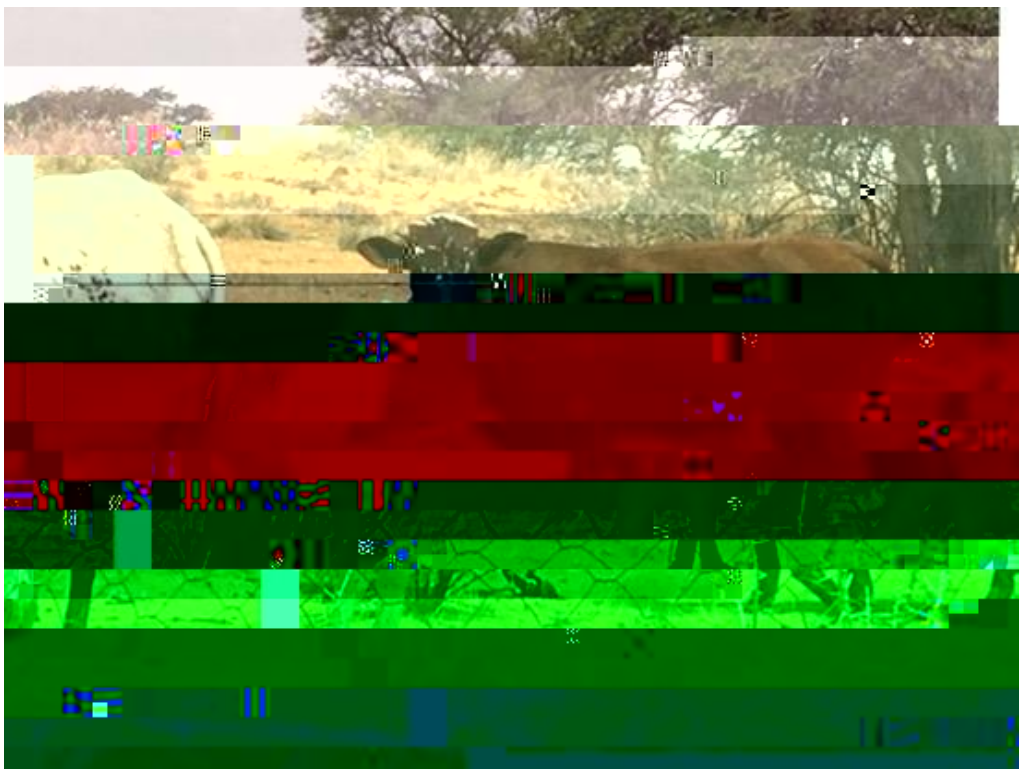
Terminal Evaluation of the UNEP/GEF project

“Kalahari-Namib Project: Enhancing decision-making through Interactive Environmental Learning and Action in the Molopo-Nossob River Basin in Botswana, Namibia and South Africa"

GEF ID: 3403



Evaluation Office of UN Environment Programme

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Front cover: photo by Elise Pinners, Surprise Farm fence for rotational grazing, South Africa, 28-12-2019
Page iii: photo by Elise Pinners, Prosopis control near BORAVAST area, Botswana, 03-12-2019
Page 8: photo by Elise Pinners, Martha Isaacs showing the Propopis pod grinding machine in Bokspits, Botswana, 02-12-2019
Page 64: photo by Elise Pinners, Aminuis community, Namibia, 15-10-2019

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MENRCT	Ministry of Environment (-& NR Conservation & Tourism - Botswana)
MET	Ministry of Environment & Tourism (Namibia)
MEWT	Ministry of Environment, Wildlife & Tourism (Botswana)
MHSS	Ministry of Health and Social Services (Namibia)
MLR	Ministry of Lands and Resettlement (Namibia), Directorate of Resettlement
MLRGHRD	Ministry of Regional & Local Government, Housing & Rural Development (Namibia)
MME	Ministry of Mines and Energy (Namibia)
MOMS	Management Oriented Monitoring System (Botswana)
MRDLR	Ministry of Rural Development and Land Reform (South Africa)
MTS	Mid-Term Strategy (IUCN)

29. Monitoring and reporting: monitoring was insufficient and could not prevent that reports included some misleading or incorrect statements; results are thus over-stated. Documentation is not complete. The reporting is lengthy and focuses mostly on the delivery of activities. Financial reporting starts out by reporting by component and ends with reporting by budget line. Participation of women and men is monitored towards the end of the project, but not systematically.

30. Instead of an external Mid-Term Review, IUCN commissioned itself a Rapid Review, in 2017, that is six years after project start. Its report - as other reporting - follows the activity-like 'outputs'. The shortcomings of the report can be illustrated with the first and last key findings in the summary: 'the project supported communities, local and national governments to implement SLM', and 'the project established capacity to implement livelihood options and land management though there was limited time to implement these in Namibia and Botswana'.

31. The KNP final report (May 2019) scores the project outputs; the average is 99%.

32. This Terminal Evaluation project ratings can be found in the main text, with more details in Annex 5 of this report. After weighted rating, the project score is 2 (Unsatisfactory).

Main conclusions

33. The project design

37. A Project Steering Committee should steer an entire project, with special attention to more challenging local implementation issues. Controversies are - for a strategic steering committee - opportunities to raise the value of a project.

38. Policy development would be served if the Terms of Reference require a good justification (or policy position): precisely why, what and where (in which legislation) should changes be considered.

39. A longer-term commitment with a more programmatic (r)4/ c&(d)14>qQq0.000008867 0 84

achievements of SIP Intermediate Results (IRs) in the Kalahari- Namib trans-boundary ecosystem:

- IR1 and 4: through identification and implementation of innovative community-based Sustainable Land Management (SLM) approaches (reflected in KNP Components 1 & 2).
- IR2: through the development and implementation of decision-support tools and capacity building for policy-makers, local institutions and communities, that will promote dialogue and negotiation, resulting in improved decisions on SLM scale up (reflected in KNP Component 3).
- IR3: via the provision of alternative livelihoods and services that will support up-scaling of SLM (reflected in KNP Component 4).

1.2 Coverage of the evaluation

46. This report is a terminal evaluation of a UNEP-GEF project implemented between the 1

potential) stemming from the project, including their sustainability. The evaluation has two primary purposes:

i. to provide evidence of results to meet accountability requirements, and

ii. to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and IUCN ESARO, and the Ministry of Environment, Wildlife & Tourism (Botswana), Ministry of Environment and Tourism (Namibia), Department of Environmental Affairs and Department of Agriculture, Forestry and Fisheries in South Africa.

52. Therefore, the evaluation identifies lessons of operational relevance for future project formulation and implementation.

53. UNEP[7] is the implementing-, IUCN the Executing Agency, partnering with:

- The Namibia Ministry of Environment and Tourism (MET), in collaboration with the Ministry of Lands and Resettlement, and Ministry of Agriculture, Water and Forestry
- The Botswana Ministry of Environment, Wildlife and Tourism (MEWT, Department of Environmental Affairs)
- The South Africa Department of Agriculture - National and Provincial (Northern Cape Province)

not least the many changes of staf

2 Evaluation methodology

57. In this chapter the methodology is presented, a methodology following requirements in the Terms of Reference (ToR), which is part of a set of UNEP guidelines and instruments for project evaluation.

58. The approach has been participatory, key actors in IUCN were kept informed through the inception report, communications to develop the itineraries for country visits, briefings in Windhoek, Tsabong, Pretoria and Kuruman, and debriefings in Gobabis, Tsabong and Gaborone, and numerous other communications, as well as online and face-to-face interviews. For details on participants see Annex 1.

59. Throughout this evaluation process and in the compilation of the Final Evaluation Report efforts have been made to represent the views of both mainstream and more marginalised groups. Data were collected with respect to ethics and human rights issues. All pictures were taken and other information gathered after prior informed consent from people, all discussions remained anonymous and all

km away from the farm, and not really involved in the farm; incomplete resettlement meant the farm area still had no proper housing. As for other resource persons, selection was determined by role in the project irrespective of gender.

63. Participation of resource persons during the country visits, per country, by gender, is presented in the next table (no double counting). The numbers do not reflect the total numbers interviewed, because for some gender could not be established, and there were interviews with staff and consultants from IUCN and UNEP not counted here.

Table 1: Participation of resource persons

	Namibia		Botswana**		South Africa	
	women	men	women	men	women	men
Community	20	22	8	9	2	9
Other*	1	4	7	21	2	

3 The project

3.1 Context

64. The Molopo-Nossob region in the southern Kalahari experiences continued land degradation, including loss of biodiversity and primary productivity, and ultimately the loss of ecosystem functioning.

65. From the perspective of land users, there are challenges to improve land use practices:

- a lack of knowledge, skills and resources (and inadequate access to information, technical-, financial- and input supply services and markets) and an insufficiently enabling environment for accessing these services[8], and
- insecurity of land tenure of communal lands, and land governance issues related to government regulations (land transactions and -administration, information, land use law enforcement e.g. to address illegal fencing, land reform processes, managing inequalities and conflicts) and local land governance (community decision-making on land use and -governance, and managing inequalities and conflict).

66. From the perspective of service providers, there are capacity challenges: insufficient or inadequate expertise and geographic information on degradation, limited human resources and development budgets, poor M&E systems, as well as strategic/policy gaps or challenges, e.g. being caught between the nexus of economic development and resource exploitation, and limited inter-sectoral collaboration.

67. The project implementation area straddles three countries and the project document also identifies the need for transboundary collaboration, to share information, address mutual issues and harmonize policies.

68. The project focus is on traditional agricultural practices, incorporating interactions with other resources and users (e.g. wildlife ecotourism), and improving what people are already doing for themselves.

69. The project document discusses, amongst others, these risks to the implementation:

- changes in political decision-making and -priorities
- lack of coordination and cooperation among development partners, and (conflict within and across) sectors, absence of cross-sectoral structures
- a narrow, project-specific and ad-hoc approach to the problems, not capturing the cross-sectoral nature of land degradation and not systematically addressing its root causes
- over-reliance on technology-based solutions instead of building local management and governance capacity.

[8] Services for improving land use practices and/or development of alternative livelihood activities

70. In Map 1 the Molopo-Nossob river basin is shown. The basin, 69 338 601 753 m2 in size, originating in Namibia, running southwest towards and along the border between Botswana and South Africa.

Map 1: Molopo-Nossob river basin (source: Riversnetwork)

3.2 Objectives and components

71. The overall goal of the project, as described in the project document (2010), is to support communities and policy makers in Botswana, Namibia and South Africa to effectively imple1.62 243.05 Tm0 g4625 Tm0 g0 G[(3)4(.m0)21(b)3oflyS reW* nBT/F1 12

Component 4: Income Generating Activities Supported by Improved Services

Component 5: Monitoring and Evaluation, and

Component 6: Project Management.

73. IUCN/ESARO, as implementing agent, was in charge of overall Project Management and M&E, working in collaboration with (or through) implementing partners in the three countries, to deliver on components 1, 2, 3 and 4. For Component 3 there was also direct collaboration with SADC and ORASECOM.

3.3 Stakeholders

74. This section describes the main groups of stakeholders for this project, in terms of i) their interest in SLM, ii) their influence on (sustainable) land management, iii) their actual (observed) roles and responsibilities in the project, and their iv) potential to contribute to the results on the ground.

Table 2: Stakeholders

Stakeholders	i) interest in SLM	ii) influence on land management	iii) project roles & responsibilities	iv) contribution to results (potential)
Land user communities[9] members (women, men, youth, children, future generation from different origins (ethnic and other), mostly on commonage land, some on leasehold land	+++			

4 Theory of Change at evaluation

92. There was no Theory of Change (ToC) required for the original project design, and also none was made later. For the Inception Report for this evaluation, the project results framework (mostly guided by the version from the GEF CEO endorsement) was reconstructed (see section 5.4 Effectiveness, p. 6), discussed with the project team and, based on that, a ToC was developed. The visualisation of this 'original' ToC (original because the goal posts have not been moved, only causality gaps and disconnects have been addressed) is presented in the figure 2 below as the 'complex version', where each outcome first mentions the key actor(s) and what these are expected to change. A 'summary version' is presented for greater accessibility in figure 3.

Figure 2: Theory of Change based on the Project Document - complex version

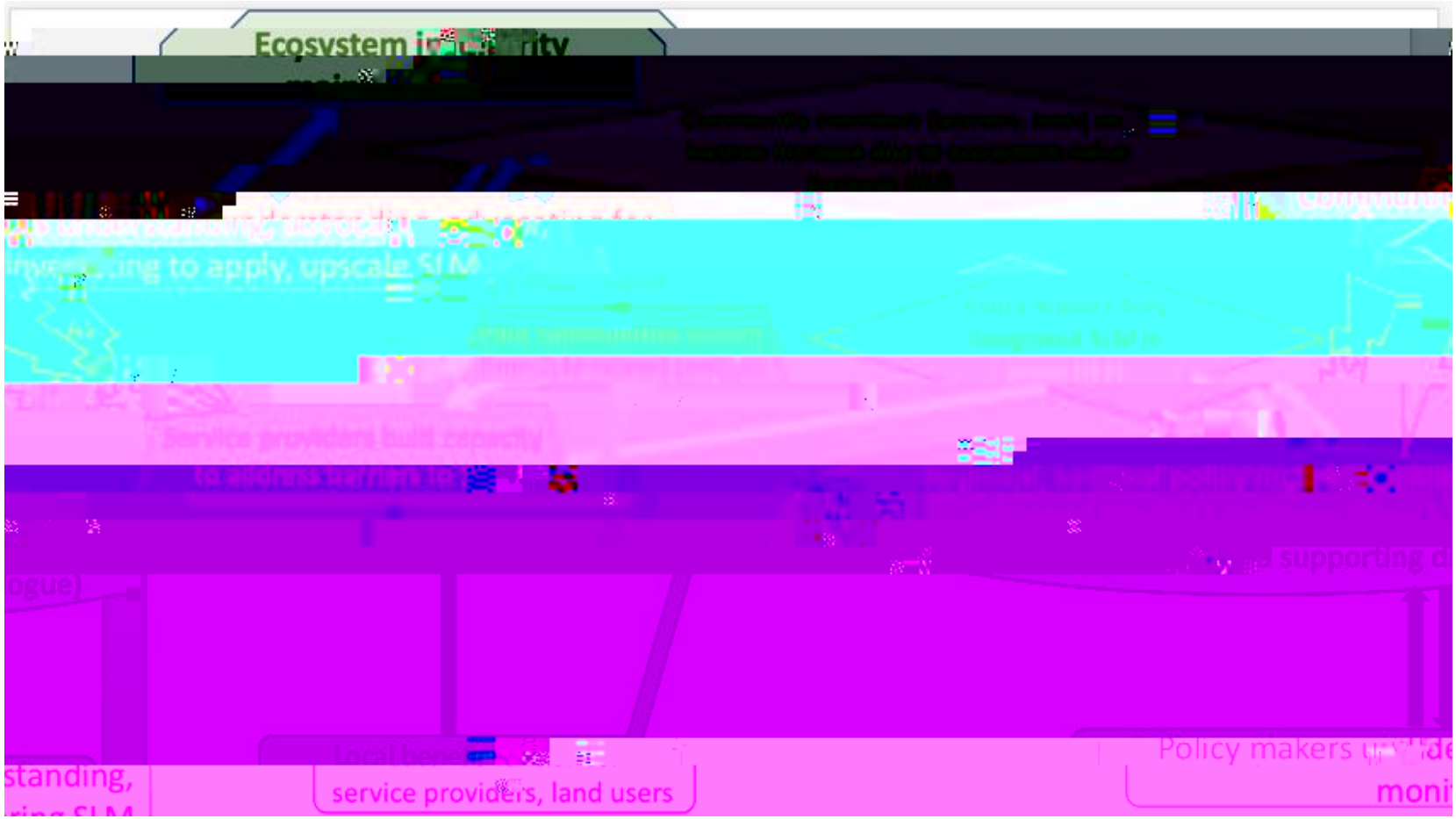
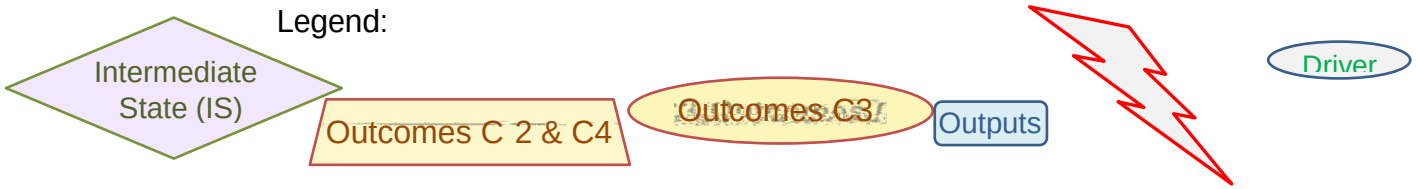


Figure 3: Theory of Change based on the Project Document - simple version


Legend:
Intermediate State (IS)
Outcomes C 2 & C4
Outcomes C3
Outputs
Driver

5 Evaluation findings

98. This chapter is organized according to the evaluation criteria presented in the TOR and reflected in the evaluation ratings table (presented in 6.1).

99. Factors affecting performance have been integrated (as cross-cutting issues) in section 5.5, Project management.

5.1 Strategic relevance

100. In this section, the relevance of the project document is summarised, as well as some reflection on the relevance as seen during implementation.

i. Alignment to UNEP Medium Term Strategy, Programme of Work

Project Document and UNEP Medium-Term Strategies (MTS)

101. MTS 2010-2013[17]: from this strategy we find, in the project document, the work to build countries' knowledge-base for reducing (emissions from) deforestation (where rangeland is considered

Project implementation and BSP

112. The project implementation seems to change focus, putting more resources in favour of a top-down change path from developing coherent international environmental policies (e.g. SADC-SRAP) to national governments co

- the principle that partners provide "operational support for SLM priorities" is evident to some extent in the implementation (see 5.4 for an assessment of the extent to which this operational support produced SLM results on the ground).

Project implementation and NEPAD/EAP

117. The mutuality of environment and food benefits is not demonstrated much in most projects in the pilot communities, notably the vegetable gardening and poultry projects in Namibia and South Africa are quite disconnected from local natural resources (apart from using water).

Sub-category rating: 2 (Unsatisfactory)

iv. Relevance to regional, sub-regional and national environmental priorities

Project implementation and (sub-)regional and national environmental priorities

118. The project responds to stated environmental concerns and priorities of the countries and at the sub-regional level; this is seen in the SADC and its engagement to produce the SRAP. The project established links to ORASECOM,

5.2 Quality of project design

121. A strong point of the project design is that it makes clear why it is relevant in terms of strategies in the UN, GEF, and alignment to SADC and countries' strategies. It also makes good reference to past or on-going initiatives of projects.

122. The GEF Intermediate Results (IR) are reformulated as activities, not as results (as in the original). And IR3 seems to be misrepresented: in the original it is about strengthening of services, in the project document it becomes an activity of 'provision of alternative livelihoods and services' (although it is not entirely clear what 'provision of alternative livelihoods' means, but it suggests more direct delivery to communities rather than working through local services).[23]

123. The main gaps or disconnects in the original project logic are presented in this section, following the UNEP guidelines.

124. The causal links between different results are not clear. For example: how is regional policy making (SRAP) going to inform national policies? Meanwhi13(p)11(l)2. For e p

functioning' is assessed with this indicator: 'barriers to adoption of good practices (SWC/SLM/INRM) are identified and factored into the project through ongoing

136. There are no other key or critical external factors that could have limited project performance and are not addressed in the project. The two other risks that the project document highlights are that there are changes in political priorities and changes in priorities of local communities. In the project reporting these risks are not discussed (assumed to be non-existent).

Rating for Nature of External Context: 2 (Unfavourable)

5.4 Effectiveness

137. In the Inception Report for this evaluation (Chapter 2, Table 1) the intended results of the project are re-aligned to meet international standards as per UNEP guidelines, and a justification for this is provided. That table is included in this report as Annex 3.

138. In section i. the effectiveness is discussed in terms of outputs and outcomes; in ii. there is a discussion on the (likelihood of) impact i.e. attaining the overall goal "to [...] upscale Sustainable Land Management in the Molopo-Nossob basin area and thereby contribute to improved livelihoods and the maintenance of the integrity and functioning of the entire Kalahari-Namib ecosystem".

139. Where a change process is observed, the roles of key actors, drivers and assumptions are discussed. There is also some discussion of the effects of interventions on different community stakeholders, men and women, and the more marginalised, however, this can only be limited as monitoring data are scarce on gender, and there was no stakeholder analysis during project design or project mobilisation assessing the situation specifically for different stakeholder groups at community level.

i. Availability of outputs and achievement of project outcomes

140. In relation to this section, the main reasons for delays and shortcomings are discussed in 5.2 (project design) and 5.5 (project management and supervision). Importance should be attached to managerial problems as well as strategic issues arising from the project document and how it was interpreted.

141. With a result-focussed approach, UNEP guidelines define outputs from the perspective of beneficiaries (using project deliverables), and (project) outcomes as capacity- and behaviour changes seen in stakeholders (individuals, organisations) that are not under the direct control of the project's direct actors.

142. Project outcomes are assessed by comparing what is presented as an outcome in the FY18 report (up to 30 June 2018) with outcomes found by the evaluation. Performance at output level is also assessed by comparing what was planned with what is found in reports, although the information is not necessarily complete, when annual reporting did not cover outputs. The information is therefore derived from different locations in reports, triangulated with data from interviews and observations during the in-country field missions.

143. A special note here about the baseline studies (Component 1). There is insufficient stakeholder analysis, only a very general description, especially lacking is the information on beneficiaries i.e. land users and their communities: interests, power, and possible conflict in Botswana and Namibia baseline studies,

Component 1

144.

Component	Planned result	IUCN/KNP reported result: Annual report FY18 & FINAL REPORT[26]	Findings
	systems for SLM knowledge generation, dissemination, scale up	Project banners, brochure, folder, fact-sheets, technical brief, articles/web-stories and video have been produced to share issues, experiences, lessons learnt. A project website was developed and project outputs such as the Community Environmental Action Plans (CEAPs) uploaded.	South Africa Not verified (could not be established)
	1.2.3 Communities strengthened their M&E systems to generate knowledge on, share and disseminate SLM practices		-

Component	Planned result

maintenance of fences (project paid) used for rotational grazing (a pr

	Planned result	IUCN/KNP reported result	Findings
*			

Component	Planned result	IUCN/KNP reported result	Findings
			The issue of Land Use Management (and role of DLUPU) was not raised. Khawa-

Component	Planned result	

Component	

Component	Planned result	IUCN/KNP reported result	Findings
			Ad 5. Trained people

challenges that land users face; no apparent use is made from issues arising from, and lessons being learned in components 2 and 4.

Table 11: Availability of outputs and achievement of project outcomes (Component 3)

Component	Planned result	IUCN/KNP reported result	Findings
Outcomes Component 3 Enhanced National, Trans-boundary and Regional Decision-Making and Exchange of Best Practices	3.1.1 Regional and national policy makers taking decisions in favour of INRM, SLM scale up	A Regional SLM Forum was established - 1st annual regional forum convened in 2012, 2nd in 2013 at UNCCD COP 11 and 3rd at UNCCD COP 12 in 2015; 1st UNCCD Focal Point Meeting for SADC Member states convened in 2013, a 2nd in 2015, and a 3rd in 2017. The revised SADC SRAP provides the enaG[(a)14(nd)8( )] TJE410(o)4(r G[(avJE4rned	

Component	Planned result	

Component	Planned result	IUCN/KNP reported result	Findings
			markets. The closest to this is the agricultural policy, suggesting a focus on smallholders, and 'remove barriers to agricultural investment'. The first SRAP principle: about participation of (especially) women and youth. NB: the level of participation is not clear; and where target communities use commonage land, community empowerment would make sense. 3. Ecosystem Services Assessment The av. land value lies between R174 and R261 per ha per year. Main economic drivers are agriculture/livestock, mining and tourism. Degradation drivers are over-grazing, over-abstraction of groundwater, invasive spp. (Prosopis). The ecological infrastructure is quite homogenous, benefits per land area unit vary. Most degradation risk is in Rangeland Units with high proportions of subsistence and rural based livelihoods, largely relying on the ecosystems. These units not receiving proportional benefits should be targeted first to ensure equality, i.e. units that have less access to resources (surface water). Sustainable development of market based opportunities. Subsistence itself is seen as a risk. The report tries explain why in South Africa tourism is better developed and why not in Botswana, suggesting that 'provision of services and increased access to tourists [..] would allow the benefits provided to be maximised. NB: This seems to ignore findings from Component 2: in Botswana the main challenge is not services or access to tourists, but a dysfunctional la nd market. It recommends that the National Biodiversity Economy Strategy (NBES) of South Africa (2016) be shared (and it could be the basis of a GEF funded project). It recommends a Land Use Management Strategy (LUMS) for the MNB to include a groundwater management plan, a grazing management plan and a Prosopis management plan. Social causes of land degradation: the study refers to a lack of support for alternatively livelihood opportunities (services), lack of (strategies to increase) knowledge on SLM. NB: again no mention of land tenure reform. 4. Total economic valuation and market chain analysis I would expect that core markets are checked[47] (and any exclusion justified). In this context one would expect at least these core markets: commodities, la.03 12 re5bsis

Component

	Outcome 1 on producing policy papers for SLM. Outcome 2 on implementing these. Outcome 3: M&E. Outcome 4: Degradation reversed, affected communities & ecosystems strengthened. Outcome 5: Finance to support communities, farmers on SLM. Outcome 6: Research	- Inequality, inclusion, indigenous knowledge and gender - M&E	
Conclusion	Land tenure is part of it, and the Ministry of Land and Resettlement a key partner for land allocation and supporting resettlement.	Details for technical interventions, and livelihoods, but not about enabling, empowering communities and -tenure. The Ministry of Lands is only used for planning, and spatial database.	A lot of activity but not clear what is to be changed, at community level. All about DEA.

Component 4

154. No significant outcomes even though the communities in Namibia and Botswana have started several livelihoods project. It is important to note that, although such projects are to be market-oriented business projects, none of these projects started by making a business plan.

Table 13: Availability of outputs and achievement of project outcomes (Component 4)

Component	Planned result	IUCN/KNP reported result	Findings
Outcomes Component 4 Income Generating Activities Supported by Improved Services	4.1 Service providers (public, private local institutions) support, facilitate planning of communities' (or community members') SLM-related livelihoods projects, promoting for example sustainable exploitation of NTFP, production of fodder (to enable changes in livestock management), livestock breeding	Community environmental action plans and participatory consultative processes were used to identify pilot community enterprises. Namibia – boreholes drilled in Aminuis and Corridor Post, poultry and horticulture projects initiated and showing promising initial results. A	

Component	Planned result	IUCN/KNP reported result	Findings
		n approval of 2x2km grazing camp adjacent to the transfrontier park (subject to payment of Pula 6000) n training on CBNRM policy, enterprise development n training on project cycle, and project financial management who (if not LEA)? processing grinder), 6 people trained, pods collected in 4 villages (with BUA), transformed for livestock feed n training on ecotourism (by DET) n support for an eco-tourism venture in communal land (adjacent to the Kgalagadi Transfrontier Park) n BORAVAST Prosopis control strategy and O472.03 56100.1 213.2viSL[(T)-4(r2(A)25(S	

Result level	Reconstructed results	IUCN/KNP reported result (from report FY18)	Findings
			poultry but their project is halted (at least for the time being).

Rating for Effectiveness: Likelihood of Impact: 2 (Unlikely)

5.5 Project management and steering

i. Financial management

158. No audit statements were accessed. UNEP agreed IUCN complied by providing "one full set of the organisation's audited financial statements for each year" of implementation.[52]

159. Budget moves bconsidering the budget analysis presented in 3.6 bseem to favour component 3 (policy work), and component 6 (project management).

- Reporting requirements did not state that budgets be kept and reported per component; as a result, information on significant budget movements between components was not clear to implementers; the PSC had 'a rough idea' on allocations per component (no detailed breakdown).
-

officers (not timely informed about the end of their engagement, months' worth of workdays are due).

162. Communication with partners on financial matters was not adequate and transparent, on the use of funds earmarked for each country (source: Bouhari report on the KNP closing meeting).

163. Further information on financial matters is provided in Annex 4.

Rating for Financial Management: 3 (Moderately Unsatisfactory)

ii. Preparation and readiness of project management and partners

164. Project inception phase - the project seems to have overlooked changes from the CEO endorsement; these do not appear into its planning and reporting (which follows the original result framework throughout the implementation).

165. Implementation structures: overall project execution in the three countries was characterised by challenges in providing human resources, both from the partners and from IUCN. Responsibilities between IUCN and partners are shared in various ways:

- Field Officers were sometimes (partly) paid for by co-financing, sometimes from the main KNP budget. In Namibia and Botswana, implementation by the IUCN/KNP consultant took over from locally hired officers; at this stage a more parallel implementation structure evolved, causing partners to complain they were not aware of visits to communities and what was agreed there.
- Namibia is the only country for which there was an MoU, as Botswana and South Africa considered this not be necessary. In spite of the MoU, issues arose with communication, misunderstandings (or funds mismanagement) and this caused delays. The trust issues between IUCN and MET affected the local officers hired by MET (and the people they hired as field coordinators), as well as the communities who saw the delays and started writing letters to MET, to get answers.
- It was not clear how much funding was available for implementation ('a trickle') which made it difficult to plan (full-time) human resources; both IUCN and MET in Namibia struggled with part-time staff arrangements, and likewise in Botswana the mobilisation of human resources from DFRR proved difficult.
- For Namibia, the Rapid Review Report made several recommendations to complete the projects, yet the projects were still incomplete in the end.
- In Namibia, local government staff were trained on CEAP but did not get to exercise sufficiently, as government resources to scale up the initiative were not available.
- In South Africa there were two focal points (two departments involved), delivering through the existing extension system, suitable for what it delivered i.e. SLM related services. Extension did not, and probably was not enabled to deliver on land tenure issues.

166. Involvement of other ministries in service provision to communities: Namibia's Ministry of Agriculture was intended to be involved from the beginning but when

called to provide (in this case training on rangeland management) it did not deliver. During implementation Namibia re-organised its multi-sectoral structure, with the consequence of KNP having to re-gain the buy-in for a multi-sectoral approach for SLM. This is evidence of the real risk of insufficient inter-sectoral collaboration, which was seen also in Botswana, where the multi-sectoral structure (district Technical Advisory Committee) gave little attention to KNP and its needs, leaving it all to DFFR, which contributed to delays or lack of follow-up.

167. It was reported that these challenges were a reason (among others) for IUCN to shift focus away from, and reduce the budget for, community-level projects, in favour of regional policy dialogue.

168. Project management staff: Project Officers heading the project followed in sequence: one in 2011-2013, one in 2014-2015, and since April 2015 there have been no full-time staff on the project; a Senior Project Officer from IUCN had 30-40% of time for the project and that contract ended 6 months before project end, then a new IUCN officer took over. Respondents in all three countries reported feeling that the staff changes caused a loss of momentum.

iii. Quality of project management (IUCN) and supervision (UNEP)

169. Leadership towards planned outcomes: from national partners, and both IUCN and UNEP the impression arises that the project leadership lacked commitment (or 'passion'). Meetings and workshops are then merely activities to-be-done, and community-level work turned out to be mostly transactional. In this situation there was still a lot to report on: activities - matching the activity-like outputs of the result framework.

170.

much strategic supervision, through PSC meetings or otherwise, to have the project develop, for example, a Theory of Change, or a result map, to revise the result framework, to carry out a more socio-politic stakeholder analysis, to enter land transaction costs in the value chain analysis, and prepare specific, articulate approaroay.84 reW* nBT/08 840.84 08 84275 348.89 Tm0 g0 G[(s)6(t)7(a)4(k)17(e)10(ho)1

that government complete the resettlement scheme in this pilot project. This is a pilot community, and it gives an opportunity for a reform champion in local government. This should rise above the transactional proposition that the group was given - "you reduce herdsize and we (KNP) pay your water pipes". Achieving some real change in a pilot project would also inform policy changes a more articulate, transformative National Action Plan. Conflicting interests highlighted in project documents, or baseline studies, are great opportunities, a gift for policy dialogue. If Boravast is waiting four years for a land transaction (and this is not uncommon), it is a sign on the wall, a big national policy problem and something to look out for in a National Action Plan.

174. UNEP accepted that the mid-point assessment should take the form of a rapid review and this was done at a very late stage, reducing the scope for strategic re-direction.

iv. Project Steering

175. The Project Document provides, in its Table 6, 'indicators' for PSC effectiveness: the PSC was to track progress and impact, and 'provide guidance on annual work plans and fulfilling ToR' as well as 'policy guidance, especially on achievement of project impact'.

176. Information on Project Steering is limited, as there are no minutes from PSC meetings beyond 2013[54]. The Rapid Review Report notes that there was a PSC meeting on the 25th of April 2014; the last PSC meeting was on 29th of March 2019.

177. This section is based on the available minutes of the PSC, interviews, and minutes from national PSC meetings (also incomplete; the latest are from 2015, 2016 and 2017).

178. The PSC did not concern itself much with what was happening on the ground, with its focus clearly on the implementation of Component 3: regional policy, transboundary work (including experience sharing on Prosopis control) and related studies. It sought to delegate the task of reading project reports to a technical committee (this was not set up due to lack of budget), and implementation of components 2 and 4 was largely left up to the National PSC. Namibia's participation in the PSC (also due to unresolved mutual trust issues related to payments, coordination of field work, and reporting) eventually stopped, reportedly due to unresolved mutual trust issues related to payments, coordination of field work, and reporting. There was no stru

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- various local implementers found that contact with KNP was minimal ('a communication gap', 'no feedback' or 'no coordination between the three countries').

Country ownership and drivenness

188. Government and public sector agencies were engaged in the project at three levels:

i. local level, implementing components 2 and 4 with communities -

in South Africa the engagement was most sustained; Botswana and Namibia struggled to provide and sustain adequate human resources for implementation. In all three countries it was a challenge to ensure multidisciplinary coordination and collaboration to harmonise SLM-related services.

ii. in the Project Steering Committee - see previous section: iv. Project Steering.

iii. in SADC and other international platforms for implementation of component 3 - at this level there are no findings (no feedback from SADC on the questionnaire sent in November, following a phone call in which no interview appointment could be made).[57]

189. During the inception the PSC proposed to include Civil Society Organisations (CSO) but this did not happen.

Rating for Stakeholder participation and -cooperation: 2 (Unsatisfactory)

vi. Communication and public awareness

190. The project did not develop its own communication strategy but several communication products have been produced (5.4 i.).

191. Public awareness among wider communities and civil society at large was limited to regional, bi-lateral or national level meetings and workshops organised by the project, often in collaboration with SADC; the project also presented in events of ORASECOM.

192. Wider public awareness raising on SLM would be a subject to look out for in the National Action Plans.

Rating for Communication and public awareness: 2 (Unsatisfactory)

5.6 Efficiency

193. Various issues have had their impact on project efficiency.

194. No-cost extension bIn section 3.6 it has been demonstrated how the budget has shifted towards management, and how this reduced the budget reserved for components 2 and 4.

195. Timeliness bthe entire project implementation period stretches over 8 years, a long time in a funded-project context, in itself reducing efficiency in various ways.

[57] It was impossible to arrange a meeting during the country visit, as the key resource person was in Madrid at that time, for the COP; she opted for the questionnaire instead of an online interview.

196. Partner engagement and -suitability - as structures for multi-disciplinary service delivery were weak, much came down to the main partner, no matter the subject; a question then raises about the suitability of that partner, e.g. a forest department promoting vegetable farming or poultry, would itself not be the most suitable, and would - with weak multidisciplinary structures - have to struggle to get it done by, for example, agricultural service providers.
197. Sequencing of activities

202. An inception meeting report suggests that project indicators must feed into UNCCD indicators. However, in practice, the original project document results framework (with indicators) remains as it is, and beyond the M&E plan in the CEO endorsement there is no further planning of monitoring.

Rating for Monitoring Design and Budgeting: 4 (Moderately Satisfactory)

ii. Monitoring of project implementation

203. Implementation of the monitoring plan (above Table 16): annual project implementation reviews did not take place (no reports). What is clear is that there were very few PSC meetings, and not even annually (see 5.5 viii) and not all the meetings that did take place produced minutes (or if they did, the evaluation did not obtain them all). There are no reports on Field Surveys apart from the Baseline Studies.

204. In Namibia and Botswana monitoring visits were infrequent (no reports), and when done by the IUCN consultant, these visits were not always coordinated with the local partners. There was no visit from the project management to the communities in Namibia.

205. In South Africa monitoring visits to Khuis and Surprise Farms are fairly regular, by the Northern Cape Province project manager of DAFF (now DALRRD) / KNP-ZA project officer. Training was evaluate

Components, Outcomes or Outputs as in the Project Document. It lists 9 'results' (the references between brackets are from this consultant and tentative):

- Rapid Review assessment (part of project management, M&E) (C1,5,6)
-

institutions' the work in UNCCD COPs, and SADC SRAP to continue convening annual regional forums. It reports on decision support tools, but much of it is very vague, e.g.:
  - 'participatory decision making' (participants? where, at what level?)
  - 'stakeholder and policy dialogues' (which stakeholders - the outcome gives a very wide choice, and where? besides, no outcome is reported on outcome 3.2 'promoting [..] dialogue and advocacy')
  - 'sustainable rangeland management', 'Prosopis management' (these are not decision support tools)
  - environmental valuation (where is that tool? who uses it?).

- In the FY18 report, in 3.1, outcome 4.1 it gives not much in terms of quantitative details e.g. on numbers of participants, what livelihood services the project found and built capacity of service providers to improve and/or expand, or what new services were added as an outcome of the project.'Pilot projects' does not say what services for SLM. In addition, the indicator is puzzling in this context.
- In the FY18 report, in 3.1, outcome 4.1 the result on page 33 is duplicated on page 34:

Outcome 4.3 Enhanced delivery of SIP IR 3 on strengthening of commercial and advisory services for SLM and making them readily available to land users.	Indicator: A Multi-country forum providing appropriate services for SLM scale up	Level at 30 June 2018: Pilot projects supported by available local government services. Botswana pilot projects supported by District Technical Advisory Committee (although a challenge due to remoteness of sites) and other relevant local advisory services. Namibia pilot projects currently being established. South Africa pilot projects supported by local government extension

213. The reporting issues are consistent in all the years' reporting that has been studied; there is no apparent effort to get things right in a later stage. It also raises the question whether UNEP (or GEF) monitor the quality of reporting.

214. Starting with insufficient stakeholder analysis, the project does not have a way to disaggregate groups, except for gender: gender dis-aggregated data appear in later reports, for some deliverables.

215. IUCN committed a Rapid Review (instead of an independent Mid-Term Review). The way this review was carried out was controversial: the Ministries felt ignored, finding they were not aware of review visits (that went straight to the communities).

216. The Rapid Review Report (Rapid Review of the Kalahari-Namib Project - Final Revised Draft Submitted June 2017.pdf) covers outputs (not outcomes) nearly as in the project document. From the project review summary:

217. The first objective, the first part, is an activity (support...) and only the end of the

228. Gender, and indigenous people. In the Namibia baseline study (2012), the stakeholder analysis does not give any details on different groups within communities, on socio-political issues. This allows reports to only pay lip-service, e.g. in one study the methodology notes: "We also spoke to specific interest groups like women and youth" and then the words women and youth are not mentioned anymore. Indigenous people's land rights are also not mentioned.

229. The Botswana 2012 baseline study has a section about land tenure (2.2.2). But, while it highlights the challenges of the Boreholes Act in terms of borehole spacing, it does not raise known issues of this Act with regard to land tenure: tenure security is promised for only those who are able to drill a borehole, leaving less affluent communities behind, thus potentially increasing the tenure gap.

230. This study does note that (with policy measures) a raised value of wildlife concessions facilitated stronger NRM at community level. BoRaVaSt has exactly this in mind, with its tourist camp project, but land tenure is the most important challenge and after 4 years' waiting the community still has not completed the land transaction required for the camp.

231.

ii. Financial sustainabi Q EMC /Span <M

3. Stakeholder participation and -

6 Conclusions and recommendations

6.1 Conclusions

244.

Strategic relevance (5.1)

245. The project document aligns well to UNEP's Medium-Term Strategy (MTS) and Programme of Work; it proposes to build the knowledge-base for SLM (MTS [redacted] 2017), and it also refers to rights-issues in terms of land rights and -tenure security (MTS 2018-2021), even though these later MTS evolved after the production of the project document.

246. The project document notes relevant parts of UNEP's MTSs, and in implementation it is seen that most efforts are concentrated on building the knowledge-base for SLM and describing ecosystem values to be integrated in the policy. The document's (MTS-related) references to land rights and -tenure security are translated into a project flyer, but not further translated in practice.

Quality of project design (5.2)

247. [redacted] and policy makers at local, national, transboundary and regional level. And it was assumed that this knowledge would then educate and empower pilot communities to adopt SLM and benefit from this; and services to upscale SLM-related services. All this was expected to help national level policy makers to produce and implement National Action Plans to ensure, down the line, that services indeed have the capacity they need, to facilitate communities on technical, organisational and socio-

Qua /F1 v 0 gn(t)7(e)1iW* n BT /F1 12 Tf 1 0 0 1 281.21 679.42 Tm 0 g 0 G [(-)] TJ ET O q 24403 TJ.67 0

understanding as in the UN MTS (and the project document): NRM/biodiversity-based livelihoods. It is debatable whether a water-requiring vegetable garden project is linked to local NRM and biodiversity (other than extracting water); the same for poultry projects (with chicks sourced across the border). In Botswana, the Forest Service is overseeing work that would be under the agricultural department. And the focus was shifted from what the community saw as a top-priority, highly relevant to SLM: a tourist camp (that did not progress because of a land tenure issue).

255. Regarding national policies (Component 3): completion and sharing of three main policy-decision supporting products (SRAP, Ecosystem Services Assessment, and Total Economic Valuation, Market Chain Analysis) is assumed to have increased understanding on SLM, to some extent. But the Ecosystem Services Assessment (2017) was produced well after SRAP. The Total Economic Valuation and Market Chain Analysis (2015) is useful, but limited to commodities and tourism markets. The SRAP (2015) itself is not very specific when it comes to (tentative) policy positions. It does not refer to lessons from KNP's work on the ground. And it also ignores land tenure issues where it raises the prospects for carbon finance; this can drive inequality, working against the reduction of the tenure gap: land owners will be the first to benefit from carbon credits, but studies show that this requires taking land tenure seriously, to allow marginalized rural people to benefit; in the case of this project, they are not land owners, also as communities: the land remains in state hands (land boards).[65]

256. The revised National Action Programmes (NAP): The Namibia NAP has considered land tenure as one of the barriers, to be addressed; the NAPs of Botswana and South Africa do not address the first (and often most important) barrier to SLM: land tenure, even as the Botswana NAP goes into detail on technical solutions.

Project management (5.5)

257. Challenges noted in the Rapid Review report that can be confirmed include the issues with delayed disbursement, continuity of project management staff, and difficulties to assure adequate human resources (between national partners and the project) for implementation of Components 2 and 4.

258. Country implementing partners' ownership was not strong; this was due to their own weaknesses (including in areas of multi-disciplinary collaboration) as well as weaknesses from project management that sometimes seemed to do its work in parallel.

259. The Project Management oversight from the Project Steering Committee (PSC), and directly from IUCN, and UNEP, seems to have been light (or weak), in terms of addressing management issues (e.g., revising the result framework, budget approvals, procurement and disbursement, monitoring and reporting). The PSC

[65] CIFOR - Sunderlin, W.D, et al., 2014. The challenge of establishing REDD+ on the ground. Insights from 23 subnational initiatives in six countries. It makes clear that tenure is a fundamental, and most challenging problem, because conditions require legitimate right holders and responsibility bearers be identified, but what is not favourable is state control and the practice to confer privileged access to land and resources to the business sector while marginalizing T W T C N R G Q R N G U & G X Q N X K P I N C P F T K I J V U p R E D + i s t o m o t i v a t e t a k e v e r n r T Q I T G U U G F G seriously.

observed in Boravast: in FY13 the project delivers materials for the tourist camp, yet by end 2019 the land transaction for the camp is still incomplete.

4. pilot projects, and how these could be upscaled, with a project exit strategy.

[redacted] This would also help prepare better ToR for studies in the project.

Effectiveness (5.4)

269. With a better stakeholder analysis, there would be better understanding on motives, e.g. why communities are not willing, or able, to reduce livestock numbers.[66] As tenure security is often described as a critical factor for SLM, it cannot be ignored here.

270. Stakeholder analysis should also describe how policy dialogue can be institutionalised to engage communities, so they can be highlighting gaps in service delivery and other policy-change requiring issues.

271. Terminology: 'Tragedy of the commons' in this project seems to be understood as a failure of a community to govern the land sustainably. But, part of the tragedy is that this land is formally governed by the state, and mostly as an absentee landlord, and that communities pay a land board for this. If communities are expected to invest in SLM, they need to be empowered for that (rather than being passive receivers of project goods). Power has two sides, and there should be

that make clear who provides what; addressing issues of engagement and ownership of national partners could be discussed here, or at least to explain why a national partner is not going to engage on key aspects of a project

3. ensuring that relevant, adequate and clear approaches are developed on key issues of i. community empowerment; ii. local services capacity development and how these two not only relate through service provision, but also through iii. platforms for dialogue with communities (on services, -policies, and for conflict resolution); and iv. the exit strategy needs to be part of the approach.

274. To strengthen human rights in this context means that land tenure and -governance (rights) should be addressed. This should have weight in an SLM project. Policy dialogue on community tenure and -governance could be helped with information from further afield: e.g. from FAO there are the Voluntary guidelines (2012) good practices gathered by FAO and others, on the multiple benefits of Community Owned (forest) land management[67], pastoral resource sharing (whether this is applicable in SADC is up for debate), fodder production, community disease monitoring, water management for livestock in ASAL, etc. There are also the tried-and-proven examples of countries that adopted the principles and practices of the "Fit-For-Purpose Land Administration"[68] - to speed up land reform while reducing costs.

275. Stakeholder analysis should be more socio-political. It is recommended to apply relevant methodology for this (e.g. the SEAN[69]), and consider issues of access and control over land, as well as gender issues, analysing the role of women e.g. in the management of livestock (the main part of the farm economy) or NTFP, in resource-related conflict resolution, and generational issues (concerning women, and yout

Annex 1 - Itinerary and resource persons

Table 2.1: Itinerary and resource persons interviewed (face-to-face or online)

Date, place	Activity	Participants (excluding the consultant)
24/7, Skype	Interview for the assignment	Martina Bennett (UNEP, Evaluation Manager)
28/8, Skype	Evaluation briefing	Martina Bennett (idem)
30/8, Skype	Introduction meeting	UNEP: Adamou Bouhari (Programme Management Officer), Martina Bennett (Evaluation Manager) IUCN: Jonathan Davis (Global coordinator, involved in conception 2008, till 2011), Claire Ogali (Programme Officer), Charles Oluchina (Regional Programme Coordinator), ultimately responsible
19/9, Skype	Check-in meeting	Martina Bennett (UNEP, Evaluation Manager)
23/9, Skype	Interview	Jonathan Davies (IUCN, Global coordinator)

Date, place	Activity	Participants (excluding the consultant)
01/11, Whatsapp call	Itinerary planning	Sonny Mokgwathi (Botswana Chief Forest and Range Resources Officer, KNP focal point and supporting member in BW-PSC)
01/11, Whatsapp	Itinerary planning	Ramugundo Aluwani (S. Africa, Administrative Assistant)
01/11, Whatsapp call	Itinerary planning	

Annex 2 - Documentation consulted

A) Information required before ToRs are prepared

Project Management	
Project design documents that have been agreed with all donors (UNEP ProDoc, Full GEF Approved CEO Endorsement Request package, Individual Donor Agreements, all appendices)	Y

All financial reports (i.e. UNEP financial reports submitted internally or to donors and/or financial reports received from partners)	N, only from 2015 onward
Cash advance requests documenting disbursements: disbursement (Funds Transfer) documents (cash statement) from a) funding source(s) to UNEP and b) UNEP to Partners	N
Email exchanges that demonstrate joint (Project/Task Manager and Fund Management Officer) decision making	N
Verification of delivery of GEF co-finance (cash and in-kind) contributions.	N, one update fr Botswana
For non-GEF, verification of delivery of any in-kind contributions.	n.a.
Audit reports, where applicable (and Management Responses to audits)	n.a.

*: report-deliverables presented in the final report yet could not be found:

- Impact of invasive species on ecosystem services in Africa: towards a SADC regional strategy and operational plan
- Establishment of management and control sites for bush encroacher (three thorn and black thorn) at Khuis Farm in South Africa
- Report on GEF 7 Programming directions including a justification for the SADC region to be included in the GEF 7 invasive species programme for the affected areas which needs support from the international community
- A concept note for the Green Climate Fund (GCF) for a Continental and sub-regional Programme for the understanding and sustainable management of biological invasions.

Documents on Context

- UN Convention for Biodiversity (UNCBD)
- Framework for the Convention of Climate Change (FCCCC)
- Kalahari-Namib Action Plan not relevant as since December 1994 it became an integral part of the SADC Regional Policy and Strategy for Environment and Sustainable Development (SHARE)
- Zambezi River Action Plan (ZACPLAN)
- National Action Plans (NAP)
- National Development Plan a0.000008867 0 595.08 840.8484 re595.3.544 19.44 10.32 reW* nBT/F4 9 Tf1 0 0 1 Rdi5n a.439

Braby, J. March 2016. Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM), UNEP Programme ID: GFL/2328-2770-4A79; 2184, Terminal Evaluation

http://www.fao.org/3/a-i5415e.pdf
FAO, 2016. Forty years of community-based for

https://www.iucn.org/content/land-degradation-threatens-kalahari
Improved Livelihoods Flyer.pdf

Improved Decision Making Flyer.pdf

Securing Community Rights Flyer.pdf

Case study 1.pdf

Strengthening the capacity of BORAVAST Community Trust in Kgalagadi District, Botswana.

Case study 2.pdf

Botswana Prosopis control.

CEAP Book IUCN.pdf

IUCN, Irish Aid, 2011. Community Environment Action Planning: A Guide for Practitioners

https://www.iucn.org/content/farmers-tackle-predators-ethically
IUCN, 26-12-2014. Farmers tackle predators ethically. (example of a webstory from this project)

https://www.iucn.org/content/communities-make-decision-fight-invasive-mesquite-kgalagadi-district-botswana
Communities make a decision to fight invasive Mesquite in Kgalagadi District of Botswana

https://www.iucn.org/content/sadc-policy-makers-deliberate-challenges-and-solutions-managing-and-controlling-spread
SADC Policy makers deliberate on the challenges and solutions to managing and controlling the spread of invasive Prosopis at UNCCD COP

M&Co_SADC_SRAO_CPMS_Brochure.pdf
SADC, year? Land matters.

Component 4

https://www.nda.agric.za/doaDev/topMenu/DoAProgrammes/landcare/KALAHARI%20-NAMIB%20PROJECT.pdf stumbled upon myself, online KALAHARI -NAMIB PROJECT.pdf
Flyer - Kalahari Namib project

Components 5, 6, Project document, -reports, PSC

Annex 3 – Reconstructed results framework

Table 19: Reconstructing the intended results

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
Develop-ment Objective	To support communities and policy makers in the 3 countries to effectively implement and upscale SLM in the Molopo-Nossob River Basin in order to significantly contribute towards improved local livelihoods OVI: i. SLM is fully integrated into the short- and medium-term development plans of the participating countries ii. A regional forum is established to coordinate, communicate and share best practices between communities and institutions between the three participating countries iii. Barriers to adoption of good practices (SWC/SLM/INRM) are identified and factored into the project through ongoing monitoring and learning iv. 10-20% increase in SLM-based income, participation of women in biodiversity-related income generation increased in terms of numbers and income, improved condition and productivity of natural resources, mainly for livestock	-		OVI i. and iv. can be used as Intermediate outcome (added level) OVI ii. refers to Output 3.2, with the difference that the CEO endorsement only mentions a sub-regional forum; anyway, this is covered in C3 OVI iii. (identifying barriers) is part of the activities contributing to Out04 Tf1 0 0

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
	1.2 Baseline report OVI: Integrated baseline report on natural resource, degradation trends, socio-economics, livestock, crop and SLM practices and lessons learnt. Baseline report endorsed by a wide range of stakeholders, including at community level	maintaining decision-support tools for INRM	1.2 Key stakeholders at local levels (service providers, communities) have access to the integrated database to share livestock, crop and SWC/SLM practices and lessons learnt; to feed learning events, project M&E provides updated info on barriers to adoption of good practices	- baseline studies (and reporting) are project activities
	1.3 A communication strategy OVI: A community strategy for sharing best practises and lessons learned			- the making of a communication strategy is a project activity
Outcomes Component 2 Community-based SLM (including pilot demos of best practices) *	2.1 Community-based INRM/SLM in MNRB through establishing of participatory planning processes that ensure wide ranging engagement including local government buy-in	Community-based INRM/SLM in MNRB	2.1 Service providers (public, private local institutions) support, facilitate communities' planning cycles (incl. management, M&E), promoting SLM, for example: xtenure security (linked to Outcome 3.3) xcrop and livestock integration, fodder production ximproved herd management and -composition ximproved rangeland management, grassland rehabilitation & -upgrading xSWC measures xbiodiversity management xSLM-related livelihood projects (C4)	- across this component it is stakeholder groups to benefit from what output or outcome

Result level	Project Document (ProDoc) results*	

No.	Budget line	Component	Prodoc Appendix 13	Jun-19
5101	Equipment maintenance/IT support	6	10,000	4,011
5102	Vehicle maintenance, service and fuel	1	40,000	16,674
5103	Insurance	1	15,000	15,666
5201	Reporting and dissemination costs	5	30,000	29,886
5301	Communications	5	10,000	4,734
5501	Monitoring visits	5	10,000	17,491
5502	Mid-term review (to be paid directly by UNEP)	5	35,000	35,000
5503	Final evaluation (to be paid directly by UNEP)	5	45,000	45,000
	TOTAL		2,175,000	2,209,959

Financial tables (as required from Evaluation Office)

Table 1: not required
Table 2: table 11 in main text
Table 3: table 4 in main text
Table 4: below here.

Table 4.2: Financial Management Table

Components	rating*	Evi.57 14.4 re≥BDC q370.6 373.2

Components		rating*	Evidence / comments
G.	Copies of any completed audits and management responses (where applicable)	n.a.	Not required for the project[75]
H.	Any other financial information that was required for this project (list)	No	

Annex 5 - Summary assessment with evaluation ratings

Table 20: Main conclusions and evaluation ratings

UNEP uses a six-

Criterion - and paragraph reference	

Criterion - and paragraph

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
1. Adherence to 7 0 ' 2 f U H K P policies and procedures 2. Completeness of info 3. Communication between Project Manager and FMO: i) on delivery and responsiveness, adaptive management ii) application of proper financial management standards, UN Environment's financial management policies	Completeness of info: At what result level is expenditure planned and reported? Is there budgets per country? Is info on co-financing complete? i. Were there any financial issues raised during implementation, e.g. were budget sizes transparent, issues along the procurement and disbursement processes? ii. How was the issue of slow disbursement addressed? iii. How did UNEP supervise the financial systems that IUCN had in place, were working? What was the benefit of UNEP backstopping? iv. Were any efforts made to review the result framework to adapt it to new implementation realities, to justify budget changes, etc.? How productive were the PSC, any issues? v. Have staffing and financing arrangements been adequately agreed? (between IUCN and Ministry / department or local service providers) What was done to ensure (more) continuity of staff?	Several communication products have been produced and used.	Information was incomplete (see list in Annex 3) i. a. Expenditure is planned at component level, and reported at budget line level. b. Co-financing information is incomplete. c. Lack of transparency on budget distribution/country; no apparent process to approve budget changes (in PSC?). ii. Procurement was mostly centralised, and generally slow; this was not addressed adequately. iii. Questions remain on how UNEP supervised IUCN's financial systems, and backstopping it provided, if any. iv. The result framework was to be reviewed but it was not done. Budget changes were made, but no documentation to justify this, and no apparent approval process (PSC?). The PSC focused on Component 3, and information exchange between it and the National PSCs was deemed insufficient. Based on the information accessed (an incomplete set of minutes), the PSC was not involved in justifying or approving budget changes. v. Critical challenges to assure continuity of staff are seen throughout the implementation period, both on the IUCN side and on the side of partners in the governments where human resources and coordination were also a challenge. The project document did not provide for a country coordinator, only a 'focal point' and 'national field officer' (originally not supposed to be hired as IUCN staff). It could not be established what was done by IUCN to ensure more continuity of staff but also partners did not fill the gap; challenged to provide resources,	3 (MU) (respectively 3,2,3)

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
			business plan, investment capital, links to suppliers, etc.	

3. Institutional - at

Criterion -

2. Project rationale

1. The Molopo-Nossob region in the southern Kalahari experiences continued land degradation, loss of biodiversity and primary productivity, and ultimately the loss of ecosystem functioning. This is mainly a function of inappropriate land use practices (livestock densities and related management practices as well as water point establishment and distribution), lack of knowledge, limited access to markets in some areas, and land use policies which may not be applied properly or which are inappropriate for the changing conditions within the target area. The ecosystem straddles three countries (Botswana, Namibia and South Africa), each with its own specific land tenure and reform policies. Consequently, this fragile environment is subjected to a plethora of land use practices, as well as different levels of resource extraction and impact. Accordingly, land degradation has taken many forms with a variety of internal and external threats and impacts. Local decision makers are often caught between the nexus of economic development and resource exploitation.

2. Land degradation and loss of productivity occur throughout the Southern African Development Community (SADC) region, often because successful efforts are limited to pilot areas. Documentation remains with projects, with limited dissemination to decision-makers. In many moderately successful efforts, a sectoral rather than a holistic approach is undertaken, often involving demonstration sites rather than participatory, interactive learning, usually confined within countries. Despite talk about coordination and participation, inter-sectoral and transboundary coordination usually is focused on logistics rather than concepts and action. Transboundary ecosystems face the additional challenge of joint decision making by the countries involved. Within SADC, several joint water commissions and trans-frontier parks are already developing joint management initiatives to address the management of shared natural resources. The Kalahari-Namib project was to be the first dealing with joint management to combat desertification at all levels from national government to communities.

3. The Kalahari-Namib project was to form part of the larger Kalahari-Namib Action Plan for the sustainable management of the Kalahari-Namib ecosystem that was inaugurated in 1989. The Action Plan later (in December 1994) became an integral part of the SADC Regional Policy and Strategy for Environment and Sustainable Development (SHARE). At the same time (May 1994) it was also included in the SADC sub-regional Case Study on Drought and Desertification as programs/projects under SADC Implementation. The first two phases of the Action Plan (Phases I and II) focused on the Molopo-Nossob River Basin as a demonstration pilot primarily aimed at assisting the communities to develop their own natural resource management strategies and income generating activities as well as supporting capacity development for community-based natural resources management (CBNRM). Experiences during these two phases were to serve as the basis for subsequent phases in the Pro-Namib and Richtersveld in Angola, Namibia and South Africa (Phase III) and in the Northern Kalahari or Upper Zambezi-Okavango River Basin in Angola, Botswana, Namibia, Zimbabwe and Zambia (Phase IV) to cover eventually the whole of the Kalahari-Namib ecosystem. The Kalahari-Namib project was to cover only Phase I and II of the Action Plan.

methodologies for knowledge management, and the development and implementation of an effective communication strategy to disseminate these knowledge products.
Component 2. Community-based SLM (including pilot demonstration of best practices) and Trans-boundary Management of Molopo-Nossob River Basin:

Component 6. Project Management: This component aimed to have an effective, competent and efficient project management team at national and regional levels in place and functional. The team was to establish MOMS (Management oriented monitoring systems) which would identify key indicators of success and develop monitoring frameworks and tools. Based on the results of the monitoring system, adaptive management packages were to be developed and shared as widely as possible. A participatory monitoring and decision support system building on indigenous knowledge was to be developed in participation with local land users. Linkages to other formal and informal institutions were to be established and strengthened. Strategic networks to ensure continued support to the main role players was to be built to support further project funding, linking with other research and development projects (national and regional), identifying champions in SLM best practices, lobbying with regional

COMPONENT 2. Community-based SLM (including pilot demonstration of best practices) and Transboundary Management of Molopo-Nossob River basin	Community-based INRM/SLM in Molopo-Nossob River Basin through establishing of participatory planning processes that ensure wide ranging engagement including local government buy-in Transboundary Management of Molopo-Nossob River Basin through strengthened collaboration Enhanced delivery of SIP IR 1 on scaling up of SLM

b. 6Q YJCV GZVGPV FKF VJG RTQLGEVfU HQEWU QP NQECN CPF

ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards. Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision[81]

ii. Achievement of Direct Outcomes

37. The achievement of direct outcomes (short and medium-term effects of the K P V G T X G P V K Q P f U Q W V R W V resulting from the use/application of outputs, Y J K E J K U P Q V W P F G T V J G F K T G E V E Q P V T Q N Q H V J G K P V G T X G P V performance against the direct outcomes as defined in the reconstructed[82] Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between UNEP f U K P V G T X G P V K Q P C P F V J G F K T G E V Q W V E Q O G U

key conditions or factors that are likely to undermine or contribute to the persistence of

arrangements. (Project preparation is included in the template for the assessment of Project Design Quality).

ii. Quality of Project Management and Supervision

55. + P UQOG ECUGU eRTQLGEV OCPCIGOGPV CPF UWRGTXKUKQ Refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP.

56. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

57. *GTG VJG VGTO eUVCMGJQNFGTf UJQWNF DG EQPUKFGTGF project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

iv. Responsiveness to Human Rights and Gender Equity

58. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to YJCV GZVGPV VJG KPVGTXGPVKQP CFJGTGU VQ 70'2fU 2QNKE[C the Environment.

59. In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

v. Country Ownership and Driven-ness

during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

Section 3: EVALUATION APPROACH, METHODS AND DELIVERABLES

62. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

63. The findings of the evaluation will be based on the following:

a. A desk review of:

- Relevant background documentation, inter alia United Nations Convention to Combat Desertification (UNCCD), United Nations Convention for Biodiversity (UNCBD) and the Framework for the Convention of Climate Change (FCCCC), Kalahari-Namib Action Plan, SADC Regional Policy and Strategy for Environment and Sustainable Development (SHARE), SADC Sub Regional Action Plan to Combat Desertification, Zambezi River Action Plan (ZACPLAN), National Action Plans (NAP) and National Development Plans for each participating E Q W P V T [5 Q W V J # H T K E C f U 0 C V K Q P C N ' P X K T Q P O G P V C 1998, the Environment Action plan of NEPAD;
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: Integrated database, Baseline report; A communication strategy; Increased area (up to 800,000 ha) under improved management of land and biodiversity; a functioning multi-stakeholder and cross-border SLM forum; decision support tools; a functioning Transboundary Molopo-Nossob River Basin Committee; a report of impact of national and local policies and planning on SLM/INRM; an M&E&A mechanism to promote SLM/INRM scaling-up and impacts; provision of alternative income generation from SLM/ INRM sources; a functioning multi-country forum promoting SLM scale up; a functioning micro-grant/ revolving funds; project Management structures and processes established and functioning efficiently;
- Rapid Review of the project;
- Evaluations/reviews of similar projects.

- UNEP Sub-Programme Coordinator: Marieta Sakalian;
- Executing Agency: IUCN

presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

67. The Evaluation Manager will prepare a quality assessment of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

68. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six monthly basis.

12. The Evaluation consultant

For this evaluation, the evaluation team will consist of an evaluation consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager Martina Bennett, in consultation with the UNEP Task Manager Adamou Bouhari, Fund Management Officer Paul Vrontamitis, and the Coordinator of the Ecosystem Management Sub-programme, Marieta Sakalien. The consultant will liaise with the Evaluation Manager on

3. regularly report back to the Evaluation Manager on progress and inform of any possible proation Manager on p

nnex 7 – Assessment of the Quality of the Evaluation Report

itle of the Evaluand (i.e. project, programme etc):

Kalahari-Namib Project: Enhancing decision-making through Interactive Environmental Learning and Action in the Molopo-Nossob River Basin in Botswana, Namibia and South Africa" GEF ID: 3403

ll UNEP evaluations are subject to a quality assessment by the Evaluation Office. his is an assessment of the quality of the evaluation product (i.e. evaluation report) C P F K U F G R G P F G P V Q P O Q T G V J C P L W U V N evaluation. E Q P U W N V C P
he quality assessment is used as a tool for providing structured feedback to valuation consultants, especially at draft report stage. This guidance is provided to upport consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		

inception/mobilisation[88]), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: 1. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) 2. Alignment to UNEP/ Donor/GEF Strategic Priorities 3. Relevance to Regional, Sub-regional and National Environmental Priorities 4. Complementarity with Existing Interventions	useful table showing how the project has responded to community priorities.	
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report: Detailed summary.	5

C. Nature of the External Context
For projects where this is appropriate, key external H G C V W T G U Q H V J G R T Q L G E V f U K N K O K V G F V J G R T Q L G E V f U R G T H C natural disaster, political upheaval[89]), and how they affected performance, should be described.

Final report:

H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including: x Socio-political Sustainability x Financial Sustainability x Institutional Sustainability	Final report: Sustainability is seen by UNEP as the likelihood that benefits achieved at project outcome, will be sustained given the socio-economic, financial and institutional contexts. As the achievement of outcomes has not been strong, this analysis is challenging and resulted in the lowest performance rating.	3
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: x Preparation and readiness x Quality of project management and supervision[90] x Stakeholder participation and co-operation x Responsiveness to human rights and gender equity x Environmental and social safeguards x Country ownership and driven-ness x Communication and public awareness	Final report: Covered within the text above.	5
VI. Conclusions and Recommendations i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and	Final report:	

27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	Y	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	Y	
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?	Y	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	Y	

Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.

Process Criterion Number	Evaluation Office Comments