

EXTERNAL EVALUATION OF ESAPP: EASTERN AND SOUTHERN AFRICA PARTNERSHIP PROGRAMME

PHASE IV (2010 – 2013) Overall ESAPP 1999-2013 Strategic Outlook



Mandate from Swiss Agency for Development Cooperation SDC

Final Report **31 October 2013**

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Photos front page (evaluation team)

- Left NGOLO cultivation technology Mutonguni in Kitui County, Eastern Kenya.
- Right Common intake in Ngusishi (Water Resource Users Association)

ACKNOWLEDGEMENTS.....	3
ACRONYMS AND ABBREVIATIONS	4
EXECUTIVE SUMMARY	5
INTRODUCTION	7
Background.....	7
Mandate and objectives of the evaluation	7
Methodology and specificity	8
Evaluation of Phase III: Implementation of the recommendations	8
Part A ESAPP PHASE IV	9
Context	9
Outcomes	10
Basic Mandate	10
Priority Actions Projects.....	11
Reference sites.....	14
ESAPP network	16
Conclusion on achievements of phase IV	16
PART B COMPREHENSIVE CAPITAL OF ESAPP 1999-2013.....	17
Number of PAPs with impact on the ground	17
Partner Network established	18
Capacity built	18
Knowledge SLM and SRD enhanced	19
CONCLUSION: ESAPP merits at a glance	19
PART C STRATEGY FOR FUTURE	20
Issues for transition year 2015	20
Context of the South 2014-2025: Global drivers and devolution.....	22
Context of the North 2014-2025: Donors adaptation to global issues.....	22
Strategy Post ESAPP: 2 thematic clusters.....	22
Sustainable Livelihood and Global Change; Biodiversity and Climate Change	22
Final remarks	24
ANNEXES.....	25
Annexe 1: Terms of Reference.....	25
Annexe 2: Evaluation phase III ESAPP: Recommendations and their implementation	28
Annexe 3: Reference Sites.....	32
Annexe 4: Programme ESAPP Capitalization Workshop 2013, Nanyuki / Kenya	36
Annexe 5: Field Visits	37
Annexe 6: Interviews	38

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ACRONYMS AND ABBREVIATIONS

ASAL	Arid and Semi-Arid Lands
BM	Basic Mandates (of ESAPP)
CA	Conservation Agriculture
CBO	Community Based Organisation
CD	Capacity Development
CDE	Centre for Development and Environment, University of Berne / Switzerland
CETRAD	Centre for Training and Research on ASAL Development
CHF	Swiss Francs
EFP	ESAPP (national) Focal Points
EIA	Environmental Impact Assessment
ESA	Eastern and Southern Africa
ESSA FORÊTS	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)
REDD	Reducing Emissions from Deforestation and Forest Degradation
RS	Reference Site
SA	Study Area
SCRIP	Soil Conservation Research Programme
SDC	Swiss Agency for Development and Cooperation
SLM	Sustainable Land Management
SRD	Sustainable Regional Development
SWC	Soil and Water Conservation
WUA	Water User Association
TAFORI	Tanzania Forest Institute

EXECUTIVE SUMMARY

Donor	SDC, Swiss Agency for Development and Cooperation
Report title	External Evaluation of ESAPP: Eastern and Southern Africa Partnership Programme, Phase IV (2010-2013)
Subject No	7F-01358.33.08
Geographic Area	Eastern and Southern Africa: Eritrea, Ethiopia, Kenya, Madagascar, Mozambique, Tanzania
Sector	Sustainable land management (SLM) and sustainable regional development (SRD); global change; climate change; biodiversity; sustainable livelihood; food security.
Language	English
Date	August - October 2013
Evaluation type	External Evaluation
Status	Terminated
Authors	Monika Egger Kissling (Lead); Prof. George Krhoda

Subject Description

ESAPP is a programme building on partnership between an institution in the North (CDE University of Berne/Switzerland) and partners in the South (6 countries in Eastern and Southern Africa) with a topical focus on Sustainable Land Management and on Sustainable Regional Development. ESAPP also builds on partnership between the partners in the South. The programme combines research and research action with development. SDC has been financing ESAPP since 1999 with a total amount arriving at 16.3 Mio CHF (Phase I 1999-2002: 2.8 Mio CHF; Phase II 2003-2006: CHF 4.4 Mio CHF; Phase III 2007-2010: 4.9 Mio CHF; Phase IV 2011 - 2013: 4.2 Mio CHF). Phase IV is the last phase of the ESAPP programme that ends in December 2013. CDE and SDC agreed on a no-cost extension until December 2014 that will be used mainly for closing last projects and as transition period for preparing a new programme and collaboration framework to be launched in 2015. SDC mandated this external evaluation to assess the results of phase IV and to review the overall achievements, capital and potentials of ESAPP in order to generate ideas for the transition of ESAPP into a new collaboration framework.

Evaluation methodology

The external evaluation adopted a participatory approach for reasons of the evaluation team participating actively in the ESAPP capitalization workshop in Kenya (Nanyuki, 04-06 September 2013). 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 ESAPP documentation provided insights in phase IV activities as well as information on the overall achievements of ESAPP since its start in 1999.

Major findings

Overall ESAPP: The central outcome of ESAPP 1999-2013 is the improvement of Sustainable Land Management (SLM) and Sustainable Regional Development (SRD) in Eastern and Southern Africa (ESA). ESAPP addressed livelihoods needs with innovative research based answers linked to global changes such as climate change, food security, and biodiversity. Furthermore ESAPP 1999-2013 has successfully implemented sector reforms and has influenced policy making at local and national levels. The aim to leave behind a strong and dynamic ESAPP network of partners is only partly realized. CDE played the (informal) role of network coordinator and no formal regional coordination structure is put in place. But the net is established and the partners are committed to continue their collaboration beyond ESAPP.

Phase IV (2010-2013): Important achievements were realized. The Priority Action Projects (PAPs) were in general of good quality and they were oriented more strategically on capitalizing ESAPP

merits by the end of the programme in 2013. Despite their small size and short time run the PAPs have had an impact on the ground. The price of the small size (in average CHF 30'000) and short time (6-12 months) of PAPs is that they are selectively covering one part of a holistic system and they do not always allow the whole project cycle of intervention including monitoring. Ten Reference Sites thought as long-term monitoring platforms were put in place. They have had varying performance and the South-South partners' interaction was not as intensive as expected. Basically the reference Sites remained somehow an artificial concept.

Strategic outlook: ESAPP capital consists in (i) knowledge on how to tackle issues of global change at local livelihood level, (ii) a net of ESAPP partners with relations and links to local, national and regional institutions, (iii) strengthened research institutes in Kenya (CETRAD) and in Madagascar (ESSA FOREST), and (iv) excellent track record of collaboration with CDE and SDC.

The evaluation team suggests ESAPP thinking about creating a South demand with a programme approach in two thematic clusters:

- 1 Sustainable Livelihoods and Global Change with CETRAD in the lead of conceptualizing and coordinating a programme approach and creating a South Demand
- 2 Biodiversity and Climate Change with ESSA FOREST in the lead of conceptualizing and coordinating a programme approach and creating a South Demand

Both institutes are interested and motivated to take the lead for conceptualizing a programme and for creating a South demand.

INTRODUCTION

Background

The *Eastern and Southern Africa Partnership Programme* (ESAPP) was set up in April 1999 and is financed by SDC / Division of East and Southern Africa. Participating countries for partnerships and for interventions are Eritrea, Ethiopia, Kenya, Madagascar, Mozambique and Tanzania. The programme is managed by the Centre for Development and Environment (CDE) a research Centre at the faculty of natural sciences 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 (ESA) by means of a dual approach and of integrated concepts and innovative tools, research and research partnerships and capacity building. ESAPP activities are involving individuals and institutions inside the region and from Switzerland. ESAPP's overall development goal is to contribute to the sustainable development in Eastern and Southern Africa in an attempt to fight poverty and to enhance food security and social welfare, economic development and ecological sustainability.

The approach of the programme combines concept-driven Basic Mandates (BM) with demand-driven Priority Action Projects (PAP). In Phase IV of the programme 10 Reference Sites were identified in order to allow for thematic clustering of PAPs, greater impact in the given theme and better visibility of ESAPP PAPs. In the long run the RS are conceived as long term observatories of global change.

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 Natural Resources Management (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 development demand-driven action. This concept gave rise to the specificity of ESAPP approach. A special thematic focus was developed in Kenya and Tanzania on SRD, in Ethiopia and Eritrea on SLM, in Madagascar on rural communication and on biodiversity, and in Mozambique on rural development and NRM including biodiversity.

After 14 years of interventions ESAPP has built a rich capital based on a total of more than 254 Priority Action Projects (PAP) implemented in the six countries of ESAPP with a financial volume of CHF 9.4 Mio.

Mandate and objectives of the evaluation

Phase IV (2010-2013) is the exit phase of ESAPP. However as stipulated in the TOR (see Annexe 1), members of the ESAPP network firmly intend to continue collaborating in a new research partnership framework at the end of ESAPP. Therefore, the focus of this external evaluation is twofold:

- a) To review the achievements, capital and potentials of the ESAPP network in order to generate ideas and a strategy.
- b) To sketch scenarios for a transition of the ESAPP network into a new collaboration framework.

The key issues to be addressed in this evaluation are the following:

- Implementation of the recommendations Evaluation phase III (2010): How were the recommendations of the Phase III evaluation translated into implementation?
- ESAPP capital: What are the achievements and assets of the ESAPP network, and how can they be capitalised and used to develop new research partnerships in the East African region?
- ESAPP relevance: What is the regional relevance of ESAPP portfolio and to what extent are results produced by ESAPP funded projects influencing sustainable land management and sustainable regional development in the East African region?
- Framework beyond ESAPP: Chances and ways for maintenance of ESAPP network and role of reference sites beyond ESAPP?

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).

- Demand: To what extent can important stakeholders (ministries, regional administration, researchers, farmers, etc.) in the region become purchasers of services from the future post-ESAPP network of research partnerships?
- Strategies: What strategies can the post-ESAPP network follow to link purchasers and potential donors while securing its own mandates and further contributing to SLM and SRD in the region?

Methodology and specificity

This external evaluation is threefold. The mandate asks for combining the evaluation of achievements focusing on the exit phase (Part A), with an overall assessment aggregating the outcomes to the extent possible to assess the overall success of ESAPP (Part B), and furthermore with elements of strategic planning for a new collaboration frame (Part C). The evaluation methodology combines (i) critical analyses of project documents and monitoring reports, (ii) interviews of key partners and stakeholders, and (iii) observations during field visits. The field visits allowed the evaluators to gain concrete insights in 6 actual PAPs in Kenya, 4 out of them being part of a Reference Site (RS) portfolio.

Focus on phase IV: The evaluation assesses to what extent the expected outcomes of the exit phase IV are reached, as anticipated in the Programme Outline² for this phase. In order to inspire the strategic planning process the evaluation identified the main issues for the transition year 2014 and developed a proposal for future framework of collaboration.

Evaluation of Phase III: Implementation of the recommendations

The evaluation of phase III (June 2010) highlighted the relevance of ESAPP to some of the most important issues in SLM and SRD in the region and especially in linking the interventions to poverty and marginalization. The combination of research, research action and development was judged as fruitful and allowing mutual learning and improvement in research and in development action. ESAPP projects were assessed as having high impact with low inputs in terms of funding and project duration. No need for fundamentally restructuring the programme was identified. The evaluation highlighted the 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. The evaluation advised that more work should be done in terms of aggregates, of lessons learnt and of best practices that can be replicated. ESAPP capital was judged as being already rich, but it has to be shown with more clarity and profile. A communication strategy would help disseminating ESAPP results with customized information tools and products. From the evaluators' perspective these recommendations were not fully implemented in Phase IV. No systematic and continuous exchange with SDC Cooperation Offices in the region took place. The production of ESAPP brochure will allow for dissemination of ESAPP results in a larger development community including SDC.

The evaluation recommended 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 global terms. This recommendation was not realized at the level of Advisory Board enlargement, but an exchange with representatives from SDC's regional programme (Willi Graf and Gerhard Siegfried) with ESAPP Board took place. However, this discussion did not include concrete ideas on how to capitalize the ESAPP experiences in favor of SDC.

The evaluation recommended to CDE 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 Advisory Board. The Advisory board in their first Meeting of Phase IV held in April 2011 at CDE invited Boniface Kiteme (Focal Point coordinator in Kenya) and Berhanu Debele (Focal Point coordinator in Ethiopia) to participate as a way of consolidating and creating ownership by the south partners.

² Eastern and Southern Africa Partnership Programme (ESAPP): Programme Outline for Phase IV (2011 – 2013), Submitted by Centre for Development and Environment / University of Bern, September 25th 2010.

The evaluation advised ESAPP to make more explicit and more visible its capital, that is, the creation of relevant integrated knowledge and best practices for multi-disciplinary problem resolution in relevant development challenges in the region. Capitalization process was initiated in 2012 to make experiences gathered by CDE and its partners during the 14 years available and lessons learned and recommendations for future research partnerships in the East African Region and elsewhere. In the same year, capitalization workshop was held in southern Tanzania and northern Mozambique to derive field and contextualized innovation to bear on practical challenges of biodiversity management. In Kenya ESAPP programme, by representing it in more than 20 meetings and events while Tanzania organized different local workshops with ESAPP project partners. A workshop was convened in Morogoro and Ribaha to discuss the progress of and increase familiarity with ESAPP projects with representatives of the lead institutions.

The evaluation further recommended implementing a systematic mechanism at programme level and at the level of the national ESAPP focal points for better monitoring and steering of both the ESAPP and the Priority Action Projects. Phase IV therefore embraced the concept of RS as a response to this recommendation. Other challenges include delays in project implementation due to bureaucracy and slow transfer of funds. Also, the cooperation of local communities in project activities was sometimes difficult due to the overlap of these activities with the farmers' agricultural calendar. Finally, the EFP noted that there was lack of clear coordination between the activities in projects in the Pangani basin and recommends increasing collaboration other projects.

ESAPP PAP are so far almost national and it was recommended that some more regional PAP be designed and implemented in a way that intensifies further the regional exchange in ESAPP (a few PAP were already transboundary between Kenya and Tanzania in the Pangani basin and Uмба basin and the Kitendeni corridor). Delays in project implementation due to bureaucracy and slow transfer of funds have been reported. Additionally cooperation of local communities in project activities which had been sometimes difficult due to the overlap of these activities with the farmers' agricultural calendar were being equally concerned. Finally, the EFP noted that there was lack of clear coordination between the activities in projects in the Pangani basin and recommends increasing collaboration with other projects. The evaluation recognises that recommendations of the evaluation of phase III have inspired CDE and the Advisory Team to formulate Phase IV and specific recommendations from Phase III evaluation were implemented.

➔ See Annexe 2 detailed comments from the evaluators' as well as from ESAPP coordinator's perspective.

Part A ESAPP PHASE IV

Context

The ESAPP region is large and has a large population of about 200 million people, diverse agro-ecological zones ranging from tropical forests to mountainous peaks and arid and semi-arid zones (ASALs). There are social and economic features that are common to the whole ESAPP region such as internal political instability, high levels of poverty, large rural population thus causing competition on use of natural resource and environmental degradation, and food insecurity. It is within this context that the implementation of Phase IV programmes was undertaken. For example security and political dynamics were hindering factors and made travelling and visits difficult in Madagascar and Eritrea, and post-election violence and tension leading to 2013 April election stifled the RS in Nakuru/Kenya.

The performance of the programme depended also on the participating institutions. The South remains an area where institutions are weak; collaboration is limited due to physical infrastructure such as air connections and poor roads or social infrastructure such as language, diverse colonial heritage and post-colonial political alignments and limited human resource capacity. However economic growth is currently looking up with the discovery of petroleum and natural gas in Mozambique, Tanzania and Kenya, huge quantities of groundwater resources in Kenya and Tanzania, constitutional and political reforms in Kenya, Tanzania and Eritrea, and templates for even greater growth as captured in national policies in Tanzania's Vision 2025 and Kenya's Vision 2030.

Outcomes

The programme components of Phase IV of ESAPP are as in the previous phases the Basic Mandate and Priority Action Projects. This dual structure is ESAPPs mark and specificity. An additional component is the definition of 10 Reference Sites. The expected outcomes of Phase IV are clustered around planned achievements from the BM and from the PAPs. An additional expected outcome is formulated for the transition period (2014): To secure a transition towards new frameworks of collaboration in order to safeguard the long-term existence of the ESAPP network (Outline Document, pp.24-25).

Basic Mandate

The scope of the Basic Mandate is capacity development and capitalization workshops, database and web development and steering of the reference sites. The responsibility for the BM is with the coordination team at CDE³. During Phase IV the main purpose of the BM is to equip ESAPP research partnership network with know-how, capacity and instruments that enable the partners to continue maintaining the network beyond the end of ESAPP.

The tasks in Phase IV are:

- Steering of Reference Sites
- Capitalization of ESAPP
- Annual capitalisation workshops Development of data and knowledge bases.
- Further capacity development of ESAPP partner institutions

The BM was reduced in Phase IV compared to previous phases in favour of the RS.

Achievements Basic Mandates

Phase III evaluation recommendation was for CDE to make more explicit and more visible its capital, by creating relevant integrated knowledge and best practices for multi-disciplinary problem resolution in relevant development challenges in the region. This has been achieved by establishing Reference Sites (RS).

The steering of RS was implemented by elaborating Guidelines for the RS⁴. The guidelines served as orientation for the setup of the RS and for the formulation of the main expected outcomes. The aim was to have a harmonized concept of the RS as well as action plans for each reference site for the implementation of project activities between October 2011 and September 2013. Reporting on RS is done in the annual reports that are also part of the BM. Guidance and reporting on RS through BM was achieved. From the bilateral interviews with ESAPP focal points and also from the presentations and the discussion in the Nanyuki workshop the evaluators have the impression that it is less clear whether RS concept is really understood in all countries the same and if it is not partly reduced to PAPs being rather artificially clustered around a theme. The concept of RS was elaborated at CDE and the RS were identified together with ESAPP focal points. The time of two years for conceptualization, communication and implementation of the Reference Sites is rather short and may explain the limits and that the concept of RS remained somehow artificial.

Capitalization: Concept and preparing work for a “brochure” on ESAPP capital highlighting success and experience of ESAPP is done and the publication of the “brochure” is foreseen by end of 2013.

The annual capitalisation workshops are the main platform for face to face meeting and exchange among the focal points and with CDE-representatives and for reporting. The workshops took place annually as planned. There were some critical feedback on the Workshop that took place 2012 in Mozambique and Tanzania (concept of the WS, logistics, unbalanced timing exchange and field visits). The evaluators fully participated in the WS 2013 and profited from the presentations and discussions that were very fruitful at the level of activities. As regard to the strategic level, no real debate implementing all participants took place at Nanyuki, neither on the RS expectations and effective outcomes, nor on the strategic outlook on Post ESAPP. Both themes have a direct impact on ESAPPs future. The South participants with the exception of Kenya were not prepared and / or not

³ Albrecht Ehrensperger, with the support of Maria Paulsson at CDE, Berne.

⁴ A. Ehrensperger: Guidelines for Preparatory steps in ESAPP Reference Sites, 29.03.2011.

positioned and competent for strategic designing of ESAPP future. That led to the situation that CDE dominated the debate. The transition year 2014 offers the chance to catch up the strategic debate in fine-tuning the programme components, including partners, of the two thematic clusters that are presented by the evaluation in chapter 3 (Figure 6).

Capacity Development through the BM is a continuous process. The evaluation taking place in Kenya could notice the high competence and capability of CETRAD to conceptualise and manage different tasks going from logistics, to select local partners, to interact with CSO and with public administration and the academic world as well as different donors and partners. Another example is the support through the BM of ESAPP for the PhD of a founder member of Savaivo, an important partner of ESAPP in Madagascar.

Priority Actions Projects

The original purpose of the PAPs is twofold:

- a) Uphold the flow of innovative approaches and competitive character of ESAPP project implementation.
- b) Broaden the network's institutional linkages.

Innovative approaches and network's institutional linkages: PAPs were oriented more strategically towards prioritising the criteria of enhancing the visibility of ESAPP and of having a particular link to the RS themes.

The expected outcomes from the PAPs in Phase IV are

- to contribute to the creation of information and knowledge on SLM and SRD
- to develop capacity of individuals and institutions on issues related to SLM and SRD
- to direct development support to marginalised communities
- to provide policy support to decision-makers.

The evaluation did not go into detailed analyses of single PAPs and can therefore not judge on the "Uphold of the flow of innovative approaches" and if the network's institutional linkages really were broadened. What several interviewed persons confirmed was that the quality of the PAPs has increased.

Table 2 Overview of PAPs in Phase IV (2010-2013)

				In CHF			Total per country	Approved	Status on 02.10.2013
	Priority Action Projects	Country	Lead Agency	Budget North	Budget South	Budget Total			
Q304	Establishing international identity for the frankincense and myrrh resins	ET / KE	Sommerlatte + Nat. Herb.	2'000	49'000	51'000	145'000	March 11	ongoing
Q305	Empowering local people with tech. to manage h-w conflict + undertake cons. planning	KE / TZ / ET	Cetrad	2'000	50'000	52'000		March 11	ongoing
Q306	Radio in support of rural advisory systems and rural development	KE / MA	CDE / Cetrad	27'000	15'000	42'000		Okt 12	ongoing
Q408	Assessment on current potato cultivation systems	ER	AEAS	11'000	19'000	(30'000)	105'000	Nov 11	cancelled
Q409	SLM observatory Eritrea (Afdeyu Site)	ER	Vision Eritrea	10'000	25'000	35'000		March 12	finalized
Q410	Compilation of Spatial Database and Atlas Map of Zoba Maekel	ER	MoA	10'000	20'000	30'000		Mai 13	ongoing
Q411	SLM observatory Eritrea (Afdeyu Site)	ER	CDE	25'000	15'000	40'000	275'400	Mai 13	ongoing
Q513	Training of trainers on Sustainable Land Management (SLM)	ET	Mekelle Univ.	20'000	16'000	36'000		Apr 11	finalized
Q514	Hunde Lafto Model Conservation Catchment Development	ET	Rco-Ethiopia	4'000	26'000	30'000		Nov 11	finalized
Q515	EthioGIS II: National geospatial database system for land and water resources management	ET	CDE	38'000	2'000	40'000		Mai 13	ongoing
Q516	Improving accessibility of MODIS derived time series of vegetation i.	ET	CDE	30'000	10'000	40'000		Mai 13	ongoing
Q517	Dizzi Operationalization Project	ET	Rco-Ethiopia	4'000	46'000	50'000		Mai 13	ongoing
Q518	Hunde Lafto Model Conservation Catchment Development (Follow-up)	ET	Rco-Ethiopia	4'000	25'500	29'500		Mai 13	ongoing
Q519	Evaluation of government initiated land resource management	ET	SARI	0	49'900	49'900		Mai 13	ongoing
Q619	Securing a future for Mountain Bongo	KE	Cetrad	0	42'000	42'000	300'000	March 11	finalized
Q620	Wetlands policy intervention	KE	Cetrad	4'000	30'000	34'000		Nov 11	ongoing
Q621	Improving the organic waste-to-fertilizer value chain in Nairobi	KE	Taka-Taka	8'000	18'000	26'000		Nov 11	ongoing
Q622	Midterm Impact Monitoring of Economic Stimulus Programme (Fisheries)	KE	Cetrad	5'000	20'000	25'000		March 12	ongoing
Q623	Documentation + Synthesis of Wetlands Assessment and Mapping Study	KE	Cetrad	2'000	28'000	30'000		March 12	ongoing
Q624	Securing a future for the worlds last remaining Mountain Bongo (Follow-up project)	KE	Cetrad	3'000	30'000	33'000		Okt 12	ongoing
Q625	Anchoring outcomes of ESAPP in policy, practice and capacity	KE	Cetrad	3'600	56'400	60'000		Mai 13	ongoing
Q626	Review and production of socio-economic and poverty atlas for KE	KE	Cetrad	12'000	38'000	50'000	295'300	Mai 13	ongoing
Q714	Supporting formation and functioning of water user associations	TZ	Tafori	4'000	22'000	26'000		Nov 11	ongoing
Q715	Collaborative governance for sustainable land use management among commercial and subsistence producers in Kilosa and Kilombero districts	TZ	SUA	6'000	30'000	36'000		Nov 11	finalized
Q716	Ngolo cultivation technology for soil and water conservation in Umba Basin	TZ	MARI	5'000	25'000	30'000		March 12	finalized
Q717	Facilitating stakeholders to apply multi-sectoral consultative forum for mitigating conflicting interests to ensure sustainable management of mangrove resources in the Rufiji delta	TZ	SUA	5'000	23'000	28'000		Okt 12	ongoing
Q718	Up-scaling of capacity building for sustainable land management in Morogoro and Coastal regions	TZ	SUA	5'000	25'000	30'000		Okt 12	ongoing
Q719	Up-scaling Ngolo cultivation for soil conservation, food security and income of farmers in Umba basin (continuation of Q716)	TZ	MARI	3'000	25'000	28'000		Okt 12	ongoing
Q720	Capacity building for WUAs	TZ	TAFORI	4'000	35'800	39'800		Mai 13	ongoing
Q721	GIT based decision support and information tools for WUAs	TZ	CDE	40'100	9'100	49'200		Mai 13	ongoing
Q722	Conservation Agriculture in rice-maize farming systems	TZ	MARI	3'000	25'300	28'300		Mai 13	ongoing
Q915	Impacts sur la sécurité alimentaire assurée par la forêt dense sèche et les	MA	Essa forêt	0	30'000	30'000	272'900	March 11	finalized

	mangroves								
Q916	Publication des résultats de l'évaluation des impacts du PARV	MA	Savaivo	26'000	8'000	34'000		Nov 11	ongoing
Q917	Publication basée sur les résultats capitalisés concernant la vulgarisation par radio	MA	Médiascope	22'000	7'000	29'000		Nov 11	ongoing
Q918	Promotion de la conduite d'élevage en bande	MA	Derad	5'000	15'000	20'000		March 12	finalized
Q919	Livre et émission concernant 20 ans Médiascope	MA	Médiascope	2'500	7'500	10'000		March 12	ongoing
Q920	Elaboration des plans d'aménagement, Manompana	MA	AIM	10'000	20'000	30'000		March 12	finalized
Q921	Assurance de l'apport alimentaire nécessaire aux femelles reproductrices, dans la cadre de la conduite d'élevage en bande de petits ruminants en zone sub-aride (continuation of Q918)	MA	Derad	2'500	11'000	13'500		Okt 12	finalized
Q922	Appui à la mise en oeuvre des plans d'aménagement des 3 zones de rupture du corridor forestier de Manompana	MA	AIM	3'000	20'000	23'000		Okt 12	ongoing
Q923	Appui à l'intensification des activités alternatives à la déforestation	MA	AIM	0	20'000	20'000		Mai 13	ongoing
Q924	Plateforme des parties prenantes des paysages forestiers au NE	MA	CDE	23'100	25'300	48'400		Mai 13	ongoing
Q925	Haie en bois dans la commune urbaine de Toliara	MA	Derad	0	15'000	15'000		Mai 13	ongoing
				393'800	1'029'800	1'423'600	1'423'600		

Madagascar realized a total of 11 PAPs (volume CHF 272'900) in Phase IV. The biggest part of ESAPP had Kenya realizing 8 PAPs with a volume of CHF 300'000. Tanzania realized 9 PAPs with a volume of CHF 265'3000. In 2013 there was a strategic shift towards increasing volume of PAPs in Ethiopia (6 PAPs with a volume of CHF 275'400), which had fallen short in the previous years. Eritrea realized 3 PAPs (volume CHF 105'000); the PAP Q408 on potato cultivation systems was cancelled. Mozambique was in Phase IV without any PAP. The country remained marginalized in ESAPP that is explained by various factors including the difficult political context, the language (Portuguese), to find good partners. There was no official local focal point like in the other ESAPP countries, because the little volume of project did not justify having one.

3 regional PAPs were realized (volume CHF 145'000) to intensify the South-South collaboration. The evaluation knows from the interviews that human-wildlife-conflict PAP for example, started in Kenya and did not yet expand to Ethiopia and Tanzania as it was foreseen.

Achievements PAPs

The assessment of the achievements relies on the annual reports and on the presentations of the focal points at the capitalisation workshop. In general the evaluation is informed that the PAPs went on as scheduled with some PAPs experiencing a considerably slow pace of progress largely for issues of political context (political system Eritrea, electioneering process in Kenya) or implementing partners are overbooked in activities (CETRAD).

Overall the 25 PAPs in Phase IV covered the classical thematic fields of ESAPP (SLM, SRD) and contributed to the fixed purpose by producing outcomes as expected. Several interviewed persons qualified the PAPs in Phase IV of good quality. The evaluation had the opportunity to make field visits of 2 PAPs in Kenya that allowed for deeper insights:

Ngusishi Water Resource Users Association WRUA was born out of conflicts arising between the upper agriculturists (farmers' irrigation purpose) and the lower pastoralists (Massai) over the availability of river flows. The association WRUA, created in 1998, managed to solve the problems of water scarcity and user related conflicts by the construction of the common intakes (three weirs authorized by the Water Resources Management Authority). Fair and equitable distribution of water to the various groups according to agreed proportions and against fair user charges is the successful outcome that was supported by ESAPP (CETRAD).

Space for Giants (Q 305, Kenya+Ethiopia+Tanzania) is a PAP with several phases and components, including Human-Elephant conflict mitigation with the aim for a peaceful coexistence between farmers and elephants. Q305 is the 4th ESAPP PAP in the same project chain. The elephant movement and HEC monitoring system is one of the biggest investments of the project. The former phases produced books ("Good fences make good neighbours"; Comic book) and a film for sensitization purposes. By September 2013 the PAPs concentrated on Kenya and did not yet have any exchange with Ethiopia. The main outcome at the level of knowledge creation in conflict mitigation is the lesson that *land use planning is the key tool to mitigate conflicts*.

The evaluation of single PAPs that were implemented in phase IV was not possible because of their geographic location and accessibility for the evaluation team. The progress of such projects relied on information provided by the focal point project managers who also assessed the PAPs without any exception as successes in respect of modest time run and financial resources.

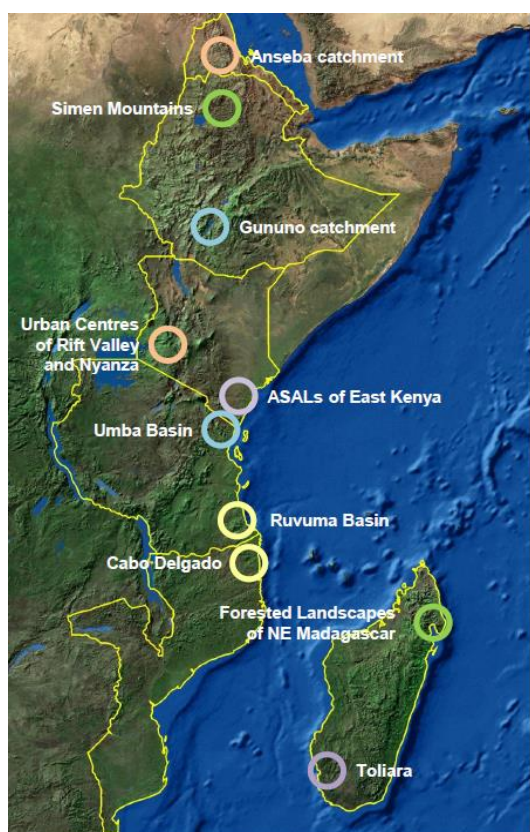
Reference sites

The scope of creating the Reference Sites was to make impact more visible, to promote South-to-South interaction in order to harmonise and produce common knowledge where possible with common entry points and common goals. The advice of the phase III evaluation to position ESAPP in phase IV more visible and with more explicit programme logic allowing for better thematic aggregation and capitalisation was therefore taken by ESAPP management and implemented with the Reference Sites. The Reference Sites should furthermore allow for successful continuity beyond ESAPP. ESAPP focal points take the lead position in steering and implementing "their" RS. They are coached with the support of CDE staff to each site for enhancing ownership and providing an additional exchange platform in the North. As postulated in the Outline Document (p.22) it was expected that SDC country programmes will be actively involved in the final selection of the RS in their country. This did apparently not materialize. The evaluation was told that no real signs of interest from the COOF were given. Although they were informed on the Reference Sites approach and implementation, the exchange was "minimal" and a critical questioning or commenting of the Reference Sites from the perspective of SDC representatives in the countries was missing.

Specific issues of global change (e.g. climate change, food security) serve as thematic entry points into the RS. In the long run the RS are conceived as long term observatories of global change in the regional East-African context in a new collaboration framework beyond ESAPP.

Graphic 2

Reference Sites



The overall goal for establishing Reference Sites (RS) were to establish geographical areas where clusters of issues of SLM and SRD are represented, observed and learnt.

The Reference Sites were selected according to four overlapping thematic areas. Table 2 shows the thematic areas of Reference Sites and the leading site, key partners and collaborating sites.

The Reference Sites achieved partly regional preferences as well as pressing issues in the participating countries. The expected outputs were an inventory and typology of approaches and innovations for SLM and SRD as well as a typology that would lead to uptake and up-scaling of best practices, dissemination of experiences and the visibility of ESAPP were to be enhanced.

Move away from punctual interventions

The ESAPP focal points are lead coordinators of their respective RS. The role of CDE-based contact persons is to act as knowledge and experience resource person for the focal points on one side and this is an opportunity that allows CDE to keep in close touch with the field on the other side.

Table 2

Thematic Areas of the Reference Sites

Thematic Area	Leading Site	Key Partner	Collaborating Sites
Sustainable Livelihoods and Food security	ER	ET	KE/MAD
Climate change	MAD	KE	ET
Water	KE	TZ	ER/ET
Biodiversity Conservation, Natural Resources Management, SLM	ET	MAD	TZ/MOZ
Local governance	TZ	MOZ	KE/TZ

Each Reference Site represented a chain of projects forming a programme to be run for 2 years. Most of the projects were completed except in Q062 - Urban Centres of Rift Valley and Nyanza (Nakuru) partly due to factors external to the programme.

In all the Reference Sites capitalization of previous experiences were catalogued, monitoring (Anseba Catchment, Ruvuma Basin, Uмба) or demonstration plots were established (ASAL Eastern Kenya: Ngolo). Some selected themes, institutions and outputs are not clearly stated and require refinement to assist the post-ESAPP phase formulation. Examples include Simien Mountains, Urban Centres development in Nakuru, and Uмба and Ruvuma basins. The distinction between outputs and outcomes is also very vague. The plan for the RS Urban Centres for the Rift Valley appeared to be over-ambitious realizing the project life in 2 years.

Achievements RS

RS were established as planned. They represented three main themes, namely livelihoods, biodiversity and water resources management including SLM. The reliance on existing community-

based organisations (CBOs) has a lot of merit because it allowed quick start in programme implementation. Similarly extensive groundwork in soil and water conservation in Eritrea in the past and selection of Simien Mountains being a heritage site were useful. The RS however have been implemented as projects still following the PAPs logic and no outcome indicators have been provided.

Real championship in leading the thematic clustering and linkages for each RS is not yet generalized. The evaluation noted in the capitalization workshop that the common understanding of what exactly makes the difference between PAPs and RS did not come out during the presentations of the focal points. Furthermore the involvement of SDC country programmes in the selection of the RS did not realise as was explicitly planned in the Outline Document (p 24)⁵. The rather short time frame of 2 years to put in place the RS may also have played a limiting role.

South-South alliances were partly developed for the case of Kenya-Madagascar and Kenya-Tanzania while others such as Kenya – Ethiopia and Madagascar – Ethiopia were not yet developed as expected. As an explanation, the differences in the context were mentioned even if the theme is common. The political and geographical contexts do not allow comparison. Through interviews it was clear that the focal points were not really well prepared for their role for coordinating RS and there was no clear shared understanding on the common goals of the RS. More investment in capacity development would have been supportive.

Potential of RS for future programme

- Hotspots for global change implications traced at local level and feeding back to global level.
- Show cases for systemic understanding of effectiveness chains between global challenges and local answer / action.
- Creation of South-demand from local stakeholders and ministries: attractive for donors' interest.
- If rigorous enough in approach and effectiveness RS allow for geographic or / and thematic crystallization that again attracts funding.

ESAPP network

ESAPP network is more than the face-to-face exchange of committed people from ESAPP countries with CDE representatives at the annual capitalization workshops. As much as individual leadership in focal points was essential and a necessary step towards effective networking there is a definite role of institutions in ensuring sustainability. Behind the people are the institutions to which they belong and therefore ESAPP net is a platform of relations between institutions also. Absence of strong partner institutions has been noted in Mozambique, Tanzania and Ethiopia while reluctance to engage by local institutions in Eritrea due to small grants. For this reason, the intensity of exchange is not as dense as expected. Furthermore the South “networkers” still strongly refer to the coordination at CDE and the emancipatory process of self-regulated South networking still has to make its proof in a near future when the lead for managing the new programme is in institutions in the South.

Conclusion on achievements of phase IV

The overall performance of ESAPP Phase IV was very mixed, partly because of the political and economic factors beyond the control of the ESAPP management and partners as well as the introduction of the innovative approach of Reference Sites to consolidate and project ESAPP's global achievements over the entire programme period. Box 1 below provides a concise summary of the major achievements.

- **PAPs** had still a broad thematic base, but efforts to more strategically orient them towards contributing to thematic clusters allowing for aggregation were made. Apparently the quality of PAPs had further improved compared to previous phase.

⁵Eastern and Southern Africa Partnership Programme (ESAPP): Programme Outline for Phase IV (2011 – 2013), submitted by Centre for Development and Environment, University of Berne, September 25th 2010.

- **Basic Mandate** focussed on documentation of ESAPP experiences to enhance ESAPP's visibility and annual capitalization workshops as in previous phase. Additionally BM conceptualized and steered the Reference Sites. The BM is also producing the "brochure ESAPP capital".
- **Reference Sites** were implemented but the results were unequal. Stronger focussing and more rigorous management of RS would have allowed for more sharpened RS as thematic hotspots.
- **Knowledge creation is the "core business"** of ESAPP and it was successfully further enhanced in Phase IV.
- **No high dynamic in South-South partnering and exchange.** The challenge of regional and **South-South dynamic remains an issue** for the transition into a new generation of programme.
- ESAPP got "installed" in a **certain routine**. The closure of ESAPP is basically good and allows for renewed spirit and a new programme. The closure of ESAPP is a wakeup call to the partners for **thinking in new terms** of collaborating (roles and functions) and it is an **appeal to innovate**.

PART B COMPREHENSIVE CAPITAL OF ESAPP 1999-2013

The overall outcome of ESAPP 1999-2013 is the improvement of Sustainable Land Management (SLM) and Sustainable Regional Development (SRD) in Eastern and Southern Africa (ESA). ESAPP addressed livelihoods needs with innovative research based answers linked to global changes such as climate change, food security, biodiversity. Furthermore ESAPP 1999-2013 has successfully alimented sector reforms and has influenced policy making at local and national level. The aim to leave behind a strong and dynamic ESAPP net of partners is only partly realized. CDE plaid the role of network coordinator and no formal regional coordination structure is put in place. But the net is established and the partners are committed to continue their collaboration beyond ESAPP.

Number of PAPs with impact on the ground

The overall ESAPP capital is based on the impressive number of 254 PAPs in total, including 21 PAPs (Table 3) realized in the RS 2011-2013. The volume of the 21 PAPs was 1.35 Mio CHF.

Table 3 Priority Action Projects 1999-2013, including RS (as per September 2013)

ESAPP Countries	Number of PAPs incl. RS Projects	Financial Volume
Eritrea	18	613'200
Ethiopia	50	1'922'255
Kenya	62	2'456'050
Tanzania	42	1'617'860
Madagascar	59	1'800'559
Mozambique	14	628'419
regional	9	327'100
Total	254	9'365'443

Table 4 Priority Action Projects 1999-2013, excluding RS
(as per September 2013)

ESAPP Countries	Number of PAPs Excl. RS Projects	Financial Volume
Eritrea	16	495'200
Ethiopia	45	1'613'155
Kenya	59	2'224'050
Tanzania	38	1'373'860
Madagascar	54	1'473'989
Mozambique	12	504'419
regional	9	327'100
Total	233	8'011'773

The Priority Action Projects (PAPs) were in general of good quality and in phase IV they were oriented more strategically on capitalizing in regard to the end of the programme by 2013. Despite the small size and short time run the PAPs have an impact on the ground. The small grant size (on average CHF 30'000) and short project duration (6-12 months) of PAPs is that they are selectively covering one part of a holistic system only and do not allow the whole Project Cycle of an intervention including monitoring to be completed. For example the NGOLO cultivation technology in Makueni/Kenya (from Tanzania) was introduced in Kenya by ESAPP PAPs, Kenyan farmers exchange visit to Tanzania took place and was highly appreciated by all participants the evaluation team had the chance to meet during field visits. It remains a challenge for ESAPP PAP to consider beside all important aspects of farming beside the cultivation technology e.g. access and quality of seeds (including managing hybrid seeds that farmers in the region have been offered by various other projects), access and quality of training of the farmers in questions of marketing, savings and investments for local seed banks. The farmers the evaluation had the chance to meet had some savings in bank accounts. ESAPP could go a step further in the whole-chain-approach and advice farmers on the potential to invest in seeds banks. Our rapid assessment of the successes and limits of NGOLO intervention with CA showed that the approaches don't address issues of markets, investments and value addition that need to be addressed to make livelihood intervention inclusive.

Partner Network established

Partner network is expected to constitute the structure for future collaboration of the present ESAPP. Network strengthening was expected to result from exchange visits, joint projects, communication on research articles in a journal, and joint documentation and reports the success of each vary from country to country. Several visits were made by partners during Phase IV implementation period. Exchange visits between ASAL in Eastern Kenya and Tanzania took place while the visit between Madagascar and Ethiopia is planned for this next project period. Travel in Madagascar has been restricted because of insecurity. The fact is that ESAPP Net is established and the partners are motivated and willing to continue the cooperation beyond the end of ESAPP. The net has the critical mass to address the issues of how local answers are taken to address global change. The issue is that dynamics of the networks south-south interaction are not as intensive as expected. This issue has to be addressed in the transition year when designing the post ESAPP approach and framework of cooperation.

Capacity built

ESAPP network is a platform for capacity development (CD) of people and institutions and for mutual learning. ESAPP partners (focal points) are the first direct beneficiaries of CD and the local implementing partners are also benefitting from ESAPP CD. CETRAD in Kenya, to some extent Sokoine University in Tanzania and ESSA Forêts in Madagascar can be taken as examples of successful institutional CD that profited from concept and trainings on the dual approach, from support in GIS-facilities as well as from trainings on different thematic topics. The implementing partner SAVAIVO in Madagascar, ERMIS Africa, DERAD are examples of successful CD of ESAPP.

Knowledge SLM and SRD enhanced

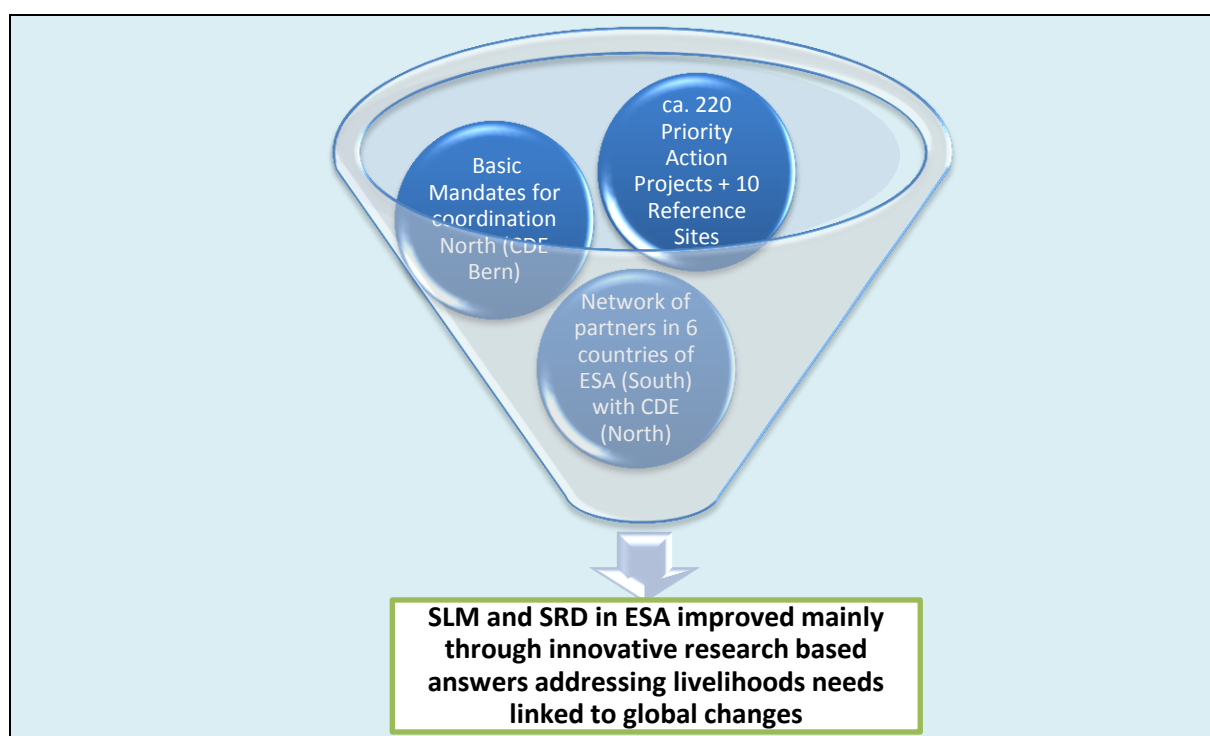
ESAPPs knowledge base is the specific combination of scientists and researchers in collaboration with development interventions in SLM and SRD. Knowledge creation is in the core of ESAPP's mandate and this was successfully implemented. The main assets in knowledge are with people (PhD, masters, trained partners, trainers of the trainers) who are able to create demand to sustain the networks. The estimation of the number of persons trained at local level, masters and PhD levels and in database management, preparations of manuals and curriculum for teaching are in the several hundred.

CONCLUSION: ESAPP merits at a glance

The merits of ESAPP at outcome level are significant changes in behaviour of people at livelihoods level. Furthermore ESAPP has also led to sector reforms and has influenced policy making.

- ➔ *Research based development interventions culminate in real changes of livelihoods*
- ➔ *ESAPP outcomes led to sector reforms*
- ➔ *ESAPP outcomes influence policy making*

Graphic 4 *ESAPP culminates in sustainable livelihoods linked to global change*



ESAPP 1999-2013 is a long-term research-partnership-programme, based on history of CDE projects 1980-1999 and with the potential for future programmes beyond 2015. The story of ESAPP therefore started with the PRE-ESAPP history with CDE projects 1980-1998 in three ESA countries.

PART C STRATEGY FOR FUTURE

The following four issues are essential for ESAPP future:

Issues for transition year 2015

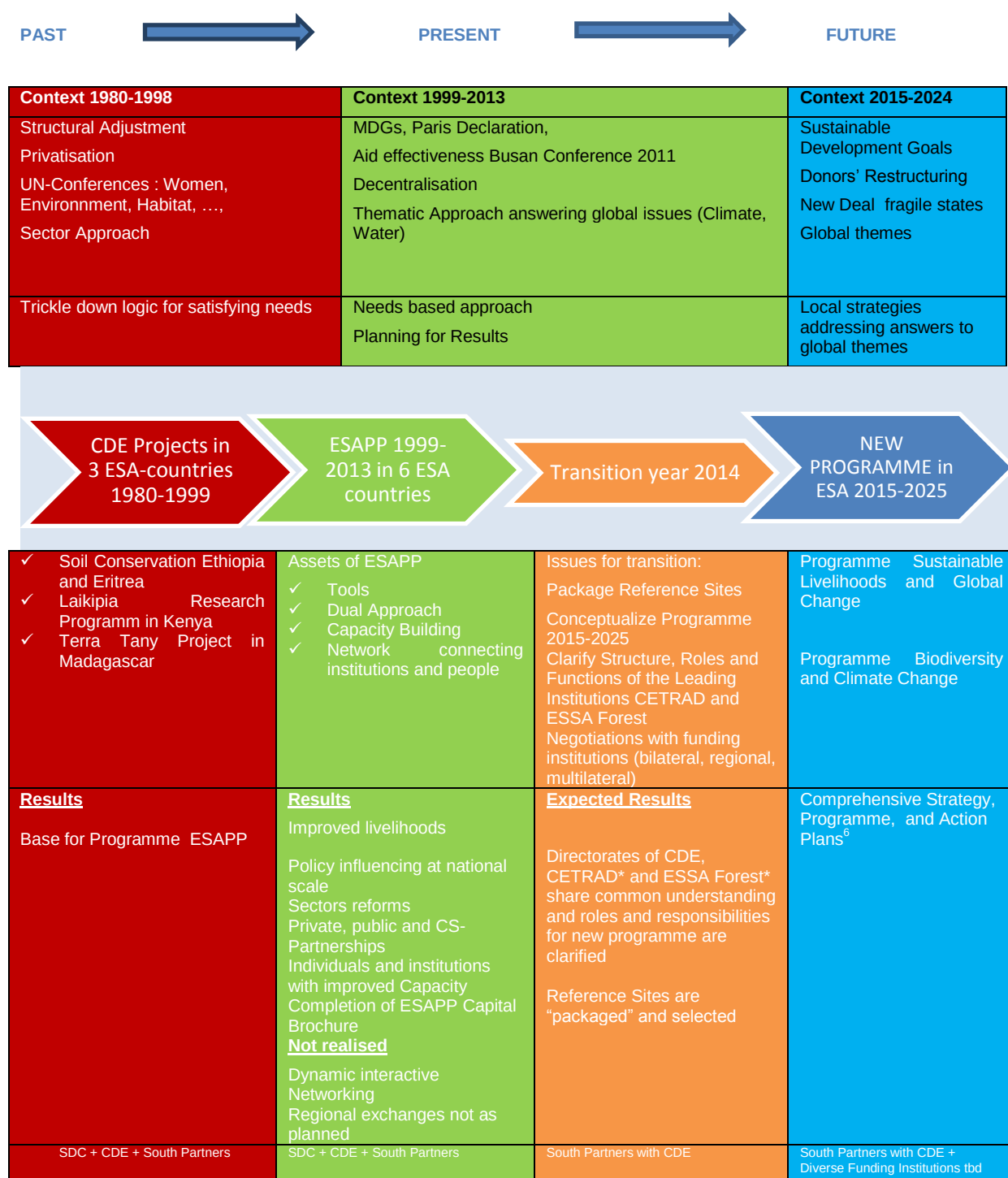
- Package the Reference Sites
- Define corner stones of the new programme
- Clear and share common understanding on roles and functions in new set up
- Explore partners and funding

The assets and limits, role and potential of the Reference Sites have to be analysed and they have to be packed according to their importance in the new programmes. Two decades of ESAPP (“Pre-ESAPP” 1980-1998 and ESAPP 1999-2013) have led a solid ground of experience and competence that allow for a new architecture “Post-ESAPP” 2015-2025.

CDE has still an important role to play in 2014 and very probably also in future by assuring a follow-up support and sharing experience and for advice. In the future CDE could possibly be Board member of the NEW PROGRAMME. CDE has SLM and SRD mandates in Asia and Latin-America that are high value base for crosscutting inspiration and learning.

Figure 5 gives an overview of the “ESAPP story” with the three big cycles Past – Present – Future. The year 2014 is a transition year that should be used for packaging the merits of the Reference Sites, for defining the corner stones of the new programme, for designing the architecture of the new set up and for exploring partners and funding.

Figure 5 *ESAPP story*



*CETRAD and ESSA FOREST as potential future leading Institutions for a programme and South Demand have different profile and performance. Transition year 2014 shall clarify the real status, profile and motivation for future lead of both institutions.

⁶Training in strategic planning of Post-ESAPP staff may be necessary.

Context of the South 2014-2025: Global drivers and devolution

The socio-economy and political landscape of the ESAPP Programme region is both dynamic and vary considerably. The dynamism may be attributed to global drivers such as climate change that caused major floods and droughts in Kenya and political drivers such as changes in leadership in Ethiopia, pre-elections tensions and consequent implementation of Kenya's constitution and unpredictable political situation in Madagascar. One variable that is likely to emerge in future is the devolution or decentralization of governance structure and use of economic blocks such as East African Community (EAC), Intergovernmental Authority of Development (IGAD) and Southern Africa Development Cooperation (SADC) in the region. The challenge shall be how to maintain the existing regional ESAPP network in spite of the emerging regrouping of the region to various economic unions. The wave of decentralization appears to galvanize more countries and has started in Kenya, Eritrea and Ethiopia where project approvals and implementation will be undertaken at sub national levels.

The second observation is that the ecological landscape varies considerably. The common themes are food insecurity, human insecurity, and environmental degradation, growing poverty-rich gap, rapidly growing youthful population and exploration of natural resources. These themes will affect country participation and priorities. The flip side is that opportunity therefore exists for application of many of the ESAPP knowledge assets in meeting these changes.

Context of the North 2014-2025: Donors adaptation to global issues

The years to come donors community is adapting to new structures and new alliances to deal with the issues of global change such as climate change and global warming, energy production and energy consumption, migration, human security, food security. The global sustainable development goals are of global concern addressing all countries. New mechanisms of cooperation (new deal) are put in place. The interdependency North-South and South-North in finding common solutions to global challenges leads to new negotiation modalities balancing the weight of the partners.

The cooperation programmes are built on global themes such as water, climate change, food security, knowledge, innovation. The approaches are more holistic (Whole-of-Government, Whole of System). The new deal for development cooperation puts the South partners (Governments, Implementing Institutions) in the leading position and responsibility for development strategies and programmes.

Strategy Post ESAPP: 2 thematic clusters

Sustainable Livelihood and Global Change; Biodiversity and Climate Change

The criteria used in designing of the new programmes are bedrocked on three pillars, namely the core assets of ESAPP heritage to put in value in each programme, on the governance structure, including leading agency, and on the institutional set up including governing bodies. We see as an option for a possible set up for the new programmes the following structure.

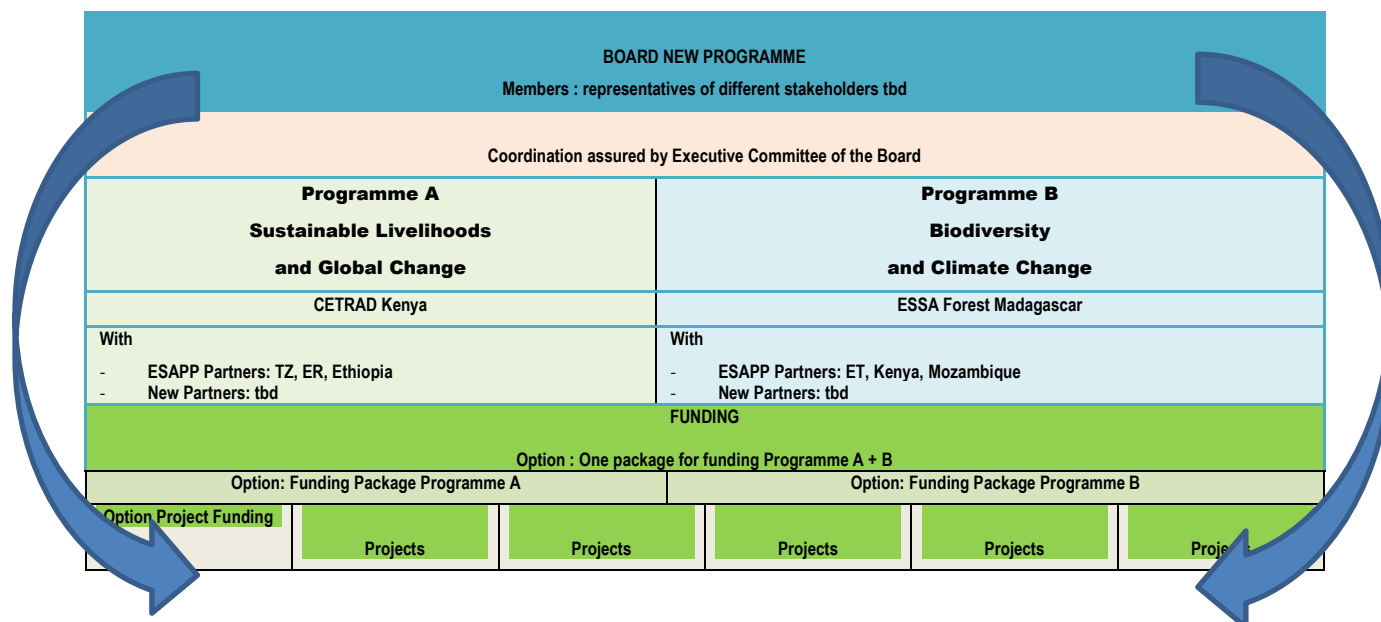
Following this evaluation and based on ESAPP capital, there is one option that has realistic potential for success for developing two programmes with the following thematic clusters:

A Programme Sustainable Livelihoods and Global Change

B Programme Biodiversity and Climate Change

Figure 6 provides the architecture of the new programmes while Table 8 presents funding scenarios.

Figure 6 *Programme structure embracing two thematic clusters*



Note: tbd means to be determined during the formulation

Roles and functions

- **GOVERNING BOARD of New Programme:** Governing board and strategic management of the New Programme. It is of strategic importance to define the criteria for membership (Independent experts? Donors? Officials of public administration? Others?). An important role of the Board Members is direct and good link to funding institutions.
- **COORDINATION of New Programme:** Executive Committee of the Board
- **IMPLEMENTORS CETRAD and ESSA FOREST:** Lead and responsibility each for a programme. Agreement must be at the directorate level. Risk of overburden to be assessed. Redefinition of functions, tasks and priorities may be necessary.
- **SPECIAL ROLE OF CDE:** Follow-up support sharing experience and for advice. Possibility to be Board member of the NEW PROGRAMME. CDE has SLM and SRD mandates in Asia and Latin-America that are high value base for crosscutting inspiration and learning.

Potential Partners

The new programme can build on established partnerships with organisations, institutions and individuals from civil society, public administration and private sector that were mainly engaged in implementing relations with ESAPP. They are of value also in the new phase. Furthermore the interest and demand from funding partners will decide if the new programme has an answer on donor's side. Potential partners that were mentioned during the evaluation are listed below. The evaluation is not in the position to judge about their interest or real funding potential. A working group should screen and complete the list in order to come to a list for acquisition and fundraising.

Strategic allies and stakeholders (partners)

- SDC: door opener and lobbying partner (bilateral and multilateral donors).
 - Cooperation Offices in the Region
 - Global Programme sections Climate Change, Water, and Food Security.
- Ministries in the countries:
 - Formulating demands and lobbying for financing

- Regional partners: IGAD and SADC
- Former ESAPP implementing partners
 - stakeholders in the new frame of the programme on base of mandates

Funding

The decisive issue for future success is sustainable financing. The evaluation sees three strategic options for acquisition of funds as shown in Table 7.

Table 7 *Funding scenarios*

IDEAL One main funding partner for the whole programme	<u>SUCCESS STRATEGY</u> This would be the ideal case allowing for substantial work without overburdened consuming of human resources for reporting and administrating coordination.
REALISTIC Two different main funding partners for Programme SL and Global Change and Biodiversity and Climate Change	<u>ADAPTATION TO DONORS TRENDS</u> The reorganisation trends in the donors' structures leads to new clusters of programmes and consequently new clusters of partnerships and of funding mechanisms.
SUB-OPTIMAL Various funding partners for specific projects	<u>SURVIVING STRATEGY</u> In a first phase of new programming this strategy may allow the network of partners to survive. It has also the aspect to test different partners

Acquisition strategy must be explicitly defined, based on a shared understanding among ESAPP partners and CDE and ideally also with SDC and other strategic allies.

Implementation modalities

In the transition year 2014 ESAPP has to discuss the options for 2 thematic programme clusters presented in this report or to develop other options to be developed by ESAPP in a consultation process. CDE may in the transition phase still play a central role and will bring in its own strategic interests for partnering with the NEW PROGRAMME. Nevertheless CETRAD and ESSA FOREST should agree on taking the lead and responsibility for launching and leading the consultation process. This allows for clarification on roles and functions in the NEW PROGRAMME.

Final remarks

The closure of a programme is a sensitive momentum with the inherent risks of implosion nevertheless the ambition for sustainability. What is the sustainability of a network? The NEW PROGRAMME 2015-2015 building on ESAPP 1999-2013 (transition year 2014) has the potential to put ESAPP network into value in a new frame of South driven partnership. Even (and this is probably) when the transition into the new frame will last longer than one year and even if the NEW PROGRAMME may start on a more modest size compared to ESAPP 1999-2013 : the chances for success are given, not at least because of the "riche house full of committed scientists and researchers" (from an interview) that ESAPP 1999-2013 has built. Together with the heritage of NCCR that has also contributed to this architecture of the house of competent and committed people in research and in development action, the time to explore the social capital built has come and is promising. The majority of ESAPP people have strong links to institutions in the region of Eastern and Southern Africa and in other regions (CDE) and to bilateral and multilateral institutions and they can support the NEW PROGRAMME in creating an attractive South demand.

ANNEXES

Annexe 1: Terms of Reference

Dates: September 2013

**Team⁷: Monika Egger. EGGER CONSULTING EVALUATION STRATEGY (ECES Ltd.);
Prof. George Krhoda. Executive Director, Redplan Consultants;**

Background

The *Eastern and Southern Africa Partnership Programme* (ESAPP) was set up in April 1999 and is now in its 4th and last phase. The programme is financed by SDC / Division East and Southern Africa and managed by the Centre for Development and Environment (CDE) 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 IV of ESAPP will end in December 2013, followed by a one year no-cost extension until December 2014; the expected outcomes of this phase are:

1. Project activities in 10 reference sites are successfully conducted and lead to measurable improvement of targeted aspects of SLM and SRD.
2. Innovative projects are successfully implemented in other parts of the region, lead to concrete development outcomes and contribute to the strengthening the ESAPP network.
3. The ESAPP network of partner institutions is ready to use and further improve the ESAPP tools and approaches beyond the end of Phase IV in a sustainable way.
4. A comprehensive capitalization of ESAPP experiences is conducted; written outputs (brochure and description of project highlights) are produced and distributed to interested users.
5. A strategy for a continued network of research partnerships in the Horn of Africa and in East Africa is established and ready to be translated into concrete project activities.

Phase I was evaluated in 2001 with a focus on decision-making processes and the monitoring system of ESAPP. Phase II was evaluated in 2006 with a special focus on structural, methodological and thematic aspects. Phase III was evaluated in 2010 with a special focus on assessing 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.

Objectives of the External Evaluation 2013

The actual phase IV is the last one of the ESAPP programme. Members of the ESAPP network firmly intend to continue collaborating in the frame of research partnerships in a new framework of collaboration after the end of ESAPP. Therefore, the focus of the external evaluation of 2013 shall be to review the achievements, capital and potentials of the ESAPP network in order to help generating ideas and a strategy, and sketching scenarios for a transition of the ESAPP network into a new collaboration framework.

Key questions

The following key questions shall be evaluated:

⁷ CV of team members appended in the annex

A) Overarching question

How were the recommendations of the Phase III evaluation translated into implementation; what are the achievements and assets of the ESAPP network, and how can they be capitalised and used to develop new research partnerships in the East African region?

B) Regional relevance of ESAPP portfolio

1. Does the composition of the ESAPP portfolio reflect concerns in the target countries?
2. How are important concerns in the target countries translated into research questions?
3. To what extent are results produced by ESAPP funded projects influencing sustainable land management and sustainable regional development in the East African region?
4. What evidence is there regarding the effectiveness and impact of ESAPP's outreach component?

C) Maintenance of ESAPP network of competence beyond ESAPP

5. What are the strengths and weaknesses of the ESAPP network and how can its strengths be used within a continued framework of collaboration beyond the end of ESAPP?
6. How did the internal capacity development of Phase IV contribute to prepare the partner institutions for continued collaboration beyond ESAPP?
7. What could be the role of the ESAPP reference sites in a future framework of collaboration and how to prioritise their maintenance beyond the end of the ESAPP programme?

D) Demand for research partnerships in the region and possible contribution beyond ESAPP

8. To what extent can important stakeholders (ministries, regional administration, researchers, farmers, etc.) in the region become purchasers of services from the future post-ESAPP network of research partnerships?
9. What strategies can the post-ESAPP network follow to link purchasers and potential donors while securing its own mandates and further contributing to SLM and SRD in the region?

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; field visits and interviews as well as participation at a workshop on capitalisation of experiences in Kenya; writing, compiling and timely submitting of the evaluation report and debriefing in Berne.

Prof. George Krhoda will act as evaluation partner. He will join the team leader during the field visits, participate at the capitalisation workshop in Kenya and to the subsequent field visit, and will contribute to the evaluation report.

Methodological approaches:

- study of relevant project documentation
- interviews with Advisory Board members (CDE and SDC) in Berne
- interviews with selected ESAPP partners and regional coordinators during the capitalisation workshop in Nanyuki (Kenya)
- participate at capitalisation workshop during field visit
- visit of selected ESAPP Priority Action and Reference Site Projects in Kenya
- interviews with selected beneficiaries of ESAPP activities during field visits in Kenya
- briefing and debriefing sessions in Berne

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 October 15th 2013.

List of relevant documents

- ESAPP Credit Proposal Phase 4

- ESAPP Report on Phase 3
- ESAPP Annual Reports
- ESAPP intermediate reports
- ESAPP Evaluation Report of Phase 2 and 3
- 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 and reference sites
- ESAPP regional coordinators (during field visit)
- Beneficiaries of ESAPP activities (during field visits)
- Selected ESAPP partners

Roadmap for team leader

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

September: Mission to Kenya from September 2nd to 15th 2013 according to detailed schedule (including workshop, field visits, interviews and start report writing)

October: Report writing, submission of report by October 15th 2013, debriefing during advisory board meeting (second half of October)

Roadmap for team member (total days: 20 days)

September: Mission to Kenya from September 2nd to 15th 2013 according to detailed schedule (including workshop, field visits, interviews and start report writing)

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

Annexe 2: Evaluation phase III ESAPP: Recommendations and their implementation

	Recommendations	Implementation: appreciation of the evaluators	Implementation: appreciation of ESAPP coordinator
STEERING AND OWNERSHIP OF ESAPP			
	Evaluation Phase III recommended 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.	SDC financed phase IV with CHF 4.2 Mio	Nothing else to add
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).	Not realised at Advisory Board enlargement, but on invitation Willi Graf and Gerhard Siegfried participated into a Board Meeting (...)	Agree
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.	Not realised	Closer collaboration with SDC TZ initiated in the frame of a separate project on sustainable charcoal. Contact was established severally from our side; the last time via an invitation to participate in this year's capitalisation workshop. Feedback from SDC remained rather low.
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.	Not realised	Strategic discussions initiated in the frame of the talk with G. Siegfried and W. Graf. However, this discussion did not include concrete ideas on how to capitalise the ESAPP experiences in favour of SDC.
	Evaluation Phase III recommended 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.	Not realised	Partly realised: B. Kiteme and B. Debele attended advisory board meeting at SDC. This was made possible because of combination with NCCR workshop in Bern at the same time. Finances were too narrow to allow for more participation.
BALANCE IN ESAPP COUNTRIES / MOZAMBIQUE			
	Evaluation Phase III recommended 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.	Mozambique remained marginalized in ESAPP	Do not fully agree: Yussuf Adam was invited to all capitalisation workshops except the final one. The fact that we did not officially declare him "focal point" has to do with the small number of projects in Mozambique, which does not justify a special coordination position. However, for all other things (PAP, RS procedures) Mozambique was treated the same as other countries. What did not take place was to get a larger number of good project proposals from Mozambique.

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.	Reference Sites were established around PAPs in Eritrea and Mozambique. But for political (ER) and other issues already mentioned (MZ) the implementation of these recommendation could not realise more	Balancing of countries was one of the criteria of PAP selections during all the rounds of Phase IV. However, balancing is also dependent on availability of good proposals. This was not always the case. For example, in some rounds we got almost no proposals from Ethiopia.
IMPROVING RELEVANCE OF ESAPP			
Evaluation Phase III recommended 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.	?	The question was discussed during a database training course attended by ESAPP and WLRC partners in Nanyuki. The partners were not in favour of a centralised database as they wished to keep their autonomy in this matter. They however clearly showed interest in the establishment of national data hubs. This idea is being pursued in the WLRC project. An attempt at establishing "harmonised" databases was undertaken at RS level, but did not progress very well.
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.	Partly realised	An ESAPP capitalisation document is in preparation (see discussion during the capitalisation workshop). When completed, this will be a quite comprehensive capitalisation of ESAPP experiences.
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.	NGOLO technology launched in Kenya's Reference Site.....	Apart from Ngolo: Up-scaling of the elephant management system of Max to Ethiopia and Tanzania will be started early next year. The model of water user associations developed in the Mount Kenya region was successfully transferred to the Uмба Basin in Tanzania.
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).	Capitalisation workshops, Publications (Eritrea and Ethiopia), Brochure	(1) Capitalisation workshops; (2) ESAPP capitalisation document (up-coming) ; (3) Q625 on anchoring the outcomes of ESAPP in policy and practice; (4) Q209 (started in Phase III) multimedia documentation of ESAPP

			projects
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).	Radio programmes in ASAL and Madagascar.	ESAPP capitalisation document (upcoming)
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	Reference sites has adopted an integrated approach.	Socio-economic competence has been a strong competence within ESAPP even before Phase IV. This recommendation came as a surprise.
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	Conflict mitigation around land use i.e. Water Users Associations, Elephants-human conflicts.	SDA is a concrete methodology established by CDE. Hence this recommendation also came as a surprise.
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.	Ngolo technology	Integrative rural advisory approach in the Eastern ASAL's of Kenya including reduction of the over-dependence on non-drought resistant crops. Mangroves project in Madagascar (Q915)
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.	Nakuru failed to take off.	An additional project on urban waste management in Nairobi was funded and an MSc student of University of Bern seconded to the project (Q621).
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.	Frankincense and resins by CETRAD;	Eastern ASALS in Kenya → integrated rural advisory systems as one of the main goals of this reference site.
IMPROVING EFFECTIVENESS OF ESAPP			
The Evaluators recommend ESAPP to:			
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.	Capitalisation workshops, reference Sites, Brochure	Multi-media documentation of ESAPP projects in Kenya; ESAPP capitalisation document will be a major visibility boost; several ESAPP projects were presented in the Book "mapping and geo-processing tools in support of rural advisory systems" (2012), Margraf Publishers.
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.	As above	This will be achieved in the upcoming ESAPP capitalisation document

20	improve management of ESAPP at national level by clarifying further role and tasks of Focal points. Develop lean guidance tools and procedures.	Templates for reporting; Guide for Reference Sites Selection	Usual coordination tasks are performed routinely, but there seems to be a certain "fatigue"; deadlines are often not kept.
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.		This was attempted through designating one person of contact for each RS at CDE. In some cases this has considerably enhanced the medium-term involvement of non-ESAPP CDE staff.
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.	To a large extent done through capitalisation.	Beyond capitalisation workshops this was also attempted through: (a) exchange visit between Madagascar and Kenya; (b) transferring Ngolo to Kenya; (c) transferring WUAs to Tanzania; (d) cross-boundary collaboration (Kenya - Ethiopia) on the Frankincense project; (e) common publication between Kenya and Madagascar on rural radios
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	Yes, through systematic reporting.	

Annexe 3: Reference Sites

Reference Site Anseba Catchment (Eritrea)

Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1. Arresting Land degradation through integrated watershed management 2. Improving rural livelihoods through SLM best practices 3. Integrating tree crops in the farming system to generate income to house holds	1. Community awareness raising and mobilization to participate in rehabilitation of degraded lands. 2. Bottom-up planning process and ensuring long- term use right of wood lots. 3. Building up on indigenous knowledge and practices on land tenure (land and water use rights) and indigenous SWC practices.	1.Allocation of land to individual farmers for private tree planting 2. Reclamation of marginal lands to arable land by construction of bench terraces to grow fruit crops and cereals. 3. Introduction of zero run-off to conserve soil moisture and reduce erosion to enhance crop productivity in arid and semi-arid areas.	Ministry of agriculture Village administration Local administration	1.Increase in crop productivity from 0.7 to 2 tons per ha under farmers field 2. Secured grass supply to livestock all year round through cut and carry system. 3.After 5 years farmers would have marketable fruits to generate income 4.After 7 years individual farmers would be able to harvest polls for construction about 40 trees; and subsequently, that volume after 3 years from coppices	1.Organizing farmers field days Including farmers in the neighboring villages and beyond 2.Demonstration to school and college students for uptake and up-scaling of the SLM technologies 3.Preparation of field guide manuals on the best SLM practices 4.Mass media communication and audio visual clips
Comment of CDE Person of contact	Campaign for sustainable development in 28 villages of the RS Impulse ESAPP for adequate techniques (terraces) in the long run Long term observation (erosion, rainfall, watershed :30 years) thanks ESAPP maintained in difficult context = Capital of value and interest for Research on Climate Change				

Reference Site Simeni Mountains (Ethiopia)

Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1.Biodiversity conservation and monitoring 2.Promotion of tourism	1.Monitoring of biodiversity change 2.Production of policy briefs for informed decision making regarding national park conservation and development 3.Harmonious cohabitation of park and surrounding communities 4.Demonstrate tourism benefits to both the park and surrounding communities		1. Ethiopian Wildlife Conservation Authority 2. Local government 3. Academic institutions 4. Tourism promotion institution 5. Service providing bodies (transport, hotels, communications, etc.)	1.Sustainably managed national park 2.Tourism promoted and livelihood of the surrounding communities improved 3.Long term data generated 4.Scientific papers and brochures relating to the park published	
Comment of the focal point	The main challenge relays in the issue of relocation of people in order to realize Simeni Mountain Parc free of human interference. ESAPP role of coordinating meetings among donors was delicate and did not succeed. Other components of the RS went well: Biodiversity study; equipment is in place; staff is in place. The merit of ESAPP in Ethiopia is the long term observatory for soil and water conservation. The projects are channeled into the Government. The record keeping will be secured by regional Government. But the analyses of the data need further competencies that are missing in ET. South-South cooperation did not take place. The coordination was below adequate level.				

Reference Site Gununo (Ethiopia)

Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1.Monitor climate change 2.Monitor runoff and sediment load from conserved farmlands 3.Monitor crop production and productivity change in farmlands	1.Monitoring of climate, runoff and land degradation 2.Long term observation of climate change 3.Long term observation of runoff and degradation changes as a result of SWC measures		1.SARI 2.Academic Institutions 3.Bureau of Agriculture 4.Funding agency	1. Long term record of climatic elements, runoff, sediment load and production and yield. 2. Publication of scientific analysis of the data.	
Comment from the focal point	The RS is on track. The Government will continue. (Also 3 out of 5 PAPs are already in the hands of the Government)				

Reference Site Urban Centres of W Kenya (Kumano)					
Comment of the evaluation: Reformulate, consolidate and store.					
Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1. Economic development: Local production for local markets: Shortening value-chains between peri-urban farmers & urban distributors / consumers; a way of improving farmers' income and product quality, and reducing environmental impacts. 2. ICT and e- governance in urban centres of East Africa; capitalising long-term experiences and testing innovative ICT tools in Nakuru for up-scaling	1. ICT: Adapted technical solutions; innovative integrations of ICT tools; participatory ICT concepts and management; solutions for ICT in public services 2. Action research through an institutional network including local authorities, CBOs, research partners and private sector		1. Municipal council of Nakuru 2. Local ICT and engineering firms 3. Research partners 4. Community based organisations	1. An operational information system through which farmers around Nakuru can access relevant, timely and reliable information on market situation and dynamics for their products 2. The teaming up of local farmers and distributors in a "proximity market" partnership that enhances farmers incomes, market reliability and product quality	
ASALs of Eastern Kenya					
Themes	Approach	Innovation	Institution	Outputs	Dissemination
1. Can integrative support systems help to secure marginalised livelihoods, promote food security and reduce poverty in semi-arid areas; what are key elements of successful interventions? 2. Progressive livelihoods: Increased ability to diversify livelihood strategies and respond in an in-formed way to viable alternatives 3. Beyond maize and beans: facilitating the uptake of "orphaned" indigenous food crops to r	1. Anthropological approach to support systems (medium to long-term period of engagement) 2. Well established CBOs (women, self-help groups) and representative progressive farmers 3. Suitability assessment for effective targeting of desired entry points 4. Moderating farmers' expectations through adequate preparations & capacity building 5. Creating market links & improving regional integration through more effective information management		1. Ministry of Agriculture 2. Ministry of livestock and fisheries 3. Ministry of ater and irrigation 4. Kenya Agricultural Research Institute (Katumani, Njoro, Kibwezi) 5. Office of the President 6. Local NGOs/CBOs 7. Relevant County Offices	1. A community of transformed farmers: increased adoption of agri-business enterprises (diversity of competing but supportive risk taking investments) 2. Increased capacity & capabilities of smallholders to invest in production technologies compatible with prevailing agro-ecological & socio-ecological conditions 3. Good mix & steady uptake of common staple food crops with 'orphaned' food crops 4. Reduced post harvest losses through holistic management system	
Reference Site Umba					
Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1. Promotion of integrated water resources management for efficient water use 2. Monitoring and evaluation for informed planning	1. Capacity building in integrated water resources management through participatory approach 2. Monitoring and trend analysis of stream flow data		1. Ministry of Water 2. Pangani Basin Water Office 3. District Councils 4. Villages (farmers and livestock keepers) 5. NGOs 6. Private sector 7. National Park (wildlife) 8. Mining institutions	1.3 Water User Associations 2.3 Water User Constitutions 3. Stream flow data and trends 4. Village socio economic data base	
Reference Site Ruvuma					
Comment of the evaluation: Reformulate and detrmine appropriate institutional entry points. Outputs too vague					
Themes	Approach	Innovation	Institutions	Outputs	Dissemination

1. The Ruvuma RS is representative for trends of global change due to (a) livestock and human population increase, (b) decrease of water resources, and (c) insecure land ownership. 2.Contributions of RS towards reducing resources conflicts, improved land use planning and sustainable utilisation of natural resources	1.Generation of an understanding of the issues and the context in a participative manner 2. Promotion of information (micro, meso, macro level), regional cooperation (networking) involving decision makers (policy briefs, etc.)		1.The current partner SHILDA can play a role as a long term partner in a 'post ESAPP' scenario 2.National research institutions / NGOs 3.Projects / programmes dealing with SLM within a RS	1.Knowledge on the dynamics and adaptation processes as a result of pastoralists entry into a non pastoral area (ecological and socio-economic changes) 2.Knowledge on adaptation strategies of both communities 3.Land use and land cover changes 4.Livestock and human population changes 5.Natural resources changes	
Reference Site Cabo Delgado Comment: Reformulate and determine institutional entry points/ Variant: think about closing					
Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1.Revaluation of renewable resources linked to ecosystem services 2.Cross-scale demands of ecosystem services from global to local 3.Inversion from ongoing degradation of ecosystem services to rehabilitation	1.LforS 2.Action Research (work directly with main actors involved in the RS) 3.Capacity development at village level based on indigenous knowledge		Possibilities of long term partnership with villagers, government institutions and private sector Promoting the integration of the informal and formal institutions settings	1.Conservation of sacred forests and sensitive ecosystems 2.Formation of students on issues related to forests 3.Activities of communities to prevent uncontrolled fires and to protect cultural and ecologically sensitive areas 4.Work regularly with committees of NR 5.Reinforce relationship with Ruvuma RS in Tanzania	4.Dissemination of experience and knowledge gained at different levels 5.Elaboration of GIS for resources management
Comment of CDE Person of contact	+ Evidence in adapted management of rest landscapes (cold fires) in Cabo Delgado where uncontrolled fire is the highest risk. + More holistic approach, based on dialogue, integrating overall development trends and regional dynamics. + Regional approach Mozambik – Tanzania in a similar context. + / (-): Example for Public-Private-Partnership in concessions for forest in the legal frame, but deficit in implementation. (-): Widespread corruption and dominance of particular interests is absorbing the added value at local level. The exploitation of gaz brings new dynamics in the region.				
Reference Site NE Madagascar Comments: Reformulate themes, and approach. These methodologies used are good but they do not belong here.					
Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1. What are the impacts of protected area strategies on social wellbeing? 2. What is viable scenario to reduce illegal exploitation? 3. How to ensure sustainable management of protected areas and to develop awareness programmes?	1.Strategic Evaluation 2.Impact Assessment 3.SWOT 4.ICTs		1.ESAPP 2.MNP 3.AIM 4.WCS	1.Remote sensing database 2.Socio-economic database 3.Strategy elements 4.Information and knowledge 5.Thesis 6.National / International Conference / Symposium	
Reference Site Toliara Comment: Reformulate and determine appropriate approach. Too a narrow project. It is difficult to determine the long term outcome of the programme.					

Themes	Approach	Innovation	Institutions	Outputs	Dissemination
1. Analyse comparative sur la faisabilité de l'utilisation d'énergie renouvelable pour substituer le charbon de bois 2. Sensibilisation éleveurs sur les risques futurs de la dégradation des pâturages naturels à Soalara 3. Etudes de faisabilité des activités alternatives identifiées par la population relatives à la fabrication de charbon de bois à Toliara	1.SWOT et approche par filière 2.Approche participative 3.SWOT et approche par filière		1.ESAPP 2.Ministère de l'environnement 3.Commune 4.Population locale	1.Data 2.Informations économiques et sociales 3.Publications 4.Renforcement de capacité sur l'aménagement de la zone de pâturage des petits ruminants	

Annexe 4: Programme ESAPP Capitalization Workshop 2013, Nanyuki / Kenya

ESAPP Capitalization Workshop 2013, Nanyuki

Date		Morning	Afternoon
03.09	TU	Arrival of participants	
04.09	WE	Review & Perspectives Welcome and opening of workshop Perspectives beyond ESAPP Phase IV Short review of activities in each country and reference site	ESAPP capitalisation Presentation of ESAPP capitalisation concept and of current status of work Presentation of selected ESAPP highlights Group work: input of participants for ESAPP highlights
05.09	TH	ESAPP capitalisation Presentation of group work Discussing the finalisation of the ESAPP capitalisation (road map)	Post-ESAPP strategy Input (Urs Wiesmann and Monika Egger): ESAPP scenarios Participatory identification of opportunities and threats (SWOT) for each post-ESAPP scenario
06.09	FR	Post-ESAPP strategy Group work: identification of S-Demand for a possible future regional programme, based on selected scenarios. Priority setting for continuation of reference sites and further development into long-term observatories	Post-ESAPP strategy Development of an acquisition plan and strategy for the post-ESAPP period Synthesis / conclusions / identification of steps ahead
07.09	SA	Field Trip in Nanyuki Environs	
08.09	SU	Departure of Participants and transfer of Evaluation Team to Nairobi	Free
09.09	MO	Field Visit of Evaluation Team (e.g. Eastern Kenya ASALs)	
10.09	TU	Field Visit of Evaluation Team	Transfer of evaluation team to Nairobi
11.09	WE	Consultation of Evaluation Team and work on a first draft evaluation report	
12.09	TH	Departure of Evaluation Team	

Annexe 5: Field Visits

Saturday, 07 September 2013: PAPs

Morning: Space for Giants in Nanyuki-Kanyoni Natural Parc (Q305): Empowering local communities in EAF with appropriate technology to manage human-wildlife conflict and undertake conservation planning. Aim: empower local people to manage human-wildlife conflict and undertake conservation planning through dissemination and training on appropriate, accessible, mobile-phone based reporting and online open source interactive mapping tools in Laikipia



(Photo: Field Visit Saturday, 07 September 2013) (Photo from presentation B. Kiteme, CETRAD, CW 2013)

Afternoon: Common intake in Ngusishi (Water Resource Users Association)

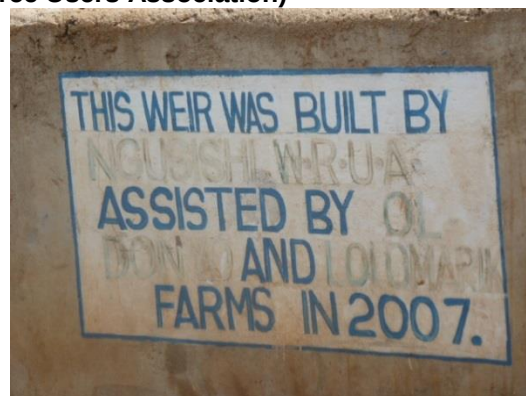


Photo: Evaluation Team

Monday, 09 September and Tuesday, 10 September 2013:

East Kenya Reference Site on the theme SLM and food security

Aim: to introduce the Tanzania based Ngoilo Cultivation Technology (NCT) in the heavily degraded and lowly productive hillsides of Mutonguni and Nzauni in Kitui County, eastern Kenya. This will help to restore land productivity, improve crop yields and in turn improve food security at the house hold level. The project also aims to strengthen south-south collaboration through the participating institutions from the two countries.

Monday, 09 September 2013: Visits and meetings with 2 Community based SHG (Self-Help-Groups) in Makueni County

Tuesday, 10 September 2013: Visits and meetings with 2 Community based SHG (Self-Help-Groups) in Kitui County



NGOLO cultivation technology (Photos from presentation B. Kiteme, CETRAD, Capitalization Workshop Nanyuki, 04-07 September 2013)

Annexe 6: Interviews

6.1 Interviewed participants of Capitalization Workshop 2013 / Nanyuki / Kenya

First Name	Given Name	Country	Institution and function	Contact
Woldeselassie	Ogbazghi	ER	Hamelmallo College of Agriculture, Keren; Associate Dean for Academic Affairs and responsible person for ESAPP Focal Point Eritrea; member of the Association of Eritreans in Agriculture Sciences (AEAS)	wogbazghi@yahoo.co.uk and: wogbazghi@gmail.com
Berhanu	Debele	ET	Regional Coordination Office NCCR Horn / ESAPP; responsible person for ESAPP Focal Point Ethiopia and 'Reference Site Simen Mountains'	berhanudebele@gmail.com
Kumera	Wakjira	ET	Ethiopian Wildlife Conservation Authority (EWCA); responsible for monitoring developments in Simien Mountain National Park	matikume@yahoo.com
Tuli	Msuya	TZ	Ministry of Natural Resources and Tourism, Tanzania Forest Fund; Administrative Secretary	Tuli Msuya <tulikibi@gmail.com>
Saphiel Yesaya	Abraham	TZ	Pangani Basin Authority; Community Development Officer	abrahamsafi@gmail.com and saphytz@yahoo.co.uk
Lalanirina Gabrielle	Rajoelison	MA	Université d'Antananarivo; Ecole Supérieure des Sciences Agronomiques Forêts (ESSA Forêt); professor at ESSA Forêt and responsible for ESAPP Focal Point	Lalanirina Gabrielle rajoelison <g.rajoelison@yahoo.fr>
Harisoa	Rabevohitra	MA	Bureau d'études Savaivo; Consultante Permanente	harisoa.rabevohitra <harisoa.savaivo@bluewin.ch>
Albrecht	Ehrensperger	CH	University of Berne, Centre for Development and Environment (CDE); ESAPP coordinator; senior research scientist	albrecht.ehrensperger@cde.unibe.ch
Urs	Wiesmann	CH	University of Berne, Centre for Development and Environment (CDE); ESAPP programme director	Urs Wiesmann <Urs.Wiesmann@cde.unibe.ch>
Monika	Egger Kissling	CH	ECES GmbH head of ECES and assigned by SDC with the external evaluation of ESAPP	Monika Egger Kissling <egger.consulting@bluewin.ch>
Boniface	Kiteme	KE	Centre for Training and Integrated Research for ASAL Development (CETRAD); director of CETRAD and responsible for the ESAPP regional node and	b.kiteme@africaonline.co.ke
Solomon	Mbuguah	KE	Municipal Council of Nakuru (MCN); Geo-Information Coordinator at MCN and responsible for 'ESAPP Reference Site Urban Centres of Rift Valley and Nyanza'	Solomon Mbuguah <solomon.mbuguah@gmail.com>
George	Krhoda	KE	University of Nairobi, School of Environment and Agriculture; Professor	george.krhoda@gmail.com
Carol	Ouko	KE	Centre for Training and Integrated Research for ASAL Development (CETRAD); Research Scientist and PA to the director	c.ouko@cetrad.org
Jacinta	Muchugu	KE	Centre for Training and Integrated Research for ASAL Development (CETRAD); Finance and administration officer	j.muchugu@cetrad.org
Evans	Njuguna	KE	Centre for Training and Integrated Research for ASAL Development (CETRAD); Research Scientist in charge of knowledge and information management	e.njuguna@cetrad.org
Grace	Wambugu	KE	Centre for Training and Integrated Research for ASAL Development (CETRAD); Support staff --> accompanies evaluation team during field trip	
John	Kimathi	KE	Centre for Training and Integrated Research for ASAL Development (CETRAD); Support staff --> accompanies evaluation team during field trip	
Max	Graham	KE	Space for Giants; CEO	Dr Max Graham <max@spaceforgiants.org>

Legend:

- Persons interviewed in semi-structured interviews of 1.5- 2.0 hours duration.
- Evaluators
- Programme Officers CETRAD that accompanied the evaluation in the field visits and with whom the evaluators had intensive exchange during the trips
- Partner of ESAPP for field visit of the project *Space for Giants* on the theme Elephant-Human Being Conflict, exchange during field trip

6.2 Interviewed persons at SDC and CDE, Headquarters Berne

Philippe Monteil	Programme Officer	SDC
Udo Höggel	Contact Person Reference Site TZ	CDE
Thomas Kohler	Contact Person Reference Site ER	CDE
Peter Messerli	Contact Person Reference Site NE Madagascar	CDE
Julie Zähringer	PhD on Theme of Reference Site NE Madagascar	CDE
Andreas Kläy	Contact Person Reference Site Cabo Delgado Madagascar	CDE

