In the TOR for this evaluation, phase IV is qualified as being the "exit phase" for ESAPP. The explicit focus of this evaluation is to acquire information, to assess the research policy and the programme's current progress in order to derive recommendations helping to further increase the relevance and effectiveness of ESAPP during Phase IV. While assessing the aspects of sustainability of ESAPP in terms of the network and of ESAPP outcomes, the evaluation is implicitly asked to have an outlook on possible options for the future beyond ESAPP lifespan.

¹ Between 1981 and 1999 CDE conducted three major SDC mandates in three countries: in Ethiopia the "Soil Conservation Research Programme" (since 1981); in Kenya the Laikipia Research Programme" (since 1984); in Madagascar the Terre-Tany Project (since 1989).

² E-Nr refer to phase II Prior Action Projects; Q-Nr. Refer to phase III Prior Action Projects.

³ Under reserve of SDC's internal approval procedures for credit proposals

A specific focus of this evaluation has to be put on the relevance and on the evidence of ESAPP results at different levels as well as regarding the issue of sustainability.

1.3 Methodology

This external evaluation has strong elements of a participatory evaluation. The evaluation team actively participated in the ESAPP capitalisation workshop and the evaluation programme was fully designed by ESAPP. The evaluation methodology combined elements of formative and summative evaluation assessing the performance of the ongoing ESAPP process in phase III and determining to what extent the expected outcomes of phase III, as anticipated in the logframe, are effectively produced. In addition, it is a programme evaluation because ESAPP is a programme combining a set of interventions and mechanisms such as Basic Mandates (BM), Priority Action Projects (PAP) and thematic networks.

The specific focus of ESAPP is its mission to build research-based partnerships with institutions, organisations and individuals in the academic world and in the development world. In this sense ESAPP is not a “classical” development programme and the evaluators had to take this specificity into account. The evaluators studied the relevant ESAPP documentation⁴, conducted interviews with the Advisory Board members (CDE and SDC) and with selected ESAPP partners and the regional coordinators (called EFP, national ESAPP focal points) of all five ESAPP countries having EFP, and an interview was conducted with a partner implementing PAP in Mozambique (where is no national EFP) during the capitalisation work shop in Toliara (Madagascar). The field visits in Madagascar allowed the evaluators to gain very concrete insights in 6 PAPs.

For the details please refer to Annex 2 and 4.

⁴ As all participants to the capitalization workshop the evaluation team was given an excellent and very rich documentation compiling the most relevant data on ESAPP on a CD.

2 LEARNING AND IMPROVING FROM EVALUATION PHASE II

The evaluation of phase II (May 2006) highlighted the relevance of ESAPP thematic focus and the successful building of competences at academia and expert level that are implemented as research-action in development field in the six countries of ESAPP. As a further strength of ESAPP the evaluation phase II mentioned the quality of ESAPP toolkit with instruments and approaches adapted to different milieus of intervention. The evaluation also identified some weaknesses and recommended ESAPP to invest in improving the management and coordination at national level in the countries and in strengthening ESAPP strategic South-South network. In addition it recommended ESAPP to invest in creating a thematic network among the partners in order to improve exchange and sharing of knowledge and know how.

ESAPP management responded very positively to these recommendations. The complete list of the 21 recommendations is an integral part of the ESAPP Programme Outline for Phase III 2007-2010 (review chapter) and the lessons from the evaluation are taken into consideration in the strategic orientation for this phase. In the capitalisation workshop of 2010 in Toliara a specific working session was dedicated to check and balance the recommendations. As evaluators of phase III we were testimonies and partly actively involved in this exercise and would like to comment on it as following: ESAPP management has accorded high importance to the lessons and to most of the recommendations of phase II evaluation and invested in monitoring the process of implementation on a regular basis through annual capitalisation workshops that were introduced in 2007. They follow the principle of rotation in the 6 countries.

A significant number of the recommendations are achieved, mainly the setup of the national ESAPP Focal Points (EFP) in 5 countries (except Mozambique), the starting of 3 thematic networks, the concentration on core partners for each EFP (3-5) in order to consolidate the national partnerships. What still needs further investment is the strengthening of the ESAPP South-South interaction and the strengthening of the ESAPP knowledge management. In general the capitalisation of experience in ESAPP still receives insufficient attention. The role of Mozambique in ESAPP is not yet clarified.

(Please refer to Annexe II for the detailed list of recommendations of phase II evaluation and the comments of phase III evaluation team)

3 RELEVANCE OF ESAPP

This evaluation assesses the relevance of the program and its activities on the basis of national priorities, established institutional arrangements for project implementation to ensure sustainability, support to national policy, research and processes of research-action, value addition to the current knowledge base, and partnership of ESAPP established in the countries. It is also recognised that the overall objective of ESAPP is “To contribute towards SLM and SRD in the Eastern and Southern Africa region by enhancing the quality of development initiatives and by promoting innovative approaches towards sustainable development”. The projects are examined according to the SDC ESAPP relevance questions as formulated in the TOR and based on thematic focus, transversal themes and type of outcome of ESAPP in phase III 2007-2010.

3.1 Areas of concern in the region

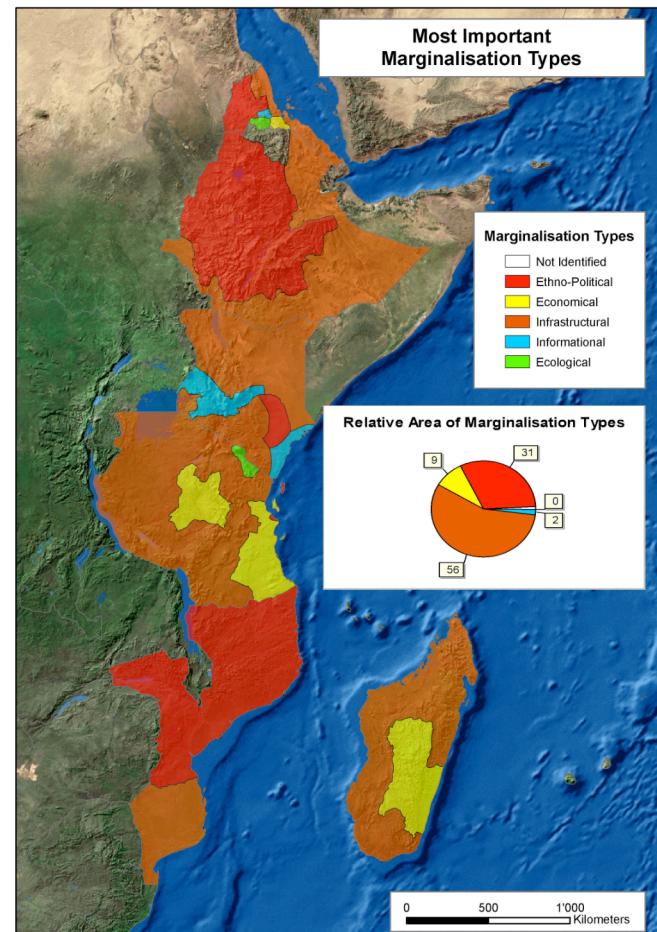
The Region has witnessed and continues to undergo various levels of political uncertainty, impact of extreme climatic factors (droughts, flood) and reduced economic growth and high levels of poverty. In addition, 80-90% percent of the population in the region is considered to be marginalised either because of infrastructural or ethno-political constraints. Other key causes of marginalisation are economical and non access to information. Generally for the region, but with gradual nuances in the countries, these factors have been aggravated by poor governance, mismanagement of natural resources (partly due to policy failures and institutional weaknesses), rapid population growth, overall insecurity and lack of capacity to address degradation of natural resources. The principle NRM related challenges include soil degradation, water management, biodiversity loss, desertification and climate change. **Kenya** for instance is coming out of about 3 years of severe drought and famine affecting part of the population. The actual situation in **Madagascar** demonstrates how political crisis leads to political instability and economical crisis (reinforced by non recognition of the regime by the international community). In turn this causes the international assistance suspension, reduction of the administration (state representative) power and expansion of “illicit and illegal” export of valuable wood (rosewood) and stones, increase of unemployment, rural insecurity, and rural depopulation. The same challenges are experienced also in **Mozambique**. The weak economic situation in **Ethiopia** which has been attributed to oil price escalation and world economic order has led to frequent power interruptions and only partial capacity operation of industries, shortage of construction materials and food stuff, and aggravating more poverty for the general public. **Tanzania** faced also land use problems that are poverty based and the challenge of the livelihoods in coping with degradation and erosion of the natural resources. **Eritrea** is confronted with widespread subsistence farming that does not improve livelihood. The better use of land and of natural resources as a means to alleviate poverty is the common challenge to all countries in ESAPP region.

Countries in the ESAPP region are undergoing relatively similar trends in environmental, social and economic changes, hence the challenges that they face are quite similar. The challenge is that although some countries had a long history of research and programmes on soil and water conservation, there appears to be very slow uptake of skills in solving the problem of land degradation. Currently it is estimated that thousands of hectares of land are lost annually due to soil erosion. Barriers hindering successful scaling

up and mainstreaming of SLM include knowledge and technological barriers, policy and legal barriers, institutional barriers and economic and financial barriers to which ESAPP may want to concentrate some thinking.

3.2 ESAPP portfolio in regard to the areas of concerns in the region

ESAPP's thematic thrusts are Natural Resources Management (sustainable land management, soil and water conservation, forest conservation, biodiversity) and Sustainable Regional Development (specific eco-regional focus on highland-lowland interactions, arid/semi arid lands, urban and peri-urban areas), participatory multi-stakeholder approaches at local, regional and community levels and participatory protected area management. ESAPP has developed instruments and tools of research collaboration that have been found to be appropriate and relevant in regards to the concerns in the region. Contextual concentrations focusing on capacity development, on marginalised livelihoods, on building networks and knowledge management that form the basis of linkage between applied research and development have been identified. Projects were established and they are operational. Currently ESAPP has projects on its thematic thrusts in every country although with some emphasis in specific countries based on the country's development goals. For example Ethiopia's key development priority is agriculture and rural development recognising that more than 85% of the country is rural and the main economic base is agriculture. ESAPP has established valuable baseline data for assessing different types of marginalization in the region. As an example see chart "Most important Marginalisation Types" below; source: CDE/ESAPP.



The fundamental question during the evaluation was: To what extent does ESAPP, by creating research based knowledge, contribute to development?

The current types of knowledge created by ESAPP are:

- analysis: basic and applied research in bio-physical and socio-economic areas for academic use or further application;
- processing and application: knowledge processing or dissemination in terms of capacity development, preparation of databases, GIS, tools, new methods of use of natural resources;
- implementation and utilisation of processed /disseminated knowledge through specific actions/projects

in the field (Priority Action Projects) and at the level of policy support.

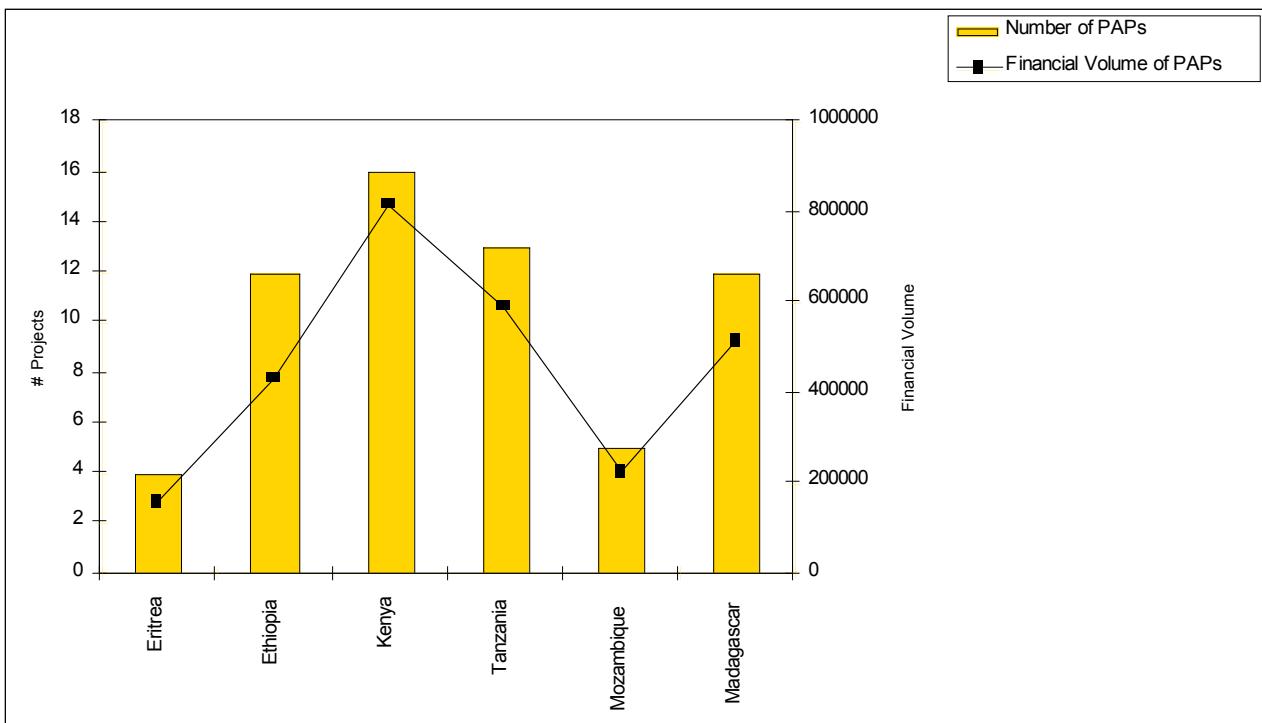
This composition of ESAPP “research portfolio” illustrates the linkages of ESAPP research to development. In addition decentralisation or devolution in its various forms has been embraced in the region thus leading to the delegation of natural resources management to communities. In this regard, ESAPP community based research tools are addressing an important challenge at local level in fulfilling some of the pressing priorities of local communities in the region

Composition of the portfolio per country

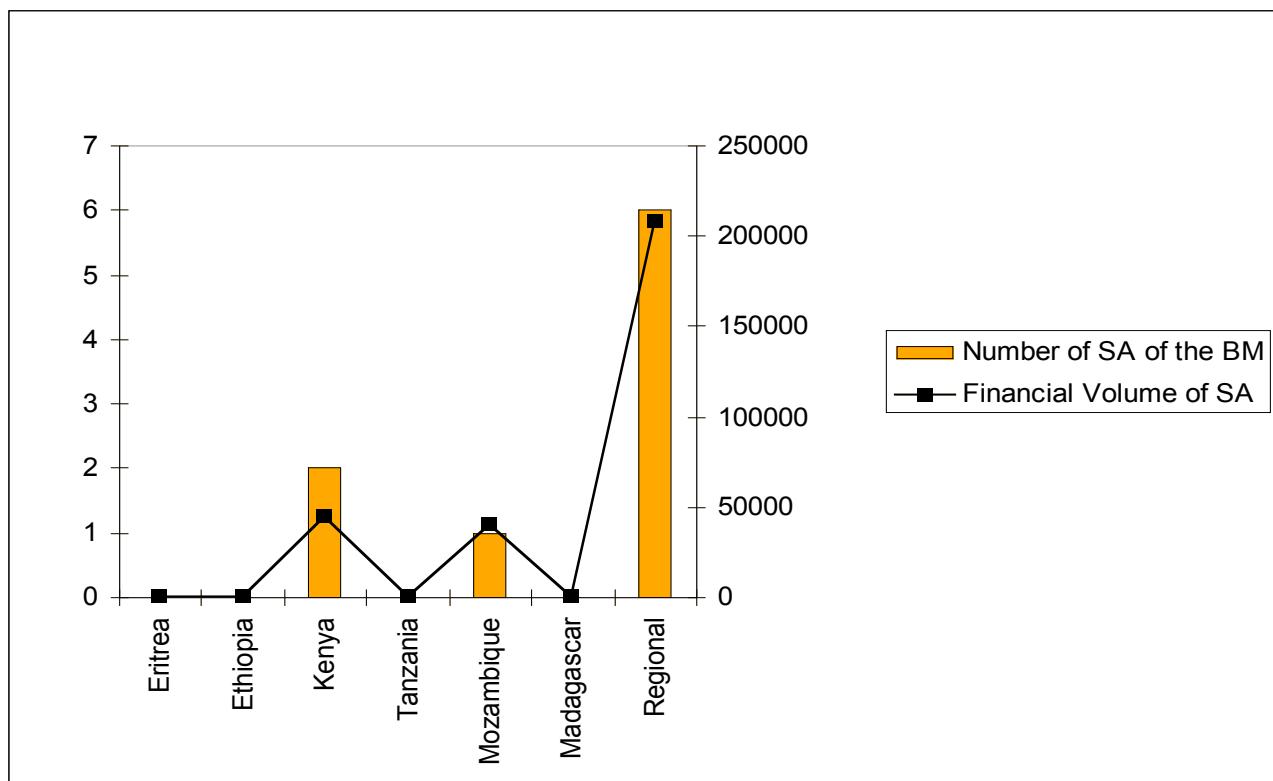
The ESAPP portfolio of activities in phase III is composed per May 2010 of a total of 62 PAP and engages a financial volume of CHF 1.74 Mio CHF for the work done at CDE University of Berne (Basic Mandate and Specific Basic Mandate) and of CHF 2.9 Mio CHF for the work done in the 6 partner countries. For the continuous activities of the Basic Mandates, a country specific splitting is not really possible, as most of the activities in the Basic Mandate are not directed to only one country, but have a strong regional focus.

Number of PAP phase III (as per May 2010):

	Number of PAPs	Financial Volume of PAPs
Eritrea	4	157000
Ethiopia	12	428165
Kenya	16	816210
Tanzania	13	590410
Mozambique	5	221916
Madagascar	12	513629



Financial allocation of the Specific Action of the Basic Mandate (as per May 2010):



3.2.1 Transversal themes

There are four transversal themes including livelihoods and poverty alleviation, gender and linkage between micro and macro scales at meso scale that have been directly addressed in the ESAPP projects except for HIV/AIDS, that is not an explicitly addressed issue in ESAPP. Livelihood and poverty alleviation are a

central issue in 7 out of 33 projects implemented in phase III. Gender is not addressed as a central issue, but is considered as part of the context. The evaluation did not get enough insight in what exactly "part of the context" means, when it comes to concrete actions in the field. As the evaluation of phase II already had mentioned, sustainable land management is not thinkable without integrating systematically the gender aspects. ESAPP may implicitly address the gender issue, but there is no evidence of this, and ESAPP is advised to become more explicit on the gender issue.

Transversal themes in ESAPP PAP phase III 2007-2010

Transversal themes	Central Issue	Specific Issue	Part of context	Not explicit
Livelihood and Poverty Alleviation	7	1	1	0
Gender	0	1	5	2
Linking Micro and Macro Scales at Meso Level	1	3	3	1
HIV / AIDS	0	0	2	6

Source: ESAPP / Questionnaire filled in by the lead agencies of the projects

3.2.2 Some national ESAPP portfolio specificities

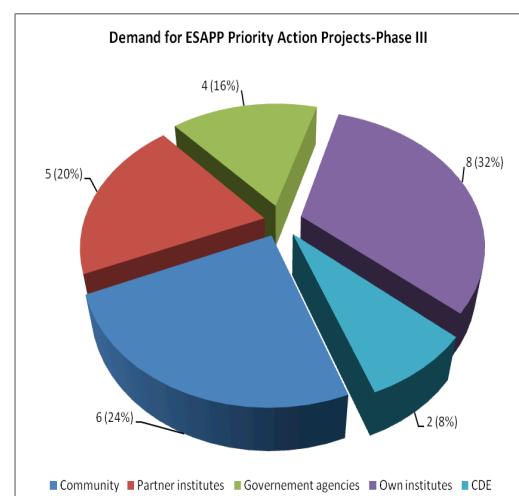
While all the ESAPP partners felt that the projects being implemented meet their national concerns, **ESAPP Madagascar** however has expressed specific need to package their national issues based on their first priority which is climate change, and their second priority which is biodiversity conservation in order to gain acceptability amongst the functionaries and development partners. Similarly, **ESAPP Ethiopia** continues to emphasise agriculture and rural development as ESAPP key priority in the country. **Mozambique's ESAPP** projects would like to incorporate the private sector in their research programmes as a part of the solution of development challenges involving forest concessionaires, gas and petroleum exploration companies.

3.2.3 Duality of ESAPP portfolio

ESAPP portfolio has 2 main components:

Basic mandate activities are determined by requirements identified by CDE based on research experience and by expertise. The basic mandates in ESAPP are requirement driven from CDE and define the core management and coordination tasks of CDE and of the national ESAPP focal points.

Priority Action Projects (PAP) are demand based. PAPs are initiated on needs originating from the specific context in the 6 ESAPP partner countries. From 25 PAPs that assessed the origin of the demand in phase III, 6 demands come from communities, 4 demands come from government agencies (4),



8 demands come from national ESAPP focal points (= own institutions), 5 demands come from partner institutions and 2 demands come from CDE.

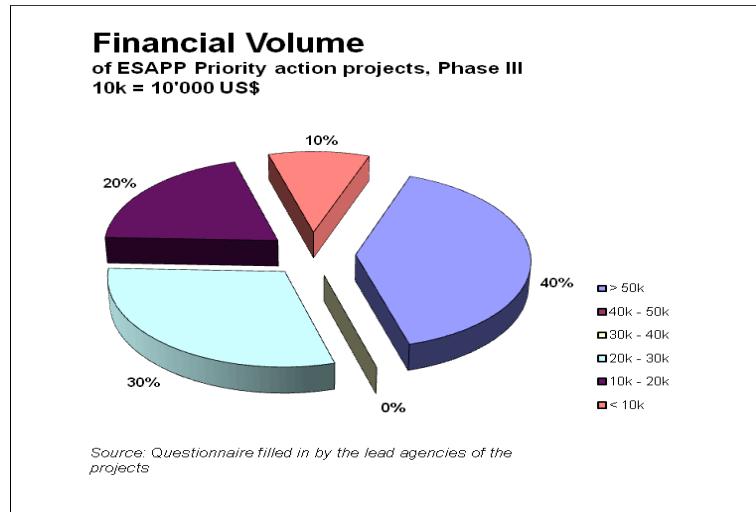
ESAPP guidelines for relevance

Guidelines for submission of ESAPP PAPs already provide clarity regarding relevance of PAPs. These criteria include:

- a) General development relevance for understanding to what extent the stated problem is of concern to other stakeholders, including the local population; how urgently solutions are sought; if the submitted project can contribute to solutions; and finally, at what geographical scale and levels possible impacts are expected.
- b) Relevance regarding ESAPP's focus is based on three components of SLM and SRD: (1) analysis (trans-disciplinary assessment and monitoring), (2) application (context-specific and actor-oriented problem solving) and (3) implementation (development cooperation and policy dialogue). Potential Priority Action Projects should share at least one of these foci. At the same time ESAPP supports actions which can be subsumed to four fields of activity: (1) development of concepts and tools, (2) research and research partnerships, (3) capacity development (4) development support. In order to be relevant to ESAPP's mission, Priority Action Projects should propose activities that correspond to at least one of ESAPP's fields of activity.
- c) Relevance regarding ESAPP's approach that combines interdisciplinary research with stakeholder participation at different levels including the elaboration and the diffusion of results and problem-solving strategies.

3.3 Financial volume of ESAPP PAP phase III

Regarding the financial volume the evaluation phase II had recommended an increase in the number of PAPs with a financial volume >50'000 CHF. This was achieved (40% = x projects of the total of y PAP in phase III). In order to maintain a critical masse of at least 3 PAPs per year in each of the 6 ESAPP countries it is not advised to further increase the number of large PAPs.



Currently PAPs are characterised by a diversity of themes and topics but appear to have a common integrated approach, participatory methodology and tools, and strong linkage to national concerns and priorities.

Example from ESAPP Tanzania for relevance in regard to national policy

The relevance of national ESAPP to Tanzanian policies is particularly interesting because of its "best fit" in agricultural development policy change (policy called "Kilimo kwanza") that emphasises sustainable land use, livestock development, natural resources management and conservation, infrastructure development, and education. Examples of PAPs from Tanzania are strong on climate change and variability addressing high-lowland ecosystem of Pare mountains to strengthen the adaptive capacity of the local community in the lowlands, capacity building for SLM in Lindi and Kilombero districts, organic farming technologies for sustainable livelihood and restoration of degraded land of Kondoa and Mpwapwa districts, development of Joint Management Systems for the transboundary Umba basin in Muheza and Lushoto Districts, and institutional arrangement for adaptive management of the Simiyu wetland in Lake Victoria basin.

3.4 Translation (application) from local to regional, from research to development

Land degradation is one of the major challenges in Eastern and Southern Africa and is driven by many factors such as poor policy environment, poor land management, poverty, weak capacity, and lack of awareness, weak knowledge generation and management amongst many others. Based on the current portfolio, the ESAPP network partners significantly contribute to the production of scientific material on SLM and SRD. The current portfolio clusters not only on NRM but also on social and economic factors, technologies and integration that link research, participatory approaches and increased policy support. There is still a potential for improved application of good practices of local SLM to the regional level (SRD) by consolidation of research findings, better networked partners in the region, developed *regional methodologies* for SLM, improved techniques of scaling up efforts as well as enhanced promotion of SLM research in *regional development projects*, and last but not least ESAPP should invest more efforts in further improving the documentation on SLM practices and lessons to share with different stakeholders in the region. There are already good examples such as ESAPP contributing to the WOCAT initiative, the main purpose of which is to document best practices of SLM.

Before ESAPP started in 1999, SDC had already supported projects in the Region such as SCRP, LRP, Terre-Tany, and WOCAT and water management along the highland- lowland interaction that provided lessons demonstrating that interventions on SLM were based on and supported by innovative research and knowledge management tools and practices. In 1999 ESAPP could build on this knowledge capital and the actual ESAPP tools including GIS and remote sensing – applied to capture, analyse and present data, participatory research methodologies, participatory mapping of community resources, participatory watershed management - were applied in different contexts. Issues such as highland-lowland interaction and resource mapping are a strong focus of ESAPP and constitute ESAPP invaluable capital. The research and research action on these issues in the ESAPP partner countries provide knowledge and expertise of general interest to development actors. SDC is invited to put in value to this capital generated by ESAPP for further use in its priority countries in Africa and in the thematic SDC networks (rural development, food security) and in the Global Programme (climate change issue).

Scaling up of good results at local level of applied research to regional and national strategies as the case with climate change and carbon sequestration in Madagascar is a necessary transition to wider application of knowledge. Several ESAPP projects including those that disseminate, monitor, create awareness or involve media have been useful in the process of up scaling.

3.5 ESAPP institutional and instrumental set-up for priority setting

PAPs are south-demand driven and the primary screening process allows for identifying national priorities. The national EFP analyse the proposals and send them with their recommendations to CDE. This institutional evaluation process of PAP demands has a good instrumental set up with valid forms prepared by CDE. The EFP are south based institutions with links to universities, research institutes (centres), NGOs and governments. The selection process allows ESAPP to approve specific research topics, to use participatory problem analysis and value based approaches such that EFP are filtering national and local priorities.

ESAPP participatory approach

Community participation is embraced in all countries but with different intensity based on national laws and political systems. It is recognised in ESAPP that ecological research and monitoring that builds on and recognises local representatives and institutions enhances ownership and anchoring of natural values in local communities. Participation means sharing responsibility and sharing tasks for all involved in issues, as, for example, forest management. Currently there are few private-public partnership projects in ESAPP. Exclusion of private sector participation of forest concessionaire and gas and petroleum exploration in Mozambique and introduction and testing of biological decomposing technology of organic material in Ethiopia by private sector partner was raised as a common challenge in terms of institutional inclusivity.

3.5.1 ESAPP commitment and ownership

ESAPP is constituted of Northern (SDC and CDE) and Southern institutions. The programme builds on a network and on research partnerships to implement priority action projects and to improve the quality of development initiatives in the region. All individuals representing ESAPP national focal points in the five partner countries of ESAPP (except Mozambique) are highly committed to the values, the mission and vision of ESAPP and fulfil their tasks with engagement that goes beyond the “paid mandate”. The institutional set-up of ESAPP – the Advisory Board - is for the moment being exclusively “northern”, concretely it is exclusively Suisse. The South is not represented on the Executive Board (Advisory Board). Representation of the South would further enhance commitment and ownership of the South at the Advisory level; it would strengthen southern accountability and stimulate South-South interaction and exchange. The intensification of South ownership in ESAPP is important for the sustainability of ESAPP beyond the horizon 2014.

SDC has also an interest in intensifying ownership with ESAPP and to benefit more from ESAPP capital which includes rich experience and expertise in research and research-action in NRM in specific local and regional contexts and that contribute to improve development at regional level; these issues and their solution are challenges of global concern. This capital is of great value for bilateral and multilateral cooperation and SDC as the main funding partner of ESAPP⁵ is well advised to benefit from ESAPP partnership in phase IV and beyond. Emerging local challenges relating to global goods such as collective land and water resources are beginning to have a new value in the southern countries. The issue of climate change, biodiversity management and global equity for fighting poverty and for dealing with migration and displaced persons are currently addressed in community development issues more profoundly than before. These issues are also at the centre of SDC development cooperation.

⁵ Cofunding exists at the level of some PAPs.

3.5.2 Innovation of ESAPP

Innovation in ESAPP is by improving capacities on existing knowledge, by adding value and by adaptive and applied research. Coaching activities, participatory approaches applied in biodiversity conservation and other NRM tools are innovative and contribute directly to improve marginalized livelihoods as in the cases of "Ngolo" technology in Kenya on soil conservation because it led to higher productivity and better livelihood security. The establishment of joint protected area management mechanisms with direct benefit sharing arrangements for communities involved in Madagascar is another innovative example. The GIS based surface water assessment, land use and land cover mapping of the ASAL environment had links to livelihoods in ASALs. The project on human elephant conflict (HEC) management, participatory GIS in mapping ancestral land of marginalized communities, use of comic book as a tool in dissemination of knowledge to communities and use of scouts in conservation efforts are very innovative ESAPP projects. The evaluation found that ESAPP is very innovative in its approach and knowledge support to development.

Recognising that there may be an impact attribution gap, ESAPP projects generate action-oriented knowledge focused on methodologies, tools, databases, capacity development and networks. The evidence of success is dependent on increased household food security and improved incomes and ecological improvements. For example, in PAP Q903⁶ visited by the evaluation team, increased food production, better nutrition, school building refurbishment and school attendance for children improvements were observed as outcomes of ESAPP project. In PAP E612⁷ the ESAPP project has raised motivation and action which resulted in a declaration of protected area with important ecological value to the country and establishment of mechanisms for joint management and direct benefit sharing system to communities. Government, NGOs, Communities and donors have started working together.

Use of ALS methodology is changing lives by rallying the villages to develop a common vision, common approaches in NRM utilisation and conservation and improvement in their cohesion through working together and forming associations. In all countries ESAPP is effective in influencing positively, the daily life of people as ESAPP projects related to research based improvement of technology have positive effects on wheat varieties, potato, fruit seedlings, value addition, oil making, camel milk marketing, avoiding elephant damages, watershed management, water management, bio-enterprise, value chain establishment, eco-tourism and protected area management.

3.5.3 Beneficiaries of ESAP

ESAPP benefits most prominently the core partners and their implementing partners in terms of increased knowledge and competencies and indirectly ESAPP projects improve the livelihoods in the communities where PAPs are implemented. The direct beneficiaries in phase III were mainly the own institutions (the

⁶ Q 903 : Développement d'outils de sensibilisation au bénéfice de la Caritas Antsirabe, en vue d'adoption des techniques culturelles porteuses soucieuses de l'environnement (SAVAIVO), Madagascar.

⁷ E 612: Land Security & Participative Cartography (Pgis) Of Soils Based On Satellite Images With Very High Resolution In 2 Areas Of Madagascar (Daraina, Anjozorobe) [Fanamby]

national ESAPP focal points), CDE and the core partner institutions of the national ESAPP focal points. This reflects ESAPP approach in terms of ESAPP giving impulses for changing negative trends in NRM along the logical chain of research – research-action – PAP. ESAPP partners play a decisive role in this chain and they are

correctly the prior direct beneficiaries in terms of capacity and capability enhancement. Livelihood improvement is the final goal of most of ESAPP PAPs in the countries. It would be advisable if ESAPP could document in a more explicit manner “ESAPP benefiting chain” from academia to development and back, and this involving multiple stakeholders at different levels. It would also be of great value for the learning process in ESAPP to document the strengths and the weaknesses/limits based on the experience of the more than 200 PAPs implemented in ESAPP (eg the challenge of uptake, of up-scaling and out-scaling). A good tool for learning is listening to people's stories in ESAPP projects that ESAPP has initiated for the capitalisation workshop in 2010.

Direct beneficiaries Phase III (Institutions)

Communities	5
Partner Institutions	8
Government Agencies	6
Own Institutions	10
CDE	7
<i>Total of Projects</i>	36

Source: CDE

3.6 Potential to increase relevance of ESAPP

The uptake of research results for development and the scaling up of project activities have been rather slow in some ESAPP activities and sometimes laid to disappointment when a PAP output (e.g. report with recommendations how to protect the area, how to improve soil conservation) had no follow up and the community was not able to implement the recommendations by themselves. One critical question is how to transfer research from specific and local level to the regional level and how to transfer the lessons learnt at local level for use at meso- or macro- levels (modelling tools for example) through scaling specific results at local level. One example of bridging the gap is through establishing regional PAPs that have the potential for expanding research results to meso scale. The local actors have local or indigenous knowledge for scaling up and vice-versa. ESAPP has the opportunities of addressing global issues at local level as well. ESAPP potential and interest focus on the restocking of local and of system knowledge to resolve global issues such as climate change and natural resources management (biodiversity, parks management) while enhancing academic intellectual competence and enhancing regional development.

3.7 ESAPP lessons learnt

The following are important lessons that demonstrate the relevance of ESAPP:

- Farmer participatory research involving researchers, extension workers and farmers/pastoralists, such as the “Ngolo” soil conservation technologies in Tanzania and the SLM approach in Ethiopia which made use of indigenous technologies. Another aspect specific to ESAPP is integration of scientific knowledge with indigenous knowledge in natural resources management, participatory watershed management and protected area management; forest cover management, improved soils and water supply management and livelihood security.
- Use of demonstration plots, fields schools, field days and farmer-to-farmer exchange as a way of farmer

capacity building in conservation agriculture and other technologies.

- Participatory conflict mitigation involving all stakeholders to understand the nature of resources and sustainable use has been successfully applied in NRM and resulted in enhancing livelihoods.
- The use of geo-spatial planning techniques and use of state-of-the-art technologies in regional and local planning has helped proper resource allocation (utilization), priority setting for development, policy shifts and integrated development actions.

Evaluation II recommendation on designing PAPs in a manner that optimises outreach potential has been acknowledged as important but was not fully achieved in phase III. Built into the agreements the obligation to process knowledge and insights into sharable form was also considered as an important recommendation but was not achieved neither in phase III. These recommendations from evaluation phase II are still relevant.

3.8 Conclusions

- ESAPP is relevant for South-South as well as North-South cooperation.
- There is very high thematic relevance of ESAPP projects to the partners and the region.
- The activities are well thought through and are able to lead to the necessary outcome.
- On the ground, global issues always appear to be mostly complex. Through a local to regional perspective, ESAPP tries to address the contextual complexity of global issues, while still providing up scalable solutions. To address this contextual complexity of global issues a trans-disciplinary approach is required.
- ESAPP projects have high impact with low inputs in terms of funding and project duration. Impact depends on available policy and favourable legal frameworks in individual countries.
- There is no need for fundamentally restructuring the programme but steer the programme towards better visibility.

There were high achievements on most of the important issues in the countries and on most important activities of ESAPP. However several important issues relating to partners and networks are not yet satisfactorily achieved:

- The overall reorientation is the need to move towards restocking systemic knowledge, institutional strengthening and extending outwards in enhancing visibility in building public opinion.
- The ESAPP challenge is to apply findings and experiences from priority action projects to an aggregated level by the development community – not only within the ESAPP network.
- To inform the global discourse of these findings and experiences ESAPP needs to develop an adequate communication strategy.

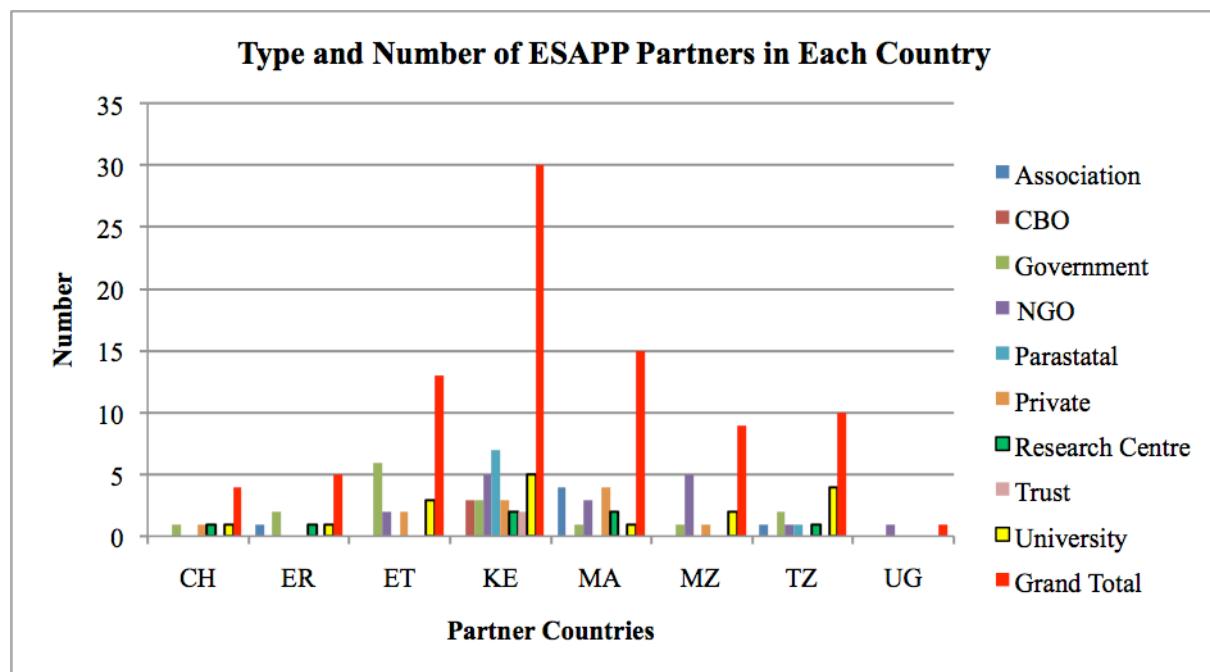
4 EFFECTIVENESS – ESAPP RESULTS AT OUTCOME AND IMPACT LEVEL

The evaluators assessed the results of ESAPP in terms of outcomes and impacts at three levels: ESAPP programme level, priority action project level, basic mandate level.

4.1 ESAPP Programme level

4.1.1 Programme design and implementation

ESAPP set-up is multi-country and multi-stakeholder: Despite the size of the ESAPP Programme, which is relatively small (around 1.2 Mio CHF per year), the design of the programme allowed to cover six countries in ESA and to involve an array of stakeholders ranging from academia, research institutes, and government ministries, NGOs, Donors and CBOs in six countries. The design was very instrumental and a potential in tapping the strengths of different actors in each country and cross-fertilization of experiences and knowledge. The evaluators asked ESAPP for an aggregated mapping of the partners and the results show the following picture:



Source: CDE

Note: Uganda (UG) as country is not among ESAPP partner countries. But the African Highland Initiative (AHI) which is a sub-regional organization is located in Kampala and had implemented one PAP.

The mapping of the ESAPP partners (altogether more than 100 partners) reveals that ESAPP has a diversified field of partners with Universities and parastatal institutes being very prominent (and prevailing in Tanzania), and NGOs, Associations and Government counterbalancing the academia part in ESAPP.

The ESAPP approach is a balance between bottom-up and top-down: The programme maintained its flexibility in project design where individual projects have been designed from the bottom with need-based

technical and methodological backstopping from the top. Within the sphere of the two topical focus areas (SLM and SRD) each country and stakeholders are free to design individual projects linked to their country priorities. Academic and professional freedom to choose project ideas and actions are respected in ESAPP. The selection of the submitted projects is done at national level by the national focal points who submit the selected projects to CDE for further screening before the Advisory Board has the final decision.

The programme management is lean: The programme management of ESAPP is kept lean with a staffing of 20% for coordination at CDE with the support of a part time (25%) assistant. Part of the management tasks were decentralized with the opening of National Focal Points (EFP) in each country (except Mozambique) in 2007. The ESAPP management is very cost effective with a share of 10% of the budget.

4.1.2 Focussed results

Sustainable Natural Resources Management, including cultural, social, economic and political aspects, is at the top of the agenda in terms of prior challenges in each country and the region at large. As about 80% of the population in these countries is dependant on subsistence agriculture, the impact of degradation in natural resources on livelihoods and on the overall economy of each country is significant. The topical focus of the ESAPP that is SLM and SRD has indeed helped to generate multiple knowledge and actions that strengthen each country in their efforts towards improving environmental sustainability and reduction of poverty.

The focus on SRD helped to address challenges related to eco-regional development such as highland-lowland interaction on resource use (eg. water), development of conservation areas, eco-regional resource use group conflicts such conflicts between pastoralists and sedentary agriculturalists.

4.1.3 Connectivity between research and development

ESAPP links research and development: The programme is unique and very effective in transferring or using the knowledge gained through research (applied) in development and policy making. The ESAPP approach aims at a knowledge transfer continuum through micro-meso-macro scale. Although the backward loop is yet to be strengthened the program managed to establish a strong knowledge transfer continuum particularly from micro-meso-macro level. Knowledge generated at micro level has been transferred to meso and macro level in different countries where policies were revised for certain commodities (Tanzania, Kenya; Madagascar is on track) and new national parks were declared (Madagascar). As already mentioned in the chapter on relevance, the strong linkage of ESAPP action to country strategies and priorities is not only a strength in relevance, but produces also good results that are directly addressing major concerns at local level as the priority action projects of ESAPP are made to strongly link to the priorities and strategies of each country.

4.1.4 Building on past capital

The strategic direction to build ESAPP projects on prior knowledge capital that was created by SDC bilateral support or through previous ESAPP projects was effectively respected. The flexibility to build PAP as a follow-up to the previous PAP on similar issues has resulted in the application of knowledge to action or generation of additional valuable knowledge on the subject.

4.2 Priority Action Projects (PAPs) level

4.2.1 Knowledge generation and transfer

Most PAPs were very effective in generating knowledge and in the use of this knowledge to influence livelihoods and policy making. This was done through innovative approaches such as participatory land use mapping, participatory ecological monitoring, participatory protected area management, participatory research, detail assessment of resource use conflicts and participatory negotiation (including human-wildlife conflict). The establishment of demonstration sites (field schools) and exchange visits were very instrumental for awareness creation and transfer of knowledge particularly to local communities. Some PAPs applied Remote Sensing and GIS techniques, with strong professional backstopping from CDE, to capture and present macro-scale information on environment and development, for spatial planning, and this has helped partners to generate massive information, influence resource use planning and enabled them to engage with other actors such as donors, Government, NGOs, to continue the area-based development initiatives by PAP. Some PAPs were also very instrumental in identifying, characterizing and disseminating many useful indigenous practices and knowledge.

Unfortunately information and experiences often get lost due to lack of thoroughly systematic documentation in all ESAPP process. But the evaluation recognises that project outputs and other products that are made available to CDE coordination are collected and are available online. CDE keeps a comprehensive GIS database and a meta database is currently being built up. The lack or weakness the evaluation would like to attract the attention of ESAPP is at *outcome level*, where lessons from different PAP, in different countries, could be better analysed and documented at an aggregate level. This would improve the base for sharing experience within ESAPP community (thematic networks) and with the larger research and development community in the region. Some PAPs for instance were successfully addressing this issue and were very instrumental in documenting valuable information and they used computer based tools to document available innovative technologies and approaches including detail information and requirements for successful application of each technology. This contributes significantly to ESAPP capital.

The engagement on methodological and conceptual level has helped to generate valuable materials such as training guidelines (starting from simple comic books up to high level GIS training guidelines), management plans for protected areas, and text books for university students and researchers, and scientific materials on peer reviewed journals.

4.2.2 Improving marginalized livelihoods

PAPs were effective in improving local livelihoods through different approaches such as: the introduction of proper natural resource management techniques, technology transfer – indigenous technologies, high value crop and fruit varieties, shaping communities production strategy towards market orientation (vegetable gardening), value addition to local products such as gum collection and sorting, camel milk marketing, silk production, essential oil production, red rice packaging and marketing.

PAPs also worked on gender focus development intervention such as the bio-enterprise and alternative

income generation activities. PAPs triggered delineation of bio-reserve areas, designing of eco-tourism strategies and system creation for shared management of protected areas and benefit sharing protocols for local communities from protected areas.

Resource based conflict such as between highland and lowland communities, between pastoralists and sedentary agriculturalists, between protected area managers and local communities, between wildlife (e.g. elephant) and communities, is indeed one of the major challenges in the region. Some PAPs were very instrumental in improving livelihoods by addressing systematic conflict resolution processes and have generated valuable experience which is now being applied in different contexts.

4.2.3 Capacity development

PAPs contributed to improving capacity in different forms: a) Institutional capacity building (hardware and soft components), b) custom base stakeholder capacity building mainly training on GIS, EIA, ALS, participatory forest management, water management, watershed management, value addition, marketing, handicrafts, for researchers, academia, land users, extension agents, wild life wardens, NGOs, and the private sector.

PAPs were also very instrumental for awareness creation and sensitization of policy makers, land users, private actors, academia and the broader scientific community, on many issues related to SLM and SRD.

4.2.4 Policy support

Some PAPs were able to produce convincing empirical evidence to change existing policy (such as the reorientation of forest plantation campaign of Kenya) to set new policies (on camel milk production and marketing in Kenya) and to implement policy supported actions (such as delineation of protected areas with shared management in Madagascar). Techniques and methods developed by PAP were used by policy makers to take actions such as land tenure certification, entering carbon trading projects, declaration of protected areas, development of eco-tourism sites, and establishment of water use strategies.

Promising technologies and processes generated by PAP are being scaled-out in many areas such as for instance the NGOLO project in Tanzania, the joint protected area management in Madagascar, the urban spatial planning in Kenya.

4.3 Basic mandate level (BM)

4.3.1 Thematic networks

North-South: The programme was highly effective in rendering need-based bilateral support from CDE to individual PAP or partners on conceptual-methodological aspects and tools. Although the use is constrained by many factors such as slow connection in most of the countries, lack of experience of partners, the BM have created a useful web-based platform for ESAPP South-South capitalization. Capitalization workshops conducted each year were very instrumental in evolving ESAPP partners, in cross-fertilization and in strengthening the south-south networking. The establishment of thematic networks helped to assess past achievements, insights, innovations and impacts. It also becomes an instrument in strengthening south-south collaboration and knowledge sharing.

4.3.2 Database

The BM has created an ESAPP Website with all required information about the programme, partners, PAP and essential principles and strategies. Although a lot more has to be done, the BM has also established an ESAPP database and is available in the ESAPP website.

4.3.3 Programme Management

The BM has established a lean and decentralized coordination system. Although some extra efforts are required at regional program level, the establishment of the CDE coordinator for the regional programme system seems well functional. Although not institutionalized, ESAPP also has senior professionals linked to each country at CDE level. This helps strong follow-up, backstopping and institutional linkage.

4.4 Conclusions

- The topical focus of ESAPP on SLM and SRD is producing good outcomes.
- Research-Development focus links academia and development actors.
- Spatial focus at bridging micro-meso-macro scales is ambitious but important and needs further to be systematically addressed in ESAPP.
- Capacity development focus produces valuable improvements of the competencies of the partners, the partners of the partners and at community level.
- The partnership focus of ESAPP makes the programme unique in the sense of balancing North and South interests, knowledge and competencies via transfer and exchange mechanisms.

4.5 Wrap up on effectiveness

4.5.1 Expected outcomes by 2010 and by 2014

In the logframe for Phase III ESAPP has formulated not only the expected outcomes by 2010, but was prospecting ESAPP outcomes also by 2014. The evaluation presents here after a summary including comments on the expected outcomes as formulated by ESAPP:

Expected ESAPP outcomes by 2010

Expected outcomes	Evaluators comments
Knowledge creation and integration	
Capitalisation of system-oriented knowledge and knowledge on tools, instruments and approaches	Knowledge systems represent a very important outcome of ESAPP; they require further investment and appreciation. Good knowledge systems are central to knowledge management and to making available increased knowledge content to sustainable development processes. This process is on track. The capitalization of system-oriented knowledge is ongoing through thematic network discussions and syntheses. Extra effort might be required by CDE to fully document and synthesise this part as there are many capitals that need more attention and in-depth analysis beyond the thematic network syntheses.

Ongoing integration of action-oriented knowledge from system-oriented knowledge and knowledge on tools and approaches.	<p>The integration process in ESAPP includes valuable tools such GIS, participatory assessment, monitoring and evaluation, trans-disciplinary methods etc. The integration effort of ESAPP offers an opportunity to bridge the gap between research and development and also offers ways of improving knowledge connections between research and information providers to individuals, sectors, regions and regional natural resources management bodies.</p> <p>It is on track, but as mentioned above, ESAPP is invited to make more explicit and more visible this “success chain of integration” as a very crucial aspect of ESAPP specificity.</p>
Capacity Development, institutionalisation and knowledge transfer	
Capacity development on SLM and SRD is institutionalised in partner institutions and at academic level	<p>Capacity building includes awareness, skills, knowledge, motivation, commitment and confidence. Attitude, behaviour and practice change and development of knowledge and skills is an ongoing process that needs time and continuous care and investment amongst partner institutions.</p> <p>This income is easy to track and determines sustainability of ESAPP results. The outcome is in some cases (Kenya, Tanzania) better achieved than in other countries like Ethiopia, Eritrea and Mozambique.</p> <p>Capacity development requires more emphasis in phase IV as sustainable institutional development is not currently ESAPP’s strength. Madagascar national core partners feel not yet fully strengthened and secured in their capacity built.</p>
A significant number of partner institutions are trained in SLM and SRD	ESAPP is well on track with this outcome that requires more visibility through peer reviewed scientific publications, published books, exchange visits, demonstrations and sharing in global forums, etc.
Thematic Networks and Networks of partners	
Relevant thematic networks are identified, established and operational	<p>Relevant thematic networks of ESAPP are used for improving information exchange via national forums, sharing of regional documents and knowledge. They merit further strengthening in terms of region to region mentoring, feasibility study for a regional knowledge system, catalogue of relevant research programmes, collating regional needs, synthesizing products, understanding knowledge brokering, incorporating natural resources facilitator networks, supporting communities of practice, and building capacity to access and apply knowledge.</p> <p>This is an important ESAPP strength and the process is on track, but as mentioned more work is still needed to make the networks productive.</p>
The ESAPP network of partners significantly contributes to the production of scientific material on SLM and SRD in Eastern and Southern Africa	<p>ESAPP is a sustainable “community of practice” that shares knowledge and works together for the development of that knowledge and sharing the same capital established.</p> <p>ESAPP is well on track for this outcome, but the process is poorly capitalised. This is highly important for a sustainable ESAPP product beyond 2010 and 2014 and requires an enhanced platform.</p> <p>There is a need for better balancing the actual disparities in quality and quantity of contribution among countries.</p>

4.5.2 Comments on prospected Outcomes 2014

In the Programme Outline for Phase III ESAPP has already designed the strategic outlook prospecting expected results for 2014 presented as 3 aggregated outcomes that the evaluators comment on as follows:

OVERALL ESAP-PROGRAMME
Development Goals Contribution towards sustainable development in Eastern and Southern Africa
Program Objectives Better quality and innovations in development initiatives in SLM and SRD is achieved in Eastern and Southern Africa
Expected Outcomes by 2014 (Phase IV)

1_A relevant and integrated knowledge base on SLM and SRD is established, available and used by partner institutions	ESAPP managed to generate substantial knowledge on SLM and SRD by 2010. For more relevance and better performance of this outcome by 2014, however the already existing ESAPP capital needs to be aggregated, synthesised and made available to partners and beyond. If this is done in Phase IV as per the recommendation of the evaluation team, then it is possible to realize this outcome and a solid knowledge base will be established and available by 2014. But it is difficult to trace the use of that knowledge in sustainable resource management practice since this is far downstream and not fully in ESAPP sphere of influence and control. Phase 4 should concentrate on this in view of the large quantity of products already produced.
2_Capacity of partner institutions to implement SLM and SRD is verifiably and significantly enhanced	This process in ESAPP is on track, needs to be monitored closely and capitalised more in phase 4.Unless CDE reorient its approach towards supporting countries that have little ESAPP capital (as per the recommendation from the evaluation team), this outcome will only be true on few partners.
3_Sustainable institutional networks and South-South partnerships for SLM and SRD are established, operational and sustainable	This is the core long-term aim of ESAPP and can be achieved by 2014, but requires systematic and hands-on engagement, including designing an innovative strategy by CDE and all partners in order to strengthen the network and South-South partnership. The evaluators recommend for this purpose enhancing the ownership of the South partners in ESAPP (see recommendations).

4.5.3 Monitoring and evaluation

The evaluation found that the actual M&E system followed by ESAPP has weak areas: i) it lacks qualitative indicators for outputs and outcomes to indicate sustainability aspects ii) it also lacks systematic follow-up mechanisms of outcomes emanated from individual PAP. It is advisable for ESAPP to develop simple and effective monitoring instruments that can be used by the national ESAPP focal points to regularly follow PAP and to collect the knowledge generated by individual PAPs for future PAP design. Monitoring is an important management tool in the hands of ESAPP management for steering the overall ESAPP programme (CDE) and the national PAP activities (national focal points). Addressing the problems of attribution gap, complexity of SLM and missing baseline are very challenging issues for ESAPP in phase IV. A simple and consolidated M&E system helps addressing the issue by developing indicators and methods to monitor performance and achievements that, wherever possible, will be rooted in all ESAPP and in partners and networks.

5 SUSTAINABILITY

5.1 Where is Sustainability⁸ in ESAPP?

ESAPP is by its definition *a process* in building and improving *a relationship among different partners* in research and in research-action. The programme has a geographic (Switzerland and countries in Southern and Eastern Africa) and a thematic orientation (SLM and SRD). The mission of ESAPP is sustainable natural resources management, sustainable (integrated) regional development, and interventions that mitigate syndromes of global change. Where is sustainability in ESAPP defined as a process? Sustainability of ESAPP is in its thematic focus and in ESAPP instruments and approaches:

⁸ The definition of **sustainable development** is a pattern of resource use that meets the needs of the present without compromising the ability of future generations to meet their own needs (while preserving the environment). This definition contains within it two key concepts relevant to ESAPP, namely, the concept of human needs, and the idea of limitations imposed by the state in regard of the next generations and to meet present and future needs.

5.1.1 ESAPP themes

Sustainable land management (SLM) is defined as the use of renewable land resources, including soils, water, animals and plants, for agricultural and other purposes to meet changing human needs, while simultaneously ensuring the long-term productive potential of these resources and the maintenance of their environmental functions. ESAPP SLM approach is based on the socio-cultural, institutional, economic, and ecological dimensions of sustainability. As in ESAPP time horizon and volume of the single PAP are short and modes, the observatory of the long-term sustainability of ESAPP impact is not possible. But ESAPP invests in participatory definition and negotiation with the stakeholders on what “sustainable” means to them for the relevant context. This is a basic pre-requisite for sustainability in the long-term. **Sustainable regional development** is defined as development in the region that meets the needs of the present generation without compromising the ability of future generations to meet their own needs, and has to focus on the specific socio-economic and ecological context. ESAPP approach in SRD includes **livelihoods⁹** and **poverty alleviation**, as well as the transversal themes gender, linking local micro at meso and macro scales, and HIV/AIDS. This holistic approach enhances the complexity in ESAPP research and research-action that ESAPP is addressing with trans-disciplinary approach. But this is also the base for guaranteeing sustainability in regional development in the long-term.

5.1.2 Instruments and tools of research collaboration

The approach to sustainable resource use requires multiple research methods and analytical tools' including natural environmental and social sciences. ESAPP approach is *trans-disciplinary* and integrates the social and natural sciences as well as endogenous (non-scientific) knowledge systems in a participatory and interactive process to improve societal practices. It promotes integrated research for better understanding of ecological, socio-economic and socio-political processes and their interrelations, and enhances the participation of stakeholders in the elaboration of strategies for sustainable resource management and regional development. The second *approach is participatory* (user- and demand-) oriented perspectives, which facilitates transfer of findings, tools and recommendations in an applicable way for a broad range of actors and institutions at different levels of planning, implementation and decision-making, and proposes technologies and approaches that correspond to concrete demands from partners, institutions and implementing agencies within the region. ESAPP employing disciplinary and trans-disciplinary tools in an integrative approach contributes to the concept of sustainability in the region.

⁹ A livelihood is sustainable⁹ when it can generate the means for a meaningful life, can cope with stresses and shocks, seize opportunities, and maintain or enhance capabilities and assets without undermining the natural resource base (*Definition adapted from DFID's Sustainable Livelihoods Framework*).

CHALLENGES for ESAPP sustainability

- Non precision of the ESAPP objectives
- SLM and SRD are too complex processes for monitoring their sustainability because of the plethora of interactions, reactions and feedback mechanism, that are not all in the sphere of influence of ESAPP
- Attribution gap
- Absence of baseline data and information

OPPORTUNITIES for ESAPP sustainability

- Stakeholder analysis is available in most of the ESAPP projects
- ESAPP and their collaborators are familiar with relevant approaches and methodologies for establishing impact monitoring that informs on sustainability
- ESAPP already adopted performance story¹⁰ report in its capitalisation workshops. It is a first start that merits to be developed. But this needs investment.

5.2 Conclusions on ESAPP sustainability

Capitalisation of system-oriented knowledge and knowledge on tools, instruments and approaches is on the way. Capacity development on SLM and SRD is institutionalised in partner institutions and at academic level. One key area is training and curriculum development at the research institutes and universities who have taken up public assignments and therefore contribute to sustainable development in the ESA. A significant number of partner institutions are trained in SLM and SRD: Partner institutions have been strategically selected to act as nodes of knowledge production and dissemination. A significant amount of resources have been invested in establishing focal points and managing national network partners. The participating institutions should have the necessary competences to fulfil the proposed activities also beyond ESAPP future. Furthermore, the institutional set-up should allow a fruitful collaboration between research and development and permit the implementation of results and recommendations. Relevant thematic networks are identified, established and operational: Thematic networks are intended to act as vehicles of knowledge sharing, and involve regional coordination and reserve; streamlining of coordination tasks, knowledge management and capitalization procedures. ESAPP network of partners significantly contributes to the production of scientific material on SLM and SRD in ESA: This outcome is composed of published books, literature and reports that may influence a sustainable base for better use and better management of natural resources at local and regional level.

¹⁰ A performance story is a statement about progress towards a natural resource management (NRM) goal. Each performance story is supported by multiple lines of *quantitative* and *qualitative evidence* and describes the causal links that show how the achievements were accomplished. The story should succinctly document SLM/SRD program outcomes and overall impact.

6 PROSPECTING ESAPP FUTURE BEYOND 2014

6.1 ESAPP^{Plus}

ESAPP has evolved from experimentation towards taking consolidated actions and is expected to start the maturing process in Phase IV. The full maturity and thereby specialization and harvest time will be more after Phase IV. If the momentum continues and if the strategic recommendations of this evaluation are incorporated, ESAPP will keep going accumulating knowledge and experience in most important global issues such as climate change, poverty, food security, land degradation and mitigation measures and will also be highly specialized in linking research based knowledge with action in development and policy making.

These are also important issues where SDC should be kept updated at all times to effectively engage on global change issues in Africa in particular and in the world in general. Hence it is advisable that SDC continues being linked to ESAPP beyond Phase IV to get maximum benefit of its investments and to also continue to be informed on global change issues in its strategic directions.

This also requires strategic thinking in formulating **ESAPP^{Plus}**. The strategic orientation of **ESAPP^{Plus}** has to be elaborated in phase IV. This strategic positioning of ESAPP beyond 2014 needs high ownership of all parties involved: CDE, SDC and all ESAPP partners in the south. Therefore the evaluation recommends institutionalising better ownership in the Advisory Board.

7 RECOMMENDATIONS

STEERING AND OWNERSHIP OF ESAPP

The evaluators recommend SDC to:

- 1 **finance ESAPP in phase IV 2011 – 2014 with the same overall budget of 4.9 Mio CHF** as in phase III in order to consolidate the capital that ESAPP has built in the last years and to further develop and disseminate research based knowledge and know how for development.
- 2 **increase institutional ownership for ESAPP of SDC** by having more representatives from SDC in the Advisory Board (desk Mozambique and representatives from Global Programme).
- 3 **facilitate links between SDC country offices in Mozambique and Tanzania with ESAPP** in order to institutionalise communication, to explore synergies so that SDC benefits from the important ESAPP capital on sustainable land management and rural development, livelihoods, food security, climate change, governance and environment.
- 4 **define strategic interests of SDC in ESAPP partnership beyond 2014** in order to guarantee making further benefit out of its longstanding ESAPP financial partnership for SDC bilateral and multilateral cooperation.

The evaluators recommend SDC and CDE Advisory Board to:

- 5 **honour and to steering through the ownership of southern partners of ESAPP** and to adapt the steering set up accordingly by integrating 1 or 2 representatives from the ESAPP partner countries (national focal points) into the Advisory Board. It could be possible to follow rotational arrangements among national ESAPP focal points (EFP) with strong follow-up arrangements between successive EFP.

BALANCE IN ESAPP COUNTRIES / MOZAMBIQUE

The evaluators recommend CDE to

- 6 **make the strategic decision on the role of Mozambique in ESAPP with the vie of establishing a national ESAPP focal point and linking it with SDC coordination office:** Mozambique is, since the beginning of ESAPP in 1999, a “special case” for different reasons: language, performance of ESAPP national coordination and no continuity, and currently no national ESAPP Focal Point is established. The evaluators recognize that Mozambique has very unique and strategic importance in the region from the context of biodiversity conservation and management.
- 7 **make the strategic decision on balancing better ESAPP countries in view of reorienting and providing specific support to those partner countries with relatively smaller ESAPP capital.** Two of the countries (Eritrea and Mozambique) are behind the group in terms of number of projects and outcomes. From the regional development perspective these countries have an important role in terms of SLM and SRD as well as in many specific aspects. Hence, CDE should apply additional efforts and the necessary corrective measures to provide better support to these countries both at PAP and BM level.

IMROVING RELEVANCE OF ESAPP

The evaluators of phase III recommend ESAPP to:

Database / capital

- 8 **aggregate data and research findings of ESAPP and to create central database** in order to guarantee overview and accessibility to the capital of ESAPP for its partners and for the larger interested research and development community.

9 **continue to invest in capitalisation of research outputs** (e.g. basic, adaptive and applied) and to translate the gained knowledge into concrete and relevant dissemination tools such as

- books for teaching of qualified graduates and technicians,
- manuals through synthesis of knowledge, approaches, techniques and methods at various levels.

Up-scaling / Dissemination

10 **identify and invest in up-scaling and out-scaling of best practices.** For instance of the indigenous land management technology, NGOLO, that has proven multiple benefits in soil and water conservation, soil moisture management, soil fertility enhancement, weed suppression, crop yield and biomass increment.

11 **invest in systematic identification, characterisation, documentation and dissemination of best practices** as for instance in available Soil Water Conservation (SWC) technologies and approaches (based on the example of Ethicat).

12 **invest more in tailor-made dissemination of information gained** from research and research action to diverse interest groups (SDC and other donors, academia, governments, NGOs, private sector).

Approaches and tools

13 **continue the integration of socio-economic competence and mechanisms in ESAPP trans-disciplinary approach** in order to make it more explicit and visible

14 **continue to invest and capitalise on SDA (Sustainable Development Appraisal) tool for a sustained knowledge-based and well targeted stakeholder negotiations process** in order to come to effective resource sharing arrangements and to reduce conflicts among competing user groups

15 **promote innovative research leading to technology development relevant to climate change (CC) adaptation and mitigation** at local and national level and to develop and undertake human capacity building to address adaptation and mitigation to CC

16 **continue to develop tools for addressing the issues of urban environments;** urban areas in East and South Africa present a duality - a set of risks and opportunities - for urban dwellers and administrations. Participatory mapping of urban development priorities with GIS helps integrating tacit and formal knowledge, and therefore enhance the value and relevance of such processes based on the Nakuru experience in Kenya

17 **invest more in integrated assessment at livelihood level and link to policy level.** Successful identification and mixed rooting of livelihood-oriented policy recommendations requires integrated risk and opportunity assessment at livelihood level, as well as a good knowledge of the policy environment.

IMPROVING EFFECTIVENESS OF ESAPP

The evaluators recommend ESAPP to:

18 **continue the outreach set-up:** ESAPP has been implemented in six countries with many partners. It has managed to successfully implement many PAPs and BM driven specific projects. Each project has generated valuable information and most triggered follow-up actions by different actors.

- 19 **improve capitalization:** The knowledge generated and the experience acquired constitutes ESAPP capital that needs careful synthesis and documentation to transfer knowledge within the region and elsewhere in the world.
- 20 **improve management of ESAPP at national level** by clarifying further role and tasks of Focal points. Develop lean guidance tools and procedures.
- 21 **clarify the role of CDE senior professionals in each country.** The coaching of senior CDE professionals is basically good, but their role is not clearly defined in the ESAPP process.
- 22 **strengthen and cross-fertilize more south-south-partnership:** Although the thematic networking and capitalization workshops are in the making and had generated interest and increased commitment and exchange, there is still a need for more cross-fertilization work within south-south partners and North.
- 23 **establish a systematic Monitoring and Evaluation (ME) system at different levels:**
 - programme monitoring with indicators for the expected outcomes 2014;
 - project monitoring with indicators at national level;
 - combine internal monitoring with external impact assessment

ANNEXE

Annexe 1a: Terms of Reference

ESAPP External Evaluation Terms of Reference

Dates: March to June 2010

Team¹¹: **Monika Egger. EGGER CONSULTING EVALUATION STRATEGY (ECES Ltd.);**
Prof. George Khruda. Executive Director, Redplan Consultants;
Dr Gete Zeleke. General Manager, Avallo International Research and Development

1 Background

The *Eastern and Southern Africa Partnership Programme* (ESAPP) was set up in April 1999 and is now in its 3rd phase. The programme is financed by SDC / Division of East and Southern Africa (OSA) and managed by the Centre for Development and Environment (CDE) of the Geographical Institute of the University of Berne.

ESAPP's mission is to promote *Sustainable Land Management* (SLM) and *Sustainable Regional Development* (SRD) in Eastern and Southern Africa by means of integrated concepts and innovative tools, research and research partnerships, capacity building and development support, based on partnership activities involving individuals and institutions inside and outside the region, thereby attempting to fight poverty and to enhance economic development, social welfare, and ecological sustainability.

The approach of the program combines *concept-driven Basic Mandates* (BM) with *demand-driven Priority Action Projects* (PAP) based on the concepts SLM and SRD. Countries of interventions are Eritrea, Ethiopian, Kenya, Tanzania, Mozambique and Madagascar.

The regional strategies are based on the history of ESAPP activities in the different countries: a special focus was developed in Kenya and Tanzania on sustainable regional development, in Ethiopia and Eritrea on sustainable land management, in Madagascar on rural communication, and in Mozambique on rural development and natural resource management.

The current phase III of ESAPP will end in December 2010; the expected outcomes of this phase are:

1. System-oriented knowledge and knowledge on tools, instruments and approaches is capitalised
2. Action-oriented knowledge is continuously integrated from system-oriented knowledge and knowledge on tools and approaches
3. Capacity development on SLM and SRD is institutionalised in partner institutions and at academic level
4. Partner institution's expertise in SLM and SRD is enhanced in a sustainable manner
5. Relevant thematic networks are identified, established and operational
6. The ESAPP network of partners significantly contributes to the production of scientific material on SLM and SRD in Eastern and Southern Africa.

Phase I was evaluated in December 2001 with a focus on decision-making processes and the monitoring system of ESAPP. Phase II was evaluated in May 2006 with a special focus on structural, methodological and thematic aspects.

2 Objectives of the External Evaluation 2010

The actual phase III will be followed by an exit phase (Phase IV) of comparable financial volume as Phase III¹². The focus of this evaluation is therefore to acquire information, to assess the research policy and the programme's current progress in order to derive recommendations helping to increase the relevance and effectiveness of ESAPP during Phase IV.

2.1 Key questions

The following key questions shall be evaluated with regard to the aims of Phase III. This list reflects the information needed to be able to shape Phase IV.

A) Overarching question

1. The evaluation of Phase II produced a comprehensive list of recommendations. How were these recommendations implemented during Phase III?

¹¹ CV of team members appended in the annex

¹² Under reserve of SDC's internal approval procedures for credit proposals

B) Relevance of ESAPP portfolio and thematic width of ESAPP projects

2. Does the composition of the portfolio reflect areas of concern in the target countries?
3. To what extent is the composition of the portfolio driven by “North” priority setting, demand expressed by institutions receiving the funding, or demand from end users?
4. How are important concerns in the target countries translated into research questions?
5. Is there evidence that ESAPP projects have contributed to the sustainable management of natural resources or alternative income and livelihood strategies for rural communities?
6. To what extent are results produced by ESAPP funded projects influencing the “daily life” of stakeholders?
7. What evidence is there regarding the effectiveness and impact of ESAPP’s outreach component?

C) Synergies and exchange between ESAPP and other donor funded programme

8. To what extent do important stakeholders (ministries, regional administration, researchers, farmers, etc.) in the region have knowledge about the results produced by ESAPP?
9. What is the capitalisation and South-South exchange strategy of ESAPP and what results was it able to achieve (exchange of data, collaboration on methodological questions, discussion of results and outcomes)?
10. What evidence is there regarding joint projects among ESAPP partner institutions and between ESAPP partner institutions and other development partners?
11. How innovative are projects funded by ESAPP and to what extent was the innovation transferred / availed to other development partners?
12. Is there any evidence of transdisciplinary alliances between ESAPP partner institutions in the South?

D) Maintenance of ESAPP network of competence beyond its lifespan

13. What is the sustainability of contacts with other projects: is it just during priority action projects (PAP) or do contacts persist over a longer period and/or lead to institutional partnership between two or more partners in the target countries?
14. What evidence is there regarding the sustainability of ESAPP funded research contributions and project activities?
15. Is there any evidence that ESAPP projects have contributed to sustainable research capacities in the target countries, within academic and governmental institutions?
16. What is the capacity building impact of ESAPP projects at community, expert and academic levels?

3 Procedure

Monika Egger will act as team leader. As such she is responsible for the supervision, organisation and coordination of the evaluation team. The field work is jointly organised with the ESAPP coordinator and the team in charge of the organisation of the capitalisation workshop. Specific tasks of the team leader: study of relevant documents; briefing and interviews in Berne; field visits and interviews as well as participation at a workshop on capitalisation of experiences in Madagascar; writing, compiling and timely submitting of the evaluation report and debriefing in Berne.

Prof. George Khruda and **Dr. Gete Zeleke** will act as evaluation team members. They will join the team leader during the field visits, participate at the workshop on capitalisation of experiences in Madagascar and to the subsequent field visit, and will contribute to the evaluation report. The evaluation team will consensually agree on an adequate allocation of specific tasks to each evaluation team member. While doing so, the evaluation team will pay attention to make observations and formulate recommendations from academic, public and institutional perspectives.

Methodological approaches:

- study of relevant project documentation
- interviews with Advisory Board members (CDE and SDC) in Berne
- interviews with selected ESAPP partners and ESAPP regional coordinators during the capitalisation in Toliara (Madagascar)
- participate at workshop on capitalisation of experiences during field visit
- visit of selected ESAPP Priority Action Projects in Toliara and the north-eastern region of Madagascar
- interviews with selected beneficiaries of ESAPP activities during field visits in Toliara and the north-eastern region of Madagascar
- briefing and debriefing sessions in Berne

4 Expected results of the evaluation

- A final evaluation report of maximum 25 pages plus relevant annexes
- A short and a long evaluation abstract according to DAC-standards

Closing date is May 31st 2010.

List of relevant documents

- ESAPP Credit Proposal Phase 3

- ESAPP Report on Phase 2: January 2003 to December 2006
- ESAPP Annual Reports
- ESAPP intermediate reports
- ESAPP Evaluation Report Phase 2
- Documents of selected individual ESAPP projects, upon request

Possible Partners to be contacted

- ESAPP Advisory Board members (CDE and SDC)
- CDE staff responsible for PAP's
- ESAPP regional coordinators (during field visit)
- Beneficiaries of ESAPP activities
- Selected ESAPP partners

Roadmap for team leader (total days: approx. 22)

March: Briefing in Berne, preparation, and first interviews in Berne

April: Interviews in Berne, mission to Madagascar from April 28th to May 10th 2010 according to detailed schedule (including workshop, field visits, interviews and start report writing)

May: Report writing, submission of report by May 31st 2010

June: Debriefing at Advisory Board meeting in June 11th 2010

Roadmap for team members (total days: 20 days each)

April / May: Preparation, mission to Madagascar from April 28th to May 10th 2010 according to detailed schedule (incl. workshop, field visits, interviews and start report writing)

May: Contributions to evaluation report (in consultation with team leader)

Annexe 1b: The evaluators' answers to the questions of the ToR

Key questions and answers

The following answers to the questions of the ToR wrap up in a very condensed and consequently simplified form the conclusions of the evaluation. Where possible and accurate the corresponding recommendations (R..) are indicated:

A) Overarching question

- 1 The evaluation of Phase II produced a comprehensive list of recommendations. How were these recommendations implemented during Phase III?
 - CDE/ESAPP systematically implemented the recommendations. See for the details Annex 2.

B) Relevance of ESAPP portfolio and thematic width of ESAPP projects

- 2 Does the composition of the portfolio reflect areas of concern in the target countries?
 - Yes, there is high relevance in ESAPP in terms of areas of concern in the target countries. Given the small size of ESAPP, prioritising and focusing on selected areas is appropriate.
- 3 To what extent is the composition of the portfolio driven by "North" priority setting, demand expressed by institutions receiving the funding, or demand from end users?
 - ESAPP has two pillars: BM and PAP. The PAP are demand driven by the South partners; the first selection of the PAP is done by ESAPP national focal points. The south component can be further strengthened by improving the management and monitoring at national level (R20; R23) and by systematically cross-fertilize more south-south-partners" R23). Also at steering level of ESAPP there can be further improvement in honouring better southern commitment (R5) and in focussing and balancing ESAPP support (R7).
- 4 How are important concerns in the target countries translated into research questions?
 - Important concerns in the target countries have two dimensions, a global dimension (effects of climate change) and the local dimension of very specific challenges in terms of erosion, land use, forest protection, access to and use of water, etc. ESAPP approach combines research (theory) with action (projects). ESAPP approach of research *and* action aliments in an iterative way both: knowledge creation and development.
- 5 Is there evidence that ESAPP projects have contributed to the sustainable management of natural resources or alternative income and livelihood strategies for rural communities?
 - ESAPP projects strongly prove evidence in contributing to the sustainable management of NR and in improving concerned livelihoods. ESAPP limits are the size of the projects; ESAPP strengths are to produce innovative "prototypes" of PAP that can be replicated elsewhere and up-scaled by other actors. (R8; R9; R13; R14).
- 6 To what extent are results produced by ESAPP funded projects influencing the "daily life" of stakeholders?
 - The PAP intervening at local level directly affect the daily life of people and households. Most livelihoods targeted by PAPs depend on the use of natural resources and the ESAPP approach of the sustainable management of these resources directly and positively influence the daily work of the stakeholders by developing alternatives.
- 7 What evidence is there regarding the effectiveness and impact of ESAPP's outreach component?
 - Outreach' evidence of ESAPP in the sense of use of best knowledge and knowhow in design and approach is clearly given and is translated into good results at the level of outputs and outcomes in form of the actions in the field (PAP projects) and as research results (manuals, teaching material, theses and curricula, etc.). The outputs are better documented than outcomes and impact, where a systematic monitoring would improve information on evidence of the results. (R18, R19, R23).

C) Synergies and exchange between ESAPP and other donor funded programme

- 8 To what extent do important stakeholders (ministries, regional administration, researchers, farmers, etc.) in the region have knowledge about the results produced by ESAPP?
 - The evaluation did not get the total picture of all the interactions and shared knowledge between ESAPP and its important stakeholders. In each ESAPP partner country the set up of the national focal point is specific and consequently the set-up defines the interactions and knowledge sharing of ESAPP with its stakeholders. See the recommendations on dissemination (R12) and on linking

the levels (R12; R17)

- 9 What is the capitalisation and South-South exchange strategy of ESAPP and what results was it able to achieve (exchange of data, collaboration on methodological questions, discussion of results and outcomes)?
 - ESAPP is on track by establishing the thematic networks, but intensification of the exchange and systematic capitalisation of outcomes can be further improved. (R19 on capitalization; R 22 on south-south-partnership).
- 10 What evidence is there regarding joint projects among ESAPP partner institutions and between ESAPP partner institutions and other development partners?
 - The issue to invest in and benefit more of cooperation between ESAPP partners is raised and some initiatives going in these sense are already in place or are designed. (R8,
- 11 How innovative are projects funded by ESAPP and to what extent was the innovation transferred / availed to other development partners?
 - Innovation in ESAPP approaches is high. Dissemination and exchange can further be improved (R10; R11; R12).
- 12 Is there any evidence of transdisciplinary alliances between ESAPP partner institutions in the South?
 - R13 is to invite ESAPP to further invest in creating such transdisciplinary alliances.

D) Maintenance of ESAPP network of competence beyond its lifespan

- 13 What is the sustainability of contacts with other projects: is it just during priority action projects (PAP) or do contacts persist over a longer period and/or lead to institutional partnership between two or more partners in the target countries?
 - At the level of ESAPP national focal points the contacts with the ministries and with research institutions are quite continuous. When it comes to the local partners implementing PAP in the field, than the contacts are intensive during the implementation phase of the PAP, but the evaluation did not get the impression nor the information of a systematic care of a kind of "ESAPP partner-network".
- 14 What evidence is there regarding the sustainability of ESAPP funded research contributions and project activities?
 - The participating institutions should have the necessary competences to fulfil the proposed activities also beyond ESAPP future.
- 15 Is there any evidence that ESAPP projects have contributed to sustainable research capacities in the target countries, within academic and governmental institutions?
 - The set-up of the national ESAPP focal points mirror the mechanisms of exchange between academia and governmental institutions. Kenya CETRAD is a "best practice" illustrating best the sustainability of improved research capacities.
- 16 What is the capacity building impact of ESAPP projects at community, expert and academic levels?
 - Community level: Individuals and households directly target by an ESAPP PAP generally improve their capacity "on the job" when implementing the PAP in their sphere of life.
 - Experts: technical experts (extensionists, local researchers, managers of NGOs) benefit from ESAPP in theory and in practice when implementing PAP.
 - Academia: The highest capacity building impact of ESAPP is at academic level via PhD, curricula improvements, coaching of researchers, etc.

Annexe 2

Recommendations Evaluation Phase II and follow up given by ESAPP

The external evaluation made 21 recommendations for actions to be taken at different levels and by different stakeholders in ESAPP for the continuing of the ESAPP programme for phase III. At the capitalisation workshop in Toliara, May 2010, the participants went systematically through the list assessing the level of achievement of the recommendations and qualifying the importance of each recommendation. The assessment has shown that the recommendations of phase II evaluation were well received, considered as mostly being important, and they are mainly achieved or still considered as work in progress that will go on in phase IV. The main disagreement from the ESAPP Management was on the place of Eritrea and Mozambique in phase III and the decision was taken to stay in both of the countries.

Recommendations Evaluation Phase II ESAPP		1 Follow up given in Phase III ESAPP according to ESAPP self-assessment in the capitalisation workshop
		2 Comments of the evaluators phase III
1	The evaluation team (ET) recommends continuing funding ESAPP with a perspective of another 8 years (i.e. a total of 15 years). It also recommends increasing the funding level by round CHF 300'000 per year. The additional funds should be spent in the South, while the current level of expenditure in the North should remain more or less the same.	<p>1 Duration: decision to be taken by SDC Total of Funding is not increased</p> <p>2 CDE financial management of ESAPP is lean and efficient and a trend towards increased part of the South in the budget is explicit in phase III</p>
2	The ET recommends to continue working in all the 6 countries and to strengthen activities in Mozambique and Eritrea. If no additional funds become available, it may be considered to drop Eritrea, and possibly Mozambique. It also should be considered whether to concentrate efforts in the latter two countries on knowledge sharing and linkages with ESAPP partners in the countries instead of isolated projects within those countries.	<p>1 ESAPP continued working in all 6 partner countries. Mozambique actions are concentrating on PAP and no EFP established.</p> <p>2 ESAPP tried to establish links with COOF Maputo, but no follow up. No continuity in terms of ESAPP coordinator in Mozambique positions the country is at a weak level in ESAPP. Additional efforts are required from CDE to establish FP and link ESAPP with SDC country office.</p>
3	The ET recommends giving up the sub-regional thinking in favour of a network of countries and intensified thematic exchange between country partners, and opening up the current thematic foci in favour of the whole array of ESAPP themes in each country.	<p>1 Abandonment of sub-regional strategies is fulfilled, but this abandonment is questioned by ESAPP. A thematic network replacing sub-regional set-up of exchange is put in place. The need for transnational projects was underlined.</p> <p>2 The thematic ESAPP network was launched in 2009 only and is not yet really established. Transborder cooperation among the ESAPP partners is missing. The two tasks deserve special attention from CDE.</p>
4.1	With respect to the ESAPP partner strategy the ET recommends to: <ul style="list-style-type: none"> • build up 3-4 core partners per country which will form a network of competence (among which one will take on the coordination role) • undertake purposive partner capacity building complementing the current form of capacity building as a kind of by-product of joint work • reduce the number of other direct partners in the network to 6-8 per country • reach out to particularly desirable additional partners through PAPs 	<p>1 At the end of phase II the number of partners was exploding. Concentration on selected core partners will start by 2010. EFP managing a set of 3-4 core partners and 6-8 direct partners in the network is working well.</p> <p>2 There is quite good progress on this except Mozambique</p>
4.2	• promote knowledge sharing links to partners of the partners actively	2 Coaching mechanisms partly in place, but no systematic coaching and monitoring mechanisms
4.3	gradually reduce scale of bilateral interactions between CDE and partners in favour of South-South interaction	1 ESAPP is dealing with global issues that need competencies on both sides: North and South. Care and continuity in North (CDE) – South (EFP) – Partnership.

		2 Intensification of bilateral transboundary South – South interaction will increase ESAPP knowledge and visibility while maintaining the North-South partnership.
5.1	Regarding thematic orientation the ET recommends that ESAPP: <ul style="list-style-type: none"> continues with the current thematic framework offers all themes in every country, but nevertheless steers towards some thematic concentration per country 	1 OK, on track. 2 This is undertaken well
5.2	• fosters that core partners develop into centres of excellence in certain themes	1 OK, on track. 2 This is also being undertaken well
6.1	Regarding the modular structure the ET recommends that ESAPP: <ul style="list-style-type: none"> continues operating with Priority Action Projects (PAP) and Basic Mandate (BM) Activities 	1 OK, on track. 2 Going well
6.2	rethinks the grouping of what is currently in the BM, particularly the specific BM <ul style="list-style-type: none"> systematically identifies, jointly with core partners, areas for BM activities which together with PAPs result in a more coherent thematic orientation 	1 Specific BM need further clarification: e.g. communication, participation in the thematic network, documentation, monitoring tasks, etc. 2 The BM defines the management tasks of the national EFP and give ESAPP the profile in the partner countries. In order to sharpen profile and to increase visibility more Investment in communication and marketing as well as in capitalization is needed.
6.3	explores whether other donors can be found who contribute to the PAP fund.	1 ESAPP believed that funding PAPs may not be that important but the expansion phase of PAP projects is found important. The issue is considered as important. 2 Attention to bureaucratic overburdening of small size PAPs when EFP has to manage multiple funding. But extra fund and new funds for Follow-up action is welcome for financing the off-springs of PAP “pilots”.
7	Regarding types of outcomes the ET recommends that the current outcome mix should be maintained with the generation and transformation of action-oriented knowledge continuing as strong focus of attention, and pro-active efforts to facilitate wider dissemination of the resulting knowledge. ESAPP should also pro-actively look for PAP opportunities that draw on and utilise research work undertaken by other actors to counteract the fact that the opportunities arising from earlier CDE research are gradually becoming scarce.	1 Very important issue, ESAPP invests in it. 2 Yes it is essential as knowledge and sustainability are both dynamic!
8	Regarding prospects for sustainability of outcomes the ET recommends taking care that the PAPs are designed in a way that minimise the risk of sustainability failures.	1 OK, but part of PAPs are innovative pilots and of higher risk for sustainability. Experiments are necessary for research. When screening the PAPs ESAPP looks at national context and sustainability. 2 It is true that risk minimization efforts should not compromise innovations
9	The ET recommends focusing capacity development at actors and stakeholders level more on building the competences of multiplicators, to ensure that the trainings are embedded in concrete development programmes, and that the contents are well adapted to the practical professional situation of the participants, and to encourage the building in of coaching opportunities after the proper training into the respective PAPs.	1 OK, to consider more in phase IV 2 This is an important and legitimate recommendation. ESAPP should give this issue priority and investment in Phase IV
10	The ET recommends that ESAPP undertakes more targeted efforts to encourage looking systematically at all projects and activities through a gender lens resulting in designs and implementation that address gender equality and women advancement issues adequately.	1 OK, agreement on the importance of gender and will to continue investing in gender. 2 Important issue for sustainability of results at livelihood level, but also in building of capacity and competence at the level of the partners.

11	The evaluation team recommends that ESAPP alerts all partners about possible ways to address HIV/AIDS in their projects, and that it asks in the proposal/reporting formats for information on whether and how HIV/AIDS is to be/has been dealt with.	1 OK, agreement on the importance of gender and will to continue investing in the issue. 2 The issue on HIV/AIDS as a transversal concern is important. However ESAPP does not address the issue explicitly and contents on having the issue “on the radar” as part of the context
12.1	Regarding knowledge management and networking the ET recommends to strengthen South-South exchange substantially e.g. by: <ul style="list-style-type: none">• allocating a budget in the BM for South-South interaction and planning activities jointly (such as thematic workshops, exchange visits, web-based interaction)	1 OK, on track 2 Started well but need to be strengthened and above all such activities should not be concentrated only in few countries
12.2	• establishing an ESAPP newsletter, an ESAPP market place and/or other mechanisms to exchange ideas and expertise	1 No newsletter, but preparing a brochure 2 We recommend a careful cost-effectiveness calculation on the issue of having a special newsletter, the use may be very limited. Better to invest on other media of communication such as making the platform more user friendly.
12.3	We also recommend capitalising experiences, outputs and insights more actively, and undertaking systematic efforts for networking and sharing beyond the ESAPP partner network e.g. by: <ul style="list-style-type: none">• including in every PAP clear mechanisms to share knowledge and experiences gained in the process• designing PAPs in a way that optimises outreach potential	1 Important issue. ESAPP invests in improving further outreach, but in a lean manner. 2 There is very little action on this issue but it is important and needs better attention
12.4	• building into the agreements the obligation to process knowledge and insights into a shareable form	1 ESAPP does it, but not in a formalised way and will make it more explicit. 2 This also an important issue and ESAPP should work on it (possibly at BM level) in designing the system as promised above
12.5	• establishing linkages with other thematically relevant national and international institutions and networks	1 Important issue. ESAPP has strong linkages such as with NCCR and others. 2 With NCCR there is very good linkage, more effort need to be applied to also explore other possibilities in each country
13	With respect to synergies with other SDC programmes, the ET recommends: <ul style="list-style-type: none">• that ESAPP continues efforts to find common ground with SDC-funded rural development programmes in Tanzania, Madagascar and Mozambique, focusing on direct contacts with NPOs and staff of local partner organisations• that ESAPP and SDC join hands to disseminate ESAPP knowledge and insights actively to DC divisions, COOFs, programmes and partners	1 Not reached. For reasons of differences in priority setting on both sides: ESAPP and SDC COOFs in TZ and MO. 2 ESAPP has a strong development component in the field of contextualised global concerns : Climate change, NR management and conflict – management that are of interest for SDC as well.
14	With respect to database management, the ET recommends that ESAPP promotes sharing and coordination of databases and their management beyond the CDE network.	1 CDE is developing a meta-database of PAPs. ESAPP will invest more in better data visibility and will invest in data policy and further technology transfer North – South. 2 The expansion in sharing of data beyond ESAPP partners is relevant and deserves proper action
15	With respect to the ESAPP website, the ET recommends to give it its own URL and graphic identity, make the information provided more attractive and encourage contributions by partners.	1 ESAPP website is still part of CDE web for reasons of costs (use the same server) and of shortage in staffing. But ESAPP could become a separate website. 2 Calculate and plan the investment for having a separate ESAPP website at CDE by end of phase IV
16	The ET recommends having an ESAPP coordinator/coordinating institution in every country, and investing time and resources in building the necessary capacity. The role of the coordinator should be broadened	1 Five focal points of ESAPP in place. FP Mozambique not fulfilled for reasons of poor performance, but ESAPP kept the relations alive with partners on PAP level.

	to include an active role in thematic backstopping and proactive facilitation of networking and exchange between ESAPP partners in different countries. Depending on partner capacity the actual coordination functions and the thematic backstopping may be divided between several partners with different thematic expertise.	2 Still need for clarification of importance, role and funding of ESAPP Mozambique. This is a strategic decision to be taken at the level of Advisory Board. CDE should apply extra efforts to find proper FP and institute and SDC to facilitate linkage with country office
17	The ET recommends reformulating the PAP guidelines to make them easily understandable, and to exempt projects which have newly started from submitting a first report according to schedule.	1 Need for revising the PAP guidelines.
		2 Valid
18	The ET recommends to have in future two categories of PAPs – small and medium ones: • Small PAPs: Up to 50'000 and 12-24 months duration • Medium PAPs: Up to 120'000 and up to 3 years duration Further, it is recommended to communicate funding ceilings unambiguously to all (potential) partners.	1 ESAPP partnership relays on having several PAPs , at least 3 PAP per year per country. The budget does not allow concentrating the investment on to big sized PAPs. 2 Since there is a possibility of building PAPs on the result of the previous PAP (when necessary and justifiable) the current arrangement should remain as it is. But the advisory board should seriously consider follow-up PAPs
19	ET recommends giving more attention to assessing the outcomes of PAPs and BM activities, while keeping the M&E system lean and simple. The proposal format should ask for logical connections between objectives and expected outcomes, and the reporting formats for reflected information on the outcomes achieved. A conventional logical framework approach, an adaptation of Outcome Mapping or a simplification of the recently developed framework for impact assessment through stakeholder negotiation may be used as a basis for asking questions about outcomes.	1 OK, but not overburden the administrative side and costs. OK for improving the outcome monitoring on the base of NCCR – monitoring. 2 Outcome monitoring is an important instrument for learning and improving in research – action for ESAPP and merits a systematic tool at the level of the national ESAPP Focal Points.
20	The ET is of the view that the share that is used by the Geo-Informatics Unit for database related work should decrease over time with capacity being built in the partner countries/ institutions and database management shifted to the South.	1 OK for better transfer N – S but also need to keep know-how on GIS in CDE. 2 The balance North-South is important – building capacity in South andt keeping the link with the North for conceptual and analytical support and for continous exchange and mutual learning.
21	The ET recommends devising a project steering mechanism and PAP approval process, which are based in the South and are geared to build the respective capacity of actors in the South. Project steering and PAP approval mechanisms may be separated from each other.	1 National EFP make the preselection of the PAP demands. CDE groups the PAP demands qualifying them recommended, good but to be postponed, not recommended for the Advisory Board. 2 Project steering and monitoring and quality insurance on documenting and reporting of PAPs should be systematically done by national EFP and it is advisable for ESAPP to invest on an lean instruments that allow meaningful monitoring and reporting, including qualitative data (such as the “genesis” of a project, etc.).

Annexe 3

ESAPP PAP in Madagascar and evaluators' comments based on field visits

Authors: ESAPP and partners involved in the PAP

Project	Title
E 612	LAND SECURITY & PARTICIPATIVE CARTOGRAPHY (PGIS) OF SOILS BASED ON SATELLITE IMAGES WITH VERY HIGH RESOLUTION IN 2 AREAS OF MADAGASCAR (DARAINA, ANJOZOROBE) [FANAMBY]
	History <p>The NGO Fanamby is active in three protected areas of Madagascar since 1998 in view of conserving biodiversity and habitats. As part of these activities, Fanamby conducted a number of studies including biodiversity inventories and socio-economic assessments. From these activities Fanamby gained the insight that land use planning and a coherent land tenure system were a key element of conservation. Only if farmers were given security over their land tenure could the encroachments into the protected forest area be slowed down, or even stopped. Therefore, Fanamby decided to implement a participatory mapping of land tenure in 6 Fokontany in the vicinity of the protected area. This mapping focused on clarifying land tenure and identifying areas with land conflicts or unclear land tenure situation. Fanamby approached ESAPP through existing contact channels to request for financial support in order to carry out this activity. The project falls under the reform of the land system in Madagascar engaged in May 2005 by the Land Tenure National Plan (PNF), within the framework of decentralization (in particular of the natural stock management) and in the continuation of the activities of conservation and development undertaken by Fanamby in 2 areas of Madagascar: Loky-Manambato (Daraina) & Anjozorobe-Angavo. The project addressed the technical (methodological, material), institutional (administrative, legal, conflicts) and cultural (common laws and lignagers) methods relating to the preparation of Local Plans of Land Occupation (PLOF) and to the security of the grounds.</p>
	Results <p>Fanamby's approach towards conservation is integrated. Next to the land tenure mapping they engaged also in eco-tourism in order to build up off-farm income generating activities for the local communities. A small lodge was built up with local expertise and products used in this lodge are exclusively bought from the local market to improve farmers' revenues. Additionally, the local communities get a 50% share of the revenue generated by tourism (park entrance fee, etc.).</p>
	Future / Follow up <p>ESAPP's contribution to this project was rather punctual in nature. Through its integrated approach, Fanamby was able to attract the interest of several donor agencies, which provided substantial funding to the eco-tourism and to other activities. There is a potential for extension of the experiments on the other surrounding communes.</p> <p>At the current time there are no plans for follow up activities funded by ESAPP. A capitalisation of the experiences made by Fanamby in this project would, however, be of great value to the ESAPP network in view of replicating such initiative in other parts of the region</p>
E612	Comments of the evaluation (based on the field visit) <p>We have witnessed that the very innovative single PAP project triggered huge momentum and managed to convince communities, government and other actors to delineate and officially declare a protected area jointly managed with communities including very innovative benefit sharing arrangements. Other donors such as EU, UNDP and local actors such as Air Madagascar and Government are using the results of this PAP to undertake follow-up actions on protected area management, carbon trading, land tenure certification, livelihoods and testing the methodology in other areas.</p> <p>Lesson/recommendation: E612 is an impressive result we have observed and we recommend two points: i) ESAPP should assess and follow the capitals generated by this project and lessons should be well documented and disseminated as best examples; ii) Fanamby would benefit from methodological and conceptual strengths of CDE on GIS and recommended to apply for PAP or get the support through other means.</p>
Q906	GESTION DES PATURAGES POUR LE CHEPTEL DE PETITS RUMINANTS (OVINS ET CAPRIN)
	Histoire/Genèse <p>Le projet Q906 dans une zone semi aride du district de Toliara II a pris naissance suite à la demande de la communauté locale (2 association d'éleveurs), le District de Toliara, et la Région SW de Madagascar. Avec l'échange avec DERAD, le projet a été soumis auprès de l'ESAPP. L'objectif principal du projet est de contribuer à la gestion rationnelle des pâturages pour les petits ruminants dans le terroir de Soalara.</p>
	Mise en oeuvre/résultats <p>Des enquêtes ménages ont été établies pour connaître le système de production au niveau du terroir, puis de relevés écologiques pour connaître la charge maximale de petits ruminants que pourrait supporter la forêt. Le terroir de Soalara dispose 7635 têtes de petits ruminants. La zone « bas des versants » situées aux environs du village de Soalara est déjà sur-pâturée, tandis que les zones « hauts des versants » restent encore sous exploités, un déséquilibre de consommation de fourrage a été mentionné.</p> <p>Suite à ces résultats, des recommandations ont été établies avec le consentement de la population locale comme la gestion rationnelle de pâturage, la plantation de fourrage autochtone, et la création de zone de pâturage dans les « hauts des versants ».</p>

	<p>Avenir / Suite</p> <p>Actuellement suite à ces recommandations, par l'appui de l'équipe DERAD, des demandes de financement de projets de reboisement des espèces autochtones ont été déposé par la communauté locale et la commune de Soalara auprès du WWF et du GEF.</p>
Q909	<p>IMPACT DE LA FABRICATION DE CHARBON DE BOIS SUR LA PRODUCTION ET LA DISPONIBILITÉ FOURRAGÈRE EN ZONE SUB-ARIDE , CAS DE LA COMMUNE DE SOALARA</p>
	<p>Histoire/Genèse</p> <p>Le projet Q909 est la suite logique du Q906. La constatation de l'importance des fours à charbon dans la forêt a tirée l'intention de l'équipe DERAD car cela se répercute directement à l'alimentation du cheptel des petits ruminants. DERAD, avec l'appui de la commune de Soalara , le District de Toliara II et la Région SW de Madagascar le projet a été soumis à l'ESAPP.</p> <p>Mise en oeuvre/résultats</p> <p>Une étude de filière charbon a été entreprise pour connaître l'importance socio-économique du charbon de bois au niveau des ménages, puis une étude de végétation évoquant les espèces les plus prisées par la fabrication de charbon de bois, et pour estimer la capacité maximale de production de charbon de bois dans le terroir. Comme résultats, on peut conclure que l'activité de fabrication de charbon de bois est une activité de secours pour la population. Si la fabrication de charbon continue, la forêt épineuse de Soalara sera anéantie en période de 17 ans.</p> <p>Des recommandations ont été établies pour éviter ce danger tel : la conscientisation de la population locale sur les méfaits de la fabrication de charbon de bois sur l'alimentation du cheptel et la forêt en général, puis la mise en place d'un cadre de suivi strict de la production de charbon de bois,et la mise en place d'une planification de gestion rationnelle de l'espace forestière.</p> <p>Avenir / Suite</p> <p>Encore ouvert</p>
Q906 Q909	<p>Comments of the Evaluation (based on the field visit)</p> <p>DERAD Association, Léa Raoliarivelo (directrice) and Josoa Andrianarisoa, is the implementing partner and guided the evaluation team and the participants to the capitalisation workshop in the field visit. Soalara is a marginalized and poor community and the livelihood are depending on the small ruminants. The mayor of Soalara is highly committed to the issue of poverty in his community and the link of poverty and marginalization with overexploitation of dry forest for grazing. Also the the traditional chief of the village that the evaluation hat the chance to talk too is very aware of the problem and degradation of the dry forest as direct result of poverty. The activity of DERAD was a strong moral support to both of them in argumenting for better care and consideration of sustainability in the use of the natural forest resource. Both consider DERAD report with the recommendations as a good base for further sensitisation in the community. But both expressed some feeling of frustration too because the projects raised the sensitive issues without offering concrete support to resolve the problems by taking concrete actions (provision or production of seedlings to reforest, alternatives to forest carbon production). DERAD is well aware that the community needs further support and they helped to write a project proposal to WWF for further support. The answer is outstanding.</p> <p>Lesson/recommendation: DERAD does a very good job and the reports are of high quality. They have a good contextualised knowledge that merits to be brought at the "meso" level in Madagascar and in the ESAPP network. Here the evaluation sees an important coaching and monitoring role of the national EFP. And national EFP must have / elaborate a monitoring instrument.</p>
E611	<p>PARTICIPATORY MANAGEMENT OF A WATERSHED PILOT SITE [ESSA –FORÊTS]</p>
	<p>History</p> <p>The project initiated by the ESSA - Forests in the area of Mandraka (Eastern cliff of Madagascar) endeavours to set up a site of simplified adjustment of catchments area which will be used at the same time as teaching laboratory for the students, and of site of demonstration for the local population. It is about a pilot site and the convincing results obtained during the phase-test will be duplicated gradually on the watersheds neighbourhood. The application for the students and the demonstration for the villagers relate to in particular the conservatory management of water and the ground, as well as the simple techniques of agroforestry. And this, in order to increase the agricultural output, to reduce erosion and to preserve the relics of surrounding forests, because of their ecological functions in particular of protection.</p> <p>Results</p> <p>In the short term, the results obtained consist to: a) having of a managed pilot site, b) the acquisition of ecological and socio-economic basic data, and c) the provision of simplified management plan. The adopted approach is the participative process involving the different stakeholders, of which farmers and ONGs working in the fields of the environment and the rural development.</p> <p>Value of watershed scale approach: Watershed scale management is an improved and demonstrative approach to resolve the large problem of deforestation in the region. By using simple and accessible techniques, the approach is easily adopted by farmers and transposed site to site.</p> <p>Role of exchange and capacity development: Capacity building through field visits and exchanges of experiences between farmer-farmer, farmer-trainer, is a better way of raising awareness of local people to well manage natural resources.</p> <p>Perspectives</p> <p>Assessment of: a) the duplication of the techniques and b) the extension of managed areas by present and other new farmers.</p>

E611	<p>Comments of the evaluation (based on the field visit)</p> <p>The work done by ESSA-FORETS on this PAP was very encouraging and has stimulated action by trained farmers and copy farmers on SLM. But there is a need for additional follow-up and technical guidance so that the up-scaling and scaling-out processes by farmers are done without technical errors. As the area is dominated by steep slopes errors in technical design of SWC measures will result negative outputs. Hence, ESSA-FORETS should prepare follow-up PAPs or look for other sources to continue the momentum which will be a promising solution for the big problem related to the slash and burn culture dominant in that part of the country.</p>
Q901	<p>ECOLOGICAL FOLLOW-UP AND ANALYZES SOCIO-ECONOMIC OF A PARTICIPATIVE MANAGEMENT OF AREA CATCHMENT'S IN THE ZONE OF MANDRAKA [ESSA-FORÊTS]</p>
	<p>History</p> <p>The project aims to reinforce and ensure the follow-up of the promotion of sustainable management of the natural resources in the catchments area of Mandraka with the participation of the local population, and also to find the conditions entitling to increase the incomes of households and subsequently to contribute to the reduction of rural poverty.</p> <p>Implementation/Results</p> <p>The initiated activities such as the application of techniques in agroforestry, capacity building of the farmers (training, experience sharing, implementation of the simplified management plan (test and adaptation) were continued and followed, and proposals for alternatives to increase the incomes of households were advanced.</p> <p>The capacities building were carried out by means of experience sharing between peasants and peasants and in the trilogy "students - peasants - teachers". The simplified management plan (SMP) elaborated at the time of the E611 project was tested with the pilot peasants on the level of their respective soils.</p> <p>In addition, the Ecological monitoring using the method TNC initiated by The Nature Conservancy, made possible to determine the state of reference (or "state zero") of the natural and artificial forests remaining, as well as the state of current viability of each type of forest. Later, the plots set could be used as permanent monitoring plots of observations (PPO).</p> <p>These assets of knowledge will constitute basic in order to apprehend the evolutionary tendencies of the biodiversity of Mandraka, in fact the specific diversity of the flora and fauna. Indeed, their respective evolutions would be, moreover, indicators of follow-up of the pressures undergone by the ecosystems and make it possible to appreciate the evolution of the viability of the remainders.</p> <p>Perspectives</p> <p>Elaboration of a method of monitoring socioeconomic aspects (livelihoods evolution, contribution of the watershed management to households' incomes, etc).</p>
Q901	<p>Comments of the evaluation (based on the field visit)</p> <p>The Effort applied by ESSA-FORTES in building on previous SDC capital and maintaining the arboretum as a scientific experiment site is impressive. They almost managed to institutionalize the monitoring process with the regular teaching process in the department. The experiments are also innovative and fundamental in generating useful empirical evidences for action. We recommend to continue data collection but also to see possibilities of using the site as a site for scientific-eco-tourism to generate additional income to maintain the park, for local communities around, and continue the existing scientific work. One PAP could also help them to consolidate the remaining data collection and synthesize data and design follow-up action projects.</p>
Q902	<p>INITIATION OF AN ENVIRONMENTAL EDUCATION & COMMUNITY TRAINING CENTRE FOR SUSTAINABLE LIVELIHOODS AND BIODIVERSITY CONSERVATION IN ANKILIBE. SOUTH WEST - MADAGASCAR" [ASE]</p>
	<p>History</p> <p>The project is scheduled to run for three years from May 2007 through to May 2010. Support is requested from ESAPP for the first year (May 2007 – May 2008) to develop the training centre, to pilot the initial programs on mangrove and terrestrial natural habitat restoration and fuel wood planting, and to develop alternative pirogue construction techniques. Working with regional NGO partners and under the lead of the Regional Forest Service, the program will develop several complementary and coherent components including: the development of social norms and monitoring systems for wise natural resources management; management planning for coastal and terrestrial zones; establishment of a community managed protected area; pilot actions that reduce land degradation tendencies and improve water management for agro-pastoral production (with ANAE); and a marine protected area and ecotourism development.</p> <p>Implementation/results</p> <p>The project was implemented in the communities of Ankilibe and Sarodrano and the natural terrestrial and marine habitats in the periphery of these communities. The training centre will be developed in the Hamlet of Namakia (adjacent to Ankilibe) on land owned by the Tulear Scouts Association & ASE.</p> <p>With financial support of ESAPP and several other donors the following specific objectives would be achieved: a) a regional training centre is established for educational programs on environmental management, alternative energy technologies, cultural history, alternative livelihoods development, ecotourism opportunities, and for the expansion of pilot natural resources programs and pilot activities developed by ANAE in the adjacent town of Sainte Augustin (a centre that is open to local communities, school groups, and regional NGOs); b) mangrove restoration techniques that contribute to the restoration of seafood stocks are developed and are being actively implemented in the communities of Ankilibe and Sarodrano; c) a program for terrestrial habitat restoration and family fuel wood plantations is initiated in the communities of Ankilibe and Sarodrano (as an expansion of activities initiated by ANAE in Saint Augustin; d)</p>

	<p>techniques are developed for alternative pirogue construction and more efficient fishing techniques; e) community marine conservation areas are established (no-go zones) to improve fish stocks as well as to diminish the pressure on the marine habitats and provide opportunities for marine ecotourism development (to complement terrestrial land management planning completed by ANAE); f) tremendous ecotourism potential of the region is developed for the benefit of the local communities of Ankilibe and Sarodrano (in collaboration with the Association Ardoukoba).</p> <p>This project will touch on most of the ESAPP's field of activities through:</p> <p>Researching and testing in a participatory manner habitat restoration programs and alternative livelihood strategies</p> <p>Participatory assessment and management planning with actors from several disciplines;</p> <p>Development of models, tools, and capacity building programs for community managed restoration and conservation areas;</p> <p>Development of regional partnerships relative to common goals for conservation and rural development.</p> <p>Perspectives</p> <p>Follow up and monitoring of the different activities (training centre, mangrove restoration, fuel wood plantation, pirogue construction, community marine conservation and ecotourism.</p>
Q 903	<p>Développement d'outils de sensibilisation au bénéfice de la Caritas Antsirabe, en vue d'adoption des techniques culturelles porteuses soucieuses de l'environnement (SAVAIVO / CARITAS project</p> <p>Through the contact of the priest of several villages in a zone of persistent poverty of the livelihoods Caritas approached SAVAIVO asking for coaching and training for better sensitisation of the communities.</p>
Q 903	<p>Comment of the evaluation (based on field visit)</p> <p>The outputs of "classical" research are generally knowledge adapted to resolve societal problems. But this generally is not really the case. By visiting Q 903 in the field, the evaluation had the chance to assess a concrete situation where farmers living on adjacent hill were unable to cross the valley and learn soil conservation techniques from their neighbours across the hill, even the success of these techniques were highly visible. The failure to act is due to a barrier in knowledge transfer, institutional inertia, and weak policy and legal frameworks. Thanks to ESAPP input by coaching Caritas extensionists in the site and thanks to a very dynamic and constructive priest leading the process in the community, the trend was inverted towards problem resolution. In this very specific case the poverty was very high and the livelihoods were exclusively subsistence farmers. The ESAPP project in this poor village (ESAPP partner Savaivo coaching Caritas) very successfully contributed through capacity development to move barriers allowing the way out of subsistence farming.</p>
Q904	<p>CLIMATE CHANGE: REDUCTION OF DEFORESTATION AND DEGRADATION IN THE AREA OF MANOMPANA - NORTH EAST MADAGASCAR</p> <p>History</p> <p>The overall objective is to support the REDD process in Madagascar by establishing a mechanism for reducing GHG emissions from deforestation and forest degradation. It is specifically to develop a spatial model showing the evolution of the substantial reduction of emissions of greenhouse gases (GHG) emissions from deforestation and forest degradation and simulate scenarios using a baseline study of historical deforestation and degradation.</p> <p>Thus, the approach REDD (Reducing Emissions from Deforestation and Degradation) is presented as an alternative for potential funding of the management of biodiversity. However, the establishment of such an approach requires the establishment of a scientific methodology consistent with modelling systems adapted. In this sense, a large number of stakeholders (students, researchers, experts, local communities) has been involved locally, nationally and internationally to meet the challenge.</p> <p>The cartographic part then worked on the project about the study of correlations between remotely sensed variables, including vegetation indices and biomass values observed in field with specific inventory. Maps with comparative studies and evolutionary were elaborated for the years 1991, 2004 and 2009 using SPOT media but also on the 1957 data by digitizing existing maps.</p> <p>On the other hand, a capitalization of socio-economic conditions was also performed to spatially distribute and modelling the impacts of human activities on deforestation and forest degradation. The results showed that deforestation and degradation can be assessed and evident that the rate of carbon varies significantly between a forest that have undergone little disturbance and forest subject to further erosion. On the other hand, the transposition of biomass inventory data in the fields on the interpretations of the image can also make models of the evolution of deforestation and degradation.</p> <p>Results</p> <p>All these studies have enabled the provision of a database that permitted the development of : a) methods for quantifying carbon stocks in a rainforest, and b) models for assessing respectively the trends of deforestation and forest carbon stock.</p> <p>For recovery scientific, the team "ESSA Forests and CDE" has approved to make and submit to Congress publications and international scientific journal. The first publication has been validated in the International Scientific Conference on Technologies for Development, organized by UNESCO, in Lausanne (Switzerland) in February 2010.</p> <p>Perspectives</p> <p>Implementation of the methods to other sites, in other ecosystems.</p> <p>Follow up and Refining of the methods</p>

Annexe 4

Programme of the Evaluation

WEDNESDAY 28 APRIL 2010	Travelling to Antananarivo / Madagascar
TUESDAY 29 APRIL 2010	Start Capitalisation Workshop in Antananarivo
FRIDAY 30 APRIL 2010	Travelling to Toliara (South West) Capitalisation Workshop
SATURDAY 01 MAY 2010	Interviews with EFP, Team Madagascar and Partners Capitalisation Workshop
SUNDAY 02 MAY 2010	Interview with Representative ESAPP from Mozambique Interviews with EFP and Partners: Ethiopia, Eritrea, Kenya Capitalisation Workshop
MONDAY 03 MAY 2010	Interview with CDE Management and Coordinator Field Visit all participants Q 902
TUESDAY 04 MAY 2010	Interview with EFP and Partner: Tanzania Capitalisation Workshop: Closure Field visit Q906 and Q 909
WEDNESDAY 05 MAY 2010	Team work of the evaluation on capitalisation workshop Travelling to Antananarivo
THURSDAY 06 MAY 2010	Eval Group 1: Travelling to Antsirabe for field visit Q
FRIDAY 07 2010	Eval Group 2: Travelling to Mandraka for field visit
SATURDAY 08 MAY 2010	Eval Group 1: Field visit Antsirabe
SUNDAY 09 MAY 2010	Eval Group 2: Anjozorobe for field visit
MONDAY 10 MAY 2010	Morning: Workshop ESSAForest Antananarivo
TUESDAY 11 MAY 2010	After-noon: Workshop Savaivo Antananarivo Individual Work, Worksession E-Team <i>Visit National Museum // Work on Draft Report</i>
WEDNESDAY 12 / TUESDAY 13 MAY 2010	Work on Draft Report Work on Draft Report 16.00-18.00 Restitution with EFP and partners Travelling back

Participants of the Capitalisation Workshop

Nr	Country	Name	Institution
1	ER	Woldeselassie Ogbazghi	Hamelmalo Agricultural Institute
2	ET	Berhanu Debele	Regional Coordination Joint Area of Case Studies Horn of Africa, NCCR North-South
3	KE	Boniface Kiteme	Centre for Training and integrated Research in ASAL Development (CETRAD)
4	KE	Anne Powys	The Suyian Trust
5	KE	Solomon Mbuguah	Nakuru Municipal Council
6	TZ	Seif Madoffe	Sokoine University of Agriculture (SUA)
7	TZ	Ruth Madulu	Mikocheni Agricultural Research Institute
8	MZ	Yussuf Adam	Universidade Edoardo Mondlane
9	MA	Gabrielle Rajoelison	Ecole Supérieure des Sciences Agronomiques (ESSA), Dpt. des Eaux et Forêts
10	MA	Harifidy Rakoto Ratsimba	Ecole Supérieure des Sciences Agronomiques (ESSA), Dpt. des Eaux et Forêts
11	MA	Harisoa Rabevohitra	Savaivo
12	MA	Josoa Andrianarisoa	DERAD Association
13	MA	Léa Raoliarivelo	DERAD Association
14	CH	Urs Wiesmann	Centre for Development and Environment (CDE)
15	CH	Albrecht Ehrensperger	Centre for Development and Environment (CDE)

Evaluation Team

17	CH	Monika Egger	Egger Consulting
18	ET	Gete Zeleke	Avallo International Research and Development
19	KE	George Khoda	Redplan Consultants