

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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Page iii: photo by Elise Pinner, Prosopis control near BORAVAST area, Botswana, 03-12-2019

Page 8: photo by Elise Pinner, Martha Isaacs showing the Propopis pod grinding machine in Bokspits, Botswana, 02-12-2019

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Kalahari-Namib Project:

Enhancing decision-making through Interactive Environmental Learning and Action in the Molopo-Nossob River Basin in Botswana, Namibia and South Africa

Project number: GEF project ID 3403

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ABOUT THE EVALUATION

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Brief Description: This report covers the terminal evaluation of a UNEP-GEF project implemented between 2011 and 2019. The project's overall development goal was to support communities and policy makers in Botswana, Namibia and South Africa to effectively implement and upscale sustainable land management (SLM) in the Molopo-Nossob basin area and thereby contribute to improved livelihoods and the maintenance of the integrity and ecological functioning of the entire Kalahari-Namib ecosystem. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and 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, the Ministry of Environment, Wildlife & Tourism (Botswana), Ministry of Environment and Tourism (Namibia), Department of Environmental Affairs and Department of Agriculture, Forestry and Fisheries (South Africa).

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

Key words: Sustainable Land Management; multi-country; Trans-boundary; Kalahari; Kalahari-Namib; Molopo-Nossob; River Basin; INRM; SLM; SWC; Livestock; rangeland management, herd management, rotational grazing, invasive species, water management, multi-disciplinary, Governance; land tenure, human rights, tenure gap, community empowerment, service development, Ecosystem management; ecological representativeness; Climate Change; SIP; IUCN ESARO, SADC, SRAP.



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LIST OF ACCRONYMS AND ABBREVIATIONS

3S	Security, Stability and Sustainability
ASAL	Arid and Semi-Arid Lands
BORAVAST	B Okspits, R Appelspan, V Aalhoek and S Truizendam (Botswana project area)
BSP	Bali Strategic Plan
BUA	Botswana University of Agriculture
CA	Conservation Agriculture
CBNRM	Community-Based Natural Resources Management (Botswana)
CDC	Constituent Development Committees (Namibia)
CCAP	Community Climate Action Planning
CEAP	Community Environmental Action Plan
CHC	Community Health Centre (Namibia, MAWF)
CNA	Capacity Needs Assessment
COP	Conference Of Parties
CPA	Communal Property Association (South Africa, Khuis)
CPP	County Pilot Partnership (for ISLM) (Namibia)
CRA	Comparative Risk Assessment
CST	Committee for Science & Technology (South Africa)
DAFF*	Department of Agriculture, Forestry and Fisheries (South Africa) see DALRRD and DEFF
DALRRD	Department of Agriculture, Land Reform and Rural Development (South Africa)
DEA	Department of Environmental Affairs (Botswana, South Africa) NB: South Africa see DEFF
DEAT	Department of Environmental Affairs and Tourism (South Africa)
DEES	Department of Extension and Engineering Services (Namibia)
DEFF	Department of Environment, Forestry and Fisheries (South Africa)
DEPI	Division of Environmental Policy Implementation (GEF)
DFRR	Department of Forestry and Range Resources (Botswana)
DLA	Department of Land Affairs - name changed to DRDLR (South Africa)
DLUPU	District Land Use Planning Unit (Botswana)
DRDLR	Department of Rural Development and Land Reform (South Africa)
DOA	Department of Agriculture (South Africa)
DRWS	Department of Rural Water Supply (Namibia)
& DRWSSC	Department of Rural Water Supply, Sanitation? & C...? (Namibia, MAWF)
DWA	Department of Water Affairs (Botswana)
DWE	Department of Water and Environment, previously DWAF (South Africa)
EC	European Commission (co-financing)
FIRM	Forum for Integrated Resource Management (Namibia, lead by local communities) also CDC Constituent Development Committees and VDC Village Development Committees
EAP	Environment Action Plan (NEPAD)
FANR	Food, Agriculture & Natural Resources (SADC)
FIRM	Forums for Integrated Resource Management
FFPLA	Fit For Purpose Land Administration
GDI	Global Drylands Initiative (IUCN)
GEF	Global Environment Facility
ICA	Indicative Co-financing Agreement
IELA	Interactive Environmental Learning and Action approaches
INRM	Integrated Natural Resource Management
IR	Intermediate Results
IUCN ESARO	International Union for Conservation of Nature - Eastern & Southern Africa Regional Office
KCAMP	Kgalagadi Communal Area Management Plan (2005-2020)
KKDT	Khawa Kopanelo Development Trust (Botswana)
LDN	Land Degradation Neutrality
KNP	Kalahari-Namib Project
KTP	Kalahari Transboundary Park
LEA	Local Enterprise Authority (Botswana)
MEL	Monitoring, Evaluation & Learning
MADFS	Ministry of Agricultural Development and Food Security (Botswana)
MAFF	Ministry of Agriculture, Forestry and Fisheries (South Africa)
MAWF	Ministry of Agriculture Water and Forestry (Namibia)

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)
NAP	National Action Programme (UNCCD)
NAPCOD	National Programme to Combat Desertification (Namibia)
NDP	National Development Plans (Namibia: NDP3)
NEMA	National Environmental Management Act of 1998 (South Africa)
NEPAD	New Partnership for Africa's Development
NFO	National Field Officers (in KNP-NPSC)
NFP	National Focal Point (in KNP-NPSC)
NNFU	Namibian National Farmers Union
NPC	National Planning Commission (Namibia)
NPSC/NSC	National Project Steering Committee
NRM	Natural Resource Management
NTFP	Non-Timber Forest Products
ORASECOM	Orange-Senqu River Commission
PCA	Project Cooperation Agreement
PILUMP	Participatory Integrated Land Use Management Plans
PIR	Project Implementation Report
POW	Programme of Work (UNEP, related to the Medium-Term Strategy)
PRA	Participatory Rural Appraisal
PRACTICE	Prevention and Restoration Actions to Combat Desertification (EC funded, 3 countries)
PRC	Project Review Commission (GEF)
PSC	Project Steering Committee (2 members from each country)
RAP	Regional Action Plan (UNCCD)
RAU	Rangeland Unit
SADC	Southern Africa Development Community
SAIIA	South African Institute of International Affairs
SASI	South African San Institute
SGP	Small Grant Programmes
SHARE	SADC Regional Policy and Strategy for Environment and Sustainable Development
SIP-IR	Strategic Investment Programme - Intermediate Results
SLM	Sustainable Land Management
SNRM	Sustainable Natural Resource Management
SRAP	Sub-Regional Action Plan to combat desertification in Southern Africa (UNCCD)
SSFA	Small Scale Funding Agreement
STAR	System of Transparent Allocation of Resources
SWC	Soil and Water Conservation
TAC	Technical Advisory Committee (Botswana, district level)
TBI	Trans-Boundary Initiative
TE	Terminal Evaluation
TNTT	TRANCRAA National Task Team
UN	United Nations
UNCBD	United Nations Convention for Biodiversity
UNCCD	United Nations Convention to Combat Desertification
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework for the Convention of Climate Change
USAID	United States Agency for International Development (co-financing)
VDC	Village Development Committees (Namibia)
ZACPLAN	SADC Sub Regional Action Plan to Combat Desertification, Zambezi River Action Plan

*: In June 2019 DAFF agriculture function was incorporated into the new Department of Agriculture, Land Reform and Rural Development (DALRRD), forestry and fisheries functions into the new Department of Environment, Forestry and Fisheries (DEFF).

Project Identification table¹

GEF Project ID:	3403	PCA/DGEF/2010/033	GFL-2328-2770-4B81	
Implementing Agency	UNEP	Executing Agency	IUCN- ESARO (Eastern & Southern Africa Regional Office)	
Sub-programme	Ecosystem Management	Expected Accomplishment(s)	The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at national and international levels	
UNEP approval date	01/04/2011	Programme of Work Output(s)	Technical assistance and partnerships on effective conservation measures and monitoring thereof (ecosystem management, ecological representativeness, connectivity)	
GEF approval date	19/11/2010	Project type	FSP	
GEF Operational Programme #	4	Focal Area(s) / GEF Strategic Priority	Land Degradation / LD-SP-1 & LD SP-2	
Expected start date	December 2010	Actual start date	01/04/2011	
Planned completion dates	PCA: 30/11/2014 (technical) and 30/05/2015 (final)	Actual completion date	30/06/2019 ²	
Planned project budget at approval	\$7,175,000	Actual total expenditures reported as of 30/06/2018	\$304,000 ²	
GEF grant allocation (Trust Fund)	\$2,175,000	GEF grant expenditures reported June 2018	\$1,935,871 ³	
GEF Project Preparation Grant	\$125,000	Project Preparation Grant - co-financing	\$0	
Expected Full-Size Project co-financing	\$5,000,000	Secured Full-Size Project co-financing	\$4,970,881	
First disbursement	01/04/2011	Planned date of financial closure	TBC	
No. of revisions	0	Date of last revision	- ⁴	
No. of Steering Committee meetings	TBD	Date of last Steering Committee meeting	Last: 29/03/2019 ⁵	Next: N/A
Mid-term Review conducted	Rapid Review April 2017	Mid-term Review (actual date)	28/04/2017	
Terminal Evaluation conducted	September 2019 to February 2020	Terminal Evaluation (actual date)	01/09/2019 – February 2020	
Coverage - Countries	Namibia, Botswana & South Africa	Coverage - Region(s)	Southern Africa	
Dates of previous project phases	N/A	Status of future project phases	N/A	

¹ source: ToR for this evaluation, with [updates in blue](#)

² It is reported that only Botswana submitted their co-financing report

³ KNP Project Financial Report up to June 2018 FINAL.pdf

⁴ No approved revision dd. 14 June 2018 (as noted in the ToR version of this table) was found

⁵ No minutes

Executive Summary

The project and its context

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 land use practices and policies inappropriate for the changing conditions in an ecosystem straddling Botswana, Namibia, and South Africa, each with its own specific land tenure and reform policies. Consequently, a plethora of land use practices and different levels of resource extraction have an impact and degradation is taking many forms. Local decision makers are often caught between the nexus of economic development and resource exploitation.
2. Working with the Southern African Development Community (SADC), this project was to develop joint management to combat desertification at all levels from national government to communities. This forms part (Phase I and II) of the larger Kalahari-Namib Action Plan (1989), for sustainable management of the Kalahari-Namib ecosystem, and later of SADC's Regional Policy and Strategy for Environment and Sustainable Development (SHARE, 1994).
3. Phases I and II of the Kalahari-Namib Action Plan (KNP) focus on the Molopo-Nossob River Basin (MNRB), as a demonstration pilot **primarily aimed at assisting communities to develop their own Natural Resource Management (NRM) strategies and income generating activities** as well as supporting capacity development for Community-Based Natural Resources Management (CBNRM). The entire plan (up to Phase IV) covers eventually the entire Kalahari-Namib ecosystem.
4. The project was to also be an integral part of the GEF Strategic Investment Programme for sustainable land management in sub-Saharan Africa (SIP), contributing to its four Intermediate Results (IRs) in the Kalahari- Namib transboundary ecosystem.
5. UNEP is the Implementing and IUCN the Executing Agency, partnering with these main partners: **Namibia** Ministry of Environment and Tourism, **Botswana** Ministry of Environment, Wildlife and Tourism (Department of Environmental Affairs), and **South Africa** Department of Agriculture - national and provincial (Northern Cape Province), now re-organised as Department of Agriculture, Land Reform and Rural Development.
6. The project started in April 2011 for four years and, with three extensions, ended in July 2019. The total cost is USD 7,175,000 of which 2,175,000 was a grant from GEF, USD 560,898 from the EC (secured by IUCN), and from co-financing from the three countries totalling USD 4,439,102.
7. The project's overall development goal was to support communities, policy makers [...] to effectively implement and upscale Sustainable Land Management (SLM) in the Molopo-Nossob catchment area and thereby contribute to improved livelihoods and maintenance of the integrity and ecological functioning of the entire Kalahari-Namib ecosystem.

8. In Components 2 and 4, through local services, primary results would be that communities adopt SLM as well as NRM-related livelihood activities. In Component 3, the project supported regional and national policy makers, for pro-SLM policies.

Objective of the evaluation

9. This evaluation assessed the project performance and its results and sustainability, to provide evidence of results (for accountability) and to promote learning, feedback and knowledge sharing to key stakeholders implementing the project.

Key project strengths

10. **Strategic relevance:** The project is strategically relevant, for GEF, UNEP, and SADC.
11. **Quality of project design:** The project design has ambitious goals.
12. **Project effectiveness:** The results of the policy work (Component 3) are the assumption that understanding on Sustainable Land Management has increased following the production and sharing of several baseline and subject matter studies. Key outcomes are that SADC produced the Sub-Regional Action Plan (SRAP), to combat desertification in Southern Africa and Botswana developed its strategy and plan for Prosopis management.
13. **Impact:** On the ground, it is difficult to link all project outputs to impact in terms of raising the ecosystem service value; what is clear is that:
 - the Aminuis borehole has value, pending progress on groundwater management planning (to establish the sustainability of boreholes)
 - if Propopis control is establishing a new balance in the vegetation, with lasting effects, and pending minimal maintenance, then we can count the areas in Boravast, near Khawa (Botswana), and in Surprise (2556 ha) and in Khuis (1950 ha) (South Africa) where Prosopis is controlled; but this needs to be verified.
14. **Project management:** In spite of challenges to ensure continuity of management and human resources on the ground (in challenging long-distance locations), the project has carried on. As for expenditure, whether it was appropriately accounted is an assumption (with no signs to the contrary and no feedback from UNEP finance department).

Key project weaknesses

15. **Quality of project design:** Although the Bali Strategic Plan recommends building policy from evidence on the ground, this link is not evident in the design (and implementation).
16. Stakeholder analysis is lacking on socio-political aspects (see §143).
17. The results framework is flawed in result definitions and levels; it has activities as outputs.
18. **Project effectiveness:** Baseline studies lack more socio-political stakeholder analysis, needed for an approach to community empowerment, and engagement in policy dialogue.

19. There is no communication strategy and no website where products from this project are effectively shared.
20. **The results at community level (Components 2 and 4)** are particularly disappointing in Namibia and Botswana; few people had the benefit of a vegetable garden, and only one borehole is functioning. At this stage the outcomes, checking against community plans, are nearly nil. This is due to challenges explained in the paragraph on project management, below.
21. **The results of the policy work (Component 3)** are not yet seen in revised National Action Plans, and on the ground no changes are seen with regard to more pro-SLM services. A transboundary body has not been set up.
22. The policy instruments have some weaknesses; the SRAP is not informed by lessons learned from the pilot projects (and does not address land tenure issues); the market study does not include land markets. The ecosystem value study (2017) is adequate but it came well after the SRAP. The SRAP communication strategy is yet to identify sources for implementation.
23. **Project management:** Although there were flaws, and UNEP had asked for revisions, the project result framework was not adjusted: it remained as it was designed in the project document for all 8 years of the project's implementation.
24. There was not just a geographic distance, but also a strategic gap between, on the one hand, the policy work - which also had the attention of the Project Steering Committee - and, on the other hand, the work at local levels, for which the oversight was delegated to national Steering Committees and national partners. At that level, approaches were insufficient to effectively address:
 - weak implementation structures and coordination on the partners' side (whether this issue is an external factor is debatable): the project was to build local service providers' capacity, to provide more pro-SLM, poly-disciplinary services, but in practice the project operated more independently, and this caused frictions and affected ownership
 - unresolved issues with land tenure insecurity
 - the elements needed to make livelihood projects successful (like business plans).
25. This strategic weakness combined with more operational challenges, e.g. to ensure timely disbursements, and procurement. Procurement was most often done in a centralised manner.
26. Project management did not have the benefit of much supervision (UNEP/IUCN) or guidance / steering from the Project Steering Committee concerning Components 2 and 4.
27. Budget changes, and distribution among the three countries was not clear to the Project Steering Committee (in as far as could be established from an incomplete set of PSC minutes); it is not apparent that the Committee was involved in approving these changes.
28. **Efficiency:** This is affected by the management and coordination issues described above.

29. **Monitoring and reporting:** monitoring was insufficient and could not prevent that reports included some misleading or incorrect statements; results are thus overstated. 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** has some flaws: i) causal links are not well described, e.g. from pilot community achievements towards policy changes, or from capacity development of local services towards community empowerment; ii) the results framework tends to describe activities instead of results; iii) stakeholder analysis, at community level, could be more explicit on socio-political aspects; this would also help to: iv) address risks that affect communities' capacity to adopt Sustainable Land Management practices; the risk of land tenure insecurity is well explained in the project design document, but not clearly addressed in the project's implementation strategy.
34. **Approaches** were not developed for: i) multi- or poly-disciplinary local services capacity development; ii) community empowerment (and participation in policy dialogue, e.g. to raise issues related to services, and land tenure); and iii) NRM/biodiversity related livelihood (and market) development. And for all of this, a project exit strategy is missing.
35. **Project Steering** focussed on the policy work and did not connect well to work at local levels; this did not help to develop the necessary strategies and approaches at local level (as explained in the previous paragraph). The Committee was not very involved in overseeing key management decisions e.g. with regard to budget changes, distribution of project resources between the countries, and solving local capacity issues.

Selected lessons learned and recommendations

36. **Project design for sustainability:** build a causal link, from a good stakeholder analysis to articulated approaches for i). community participation and empowerment, ii). local service capacity development, iii). platforms for dialogue so that communities contribute to policy dialogue - keeping it real. And each of the approaches has to define an exit strategy.

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 approach** could work better, but then it is even more important to set up adequate approaches and add another purpose of M&E: it needs to include some dynamic, cross-sectoral learning events, informed by information from the monitoring.

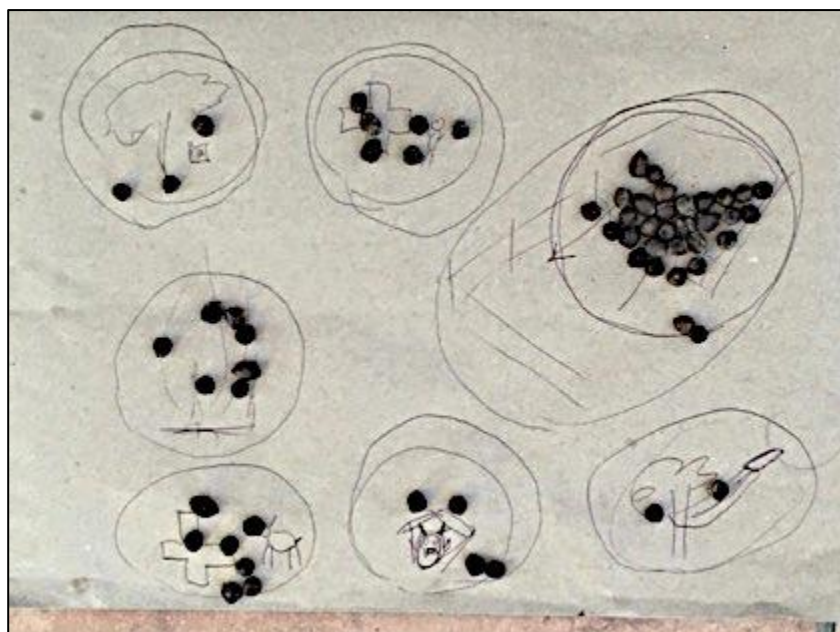


Image: Surprise community members weigh the importance or value of changes they made (as result of KNP interventions); rotational grazing scores top

1 Introduction

1.1 Institutional context of the project

40. 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 and policies inappropriate for the changing conditions in an ecosystem straddling three countries (Botswana, Namibia and South Africa), each with its own specific land tenure and reform policies. Consequently, a plethora of land use practices and different levels of resource extraction have an impact on the land, and land degradation has taken many forms. Local decision makers are often caught between the nexus of economic development and resource exploitation.
41. Successful efforts to limit land degradation and productivity loss occur throughout the Southern African Development Community region, but 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, and usually confined within countries. Despite talk about coordination and participation, inter-sectoral and transboundary coordination usually focuses on logistics rather than concepts and action. Transboundary ecosystems face the additional challenge of joint decision making by the countries involved.
42. Within SADC, several joint water commissions and trans-frontier parks are already developing joint resource management initiatives. This project was to be the first dealing with *joint management to combat desertification* at all levels from national government to communities.
43. This project was to form part of the larger Kalahari-Namib Action Plan, inaugurated in 1989, for sustainable management of the Kalahari-Namib ecosystem; in December 1994, it 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. KNP was to cover only Phase I and II of the Action Plan.
44. Phases I and II of the Kalahari-Namib Action Plan focused on the Molopo-Nossob River Basin (MNRB) as a demonstration pilot primarily aimed at assisting communities to develop their own Natural Resource Management (NRM) strategies and income generating activities as well as supporting capacity development for Community-Based Natural Resources Management (CBNRM). Experiences during these 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 entire Kalahari-Namib ecosystem.
45. KNP was to also be an integral part of the GEF Strategic Investment Programme (SIP) for sustainable land management in sub-Saharan Africa, contributing to its long-term Program Goal. The expected project outcomes were to contribute to

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 1st of April 2011 and the 13th of June 2019. GEF approved the project on 19th of November 2010. The project started in April 2011 and was to end on 30 May 2015.
47. The total project budget is 7,175,000 USD, including a GEF grant of 2,175,000 USD, and secured project co-financing of 5,000,000 USD (cash and in-kind, from the three countries' governments, from IUCN and from the EC, secured by IUCN).
48. Because of delays (due to staffing and other challenges) a no-cost extension was sought, and granted later, in June 2016, effectively adding one year, to end the project by 30th June 2017. For contractual reasons between March 2015 and July 2016 project activity was minimal. The project received two more one-year no-cost extensions, in June 2017 and in June 2018⁶.
49. The project's overall development goal (from the results framework in the GEF request for CEO endorsement, dated 12 October 2010) was to support communities and policy makers in Botswana, Namibia and South Africa to effectively implement and upscale Sustainable Land Management (SLM) in the Molopo-Nossob catchment area and thereby contribute to improved livelihoods and the maintenance of the integrity and ecological functioning of the entire Kalahari-Namib ecosystem.
50. The project was approved under the 2010-13 UNEP Programme of Work and was intended to contribute to the Expected Accomplishment: *The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at national and international levels*. It is located under the Programme of Work Output: *Technical assistance and partnerships on effective conservation measures and monitoring thereof (ecosystem management, ecological representativeness, connectivity)*.
51. This evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and

⁶ The consultant did not see these agreements.

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. UNEP⁷ 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), now re-organised as Department of Agriculture, Land Reform and Rural Development (DALRRD).
54. UNEP was in charge of expenditure approvals and transfers (and ensuring co-management of the funds), was to constitute a regional Project Coordination Unit and liaise with SADC, and to set up Special Advisory Groups (SAG) on Monitoring and Evaluation (M&E), and Knowledge Management, and commission mid-term and final evaluations of the project.

1.3 Limitations of this evaluation

55. A major limitation is that some key documents were not available, or the existence of these documents was uncertain. The most important missing documentation is that of the Project Steering Committee (PSC minutes) and Project revision- and extension (approval) documents.
56. Some minor limitations are:
 - delays due to an incomplete and sometimes outdated or incorrect contact list
 - planning the visits to the three countries was quite time-consuming, for several reasons, including delayed responses from key resource persons, and logistics
 - the response to requests for information or interviews sometimes delayed, and/or incomplete
 - my conscience, or dilemma: two long return flights cause a lot of CO2 emission; to justify this, a generous amount of goodwill is needed from all parties, to make the evaluation a success in terms of **learning lessons**. However, given the challenges this project faced during implementation, and

⁷ The project was implemented by the GEF Biodiversity Unit within the Biodiversity and Land Unit of the Ecosystems Division.

not least the many changes of staff (in IUCN, governments, and UNEP), the scope and appetite for learning from this evaluation seemed small.



Photo 1: Martha Isaacs, chairperson of Boravast showing the machine that is to produce Prosopis cake (fodder)

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 information was collected according to the UN Standards of Conduct.
60. The evaluation used the reconstructed results framework (Inception report, chapter 2), follows the evaluation framework (Inception report, Annex 1), and data collection methods (Inception report, chapter 6), mainly:
 - desk review, primarily to assess and analyse the project documents, plans and reports, study reports and PSC minutes
 - interviews with key staff in UNEP and key implementers from IUCN and implementing partners, to fill gaps in the documented information, and in debriefings to gauge their understanding, perceptions and views on achievements and challenges during the implementation
 - community-level (group) semi-structured interviews and in some of the interviews a scoring exercise (gender-disaggregated) to find out what intervention the participants deem most important for their situation (in terms of long-term benefits), and to find out how they assess the (relative) success of different interventions
 - a sense-making approach was applied, in as far as possible, in debriefings and in the online meeting to share preliminary findings took place on 28th January 2020. This approach starts with a validation (and limits of validity), after which a reflection on the implications is led, for participants to identify gaps, lessons learned, and formulate conclusions (apart from the consultant's own conclusions, which are finalised later).
61. To increase stakeholder engagement from different groups, the project officers in charge of introducing and planning the visit were instructed to ask specifically for participation of men and women, different groups; they were also asked not to attend the interviews themselves, to guarantee the independence of this evaluation.
62. Interviewing an equal number of women and men was challenging because for some communities/farms only the (primarily male) leadership was notified, and in one case (Khuis, South Africa) women were simply not around, living hundreds of

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	2
By Skype					1	2

*: service providers, policy makers **: 12 more people not included here; they came later, gender not established

3 The project

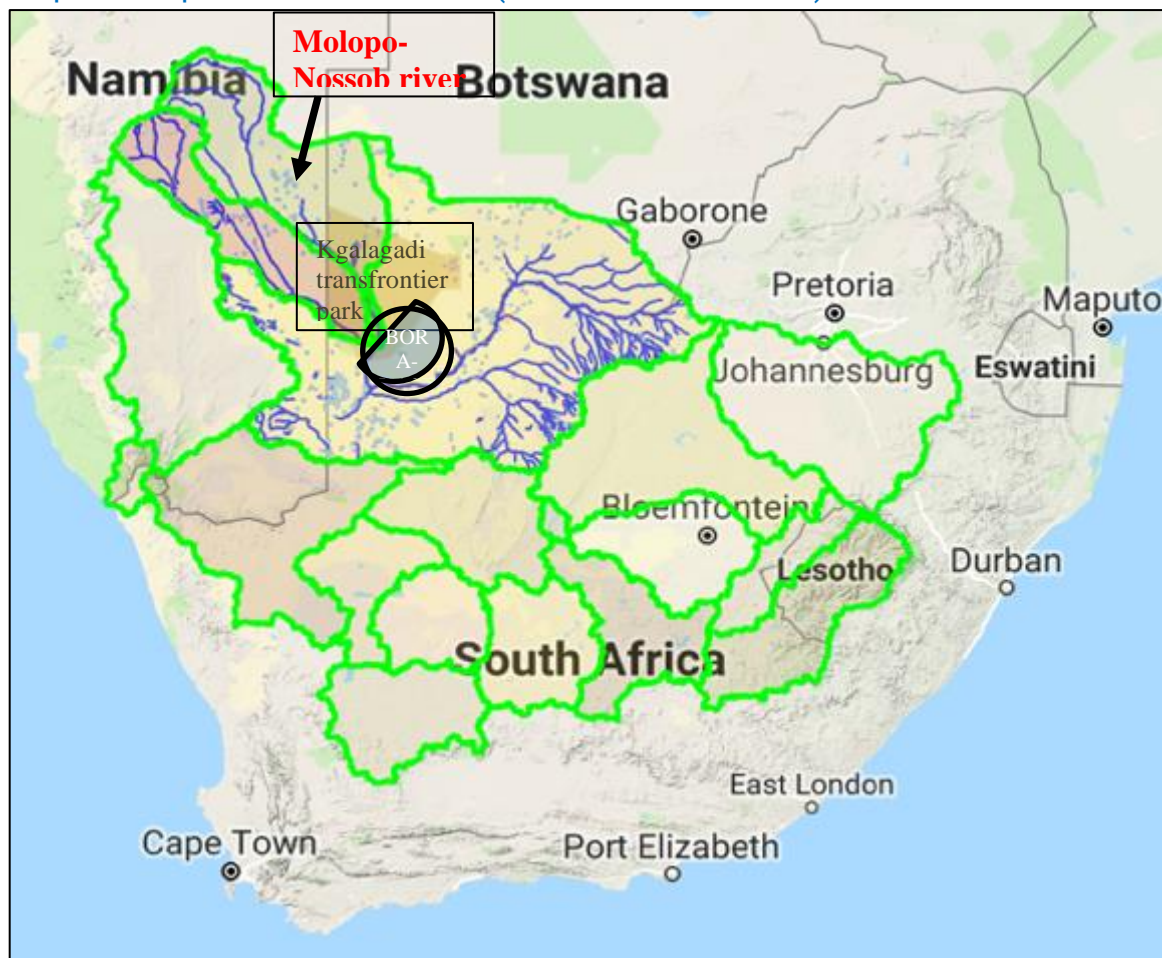
3.1 Context

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 services⁸, 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 the more northern river basin, 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 implement and upscale sustainable land management (SLM) 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.
72. In order to achieve the overall goal, the project consists of four main components and two project management components:

Component 1: Baseline Assessment

Component 2: Community-based SLM (including pilot demonstration of best practices) and Transboundary Management of Molopo-Nossob River Basin

Component 3: Enhanced Regional Decision-Making and Exchange of Best Practices and Lessons Learnt

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	+++ As key beneficiaries , they are assumed to have a high interest in the project	+++ Key role: they are de-facto managing the land in as far as it is accessed	Key role: through their action planning, they would set the agenda for the project	Direct contributors as beneficiaries to be using the projects' outputs, directly and via service providers - The main channel for SLM
Local public service providers: agriculture /livestock, water, forestry/ environment, roads, markets	+, ++ variable; agric./ livestock, lands and water, interest could be strong	++ through their clients (land users)	Key role: by providing services to land users	Direct contributors to project outputs to key beneficiaries, to be effective, interest should be high
Private service providers, NGO	++ as suppliers	- indirect	+/- as suppliers	+/- as suppliers
Local (land) regulators e.g. land boards, municipality	++ when it is their priority to resolve SLM barriers	+++ Key role: to resolve SLM barriers	+/- not much engaged by the project	+++ Important players to resolve key barriers to SLM!
Research institutions	++ as suppliers	+/- via policy makers	+/- as suppliers	+/- indirectly
Business and industries (e.g. mining)	++ ideas for investment	+ land interests	-	Potential investors in SLM
National government: donor, policy maker	+++ for sustainable development	+/- quite limited, as 'absentee landlord'	+++ and + as donor, and enabler of local service providers	+++ enabling environment
External donors: GEF, UNEP	+++ key mandate	+ indirectly, depends on partners	+++ donor (GEF), oversight (UNEP)	++ donor (GEF), oversight (UNEP)

Legend: +++ = strong; ++ = medium; +/- = weak; - (nearly) absent

⁹ There is insufficient information to separate this group into categories, however, in the Ecosystem Services Assessment this is done, based on how more subsistence based communities benefit less from these services, and more resource-endowed farmers benefit more.

3.4 Project implementation structure and partners

75. The project was implemented by UNEP and executed by IUCN-ESARO in collaboration with partners in three countries and a regional coordination group:

Table 3: Project partners in the three countries

Country	Focal Department	Implementation
Botswana	Ministry of Environment, Wildlife and Tourism (Department of Environmental Affairs)	Department of Forestry and Range Resources
Namibia	Ministry of Environment and Tourism (with Ministry of Lands and Resettlement and Ministry of Agriculture, Water and Forestry)	Country Partnership Programme (CPP) Implementation Unit (National Steering Committee and other governing structures already in place)
South Africa	Department of Agriculture (DEA) National and Provincial (Northern Cape Province) and Department of Environment, Forestry and Fisheries (DEFF)	Northern Cape Department of Agriculture, Land Reform and Rural Development
Regional Component	Regional coordination group (consists of representatives of national focal points, UNEP, key experts)	

76. The regional coordination group doubled as Regional Project Steering Committee (PSC). In addition, each country had a National Project Steering Committee.

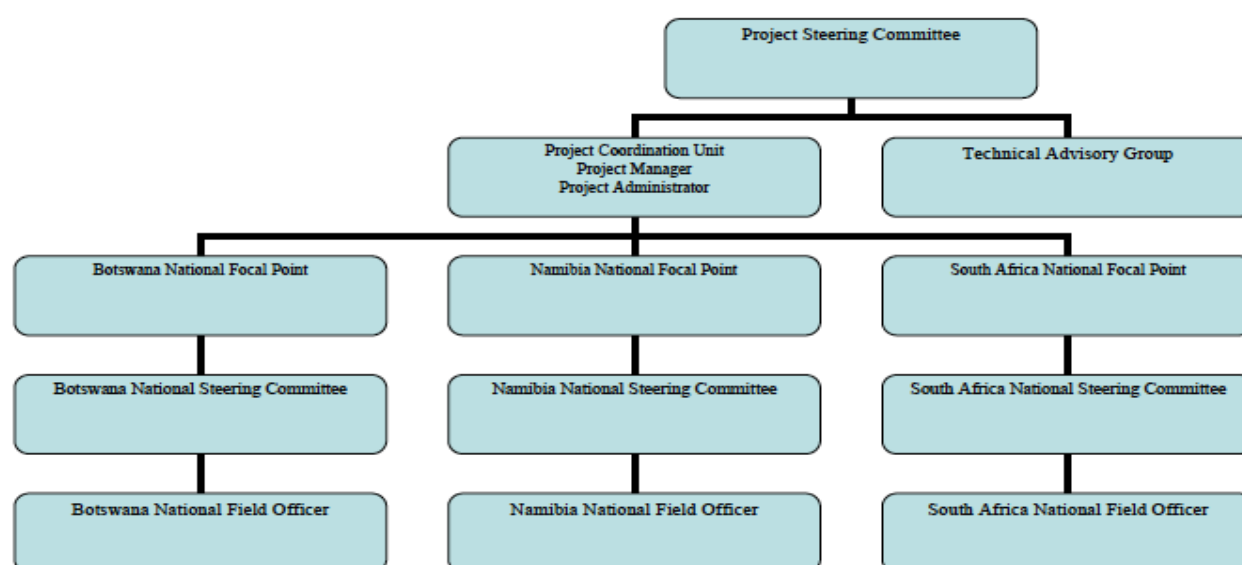


Figure 1: Organisational chart (source: Project Document)

77. The Project Document indicates that participating governments were to appoint National Focal Points (NFPs) and National Field Officers (NFO's) at the start of the project, with major responsibilities for SLM issues and coordination with government departments, national research institutions, universities and training institutions, national and international NGOs, etc. The project document notes 'Country activities were designed to be implemented by national institutions or experts appointed by IUCN on the advice of the SPO, the Project Officer and the NFPs' (it is unclear what SPO stands for; SPO does not feature in the chart).

3.5 Changes in design during implementation

78. The Project Cooperation Agreement (footnote on page 2) notes its validity until 6 months after the technical completion date, thus until 30 May 2015.
79. Additional funding was reported in the 2013 PSC minutes: "A Field Officer was recruited for Botswana through the EC funded project."
80. The IUCN letter to the Chief of GEF Biodiversity / Land Degradation / Biosafety Unit and Portfolio Manager in DEPI-GEF dd. 20 March 2015 asked for a one-year extension from 1 April 2015 to 30 March 2016. In the same letter a budget revision is requested (the evaluation notes that the justification for the extension is vague). The letter promises a project review and planning meeting in April 2015 and states that the last PSC meeting was held in 2014¹⁰. No immediate written response was obtained (from GEF or UNEP). This situation is highlighted by IUCN, who felt it could not continue spending money based on the original agreement ending 30 March 2015, and thus this became a cause for delay. UNEP assumed spending could continue.
81. More than a year later, after a follow-up letter from IUCN¹¹ **a first extension agreement was signed on 28 June 2016**¹². This SSFA requires quarterly expenditure reporting and half-yearly progress reporting, and a co-finance report to be ready by July 2017, a final technical report by January 2017, and a terminal report by June 2017.
82. **A second 1-year extension was signed on 30 June 2017**¹³. Its two appendices are not included, notably Appendix 1: revised Project Implementation Plan (Annex 4 to the SSFA).
83. According to this evaluation's ToR the project received a **third no-cost extension**, in June 2018; the consultant did not receive documentation on approval for this extension.
84. A formal (PSC approved) change of project design or budget did not take place as far as could be established; changes in budget allocations are discussed in the next section.

3.6 Project financing

85. In Table 4 an overview of how the budget was distributed per component is provided, and how it was distributed between GEF and co-financing.
86. It is clear how the *budget* was to be distributed between components (row 6), but there is no financial reporting that attributes expenditure to components. This evaluation provides this analysis in rows 7 (detailed budget from ProDoc Appendix 13) and 9 (final expenditure) the budget lines are distributed to among the 6 components (how this is done is shown in Annex 4). Now totals for each component can be presented in below table.

¹⁰ No minutes.

¹¹ Kalahari Namib Project extension letter.pdf dd 30-05-2016 and the SSFA Kalahari Namib Project Agreement.pdf *not signed*

¹² [SSFA.pdf](#) and [SSFA Project Workplan_KNP 2017.pdf](#) and

¹³ [Signed KNP No-cost extension_June2017.pdf](#)

87. **The budget question** - Budget and expenditure for Component 1 remains more or less the same; the same applies for Component 5 (M&E). But how has the budget adjusted between, on the one hand, components 2 and 4 (working directly with communities), and on the other hand component 3 (policy work), and component 6 (project management)?
88. Comparing the planned distribution (row 6) with the final expenditure (row 8), we see the components 2+4 budget had 53%, the final expenditure just 34%. This was in favour of component 3 (from 19% to 25%) and component 6 (from 9% to 23%). Further discussion on this issue can be found in section 5.5 i., Table 15.

Table 4: GEF budget and expenditure – distribution per component – at different stages

Source Component:	1	2	3	4	5	6	total
1. TOTAL budget - ProDoc §158 & CEO endorsement part A	773,549	2,818,909	963,049	1,845,549	286,000	773,944	7,175,000
2. Co-financing budget - ProDoc §158, CEO endorsement part A	500,000	2,006,360	550,000	1,500,000	156,000	287,640	5,000,000
3. Co-financing %	65%	71%	57%	81%	55%	59%	
4. GEF%	35%	29%	43%	19%	45%	41%	
5. GEF budget - ProDoc §158 and CEO endorsement	273,549	812,549	413,048	345,549	130,000	200,304	2,174,999
6. Distribution / component	13%	37%	19%	16%	6%	9%	100%
7. GEF expenditure Final report ¹⁴	302,875	606,448	532,890	128,353	132,111	507,281	2,209,959
8. Distribution / component	14%	28%	25%	6%	6%	23%	100%

89. In the next table an overview of the co-financing sources is presented¹⁵.

Table 5: Co-financing sources

Co-financing classification	Cash	In-kind	Total	%
Government				
(Botswana,	976,282	730,506	1,706,788	34
Namibia and	850,000	888,800	1,738,800	35
South Africa	157,707	835,807*	993,514	20
IUCN (Executing Agency)	-	560,898**	560,898	11
Total co-financing	1,983,989	3,016,011	5,000,000	

*: this amount was yet to be negotiated; **: €400,481 (€1=\$0.714)

90. There is no complete information on how the co-funding was spent; the Rapid Review report presents the funding received (below, table 6) and notes that the co-finance from Botswana and Namibia was not properly captured as they did not submit co-finance reports. Namibia, for example, provided office space and a vehicle to the project staff they recruited. Botswana Government staff put time to the project that has not been captured.

¹⁴ Final report June 2019. For consistency, added to this is the \$35,000 for the mid-term review, and \$45,000 reserved for the final evaluation. This report has expenditure presented by budget lines; this consultant re-assigned budget lines to components.

¹⁵ Source: Project Document §160, Table 4

Table 6: Funding received by KNP between 2011 and 2015

Funding Entity	2011	2012	2013	2014	2015	Total
UNEP	173,846	229,063	247,161	23,986	433,703	1,107,759
South Africa Government	0	32,895	1,341,660	0	724,825	2,099,380
*Botswana Government	0	16,840	0	0	0	16,840
*Namibia Government	0	0	0	0	0	0
European Commission	0	81,438	102,263	116,402	0	300,103
USAID	0	0	0	0	597,741	597,741
Description						Total
UNEP	173,846	229,063	247,161	23,986	433,703	1,107,759
Co-Financing	0	131,173	1,443,923	116,402	1,322,567	3,014,065

*: reporting is incomplete

91. The total financing (and co-financing) overview is presented in the next table. The total disbursement (> 8 million) is more than the 7,175,000 USD planned, due to EU and USAID contributions.

Table 7: Co-financing (in USD 1,000)

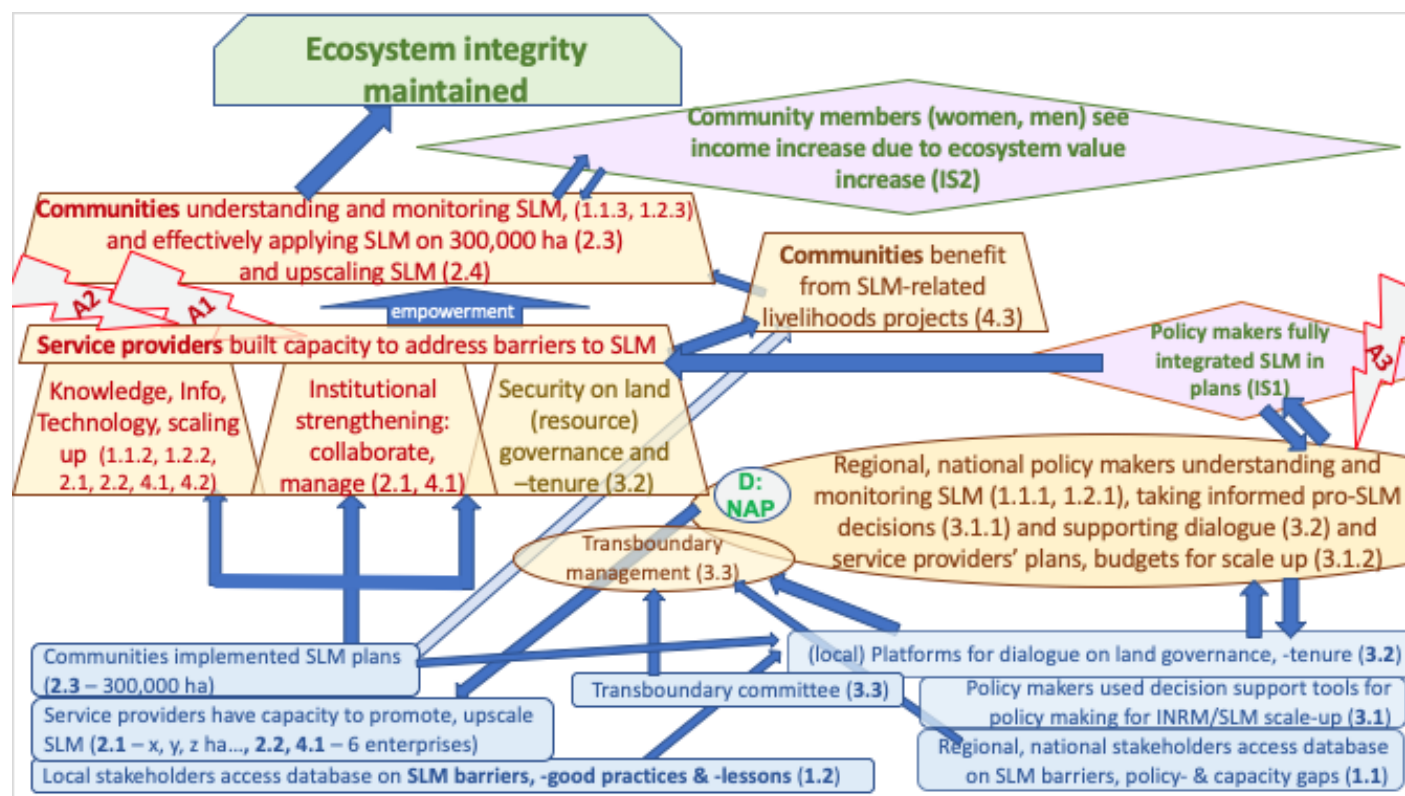
Co-financing	UNEP		IUCN		Country governments' co-financing						EU	USAID	Total disbursed
	planned	actual**	planned	actual	Namibia		Botswana		S. Africa				
					planned	actual	planned	actual	planned	actual	not planned		
Grants	2,175	2,210									**300	598	3,108
Loans	-	-	-	-	-	-	-	-	-	-	-	-	0
Credits	-	-	-	-	-	-	-	-	-	-	-	-	0
Equity	-	-	-	-	-	-	-	-	-	-	-	-	0
In-kind*			561	?	889		730	17	836	2,099			3,016
Cash*					850		976		158				1,984
Total	2,175	2,210	561		1,739		1,706	17	994	2,099	300	598	8,098

*: report from Botswana incomplete; from Namibia no report. The reports are up to 2015.

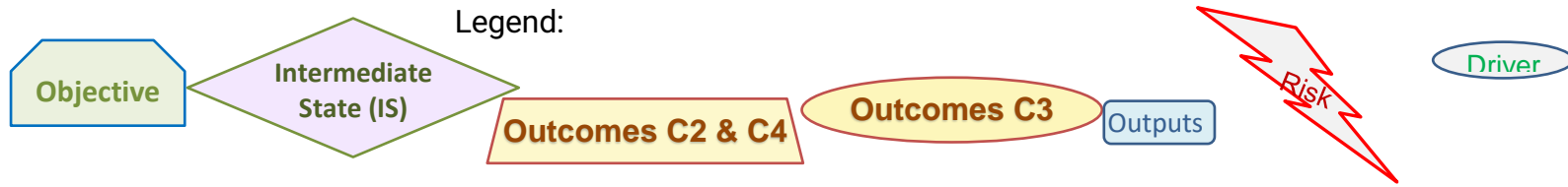
** : in the extension agreement ([SSFA Kalahari Namib Project Agreement.pdf](#), §10) it is 560,989 USD.

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.



Legend:



93. Drivers, Assumptions and stakeholders influencing this/these pathways are:
- **D1 - Driver 1:** UNDCC National Action Plans (NAP) are influenced by the project but also vice versa: the NAP are expected to drive pro-SLM policies described as (C3) Outcomes here.
 - **A1 - Assumption 1:** land reform is enabling land users in their quest to practice SLM, and communities to govern the land for SLM. = risk: no enabling land reform
 - **A2 - Assumption 2:** no conflict within and across sectors, cross-sectoral coordination, for multi- or poly-disciplinary service provision = risk: no or insufficient coordination and collaboration between different service providers
 - **A3 - Assumption 3:** local, national and regional decision makers keep SLM high on the agenda and recognise the importance, take ownership of the regional forum, transboundary management, and policy reform and -harmonisation = risk: SLM not high on the agenda of relevant decision makers.
94. NB: the first assumption refers to a well-described challenge to SLM which is not clearly addressed in the project document (see Project Document, 5.2).
95. In the Inception Report for this evaluation process the justification for this ToC is provided. In short, taking from the project document¹⁶, there are three main (groups of) challenges or barriers for land users to practice SLM (towards the higher-level results):
- challenges related to land (NR/water) access, -tenure rights and -governance (Component 2)
 - insufficient (sharing of) knowledge and skills for adoption of more sustainable land use practices (Component 2)
 - absence of alternate livelihood opportunities (Component 4).
96. The ToC adds a higher-level outcome through Community empowerment.
97. The evaluation notes that there has not been a ToC for this project, and had it been there, it would have made clear, during implementation, that different actors in the project would have different and even opposing interpretations. For example, in the 2012 baseline study for Botswana (presenting a ToC in table 8) it is suggested that livestock over-stocking be controlled by 'responsible authorities', by monitoring and managing numbers on the ground, and *policy enforcement*. This contradicts the idea that communities could securely own land and therefore be themselves responsible for controlling livestock numbers (and government take a step back).

¹⁶ Also found in other reports e.g. from Botswana (https://knowledge.unccd.int/sites/default/files/ldn_targets/South%20Africa%20LDN%20TSP%20Country%20Report.pdf) p.13 table 1, underlying (indirect) drivers can be grouped towards these three; 1: land tenure, decentralisation / poor enforcement of bylaws; 2: lack of access to improved technology; 3: market access, poverty

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 2010-2013¹⁷: 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 forest), while ensuring that forests provide for livelihoods and biodiversity.
102. MTS 2014-2017¹⁸: from this strategy, we find some key targets being reflected in the project document, e.g. sustainable forestry (target 7), and that ecosystems and essential services be safeguarded (target 14). The project document refers to ecosystem values to be integrated in national and local policy, development planning and accounting (corresponding to target 2).
103. MTS 2018-2021¹⁹: "rights-based and participatory approaches, as well as gender-sensitive policies, legislation and capacity development". This MTS comes at a very late stage in project implementation, however, the project document (from 2011) highlights rights' issues: "*access to land and land rights, -tenure insecurity and access to basic services are of the most socially and politically sensitive issues in the region.*" Gender issues, however, are not analysed, neither in terms of women being affected by degradation, nor in terms of their mobilisation as powerful community advocates for pro-SLM change.
104. The project document suggesting policy decision-making (tools) to be based on evidence on the *economics of natural capital* (later described as ecosystem services) aligns with the most recent MTS.

Project implementation and UNEP Medium-Term Strategies (MTS)

105. In project implementation, MTS priorities are reflected, notably in the study²⁰ to assess the (economic) value of ecosystems (in regulating, and providing services) which lay the groundwork for what is proposed in the MTS 2018-2021: Policymakers in the public and private sector to test the inclusion of the ecosystem health and productivity in economic decision-making. The study gives

¹⁷ http://www.kingzollinger.ch/pdf/UNEP_MID-TERM_EVAL_2010-2013.pdf

¹⁸ https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP_Medium_Term_Strategy_2014-2017-2015MTS_2014-2017.pdf.pdf?sequence=3&isAllowed=y NB: this is after the Project is approved so any observations here to not weigh into the assessment.

¹⁹ http://wedocs.unep.org/bitstream/handle/20.500.11822/7621/-UNEP_medium-term_strategy_2018-2021-2016MTS_2018-2021.pdf.pdf?sequence=3&isAllowed=y

²⁰ Aug. 2017. Ecosystem Services Assessment for the Molopo-Nossob River Basin in Botswana, Namibia and South Africa for the KNP

concrete suggestions (including water and rangeland management practices and information systems, livestock improvement, tourism opportunities, regulating hunting, and more sustainable agriculture and road infrastructure) that could be of use for policy makers seeking to support communities managing the land.

106. The CEAP manual also aligns to the MTS, reflects the value of ecosystems for livelihoods.
107. What is not as obvious in the implementation (of Component 3) - and this starts with a lack of proper stakeholder analysis - is the *translation of studies into multi-disciplinary policy making by the public and private sector*. Multi-disciplinary policy making seems to only take place at community level when facilitating the Community Environmental Action Planning, but it is not clear i) how government will sustain and up-scale planning at this level, and ii) how government will respond in providing more adequate services to help communities implement the plans; and iii) what is done with land tenure insecurity issues.
108. In the implementation (of Component 4) some community *plans* (or priorities identified in the planning) show the relevance of this project in terms of demonstrating multiple benefits that more sustainable management of rangelands can provide to livelihoods:
 - In Namibia, it is most clear in the *plans* for a campsite, and Karakul sheep breeding (allowing a change in herd composition, and supposedly livelihood benefits?).
 - In Botswana, it is most clear in the plans to link Prosopis control to the use of its pods and wood for the production of fodder and charcoal, plans for campsites (one in Boravast, one in Khawa), and for small stock marketing.
 - In South Africa, it is evident in the 2016 planning of tourist facilities (guest house, chalets), prickly pear fodder production, and a feedlot.
109. It is understood here that poultry, piggery and borehole-dependent gardening projects may have a potential for sustainable livelihoods, but are not, or only marginally, using rangeland resources.
110. Beyond planning, results of projects based on rangeland resources are limited (see 5.4.).

ii. Alignment to the Bali Strategic Plan (BSP)

Project Document and BSP

111. The Bali Strategic Plan for Technology Support and Capacity Building (BSP)²¹ addresses three main issues, and the project document clearly aligns to all three:
 - complying with international agreements and obligations at the national level
 - provisions to promote, facilitate and finance environmentally sound technologies
 - capacity-strengthening frameworks for developing coherent *international* environmental policies: the project document aims to strengthen partnerships to institutionalize the ecosystem approach in economic decision-making, and in *cross-sector, transboundary* collaboration to address causes of degradation.

²¹ <http://www.unep.fr/ozonaction/about/bsp.htm> (online summary only) from 2005

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 complying with international agreements (all in Component 3), then - in theory - towards provisions to promote, facilitate and finance environmentally sound technologies 'on the ground'. The resources for Components 2 and 4 (to demonstrate good practices to inform local policies, to enable upscaling) are reduced, and given the results (see 5.4) there is little evidence of these results being useful (or used) to inform national policies.
113. The outcome in terms of national level policies complying with SADC-SRAP is not yet evident on the ground; what comes closest towards this, is the Botswana strategy to control *Prosopis*, and the study report on Commonage Land Management in Rietfontein, Mier, South Africa. There are no comprehensive, multi-sectoral policy position papers indicating the policy changes needed to address SLM.
114. South - South Cooperation, in terms of exchange of resources, technology and knowledge between developing countries is practiced where the three countries exchange experiences with control of invasive species.

Sub-category rating: 3 (Moderately Unsatisfactory)

iii. Alignment to GEF strategic priorities and NEPAD/EAP

Project Document and GEF strategic priorities

115. GEF Strategic Investment Programme (SIP) priorities²² in the focal area of Land Degradation (2007) are clearly aligned in the project implementation framework, referring to specific Intermediate Results (IR):
 - IR-1 - scaling up SLM on the ground, in priority areas (Component 2)
 - IR-2 - promoting inclusive dialogue, advocacy for pro-SLM policy (Component 3);
 - IR-3 - on strengthening SLM-related services for land users (Component 4).

Project implementation and GEF strategic priorities

116. The GEF SIP document offers key lessons learned. In this context some lessons stand out:
 - IUCN collaboration with "partner agencies that, if possible, agree to lead specific country engagements, and allowed for it to be guided by country priorities": this has not panned out so well; for more details, see 5.5.
 - the principle that "partners agree to harmonise approaches, enhance joint programming" would have been practiced in the transboundary body; this leading by partners did not materialise. As for other harmonisation, see 5.4 (Component 4).

²² https://www.thegef.org/sites/default/files/publications/Programmatic_Approach_3.pdf

- 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, providing input in its meetings.

Sub-category rating: 4 (Moderately Satisfactory)

v. Complementarity with existing (on-going, planned) interventions

Project implementation and complementarity with existing interventions

119. Work of other projects is taken into account e.g. the UNDP project in Botswana, LandCare in South Africa, Desert Margins project; partners know other relevant projects.
120. The project response to pilot communities' priorities as presented in their Environmental Action planning (facilitated by the project) is not always clear. Some important SLM issues communities identified are not (yet) addressed, e.g. land tenure issues (Aminuis, Corridor Post 13; in Surprise and Khuis land tenure issues were not identified by the project - yet existed then as well and are critical for SLM), and SLM relevant actions are ignored entirely in Namibia, and partly ignored in Botswana.

Table 8: Community SLM challenges and project response

Name	Top challenges	Proposed actions	KNP support plan	KNP expenditure
Aminuis	- overgrazing, overstocking, degrading grazing land - water quality & quantity - animal health - land tenure issues: fencing, grazing restriction	- rehabilitate degraded areas, NR - livelihood diversification - animal health - resettlement	1. tailoring project 2. underground tank 3. gardening 4. poultry 5. brick making 6. youth recycling project	1. borehole 2. gardening 3. poultry

Name	Top challenges	Proposed actions	KNP support plan	KNP expenditure
Corridor Post 13	- drought - animal health - insufficient land and lack of resettlement	- irrigated Lucerne - animal husbandry - poultry - brick, stone making - business market - vaccination/clinic - gardening - fire response - invasive spp. control - charcoal production	1. poultry 2. brick, stone making 3. fire response, unit 4. gardening 5. charcoal production	1. borehole 2. gardening 3. poultry 4. Karakul sheep breeding (for all 4 villages) 5. campsite
Bokspits	No report	- rotational grazing - sand dune stabilising - Prosopis control - reintroduction of Hoodia* - camp site - small stock marketing	* this may not be a good business idea https://www.drugs.com/hoodia.html last §	- Prosopis charcoal & fodder production - office maintenance
Rappel-span		- rotational grazing - sand dune stabilising - reintroduction, marketing of Hoodia - protection endangered spp. - small stock marketing		- water tank - gardens
Vaal-hoek		- rotational grazing - tree planting - Prosopis control - small stock marketing		- poultry
Struizen-dam		- sand dune stabilising - Prosopis control - reintroduction Hoodia - water reticulation - small stock marketing		- gardens
Khawa		- rotational grazing - sand dune stabilising - tree planting - Prosopis control - water reticulation - camp site +++ - small stock marketing		
Surprise	- water supply, -access - human-wildlife conflict (Predators) - overgrazing, no fencing for rotational grazing - invasive spp.	- fencing - dams, water infrastructure - invasive spp. control - new borehole - water storage	1. fence upgrading 2. renovation reservoirs 3. Prosopis control 4. 3rd borehole 5. storage facility 6. reduce A. mellifera	1. fence upgrading 2. repairs 3. clearing 4. 2 boreholes repaired 6. some cleared?
Khuis	idem	- crush pans for vaccination - boreholes - rotational grazing, camps - invasive spp. control - predator control - veld improvement		1. water tank

Sub-category rating: 3 (Moderately Unsatisfactory)

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? Meanwhile, how will there be an enabling environment for the projects in the pilot communities? And how, and at what levels are these communities going to advocate and influence SLM policy making?
125. **Gender:** as discussed in §132 it is not clear which gender is referred to: 'gender [...] 'may be disadvantaged'. It is suggested that without a gender impact analysis, impact can be 'severe'. Women are mentioned as 'increasingly decision makers at household and community level and building their capacity is crucial for project success'. Women's participation in biodiversity-related *income generation* (Component 3) is a top-indicator.
126. **The OECD/DAC definitions of result levels are not consistently followed. There are major causality gaps or disconnects:** several instances where the levels are incorrect, where outputs appear as objectives, or outcomes that are merely activities; the results are not always referring to a target stakeholder, or all stakeholders are lumped together in one output or outcome. This should have led to an amendment of the results framework.
127. The project document does not appear to follow the UNEP definition of Outputs as **deliverables from the perspective of, or gained by, the beneficiaries**. Arguably, the 2008 definitions would apply (see Project Document Annex 3, Components 5, 6 Evaluation guidelines), but the original result framework does not seem to follow any guideline consistently, regarding definition of outputs and outcomes. This evaluation considers delivery of *project* goods and services as *activities*, not as results. For example, a borehole that is not operational is not an output, as the user cannot (yet) use and benefit from it. This discrepancy has important implications for the project reporting, which tends to be about activities rather than outputs.
128. Indicators sometimes look like activities, or do not match the result, e.g. from the 2016 report, Environmental Objective: 'maintained integrity and ecological

²³ *Intermediate result 1:* SLM applications are scaled up on the ground in country-defined priority agro-ecological zones.

Intermediate result 2: Effective and inclusive dialogue and advocacy on SLM strategic priorities, enabling conditions, and delivery mechanisms established and on-going.

Intermediate result 3: Commercial and advisory services for SLM are strengthened and readily available to land users.

Intermediate result 4: Targeted knowledge generated and disseminated and monitoring established and strengthened at all levels.

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

129. The project document explores the risks for the project; these are all relevant, with hindsight.
130. Risks related to **governance of land resources and -tenure** and related conflict are explained in several places in the project document, the CEO endorsement²⁴ and related studies; it is generally highlighted as **critical for change towards SLM**. However, although mentioned in the text, the issue is not taken up in the risk analysis (table). There are some hints, e.g. in Component 3 there are 'decision support tools' that may help resolve conflict (at regional policy decision-making level), but there is no indication on whether, and how land-related conflict will be addressed at national (policy) and/or local levels. Community empowerment is mentioned (in §90), but not in relation to the governance of land, e.g. platforms for dialogue where communities could advocate for addressing these issues, to resolve land-related conflict and/or negotiate solutions for their land woes.
131. **One ('low-risk') assumption is that the project is in line with national priorities;** this appears confirmed by the participating, co-financing governments. However, *the project's reason of being is to address gaps in policies* (including national priorities, conflicting sectoral policies); it implies an assumption that it is a national priority to identify and address these gaps - this is questionable.
132. Dissemination of results features prominently in the result framework, yet the knowledge management approach is 'to be elaborated' and there is a budget line for developing a communication plan.
133. **Sustainability:** it is covered in terms of cross border or regional platforms that are to ensure sustainability. It is not explained how sustainability can be ensured at community level (local services capacity development, community empowerment, and community livelihood activities to become sustainable businesses).

Rating for Strategic Quality of Project Design: 3 (Moderately Unsatisfactory)

5.3 Nature of external context: factors affecting project performance

134. The risk of land-tenure challenges affecting project results is identified in the project document, but not addressed in the project implementation. This omission makes land-tenure an external risk factor, and a critical risk indeed.
135. In the Botswana mission report (closure meeting March 2019) there is mention of conflict of interest related to the ecosystem - but this is not specified. In the same meeting, a community representative mentions 'challenges that hinder success' and incomplete work (the latter echoed by another community rep., from Namibia); a good thing was the community involvement at inception, but beyond this, no proper consultation or engagement.

²⁴ On p. 6 and 7: 'security of tenure'; p. 9: 'lack of tenure preventing people from resting their grazing as well as sedentarisation and fencing'; p. 10: 'capacity building of CBOs and creation of forums for integrated land use planning to strengthen land bodies [...] also help mobilize legal assistance to resolve illegal land grabbing.

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,

whether at individual or inter-community level (gender issues, inequality issues), or intra-community (resource use conflicts between different groups of land users), conflict between communities and (different) local and national government forces. Also, convergences and conflict within or across public and private stakeholders (e.g. sectoral policies dis-harmony) is poorly covered.

- The **Namibia** baseline study (2012) in p. 21 mentions ethnic groups, economic activity and use of natural resources by subsistence farmers, and the search for alternative employment (with high unemployment rates). There is no mention of differences between this group and other users of natural resources (large scale farmers, mining companies), in terms of power (influence on local politics) or access to services. The suggestion is that smallholders, who can no longer live off the land, must augment income from livelihood diversification, even as the report notes that alternative livelihood opportunities are 'extremely limited' in the area. The 'tenure system' is listed first, as one of the causes for ineffective rangeland management (p.23), and 'illegal and uncontrolled fencing by individuals and communities', and 'weaknesses in enforcement of laws', hence the report describes communities as 'powerless to respond'. And organisations representing communal farmers have no legal authority. 'Lack of rights of farmers in terms of land is the core reason for illegal fencing, insecurities' and poorly coordinated farm management. This description is clear, but it lacks a wider perspective, i.e. historical, and currently: on what platforms (national or local), or in what ways (other than illegal fencing) are smallholders currently advocating for more land tenure security, who are their proponents, and opponents? The proposed ToC (section 5.1.1) narrows down the problem as a local problem: 'Tenure issues e.g. illegal fencing and restriction of grazing land'; and the Responses are limited to what the project wants to do locally.²⁵
- The **Botswana** baseline study (2012) covers the subject of land tenure, and notes that borehole siting is dictated by 'other' factors including land ownership (as sinking a borehole gives a person *de facto* land rights), and that livestock watering points are crowded. The map shows that the target communities reside on, and live off, land that is 'left' after taking away the commercial ranches. It also notes that efforts to promote CBNRM did not overcome some key issues among which were governance and financial management of '*their resources*'. It then notes that 'community structures do not seem to be the correct entities to manage profitable business' (and individuals do not all, or do not always, profit from community business). If in Botswana NRM is devolved to local communities, it would be good to know how also the underlying land tenure is, or could be, formally devolved. Communities see opportunities (last para in 2.2.3), why then do they have to have permission, and how easy is it to get permission? In the SWOT (Table 4, and socio-economic indicators in Table 5) insecure land tenure does not feature. The questionnaire reveals 'there is no agreement' on how to address land degradation. Table 6 notes issues with (gazetted) land use planning, and here it could have helped to recommend further work to find out what could drive changes on this subject, or the risks of not addressing it. Recommendations on policy (5.1.3) are

²⁵ This is a perfect example to illustrate that the description of what a ToC should be – in UNEP manuals – is inadequate. A ToC should not be limited to what the project would contribute to a problem. It should be more encompassing even as a project – naturally – only addresses some of the problems.

not specific, and the ToC outcomes (Table 8) do not address land tenure (just granting of water rights).

- The **South Africa** baseline study (2012) covers some socio-political issues, including land tenure and ownership being a main stumbling block (illegal fencing, incomplete resettlement schemes, uncertainties regarding shared role of government and traditional authorities, conflicts, distrust). It also notes that Municipal commonage provides *opportunity* for land reform, reallocation to poor residents but that many councils are not aware of their legislative / land allocation and management powers. And that the DLA is concerned with protecting *informal* grazing rights. And that Municipalities are under pressure to provide housing (taking from commonage land). And that **not all local authorities are willing to assist poor residents obtain access to the commonage**. The report points out that communal farming is often (mistakenly) called collective farming, and that small-scale subsistence farmers are not expected to become commercial farmers (yet they are expected to improve their livelihoods). And: *the commonage area no longer receives government support*. It describes the need **to strengthen knowledge on land rights, to not ignore land claims and increase NGO involvement. Most interestingly, it notes that the 2004 land restitution programme has resulted in better management practices.**

Component 1

144. This component was to strengthen M&E and increase understanding on SLM issues, all in support of results expected from components 2, 3 and 4. From land users' perspectives, the main issues for SLM can be grouped into three main categories: 1. land access, tenure & governance; 2. knowledge and skills on land use practices; and 3. alternate livelihood opportunities.
145. At the level of outputs, there were studies, and some information sharing, but this was not institutionalised, and there is no integrated database.
146. On outcomes, there are some findings, some understanding has increased (attributed to the project and others), but it was not systematically assessed.

Table 9: Availability of outputs and achievement of project outcomes (Component 1)

Component	Planned result	IUCN/KNP reported result: Annual report FY18 & FINAL REPORT ²⁶	Findings
Outcomes Component 1 Baseline assessment (inventory, analysis and prioritization of SLM opportunities and challenges)	1.1.1 Policy makers increased their understanding of NRM/SLM issues* <i>*: From land users' perspectives, the main issues for SLM are:</i> 1. <i>challenges related to land (NR) access, -tenure rights & -governance</i> 2. <i>insufficient (sharing of) knowledge and skills for adoption of more sustainable land use practices</i> 3. <i>absence of alternate livelihood opportunities</i>	Information to populate the integrated database has been collected through the National Baselines which contain information on natural resource, degradation trends, socioeconomic; livestock, crop and SWC/SLM practices and lessons learnt. Knowledge products and awareness raising materials have been produced to communicate the key SLM issues and challenges in the project area. The SADC SRAP 2015 – 2025 was finalised.	Namibia Re. issue 1: contrary to what is presented in 2009 and 2012 studies, MET Director asserts that there are no land tenure issues they need to address, 'as all land is managed by Traditional Authorities'. The 2012 baseline study does not propose any concrete action to address insecure land governance and -tenure (e.g. platforms for policy dialogue, or strengthening local institutions for conflict resolution, or improving (access to land administration) as complementary to technical suggestions for SLM. In both communities' planning (CEAP) land tenure issues are identified. Re. issue 2: MET Director took notice of one SLM practice (control of invasive spp.) but found this practice (as demonstrated in South Africa, and Botswana) not relevant (to 2 communities) in KNP area. Re. issue 3: understanding on this may have increased? Botswana - not verified (could not be established) South Africa - not verified (could not be established)
	1.1.2 Local institutions, service providers increased their		Namibia - No. Botswana

²⁶ The final report is marked in purple. It only reports on outputs (not outcomes), and the 'outputs' are merely activities or deliverables.

Component	Planned result	IUCN/KNP reported result: Annual report FY18 & FINAL REPORT ²⁶	Findings
	understanding of NRM/SLM issues*	<p>The development of the baseline for the SRAP (as part of the SRAP Baseline and Investment Framework) will aid the efforts in developing and maintaining decision support tools for INRM, and where relevant will contribute to the integrated database.</p> <p>Three National Baseline studies were completed and common issues from the three studies that can be addressed at regional scale identified. Regional issues have also been discussed and identified at the 1st, 2nd and 3rd Regional Steering Committee Meetings and the SADC UNCCD Focal Point meetings which identified regional SLM issues that should be addressed by the Sub Regional Action Programme to Combat Desertification.</p>	<p>Re. issue 1: The baseline study does not propose concrete action regarding land governance and -tenure, or any re-organisation of the "CBO", platforms for dialogue. BORAVAST and Khawa tenure issues were addressed on a case-basis (and hardly successful) - no structural change, but the understanding has somewhat improved.</p> <p>Re. issue 2: Understanding on control of invasive spp. has increased.</p> <p>Re. issue 3: Understanding on the need for SLM-based alternate livelihood opportunities has increased.</p> <p>South Africa</p> <p>Re. issue 1: Baseline study notes the importance of tenure insecurity, and a need for more knowledge on tenure rights, and on-going land reform / administration projects. And it notes how inequality hampers SLM adoption. However, it does not propose concrete action on this.</p> <p>The Mier Commonage (land) management study²⁷ mentions (several times) that land tenure reform is incomplete, and that there are conflicts between different land users. The understanding on this increased in Mier.</p>
	1.1.3 Communities increased their understanding of NRM/SLM issues*	Steering Committee Meetings and the SADC UNCCD Focal Point meetings which identified regional SLM issues that should be addressed by the Sub Regional Action Programme to Combat Desertification.	<p>Namibia</p> <p>The visioning did bring up SLM challenges (about grazing management, degradation, poor animal health, tenure issues) but the implementation did not take up these issues, and livelihood projects were not linked to SLM. Without practice, understanding SLM may not have increased significantly.</p> <p>Botswana - Ad 1,2,3: Yes, through implementation (and challenges) the understanding may have increased.</p> <p>South Africa - Ad 2: the understanding increased, also through practice. Ad 1,3: no.</p>
	1.2.1 Policy makers strengthened their M&E systems for SLM scale up	<p>Three National baseline studies were completed and endorsed.</p> <p>The Regional study was completed and used to inform the SRAP. A project communication strategy has been developed.</p>	<p>Namibia No</p> <p>Botswana</p> <p>Yes, proposed Prosopis legislation mentions that risk assessment, and monitoring is to improve; it is not established that Prosopis monitoring is indeed systematically done</p> <p>South Africa Not verified (could not be established)</p>
	1.2.2 Local institutions, service providers strengthened M&E		<p>Namibia No</p> <p>Botswana Not evident</p>

²⁷ SPP_IUCN Mier Commonage Management and Institution Building Report December_KK .docx

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	IUCN/KNP reported result: Annual report FY18 & FINAL REPORT ²⁸	Findings
Outputs Component 1	1.1 Key stakeholders at regional (SADC) and National (3 countries) level have access to an integrated database that includes baseline assessments and Capacity Needs Assessments (CNA) covering land management and -policy, challenges for, or barriers to adoption of SLM, planning- & institutional analysis, capacity gaps	<p>There used to be a website, with brochures, flyers on:</p> <ul style="list-style-type: none"> - KNP in general - CEAP tool updated - community rights - ... (see other outputs) <ul style="list-style-type: none"> • Communications Strategy for SADC SRAP²⁹ • support for developing knowledge products, materials: banners, brochure, folder, factsheets, technical brief, articles, web-stories, videos³⁰ • support for development website: it was finalised, CEAPs uploaded 	<p>KNP has no communication strategy, and no website (anymore).</p> <p>However, data were accessed through conventional channels (emails) and in workshops.</p> <p>There is the SADC-IUCN brochure: Land matters</p> <p>And a web story: SADC Policy makers deliberate on the challenges and solutions to managing and controlling the spread of invasive Prosopis at UNCCD COP (2014)</p>
	1.2 Key stakeholders at local levels (service providers, communities) have access to	<p>There used to be a website</p> <p>Final report:</p>	

²⁸ The final report is marked in purple. It only reports on outputs (not outcomes), and the 'outputs' are merely activities or deliverables.

²⁹ Report: Communication and partnership mobilization strategy for the SADC SRAP to Combat desertification 2018-2025

³⁰ SADC presentation: Almost a quarter of the world's land is degrading

	<p>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</p>	<ul style="list-style-type: none"> - literature review, baseline surveys 100% - national and regional stakeholder consultations and endorsement of baselines 100% - studies 100% - guidelines on participatory planning and monitoring 100% - communication strategy & tools 100% - production, dissemination of repackaged baseline information and SLM innovations 100% - presentation of lessons at appropriate fora (UCCD, UNFCCC, UNCBD, SADC, AU etc.) 100% 	<p>No documentation of 'repackaged baseline information', no report on a radio programme, no reports on drama. However, there are flyers or brochures on these subjects:</p> <ul style="list-style-type: none"> - KNP brochure - Improved livelihoods - Improved decision-making - Securing community rights - Case study 1: strengthening BORAVAST capacity - Case study 2: Botswana Prosopis control <p>And there are web stories:</p> <ul style="list-style-type: none"> - Farmers tackle predators ethically (2014) - Communities make a decision to fight invasive Mesquite in Kgalagadi District of Botswana (2014)
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Component 2

147. In this component good SLM practices were to be demonstrated at community level. The Community Environmental Action Planning (CEAP) was the basis for this component 2 (core SLM practices) as well as component 4, for (SLM-related) income generating activities (reported in its own Component 4 section further below). Some livelihood activities are reported here, as they are clearly also for SLM.
148. **In Namibia** there are no SLM-related outputs or outcomes (in terms of improved capacity of service providers to support, upscale communities' SLM), mostly because these were not planned for in the CEAP.
149. **In Botswana**, none of the community-planned SLM projects were completed (in Khawa some Prosopis control was done along the main road - but this was no longer a community priority). Although not planned (but suggested by ORASECOM), in Khawa a sand-dune tree planting site was established; the community struggles to protect the site (repeated fence damage) but so far most trees survived; the trees are still small and vulnerable but eventually the community may benefit from having the dune stabilised. There is no sign of significant outcomes in terms of improved capacities of relevant service providers; there was no, or minimal, engagement of departments other than DFRR.
150. **In South Africa**, Surprise and Khuis farm communities adopted (parts of) practices acquired through a number of SLM-relevant trainings. In Surprise Farm results can be observed, e.g. continuing chemical (and some manual) control of Prosopis, some

maintenance of fences (project paid) *used for rotational grazing* (a practice the community appreciates, however, they do not monitor animal numbers or the state of the vegetation), and allegedly also adoption of practices from other training (first aid, bush control, etc.). In Khuis farm similar trainings were done, with the adoption of various practices, notably practices for animal health. The project paid for some water tanks, but the important problem of dependency of expensive piped water was not solved. For both communities the sustainability of any outcome is uncertain, as both struggle with critical land tenure issues.

Equation 1: Project Document: barriers to adoption of SLM

"The project will address the numerous barriers and constraints that affect the implementation of SLM practices, both locally and regionally. These include limited access to appropriate information and technologies, weaknesses in institutional infrastructure and participation, unsustainable land-use practices, conflicts between land-use goals, and weak tenure and resource governance arrangements. Although many of these barriers and constraints differ from region to region and from country to country, the commitment and resources of the people living in these areas, as well as the political and economic sectors in each country will be essential."

Equation 2: Flyer: Securing community rights (KNP communication product)

"[...] supporting communities to effectively manage their land and other natural resources [...] with inputs from major service providers. This will contribute to sustainable land management in ecological zones defined by each country. The three countries will focus on securing land tenure and access rights, improving sustainable management capacity, and improving community-policy linkages. The improvement of community access rights to private and common pool ecosystem services will give special attention to ecosystem services important to vulnerable groups such as local community farmers and women. Land tenure rights of the rural communities will be improved through multi-stakeholder dialogues, negotiations, and increased community-policy linkages. [communities] [...] where they want to go [...] approaches to assist them in getting there and that they are able to continue on their own once external support is discontinued."

Table 10: Availability of outputs and achievement of project outcomes (Component 2)

Component	Planned result	IUCN/KNP reported result	Findings
Outcomes Component 2 Community-based SLM (including pilot demos of best practices)	2.1 Service providers (public, private local institutions) support, facilitate <i>communities' planning cycles</i> (incl. management, M&E), promoting SLM, for example: <ul style="list-style-type: none"> • tenure security • crop and livestock integration, fodder production 	Project sites have been identified in all three countries.	Namibia -
		Capacity gaps at national government and community levels have been identified through the national baseline studies for the 3 countries, the CEAPs developed for the project sites and specific capacity building needs to support implementation of the pilot projects.	Botswana -
		Local level SLM/INRM participatory plans have been developed for the project sites in Botswana and South Africa.	South Africa Support to Khuis and Surprise Farms demonstrates competence in assisting communities to plan for SLM and providing relevant training; this however depends on one person in the agricultural department and it stopped as soon as the project stopped. Support did not include an assessment of needs (and risks) related to land tenure insecurity and both farms had (and still have) critical issues on that subject; there appears to be no service


Component	Planned result	IUCN/KNP reported result	Findings
*	<ul style="list-style-type: none"> improved herd management and - composition improved rangeland management, grassland rehabilitation & -upgrading SWC measures biodiversity management SLM-related livelihood projects (C4) 	<p>Priority SLM/INRM activities identified in the CEAPs are currently underway in Botswana, South Africa and Namibia focusing on institutional strengthening, management and control of bush encroachment and invasive Prosopis, integrated rangeland management and piloting of alternative livelihood options such as horticulture, poultry production and eco-tourism.</p>	<p>providers' capacity to address this (as long as land governance is not devolved to the Municipality).</p> <p>As there are no clear signs that capacity of service providers has been structurally improved, to better serve land users with a relevant package of SLM-related services (agriculture/livestock, water, land), no outcomes expected in the near future.</p>
	<p>2.2 Service providers effectively scaling up SLM, with communities in country-defined priority ecol. zones</p>	<p>Practices and processes for out-scaling production systems suitable for the project area have been documented in the 3 National baseline studies and promoted in the project areas. Participatory processes for out-scaling have been articulated in the CEAP guidelines and promoted in the project areas.</p>	<p>Namibia - Botswana - South Africa -</p>
	<p>2.3 Communities effectively applying SLM OVI: area where SLM is effectively practiced</p>	<p>Capacity gaps have been identified and training reports produced for the capacity building events that have been convened.</p>	<p>Namibia - Botswana South Africa Mier: some community-level land management planning may be on-going (to verify); KNP attribution to this is shared with other projects.</p>
	<p>2.4 Communities scale up the area in which they practice SLM</p>	<p>Appropriate SWC\SLM measures have been documented in the 3 National baseline studies. Participatory processes for promoting these measures have been articulated in the CEAP guidelines. The practices and processes for out-scaling best practices identified and prioritised are currently being implemented through the pilot projects that are currently being implemented.</p> <p>Community level M&E is included in each pilot project that the project is supporting.</p>	<p>Namibia - Botswana - South Africa -</p>

Component	Planned result	IUCN/KNP reported result	Findings
Outputs Component 2	2.1 Service providers have increased their capacity to support community level planning cycles to promote SLM, in particular by identifying and <i>promoting to communities to:</i> i. apply appropriate integrated crop & livestock production systems for over 200,000 ha ii. apply SWC/SLM measures for over 200,000 ha iii. manage 100,000 ha of biodiversity of local and global significance	<ul style="list-style-type: none"> • training on M&E for communities, CBO? • training on Prosopis control, bush management other than ZA? • training on integrated land management³¹ where? • 3 Prosopis surveys, sharing workshops, factsheet, website (2013), technical brief, video, exchange visit to ZA <p>Namibia</p> <ul style="list-style-type: none"> • CEAP in Aminuis and Corridor Post 13 = visioning exercise • boreholes drilled in Aminuis & Corridor Post 13 incomplete • monitoring mission March 2016 • poultry and horticulture projects initiated and showing promising initial results no poultry 	<p>Namibia</p> <p>The 2012 baseline study proposed SLM actions, none were retained in community plans from 2014 visioning exercise³², facilitated by the first facilitator hired by IUCN, who was not trained on CEAP.</p> <p>The visioning produced plans with very little in terms of SLM: Aminuis: 1. Tailoring; 2. Underground water fountain; 3. Veg. gardening; 4. Poultry; 5. Brick making; 6. Cleaning and recycling. Corridor Post 13: 1. Poultry farming; 2. Brick making; 3. Fire emergency unit; 4. Veg. gardening; 5. Charcoal prod. Corridor post 13 had also proposed a Lucerne production project but was told the project has no money for this.</p> <p>Aminuis</p> <ul style="list-style-type: none"> • borehole functional, users pay, but some friction over its use • community feels project is about livelihood; they did not have - would like to have - SLM training <p>Corridor Post 13</p> <ul style="list-style-type: none"> • borehole not functional: drilling done (steel casing), but equipment then came and went (pipe too short, solar panel capacity insufficient) • veg. garden not functional, as there is no water; equipment, fencing materials (poles, wire) received • poultry: received water containers, but no chicks • limestone brick making not implemented
		<p>Botswana</p> <ul style="list-style-type: none"> • Gaborone rangeland forum: action plans for sustainable rangeland management in Kgalagadi District (community?) • CEAP 	<p>Botswana</p> <p>CEAP: BORAVAST four villages joined into one big CEAP session, making these plans: 1. gardens in Struisendam, Rappelspan - C4 2. watertank for irrigation in Rappelspan school - C4 3. poultry in Vaalhoek - C4 4. fodder fr Prosopis pods in Bokspits (for rotational grazing) 5. charcoal from Prosopis in Bokspits</p>

³¹ Securing community rights flyer

³² Community Vision Exercise Report.pdf

Component	Planned result	IUCN/KNP reported result	Findings
		<ul style="list-style-type: none"> • BORAVAST re-organisation, re-registration office renovation • BORAVAST Prosopis control strategy and Operational Plan • demo on Prosopis? 	<p>6. maintenance of BORAVAST Trust office in Bokspits; 9. financial management, computer studies</p> <p>7. Karakul sheep breeding (to change herd composition) Boravast</p> <p>8. campsite near Kalahari transport hub - C4</p> <p>The first two projects are inspired by (results from??) the UNDP Kalahari-Khansi project. All three projects are firmly in both components: component 2 for SLM - Prosopis control (by removal of pods, firewood) and changing herd composition with Karakul sheep; and component 4 as Prosopis products and Karakul sheep will be commodities for income generation.</p> <p>4. Fodder: trained, machinery is there; money needed to pay for pods collected. The whole business has not started. The machine has the wrong blade, it is too fine (producing powder), it needs a blade that grinds a more coarse cake, but the community has no contacts of the supplier. We collect now, dry by January, then grind.</p> <p>5. Charcoal: Training was done. We have cutting machine and 3 drums ('pot') and logo-bags; a machine for packaging would be handy (to weigh while packing). We do not have the funds to pay people to chop the trees. We hope UNDP will finance the start-up funds. And we only have one chainsaw, we need more, and we have no protective clothes. Bank? Some banks, but maybe sponsorship from other NGO eg UNDP.</p> <p>7. Karakul: not delivered, because (Abigail) there would be fence material and medicines, but this did not come. The area is allocated by land board, but no fencing (2x2km), so sheep cannot be delivered. The sheep are still there where we bought them at the govt. farm. The permit for the land came last year. There is no water there, water department has not yet committed - we did not meet for a long time but they know water is needed there (initially water can be purchased from water tankers). Also a kraal and fencing needed, and a shelter.</p> <p>6. and 9. Empowerment: Projects 6. (maintenance of BORAVAST Trust office) and 9. (training on financial management, computer studies) are to strengthen and empower the BORAVAST organisational capacity. The office was indeed renovated, and BORAVAST re-registration support had its result. And BORAVAST was given the use of project car (no official transfer yet). The community claims there was also a plan to train on how to write proposals (was never done).</p> <p>Community priorities are (now) to:</p> <ol style="list-style-type: none"> 1. Complete the camp for tourists: <i>first it needs to secure the land tenure</i> 2. Prosopis control / production of charcoal and fodder

Component	Planned result	IUCN/KNP reported result	Findings
			<p>The issue of Land Use Management (and role of DLUPU) was not raised.</p> <p>Khawa-Kopanela Development Trust (KKDT) Joseph: CEAP (in Bokspits, together with Boravast) - all challenges were uniform, so the same priorities, but then arriving in Khawa they had no main problem with Prosopis. - Prosopis: some planting along the main road - Rangeland management / rotational grazing: - - Later (not CEAP) ORASECOM proposed KNP do sand dune planting - Sheep farm to breed Karakul (not done by KNP).</p>
		<p>South Africa</p> <ul style="list-style-type: none"> • ToT on CEAP in Mier and John Taolo district • SLM workshops/training at Kuruman • training (& webstories) on predator control, 26 farmers <p>Mier study: institutional strengthening and commonage land management in Rietfontein, for developing management plan and commonage regulations</p>	<p>South Africa</p> <p>Mier A study is produced on Mier commonage land management³³. There may be some progress on recommendations 6 & 7 where communities get to be organised, clarify their tenure issues and prepare land management plans; however, documents to verify this were not received, and attribution to KNP is questionable (the report is also used in another project, see image). Mier: governance of community land is not yet devolved to municipalities, the tenure reform not completed yet, and municipalities lack HR, so it is not possible to address SLM comprehensively.</p> <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; color: orange;">Tasks that need to be completed</p> <ol style="list-style-type: none"> (1) Promulgation of grazing regulations (by Municipality) - by end of 2015/ before local government election in 2016. Held meeting with Municipal Manager and mayor of Mier Municipality in September 2015 to discuss regulation process. Suggestion is that we do this process at the beginning of 2016. (2) Final process will be held with commonage users to discuss the "final" draft commonage regulations from 16 - 18 December 2015 (as to include all farmers) (3) Establishment of Commonage Committees (after promulgation of regulations) - October 2015 (3) Training of Commonage Management Committees (after promulgation of regulations): October - November 2015 (4) Horizontal exchange between Mier farmers/ Municipality to Nama Khoi Municipality and farmers (IUCN to fund) (5) Final report - end of March 2016 <div style="display: flex; justify-content: space-between; align-items: center;">  <div style="background-color: #8B4513; color: white; padding: 5px; font-weight: bold;">SURPLUS PEOPLE PROJECT</div> </div> </div>
		<p>Surprise</p> <ul style="list-style-type: none"> • farmers' day at DALRRD offices, Mothibistad 	<p>Surprise community farm, 16 members History: Klaas and Wijnand Nel helped to set up the project in 2008. In 2010 Billiton sponsored a car, 30 cows, a motorbike, trailer, furniture, air-conditioners.</p>

³³ [SPP_IUCN Mier Commonage Management and Institution Building Report December_KK.docx](#)

Describes land use and -tenure (history); and a Mier referendum where residents voted for "municipality as the owner but managed by the community". There are 7 recommendations.

Component	Planned result	IUCN/KNP reported result	Findings
		<p>attended by 25 farmers (3 fr Surprise), 3 officials</p> <ul style="list-style-type: none"> • firefighting training (24 farmers in Khuis, Surprise) • training on first aid • training on predator control (26 farmers in Khuis, Surprise); each farm provided 2 cages, bait • 2556 ha (12/16 camps) cleared at Surprise Farm, creating 12 jobs (5f, 5m, 2y) <p>They come from communal setup, when they occupied the land I told them: you received this land in a climax state, do not apply the</p>	<p>Land tenure challenge: commonage land, leased from Municipality for 3y renewable; people outside the community tear down fences every once in a while. So Surprise wants to move to more secured location, away from Vanzylsrus, but so far no alternative location found with district municipality.</p> <p>CEAP (2012)</p> <ol style="list-style-type: none"> 1. Improvement to fencing infrastructure (repair and more fences for further camp division) 2. Maintenance of dams/reservoirs and water infrastructure (drinking troughs) 3. South-wes thorn (Prosopis) removal/control 4. Construction of a new (3rd) borehole 5. Store/storage facility for water: upgrading 6. Grapple plant reduction / hookbush reduction (A. mellifera) <p>Project outputs:</p> <ol style="list-style-type: none"> 1. Prosopis control: training on pod removal, and chemicals, and handsaws to cut the entire tree. Nowadays only chemical control and removal of small plants (so sawing, no pod removal) Understanding Propopis effects and uses (medical) is increased. There is understanding on chemical control, risk prevention (dust-mask). Threethorn, blackthorn control with chemical, is effective. The community confirms: 2556 ha cleared (paid labour: 5f, 5m, 2y) 2. Predator control (cages, bait): in place, porcupine caught (it bites pipes w waste water) 3. First aid training: may be useful, not practiced so far 4. Animal health training: helpful to save animals from drought, and manage sick livestock (no link to human healthcare) 5. Bushfire control (training): useful, they rehearse (no bushfire yet) 6. Rotational grazing training/advice: this also included an exchange visit Lexi, Kuruman: the best that was learned was to handle, and mark cows. Rotation is now practiced. <p>The importance was scored (each person distributing 10 points), here a list with increasing importance:</p> <ul style="list-style-type: none"> • Bush control: chemical control 3; mechanic removal 2 • Predator control: 4 • First aid training: 6 • Animal health: 7 • Bush fire control: 7 • Rotational grazing: 31

Component	Planned result	IUCN/KNP reported result	Findings
		<p>principles of communal farming.</p>	<p>M&E: individuals in the community monitor their animals, and the state of fencing, water issues, etc. No systematic monitoring of the vegetation, or animal numbers.</p> <p>On empowerment, the project did not strengthen the community's advocacy towards the municipality. In Khuis they still hope KNP will advocate for them on issues of water (borehole survey), and land tenure (in this case: the completion of the resettlement was to provide housing on the farm).</p> <p>Sustainability</p> <ul style="list-style-type: none"> - the community did not know KNP had finished - Nel stopped monthly visits, no more feedback on what was asked - extension: the agriculture department promised goats - not delivered; they also need more training - youth are NOT interested, most members >50y old; some children gain interest when growing older - the land tenure issue(s) are not addressed. <p>There was no exchange between Khuis and Surprise.</p>
		<p>Khuis</p> <ul style="list-style-type: none"> • training (& webstories) on predator control, 26 farmers • firefighting training (24 farmers in Khuis, Surprise) • training on first aid • training on predator control (26 farmers in Khuis, Surprise); each farm provided 2 cages and bait • training at Khuis farm, on bush control (Prosopis, Acacia mellifera / Black thorn, Rhigozum trichotomum / Three thorn), safe handling of chemicals, first aid, and monitoring³⁴ 	<p>Khuis community, about 50 households currently active</p> <p>Land tenure challenge: They own the land, but most remain absentee landlords ('we are on-and off, though some are always there). CEAP report: 'only 73 families resettled on Khuis' however, this is just what they put up themselves: corrugated iron shacks! Due to land reform the community was forcibly relocated from elsewhere, and municipality had promised to build their houses as compensation, in 2009; the site is surveyed (observed: toilets were placed), nothing else. There was municipality re-organisation and the community was told that the money was invested elsewhere. It is a land tenure issues, yet it was not brought to KNP attention. It has however implications, the respondents indicate that, living far away (with only temporary presence) has its costs and thus requires a larger enterprise (more animals than just the 15 heads allowed) to make this farming profitable: this makes reduction of herd size a difficult subject. Women are not engaged due to the distance.</p> <p>CEAP (2012)</p> <p>Project outputs are mostly in support of these two projects (there is only one member who was present back then):</p> <ol style="list-style-type: none"> 1. Crush pan (<i>does not remember this was in the plan</i>)

³⁴ Report: Establishment of management and control sites for bush encroacher (three thorn and black thorn) at Khuis Farm in ZA

Component	Planned result	IUCN/KNP reported result	Findings
		<p>• 1950 ha (of 22,490) cleared at Khuis farm, creating 21 jobs (4f, 17m, 11y)</p>	<ol style="list-style-type: none"> 2. Access to borehole water 3. Subdivision of camps (= for rotational grazing) 4. Removal of Prosopis and cactus 5. Predator control training 6. Improvement of veld condition (<i>remembers, ploughing and putting grass, on the dunes</i>) 7. Repair/fixing of a broken dam <p><i>The person also remembers that something was to be done about transportation, and renovation of game farm (fence a.o. pipelines?).</i></p> <p>Not planned with CEAP but also delivered by the project:</p> <ol style="list-style-type: none"> 8. Bushfire control training 9. Animal health training, and health kit, cutting horns 10. First aid training. <p>Following this, potential income generating activities are identified: black thorn control, feedlot, tourism houses, sheep & goats, veg. garden w jojo tanks, poultry.</p> <p>Ad 2: water department promised in August or Sept. 2018 to survey existing boreholes, for a water management plan, to be independent from expensive piped water from Uppington (somebody stole the prepaid meter, but anyway the price is high, 'due to leakages'? There are several boreholes supplying the border post, and 2 in the game farm but not sure whether water from these boreholes will be enough. The CEAP report highlights the water challenge: high cost of pipeline water.</p> <p>As the borehole plan was not forthcoming, KNP proposed to pay a 95,000 ZAR water bill and Kalahari-East would upgrade the pipeline, in return for Khuis signing grazing rights agreements - this plan was rejected by the farmers. The department of agriculture raises questions after investing since 2007 on infrastructure, 7-9 million ZAR. The service only works from Kimberley, no field workers.</p> <p>Ad 3. training: rotational grazing on 3-months basis. Three times the project provided fencing: i) a white man from Kuruman hired people from here, did a good job; ii) contract with a local chief, also good; iii) contractor from Kimberley, who brought his own men (in 2018): job poorly done, this latest fence is the first to fall down. 'We told them the job was not done well, they did not listen, no fencing experience.' The respondents did not see a local advertised call. However, this is not sufficient to explain why rotational grazing is not practiced; the lack of change here is - according to the community - their own failure to achieve consensus on rotational grazing. Now we see more the need to push for that consensus.</p> <p>Ad 4. Training and chemicals were used, success, see picture. Successful, permanent result, 1950 ha</p>

Component	Planned result	IUCN/KNP reported result	Findings
			<p>Ad 5. Trained people caught some jackals (they eat meat). Still using the traps.</p> <p>Ad 6. The department never came to help with improving the veld.</p> <p>Ad 7. Two broken dams, 4x10,000 litre tanks, 2x10,000 litre tanks (2018) to replace the dams; tanks filled from pipeline (but water department wants us to use the boreholes also as it is cheaper, and the project also aims to increase the value of ecosystem services i.e. borehole water instead of piped water from elsewhere).</p> <p>Ad 8. 4 men trained, in august there was a fire in the game farm, we used our own fire-extinguisher, other farmers came to assist, but those trained were not present (we live far-away).</p> <p>Ad 9. All farmers trained (51: 10f, 41m), applying de-horning (+equipment), shaping hooves of goats, tattoo ears, different vaccinations and -methods, disease prevention (double fencing).</p> <p>Ad 10. some were trained, a long time ago, first aid kit provided, it was applied once when somebody fell off a bike.</p> <p>The importance was scored (each person distributing 10 points), this list shows importance:</p> <ul style="list-style-type: none"> • rotational grazing: 17 • water management: 15 • bush control (chemical): 6 • bushfire control: 5 • animal health: 5 • rodent control: 1 <p>The appreciation for the outcomes was scored:</p> <ul style="list-style-type: none"> • rotational grazing: 2 (mostly blaming themselves to not find consensus on this in the community) • water management: 3 - the tanks are a useful replacement for dams but both use piped water (expensive), so the problem of high water costs is not resolved • bush control (chemical): 9 • bushfire control: 27 • animal health: 5 • rodent control: 4
	<p>2.2 Service providers have capacity for upscaling their services</p>	<p>2.3.1 Scaling up For CEAP...?? Namibia (service provider?): ...? Botswana (service provider: District TA committee): ...?</p>	<p>Namibia - no evidence of that, although it is appreciated that MET is going to complete the projects that KNP could not complete</p>

Component	Planned result	IUCN/KNP reported result	Findings
		<p>South Africa (service provider: local agric. extension): training? on environmental valuation</p> <p>2.3.2 Training South Africa:</p> <ul style="list-style-type: none"> stakeholder workshops (e.g. on rangeland management and Prosopis control) rangeland forum workshop and CNA in Rietfontein, Gaborone learning and exchange visits <p>2.3.3 Studies Botswana:</p> <ul style="list-style-type: none"> Prosopis management and control³⁵ <p>Study: Strengthening Communal Rangelands Management in Botswana³⁶</p>	<p>Botswana</p> <p>- no evidence of that</p> <p>South Africa</p> <p>- land services: no evidence of any increase in <i>upscaling</i> capacity ('thin on the ground'); however, at pilot community level the DALRRD technical capacity is present; this capacity does not include critical services to address challenges on land tenure.</p>
	2.3 Communities developed, implemented SLM plans for 300,000 ha	Final report: community visioning exercises 100%	<p>Namibia - Botswana South Africa - pilot projects: 4,500 ha bush control and - on 2,500 of that - rotational grazing</p>

Component 3

151. In this component, it is not (yet) evident what are the outcomes of the products; the Ecosystem Services Assessment justifies the targeting of more subsistence based communities, but all products insufficiently raise or address underlying (socio-political)

³⁵ Report: Integrated Mesquite (Prosopis species) Management Strategy for Botswana 2019 – 2024

³⁶ Report: Buckham-Walsh, L. and C. C. Mutambirwa, 2017. Strengthening Communal Rangelands Management in Botswana, Legal and policy opportunities and constraints (ch.13, p.214 of: Herrera, P.M., et al., IUCN, 2014. The Governance of Rangelands, collective action for sustainable pastoralism. Publisher IUCN GDI)

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	<p>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.</p> <p>The revised SADC SRAP provides the enabling environment to continue the convening of annual regional forums after the project ends. The ToR requires that the consultants identify DLDD threats and solutions, the SRAP does not once mention land rights or -tenure (so evidently threats to SLM), yet it does refer to over-cultivation, over-grazing and deforestation (for which land tenure is one of the underlying problems).</p> <p>It refers to the Regional Agricultural Policy (2014) but not to its own reference to land tenure ("Tenure security enhancing land reforms enhance investments and sustainable land use intensification"³⁷). The SRAP refers to LDN (2015) target 15.3³⁸, but not to SDG (also 2015) that were much broader in referencing to land tenure issues.³⁹</p> <p>The Sub Regional Action Plan (SRAP) to Combat Desertification provides a platform and mechanism for developing very specific regional decision support tools.</p> <ul style="list-style-type: none"> • Botswana Forest and Range Resources Bill: clause on invasive spp. control • ZA online database (2013) where to access? regional purpose? <p>The project supported the development/updating of the following:</p>	<p>These products discussed in the outputs.</p> <ul style="list-style-type: none"> • CEAP tool (2011) • SADC/SRAP (2015) • Ecosystem Services Assessment (2017) • Total economic valuation and market chain analysis (2015) <p>Possible outcome: - CEAP tool: does not (also) address key underlying issues (incl. community land tenure) - SRAP: its value is to be observed in the NAP. On the quality of the NAP see separate paragraph is added below this table.</p> <p>It is alleged that the regional dialogue brought about the Botswana National Strategy on the Management and Control of Mesquite (Prosopis), and a clause in the Forestry and Range</p>

³⁷ <https://www.sciencedirect.com/science/article/pii/S0306919214000451> the quote is 1 of 5 highlights, the top of the paper

³⁸ FAO seems to address this in a recent publication: <http://www.fao.org/3/ca5354en/ca5354en.pdf> **FAO, 2019. Land tenure in support of LDN. Land tenure journal 2.19**

³⁹ <https://www.wri.org/news/land-matters-how-securing-community-land-rights-can-slow-climate-change-and-accelerate> Of the 17 Sustainable Development Goals (SDGs) endorsed by the world's governments, five directly address the role of land in securing humanity's future, and three specifically call for **securing community land rights**. Sustainable land use, by providing a cost-effective way to sequester carbon dioxide, also offers huge climate benefits. It is no exaggeration that **achieving both SDG 13 on climate action and national commitments under the Paris Agreement of the UN Framework Convention on Climate Change depends in large part on better land stewardship.**

Component	Planned result	IUCN/KNP reported result	Findings
		<ul style="list-style-type: none"> the Botswana National Strategy on the Management and Control of Mesquite (Prosopis). incorporation of a clause recognising Prosopis, as an invasive alien species in Botswana in the Forestry and Range Resources Bill. Prosopis is already recognised as an invasive alien species in South Africa and Namibia the review and updating of the SADC SRAP. Participation in Steering Committee of South Africa NAP review process The engagement of sub regional and Africa wide actors towards developing an Action Plan for Eradication, Control and Sustainable Management of Invasive Species in Africa⁴⁰ 	<p>Resources Bill recognising Prosopis as invasive spp.</p> <p>- Ecosystem Services Assessment: its recommendation to target more subsistence-based communities is built on eco-evidence (ecosystem services being the same, less resource-endowed communities benefit less). If this makes its way into national action plans, it could be a significant outcome. The explanation of social causes of land degradation is incomplete, not including evidence from component 2.</p> <p>- Economic valuation and market chain analysis: has important gaps (land markets; effect of carbon markets on this).</p>
	<p>3.1.2 (Local) service providers, institutions planning and budgeting for INRM, SLM scale up</p>	<p>Decision support tools developed and currently being implemented or used to guide project implementation include community environmental action planning, participatory decision making, stakeholder and policy dialogues, technical study on total economic valuation and market chain analysis, sustainable rangeland management; environmental valuation, prosopis management and control, learning and exchange visits.</p> <p>Training programmes were developed and implemented on M&E; prosopis management and control; international water governance and environmental valuation. Training programmes have also been developed at the pilot project site level to enhance capacity to implement the pilot projects e.g. poultry production, vegetable gardening etc.</p> <p>Guidelines on participatory CEAP developed. ToT undertaken, results used to inform interventions.</p> <p>An M&E training and design workshop was convened in February 2013 for project focal points.</p>	
	<p>3.2 Policy makers and local institutions promoting dialogue between sectors,</p>		<p>Namibia - 'not an issue'</p> <p>Botswana - no</p>

⁴⁰ Report: Impact of Invasive species on ecosystem services in Africa: towards a SADC regional strategy and operational plan could not be found. What is found is: Report: Repot 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; Report: 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

Component	Planned result	IUCN/KNP reported result	Findings
	with / between communities, to develop enabling policy conditions (in particular on issues of land tenure & governance) to remove barriers for SLM scale up		South Africa - land reform stalled?
	3.3 Effective Transboundary Management of MNRB	<p>Multi-stakeholder forums have been convened:</p> <ul style="list-style-type: none"> • at local level in Botswana and South Africa in the form of the community environmental action planning workshops and stakeholder workshops and dialogues on the various issues the project is tackling e.g. rangeland management and Prosopis management • at national level through N-PSC meetings and national consultative workshops • at basin level the Molopo-Nossob is a sub basin of the Orange-Senqu river basin. The project is collaborating with the Orange-Senqu river basin commission (Botswana, Lesotho, Namibia and South Africa) which provides a platform for transboundary cooperation. The project is reported at the ORASECOM Technical Task team meetings • at regional level: 3 annual regional forums and 2 SADC UNCCD focal point meetings. <p>The development of an Africa-wide Action Plan for Eradication, Control and Sustainable Management of Invasive Species will strengthen collaboration and improve transboundary management of MNRB.</p> <p>The Investment Framework and Partnership Mobilization strategies being developed will further enhance collaboration on this transboundary management of MNRB.</p>	-

Component	Planned result	IUCN/KNP reported result	Findings
Outputs Component 3	3.1 Policy makers developed and used decision-support tools for policy making for INRM/SLM scale up in the MNRB	<ul style="list-style-type: none"> Sub-Regional Action Plan to Combat Desertification (SRAP)⁴¹ and resource mobilisation for it⁴² supported by the project Total economic valuation and market chain analysis Focal points for NRM/SRAP in each of the 15 SADC member states 	These tools could possibly support pro-SLM policy making at national level: <ol style="list-style-type: none"> CEAP tool (2011) SADC/SRAP (2015) Ecosystem Services Assessment (2017)⁴³ Total economic valuation and market chain analysis (also in support of Component 4). SADC/SRAP communication strategy. <p>1. CEAP tool The tool is not strong on identifying barriers that land users face i.e. <i>key underlying</i> issues that explain why - which similar ecological infrastructure - some more marginalised farmers/communities face challenges to apply SLM (and benefit more from ecosystem services) than others. Socio-political factors such as inequalities when it comes to control over land and natural resources, dysfunctional land markets, and capacity gaps of communities that hamper their influence in decisions regarding resource use, and influence when there is conflict and competition with stakeholders who wield more political power. This gap (community land issues) is why one respondent remarked it is still insufficiently adapted to ASAL.</p>
	3.2 (Local) policy makers, local institutions and communities (incl. traditional authorities) establish inclusive platforms for dialogue (to better understand how land management is affected by issues of land governance and -tenure)	x (this is in the project document narrative, and in the brochure ('securing community rights') on but not clear where it is to taken up in the results framework)	<p>2. SADC/SRAP Major revision from 1997 version, through an outsourcing contract. How are ToR requirements covered: Ad 4: The successes, weaknesses, lessons, gaps and impact of the 1997 SRAP not discussed. Ad 2: Reviewing the current status of land degradation is based only on data from a study in 2008. Ad 5: Information and -gaps in the SADC Region in relation to SRAP and LDN: info gaps are not identified. Ad 3: Stakeholder analysis not done. Anyway 'community' is only as international community or SACD; in one place community efforts are mentioned in relation to support of vulnerable young people, not land; no reference to CBNRM.</p>

⁴¹ Report: SADC, Sept. 2015. Southern African Development Community sub-regional action programme to combat desertification (2015-2025);

Report: SADC, IUCN, UNEP 2018. South African Development Community (SADC) land degradation baseline and resource mobilisation framework

⁴² Report: Regional baseline and investment framework for SADC SRAP to combat desertification 2015-20125, *The baseline includes: situation analysis, identification of focal technical areas, stakeholder analysis, resource mapping (technical, knowledge, tools, equipment, facilities, fin. resources);*

Report: Revision of the SADC SRAP to Combat Desertification (2015-2025)

⁴³ Report: Ecosystem Services Assessment for the Molopo-Nossob River Basin in Botswana, Namibia and South Africa for the Kalahari-Namib Project

Component	Planned result	IUCN/KNP reported result	Findings
			<p>Ad 6: Identify DLDD threats and solutions that require action or policy at sub-regional or transboundary level: no reference to land tenure, does this mean that any action on this subject would not be relevant at (sub)-regional level?</p> <p>Causes of degradation are suggesting blame to communities (over-grazing, over-cultivation, deforestation), and not factors that are described in the KNP project document as <i>barriers communities face</i> (land rights or land tenure, lack of knowledge, services), FAO publications (tenure security [...] land reforms enhance investments and sustainable land use intensification⁴⁴) or other sources (e.g. the Regional Agricultural Policy (2014) that vows to eliminate barriers to investment in Agriculture: this includes land tenure issues).</p> <p>Ad 7: Linking to DLDD, biodiversity and climate change: this document refers to LDN target 15.3 only; not to SDG where land tenure is more widely referenced in SDG⁴⁵.</p> <p>So altogether this document is lacking depth, necessary for <i>change</i>; a step behind the project document when it comes to identifying and building on issues, and learning from issues identified at grassroots.</p> <p>The recommendations</p> <ol style="list-style-type: none"> 1. Advocacy, awareness raising and education: needs regional communication strategy (done, 2018) 2. Policy framework in all relevant SADC sectors, transboundary, and assistance to member states for this 3. Science, technology and knowledge: <i>Note from the consultant: it is not clear on what basis 5 items were selected, why would an early warning system be more priority and value-for-money than something not on this list? Should the list not be topped by solutions that address challenges identified by land users? Why appropriate technology, and alternative energy sources, and not start with support for good practices in core activities i.e. livestock and rangeland management, that have most impact on land?</i> 4. Capacity building: a practical DLDD toolkit, but no information on what should be in it.⁴⁶ 5. Financing and technology transfer. <p>To summarise, the SRAP could be improved in the area of describing the situation (incl. stakeholder) analysis, and the way areas of technical <i>focus</i> are identified, and related capacity gaps. One critical area not covered in SADC policy and also not in the SRAP is the area of land tenure, -governance and -</p>

⁴⁴ <https://www.sciencedirect.com/science/article/pii/S0306919214000451> the quote is 1 of 5 highlights, the top of the paper

⁴⁵ <https://www.wri.org/news/land-matters-how-securing-community-land-rights-can-slow-climate-change-and-accelerate> Of the 17 Sustainable Development Goals (SDGs) endorsed by the world's governments, five directly address the role of land in securing humanity's future, and three specifically call for **securing community land rights**. Sustainable land use, by providing a cost-effective way to sequester carbon dioxide, also offers huge climate benefits. It is no exaggeration that **achieving both SDG 13 on climate action and national commitments under the Paris Agreement of the UN Framework Convention on Climate Change depends in large part on better land stewardship**.

⁴⁶ The ProDoc identifies the risk of over-reliance on technology-based solutions instead of building local management and governance capacity,

Component	Planned result	IUCN/KNP reported result	Findings
			<p>markets. The closest to this is the agricultural policy, suggesting a focus on smallholders, and 'remove barriers to agricultural investment'.</p> <p>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.</p> <p>3. Ecosystem Services Assessment</p> <p>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 <i>ecological</i> 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).</p> <p>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 land market.</p> <p>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).</p> <p>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.</p> <p>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.</p> <p>4. Total economic valuation and market chain analysis</p> <p>I would expect that core markets are checked⁴⁷ (and any exclusion justified). In this context one would expect at least these core markets: commodities, land, financial markets (carbon credit!) and</p>

⁴⁷ Used by a wide variety of experts from (among others) FAO, IFAD and experts for gender and business development, and bilateral donors, the M4P approach checks core markets <https://www.enterprise-development.org/wp-content/uploads/m4pguide2015.pdf>. In 2008 already, FAO <http://www.fao.org/3/a-aj332e.pdf> highlighted the *critical* importance of *accelerated provision of secure land tenure arrangements* to enhance households and communities' capacities to adapt to climate change impacts on livelihoods and food security. Many studies follow: "Weak land tenure and resource governance systems are also hindering many climate change mitigation efforts." <https://landportal.org/blog-post/2016/11/toward-carbon-neutral-future-why-land-and-resource-rights-matter>

Component	Planned result	IUCN/KNP reported result	Findings
			<p>(agricultural, water) services. The study (cha. 3) explicitly excludes one key driver for rangeland degradation (well covered in the project document and arising from CEAP): land tenure insecurity. "Rangeland products and services" do not include land? Land markets not covered in 4.3. It includes the observation that Khuis farm needs to invest more in fencing, but not mentioned: there is barely any housing, community members live far from the farm most-times.</p> <p>In Botswana the land policy is in favour of those who establish boreholes (around which 'degradation continues unabated'. That is a land policy issue - and land markets. Carbon credit potential is mentioned ('> US\$ 1,000,000/year could be generated for the Boravast Trust areas'): 'if all administrative, accounting and monitoring issues are clarified, clients are found and transaction costs overcome...'. The 'administrative (issue)' is not explained. Table 4.2 covers livestock and carbon storage markets.</p> <p>Many opportunities explored, and for Botswana on p.17 some challenges '(e.g. lack of capacity, leadership, entrepreneurship skills, political conflicts)', but nothing on land tenure. Required support is in terms of infrastructure and capacity building (no subjects specified). Will this address political conflicts?</p> <p>In 5.2 CBNRM is linked to international carbon financing, and national carbon tax legislation - not land tenure. How can carbon storage financing be operational for communities for which land tenure is insecure? The concern here is that schemes tend to reward land owners (easier, they are registered), not land users. So governments can be paid carbon credits for greening (or reversing degradation) on public land, and as long as communities do not own the land ('commonage') governments may also reap for commonage land.</p> <p>Recommendations: 1. CBNRM to be revived; 2. mobilising int. carbon financing mechanisms, Kalahari Trust Fund; 3. review hunting ban; 4. 'Working for Ecosystems' programs for riverbeds and communal land; 5. include Kalahari rangeland in provisions of carbon tax legislation; 6. M&E, mapping infrastructure, land-use of rangeland for all study sites, esp. Botswana and Mier; 7. sustainable nature-based business opportunities.</p> <p>Recommendations do not address market / value chain challenges related to land markets and land tenure insecurity, or possible negative impact of carbon financing for those with insecure land tenure.</p> <p>5. The SRAP communication strategy and resource mobilisation plan</p> <p>The project supported SADC to develop a communication strategy for its SRAP; some questions were raised about SADC's ownership of this strategy; resources for implementation are yet to be mobilised. The website 'landmatters' is for sale.</p> <p>Botswana:</p> <p>Some change at policy level: - Botswana Forest and Range Resources Bill: clause on invasive spp. control.</p>

Component	Planned result	IUCN/KNP reported result	Findings
			<p>- National strategy on Prosopis management Workshop Report - Botswana Prosopis Strategy 06 Nov 2018.pdf</p>
	<p>3.3 Policy makers of the 3 countries establish a multi-functional ('sub-regional') Transboundary MNRB Management Committee that coordinates and shares information on on-going initiatives, practices</p>	<ul style="list-style-type: none"> • NPSC meetings • national consultative workshops⁴⁸ • collaborating in ORASECOM (Botswana, Lesotho, Namibia & South Africa platform for transboundary cooperation) • sharing good practices⁴⁹ <p>National and transboundary management and control of invasive Prosopis currently on-going through project facilitated knowledge exchange, dialogue and experience sharing</p>	<p>No transboundary management body was established. NA: Exchange visits were planned but not implemented; not much learned from regional sharing because each country had a different focus.</p>

⁴⁸ Report: Building community resilience in the Kalahari Namib Landscape, BORAVAST (Botswana); Aminuis and Corridor Post 13 (Namibia); National workshop to review and finalize the Botswana national strategy on the management and control of Prosopis, Travelodge, Gaborone, Botswana, 6 November 2018

⁴⁹ Case study 2, Botswana Government makes significant headway in the management and control of Sexanana (Prosopis)

National Action Programmes (NAP) to combat desertification and drought

152. **Accessibility:** the NAP are hard to find online; the UNCCD provides the very old versions only (resp. 1994, 2006 and 2004 for Namibia, Botswana, S. Africa). The NAP obtained include two finalised versions from Namibia and Botswana (resp. for 2014-2024, and 2018) and a draft from South Africa (2017-2027).
153. **Land user's perspective:** This is the perspective taken when assessing the National Action Plans (NAP). The main land users - and those occupying the more degraded land - are (rather more marginalised) local communities, and - as is demonstrated in the ToC - plans are to eventually impact those communities: the main managers of the land. So the key question is: what do the NAP vie to change at that level? More precisely, how do the plans propose to address the main barriers to SLM (as in the assessment of Component 1) that communities face:
1. challenges related to land (NR) access: tenure rights and governance
 2. insufficient (sharing of) knowledge and skills for adoption of more sustainable land use practices
 3. absence of alternate livelihood opportunities

Table 12: Assessment of the National Action Programmes

Issues to look for in the NAP	Namibia	Botswana	South Africa (draft)
1. challenges related to land (NR) access, -tenure rights & -governance	2.3.4 Suggests ceding to communities' control over communal land. It requires speedier land registration and capacity building for CLB, etc. etc. Core plan, outcome 2, 4: 'strengthening local governance structures: communal land boards, Community Forestry Committees, Range Management Committees	0 In the intro (1.3) it is announced that the new framework entails 'achieving responsible land tenure [... etc. ...]' but then the subject is not addressed , or - contrary, land is taken away from communities' control by creation of:	0 Spatial planning and Land Use Act is relevant for Municipal Planning Tribunals, facilitation <i>and enforcement</i> of land use, etc. Policies, programmes and initiatives: none on land <i>tenure</i> .
2. insufficient (sharing of) knowledge and skills for adoption of more sustainable land use practices	Several good practices, lessons learned from projects	- protected areas - compost - fuelwood	Outcome 3: Research, for technical skills a.o.
3. absence of alternate livelihood opportunities	Several good practices, lessons learned from projects	- livestock marketing - private sector	Only in outcome 7, not about alternative livelihood opportunity
Other	SLM barriers incl. NRM and technology <i>as well as</i> Land reform, -tenure & resettlement.	- Decentralisation of land admin. & -management to local authorities (p.24)	

	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 <i>communities' (or community members')</i> 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 Total Economic Valuation and Market Chain Analysis for the Botswana and South Africa project sites was undertaken to inform project interventions. The following pilot projects supported by relevant training programmes have been established and are currently being implemented: Botswana – Training on Project cycle, Project Financial Management, CBNRM Policy and enterprises development through joint ventures with Private sector; training and establishment of horticulture gardens producing vegetables in Rappelspan and Struizendam; Water harvesting ferro-cement tank in Rappelspan; Poultry production project in	Namibia: - (government's increasing interest in supporting farmers to engage in vegetable farming is demonstrated by the fact that they prepare to complete the borehole (Corridor Post 13) and vegetable farming projects - it is part of a programme they already had, says MET, however, MET is not the ministry of department that would normally do water and veg. gardening?) Botswana: - South Africa: -

Component	Planned result	IUCN/KNP reported result	Findings
		Vaalhoek, Multi-use Office in Bokspits, Equipment for Prosopis pod grinding project procured. South Africa - Training undertaken for Khuis and Surprise Farmers on Nguni stud breeding; firefighting, first aid, bush encroachment and Prosopis control, predator control.	
	4.2 Service providers strengthening and scaling up services (TA provided by private or public services) for land users' SLM-related livelihoods projects	Income generating projects currently being piloted through direct financing from project. 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 services.	not evident
	4.3 Community members (especially women) effectively benefit from their SLM-related livelihoods projects	Monitoring of income generating pilot projects on-going. Income currently being generated from vegetable gardens and poultry project in Botswana.	Namibia: - Botswana: interest in gardening is raised; as unintended effect, 5 households in Vaalhoek now have backyard veg. garden South Africa: -

Component	Planned result	IUCN/KNP reported result	Findings
Outputs Component 4	4.1 Service providers have increased their capacity to support community SLM-related sustainable livelihood projects, and support 6 viable and sustainable community enterprises based on INRM/SLM	<ul style="list-style-type: none"> Livelihood communication materials⁵⁰ Botswana Government officials exchange visit to Dune Foods Milling to learn about Prosopis income generating opportunities (before 2016) Studies: Total Economic Valuation, Market Chain Analysis for Botswana, South Africa sites <p>Botswana</p>	<p>Is there a functioning micro-grant/ revolving funds for SLM-related livelihood projects?</p> <p>Ministerial approval for the land transaction required for the sheep farm is still pending.</p> <p>Namibia:</p> <p>Aminuis:</p> <ul style="list-style-type: none"> veg. garden functional, 2018 harvest (onion, spinach, beans, beetroot, carrot, maize; tomato had a pest problem) but the netting is damaged by animals and this has not yet been resolved (local branches-fence would do?); there was no training, no building to store equipment; producers organised (200 annual fee) and registered at MoTrade

⁵⁰ Improved livelihoods flyer, Brief 1 - Prosopis; report: UNCCD Conference of Parties (COP) 11 side event: Prosopis control

Component	Planned result	IUCN/KNP reported result	Findings
		<ul style="list-style-type: none"> • Local Enterprise Authority (LEA) trained 60 on business / fin. management, 4 on computer literacy • Botswana Poultry Association committed, workshop in Tshabong • 400 ha land-leasing for Karakul sheep farm • multi-use office in Bokspits BORAVAST office? • 3-day ToT on spinning & weaving (6 participants) <p>Namibia:</p> <ul style="list-style-type: none"> • borehole drilling in each pilot project (Aminuis, Corridor Post), monitoring • borehole with solar pump • poultry structures, inputs in each project site • horticulture: 2 shade nets, -structures, drip irrigation <p>Botswana:</p> <ul style="list-style-type: none"> • piloting rainwater harvesting technology to augment water supply in Rappelspan • horticulture/vegetable gardens (for school feeding) piloting CA; 76 trained (Rappelspan, Struizendam), 2 net structures, drip irrigation, seed; horticulture projects in each project site • 1 above ground ferro-cement tank (Rappelspan) • poultry (Vaalhoek, Kgalagadi district): 3 structures, 60 trained (production, coop. management, to benefit 420 learners from 4 schools) • school feeding programme by who? is not poultry? 	<ul style="list-style-type: none"> • poultry house complete with money advanced from 2 women (for cement, stones, labour): they hope to be refunded; • poultry training done (20f, 10m) but chicks not delivered • limestone brick making not implemented <p>Corridor Post 13: -.</p> <p>Botswana: BORAVAST four villages joined into one big CEAP session, making these plans:</p> <ol style="list-style-type: none"> 1. gardens in Struisendam, Rappelspan 2. watertank for irrigation in Rappelspan school 3. poultry in Vaalhoek 4. fodder fr Prosopis pods in Bokspits (for rotational grazing) 5. charcoal from Prosopis in Bokspits 6. maintenance of BORAVAST Trust office in Bokspits 7. Karakul sheep breeding (to change herd composition) Boravast 8. campsite near Kalahari transport hub 9. financial management, computer studies. <p>1. Garden in Rappelspan school: it produced for 1 season. But now: water shortage, standpipes are now dry. Vaalhoek learned a lot from the training, as unintended output, 5 households now have backyard veg. garden</p> <p>Struisendam garden constructed, shade net, drip system, it failed because of squirrels damaging the pipes, then the watering was wasting. The water was fr borehole w diesel-engine, the running cost too high compared to the benefits of a garden. There was also lack of voluntarism in the community, only a few were doing the garden. With more people the squirrel problem would have been conquered. The council is going to provide solar power to the borehole. There was not enough training, there was no backyard garden here. Bokspits given tanks to harvest rainwater, for backyard gardens. Many projects failed because of lack of rainwater and other options.</p> <p>Training needed.</p> <p>2. Tank: the guy hired to build the dam, he was told by IUCN to test the dam, he did not test. They 'fixed' the dam but it is still leaking. There was supposed to be a certain paint inside the tank - not done. The water department promised to check quality of this tank but they did not.</p>

Component	Planned result	IUCN/KNP reported result	Findings
		<ul style="list-style-type: none"> • approval of 2x2km grazing camp adjacent to the transfrontier park (subject to payment of Pula 6000) • training on CBNRM policy, enterprise development • training on project cycle, and project financial management who (if not LEA)? • equipment for Prosopis firewood processing • equipment for Prosopis pod grinding (1 grinder), 6 people trained, pods collected in 4 villages (with BUA), transformed for livestock feed • training on ecotourism (by DET) • support for an eco-tourism venture in communal land (adjacent to the Kgalagadi Transfrontier Park) • BORAVAST Prosopis control strategy and Operational Plan <p>South Africa (mainly on rangeland management):</p> <p><i>Surprise Farm:</i></p> <ul style="list-style-type: none"> • fencing infrastructure to control livestock movement • renovations of reservoirs and drinking troughs. • 2556 ha cleared of invasive spp., creating jobs • borehole maintenance <p><i>Khuis farm:</i></p> <ul style="list-style-type: none"> • 1950 ha cleared of invasive spp., creating jobs <p>Nguni stud breeding where?</p>	<p>3. Poultry was 100% it worked and gave profit, she sold 3 or 4 times. But Council health department asked it to be outside the village or build slaughter slabs. But there, no electricity, water, it is far, theft etc. so we have to stop the project until electricity - but nobody promised to do this. 15 community members are too many, that cannot work. Hilda: we were not supposed to slaughter at the back of our house. And people complain about chicken smell.</p> <p>It was expanded to Rappelspan, Bokspits, and Struisendam, with structures there, chicks not there (the feeds were bought 70 bags, expired already on delivery - it was Ndlovu). Anyway, the health department has issues with all 4 locations for chicken.</p> <p><i>When in meeting in Gaborone, the Namibians 'wanted to fight' because they had less than us. (?)</i></p> <p>6. Maintenance is done fairly well but toilets not well connected to septic tank. Procurement was not local, could have been done locally.</p> <p>9. We have computers there, photocopy machine. VDC were trained, we use them for data collection for Uni of Botswana.</p> <p>8. Campsite: Government (incl. District Commissioner) since 2014 did not respond (in spite of follow-ups) and only 2 weeks ago a letter came to prepare the permission to use the campsite (to submit to land board in Tsabong). So nothing on the ground, except the ablution block. IF it works, people from 4 villages have to work in it. We would lease it and see how it's done, while our people would have work. Report of FY 13 (June 2013) already notes that camping equipment is purchased. Land admin. delays in Botswana take many years to get done.</p> <p>South Africa - No livelihood activities planned.</p>

Rating for Effectiveness: Availability of Outputs: 2 (Unsatisfactory); Achievement of Outcomes: 2 (Unsatisfactory)

ii. Likelihood of impact

- 155. In the nearer future the likelihood of impact on the MNRB ecosystem is small, due to various reasons including weaknesses in the project design (see 5.2) and project management, stakeholder participation (PSC, country ownership and driven-ness) (see 5.5). The possibility of negative effects should be considered, where communities have invested in livelihood projects that are yet to be completed.
- 156. Considering *differentiated groups among the 'group' local communities*, taking from the total ecosystem value study, the project rightly targets the *more marginalised communities* whose members predominantly rely on subsistence livestock rearing; these communities' situation is challenging, so that they cannot draw as much economic benefit from the ecosystem services as other communities or individual farmers.
- 157. The project document identifies one main driver for change: the National Action Plan(s). Once available, these plans could be assessed in terms of targeting and more effectively supporting more marginalised communities.

Table 14: Likelihood of impact

Result level	Reconstructed results	IUCN/KNP reported result (from report FY18)	Findings
Development Objective <i>(in the CEO endorsement this result is moved to the level of intermediate result)</i>			
Environmental Objective	Restored and maintained integrity and functioning of the MNRB ecosystem (to which all stakeholders work effectively by implementing, supporting and upscaling SLM) <i>Indicator: Increased area (up to 800,000 ha) under improved management of land and biodiversity</i>	Barriers to adoption of good practices (SWC/SLM/INRM) have been identified in the National Baseline studies, CEAPs and local, national and regional consultative forums. Efforts to overcome these barriers and lessons learned are used to inform the project interventions. Areas that have been cleared of invasive Prosopis are beginning to show improvements in grass cover in South Africa and Botswana and monitoring will be strengthened. Based on initial promising results, the area to be cleared in South Africa has been increased by 500 ha. In addition to areas targeted by implementation of general SLM initiatives and the clearance of invasive species, the undertaking of an Ecosystem Mapping Assessment will provide the necessary scientific information to inform decision-making around the conservation of key ecosystems and their associated ecosystem services in the Kalahari-Namib ecosystem.	Namibia - 0 ha Botswana - area on roadside near Khawa South Africa - 2556 ha in Surprise Farm; 1950 ha in Khuis farm
Inter-mediate States - IS	1. Policy makers in 3 countries fully integrated SLM into	The three countries have produced and have/are updating their NAP which promote the integration of SLM in development plans through other initiatives. IUCN participated in the Steering Committee of the South Africa NAP review process. IUCN is now supporting the finalization of Botswana's National Prosopis Management	Updated NAP not found online. The SRAP may eventually have some impact on NAP. So far it does not look to promote change at community

Result level	Reconstructed results	IUCN/KNP reported result (from report FY18)	Findings
	short- & medium-term development plans	<p>Strategy and is also supporting the engagement of sub regional and Africa wide actors towards developing an Action Plan for Eradication, Control and Sustainable Management of Invasive Species.</p> <p>Two annual regional forums (2012, 2013) [...] updating SADC SRAP provides an opportunity to institutionalise the regional forum at SADC level [...] focus on Prosopis.</p> <p>Two regional UNCCD Focal Point Meetings (2013, 2015) to prepare COP 11, review SRAP.</p> <p>Support to prepare UNCCD COP 13 (China, 2017).</p> <p>Support to prepare SRAP Baseline and Investment Framework and Communication and Partnership Mobilization Strategy.</p>	<p>level in terms of empowerment of communities.</p> <p>The SRAP result can be attributed to KNP as it put in time and money; content wise, it is not clear in how far KNP also had a strategic input (e.g. by mobilising and supporting communities to prepare their SRAP policy positions).</p>
	<p>2. Participating community members i.e. women and men (and women to benefit most in terms of numbers and income) see increased SLM/biodiversity-related incomes (+10-20%) as result of increased eco-system service value (for productivity, mainly livestock)</p>	<p>Communities implementing the horticulture and poultry pilot projects in Botswana have started earning income which is currently being monitored.</p> <p>Gender is considered in the selection of pilot project participants/beneficiaries including women and youth.</p>	<p>SLM/biodiversity-related income: Farmers in South Africa (Surprise) may see income rising from better rangeland management (rotational grazing)</p> <p>Farmers in South Africa (Khuis and Surprise) may see income rise due to better practices of controlling invasive spp. and bushfire, and animal health.</p> <p>In both cases the sustainability of this income rise is uncertain, due to critical land tenure challenges.</p> <p>Income that is not clearly SLM/biodiversity-related:</p> <ul style="list-style-type: none"> • Some women in Namibia (Aminuis) and Botswana (Vaalhoek) did have a benefit from (backyard) vegetable garden; no data on income from this.⁵¹ • Some women in Botswana (Vaalhoek) made profit from

⁵¹ Vegetable garden is not much related to SLM or local biodiversity, and without a groundwater management plan it remains an assumption that the Aminuis borehole raises ecosystem service value sustainably.

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 – considering the budget analysis presented in 3.6 – seem 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).
 - Reporting requirements did not require that budgets be kept and reported per country, and information on this was not clear to country partners; as a result, they did not know how much was available and could therefore not adequately plan and mobilise a matching input, e.g. human resources.
 - Simplifying from the table in 3.6, below Table 15 presents the expenditure per component, only for the GEF part. NB: co-funding information is incomplete and, therefore, could not be included.

Table 15: Expenditure per Component (in USD) – GEF part only

Component	Budget from ProDoc (\$158)	Final expenditure ⁵³	Ratio actual/ planned (%)
1	273,549	302,875	111
2	812,549	606,448	75
3	413,048	532,890	129
4	345,549	128,353	37
5	130,000	132,111	102
6	200,304	507,281	253
Total	2,174,999	2,209,959	

160. What we see in the table is the extent to which the budget has been reduced for components 2 and 4, and it should be highlighted that the large overspending on project management (Component 6) is well out of the ordinary. This goes some way to answer the question as to who (eventually) paid for the 'no-cost' extensions: the pilot communities did not benefit as much as they could have.
161. Procurement was sometimes done locally, but mostly centralised. There were considerable delays in procurement and decisions on project activities often depended on confirmation that funding would be available. These issues will be discussed in more detail in 5.6. The efforts to mobilise human resources for local project coordination met with some difficulties, especially in Namibia and Botswana. In Namibia funds were devolved to MET, but communication and trust issues arose, and IUCN replaced a local hired officer with its own consultant (from South Africa). It was reported that IUCN owes dues to two local hired

⁵² IUCN Audit Provision (25 Feb 2011).pdf

⁵³ Final report June 2019

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. UNEP and IUCN have not had a decisive influence on this situation, have not had 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 approaches.
171. The Theory of Change (chapter 4) identifies three key assumptions that are **risks, central and critical for the project to address:**
 - i. enabling land reform and -administration, for greater tenure security (closing a tenure gap, making land markets work for the more marginalised communities)
 - ii. more cross-sectoral collaboration between service providers, harmonising services
 - iii. decision makers' priorities, so that they keep SLM high on the agenda.
172. For each of these three issues articulate approaches could have been formulated, ensuring more transformational outputs, for real change, towards community empowerment, accessible and effective pro-SLM service delivery, and the rise of SLM policy champions.
173. The example of Khuis farm is a case in point: incomplete resettlement is reducing the communities' possibilities to resolving water issues, to improve livestock management and to invest. It critical for the economic sustainability of the farm

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 structural engagement of NGOs/private sector.⁵⁵
179. Information from the PSC 'down' to national PSCs was very limited, even though two representatives from each country sat on the 'regional' PSC, and a 2013 PSC meeting recommends that outcomes from its meetings feed into national PSCs.

⁵⁴ The IUCN letter of 20 March 2015¹ states that the last PSC meeting was held in 2014. The IUCN letter of 20 March 2015¹ states that the last PSC meeting was held in 2014. It proposes a review meeting in April 2015, and 1-year extension from 1 April 2015 to 30 March 2016.

⁵⁵ BHP Billiton works with local communities, funding their projects and there may have been NGOs active on land tenure issues?

Participants all three National PSC reported feeling insufficiently informed on results from PSC meetings.

180. In the 2012 'regional' PSC meeting the focus for a regional baseline study was agreed: i) water scarcity, ii) access to markets, iii) governments resources for ecosystem management, iv) and v) transboundary management, and vi) M&E. And it recommended that the study look at regional organisations (SADC, ORASECOM and others) relevant for SLM.
181. With the available information, it cannot be explained why an adequate revision of the results framework (recommended by UNEP in the PSC in 2013) never took place.
182. In the 2012 PSC it was agreed that the MoU with countries should have an annex with the countries' annual action plan and budget. In the end only an MoU was drawn up with Namibia; this consultant did not see any country action plans with budgets, and it is understood that budgets (and -changes) were mostly centralised in IUCN management; if country allocations existed (as IUCN advised), the implementers were not aware of this.
183. There is no documentation on the budget revision approval process; it appears that the PSC did not have a decisive role in this; however, according to IUCN 'UNEP allowed budget revisions, in a 'consultative process'.
184. National PSCs focussed on implementation on the ground (Components 2 and 4) and difficulties arising at that level.

Rating for Project management and supervision, steering: 2 (Unsatisfactory)

v. Stakeholder participation and -cooperation

185. Previous sections cover the participation of implementing stakeholders (partners) in field coordination and budgeting, and in project steering is already covered. This section covers i) community participation, and ii) country ownership and driven-ness.

Community participation

186. **Community participation** through the Community Environmental Action Planning (CEAP) constitutes, in effect, the lowest level of planning for the project. But there was no system to systematically monitor progress against these plans. The project response in some communities deviated from the communities' priorities.
187. Nature and quality of engagement with stakeholder groups and the project team:
 - engagement with communities was variable, targeting of more marginalised communities was not matched with an explicit approach for empowerment as proposed in the project document⁵⁶
 - engagement with government at national level is mostly limited to one implementing partner per country (two in South Africa)

⁵⁶ The intervention strategy (§90) proposes "work with local institutions (as appropriate) to build capacity for participatory development and community empowerment and to institutionalize the necessary reforms for process-oriented development."

- 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 driven-ness

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** – In 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** – the 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 could have helped efficiency:
- the SRAP (2015) could have benefited from key studies, like the Total Economic Valuation and Market Chain Analysis (2015) and the Ecosystem Services Assessment (2017)
 - for more complicated, innovative and expensive livelihood projects, e.g. sheep breeding, Prosopis pods and –wood processing, if these had preceded by proper business planning, there would not have been as much costly 'unforeseen' eventualities, with corresponding delays and failures
 - more generally it appears that procurement preceded preparations, so there were sheep procured which could not be delivered because there was no kraal, there were chicks procured (across the border, long distance from South Africa) but the poultry houses are not yet complete, and there is machinery for processing but no plan on how to obtain the raw material, etc.
198. Building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects – It could not be established in this evaluation that opportunities to build on pre-existing institutions were overlooked. For community level work this is automatically done when implementation and ownership by local government is maximised, as in South Africa, where implementation was consistently through local government: surely good for efficiency, compared to various and changing modalities in Namibia and Botswana.
199. **Procurement is an area where efficiency could have been pursued.** The Rapid Review Report⁵⁸ and accounts from several resource persons (from IUCN, implementing partners and communities) have indicated that there were important delays in the delivery of funds for Components 2 and 4. Most procurement was centralised, with delays stemming from i) crossing borders, especially when crossing borders with live poultry, in times of outbreaks;⁵⁹ ii) far-away towns, e.g. a water tank for Rappelspan procured from Francistown, not where the local water department would procure it - and the tank was not timely checked for leaks, then failed as it leaked and the contractor was too far away; iii) the Boravast vegetable gardening structure, and poultry materials, were delivered from Tsabong, while Boravast people allege they could have procured these more efficiently closer by; iv) Boravast office rehabilitation could also have been done by a local contractor rather than a consultant from Zimbabwe; v) in Surprise Farm it was noted that three different contractors provided fencing at different times in

⁵⁸ Rapid review, section 4.4.1: Some delays in Botswana and Namibia were a result of late disbursement by IUCN, and border crossing. In Namibia there were problems with financial reporting, causing delays.

⁵⁹ Rapid review, section 4.4.4: most procurement was centralised, in South Africa and Botswana, which was cumbersome (to cross borders). Namibia and Botswana preferred procurement in their respective countries.

the project implementation; the last one from afar (Kimberley) and performed worst.

200. Environmental footprint: Procuring from afar generally increases the environmental footprint where it implies longer-distance transport of goods, technicians, supervisors. Also this terminal evaluation (inadvertently⁶⁰) hired its consultant from afar (Europe) and making the long journey twice raised the carbon footprint - but this was unforeseen (scheduling issues related to elections in Namibia and Botswana).

Rating for Efficiency: 2 (Unsatisfactory)

5.7 Monitoring and reporting

i. Monitoring design and budgeting

201. The project document specifies, in Table 6, quarterly and annual progress reporting on 'targets, outputs and outcomes as specified in the annual work plans'. The CEO endorsement suggests, in its Table G1, that reporting be twice yearly, in this Monitoring and Evaluation Plan:

Table 16: Availability of outputs as per M&E plan in the CEO endorsement (GEF budget only)

Type of M&E activity	Responsible Parties	Time-frame (4 years)	Cost (USD)
Inception workshop	Project Manager	Within 2 months of project approval	10,000
Project inception report	Project Manager, IUCN and UNEP/DGEF TM	Within first 3 months	0
Project implementation Review, PIR	Project Manager with input from project partners	Yearly	0
Project Progress Reports to UNEP	Project Manager and IUCN	Half-yearly (as at 30 June & 31 Dec.)	0
Half-yearly progress reports to GEF	Project Manager with input from partners to TM in UNEP/DGEF	Half-yearly (as at 30 June & 31 Dec.)	0
Meetings of the PSC	Project Manager	3, Annually	10,000
Reports of PSC meetings	SLM Service Network (coordinator) with partner inputs	Annually	0
Monitoring visits (Technical Support Services)	Project Manager, IUCN, plus UNEP/DGEF TM	As appropriate	10,000
Field Surveys (for baseline info, refine indicator, etc.)	Project Manager with input from partners		20,000
Independent Mid-Term Review / Evaluation	UNEP/DGEF Task Manager	End of Project Year-2	40,000
Independent final Evaluation	UNEP/DGEF Task Manager	3 months prior to the 'terminal' review meeting	40,000
Project terminal report	Project Manager, IUCN, final clearance and processing by UNEP/DGEF TM	Within 60 days of project completion (PY-4)	0
Total			130,000

⁶⁰ In UNEP records this consultant was still based in Nairobi, although she had moved to the Netherlands.

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 evaluated at the end of a training event. The Prime Minister once visited the farms. Apart from that occasion (presumably with IUCN present) no other visits were made.
206. The independent Mid-Term Review was not carried out in 2013; it is not clear why UNEP allowed this. Instead, IUCN carried out a Rapid Review, completed in April 2017.
207. The Rapid Review (by IUCN), was not conducted in a transparent manner; the Ministries felt ignored as they were not aware of the visit for the review (going straight to the communities). Following this, they were reluctant to comment on the draft.
208. Many rapid review recommendations were not implemented, e.g. production and livelihood data collection, ecosystem mapping, although there was some sharing of best practices in the region on Prosopis control.

Rating for Monitoring of Project Implementation: 2 (Unsatisfactory)

iii. Project reporting

209. Flaws in the Project Document results framework were highlighted by the UNEP Task Manager of the time, in the PSC of October 2013; he advised that repeated outputs in the logframe be aggregated in reporting; this was to be done by IUCN after the Mid-Term Review. However, as there never was a review of the results framework, reporting continued to be against the original framework.
210. Quality of the work planning: the project workplan in 2017 (filenames: [Project Workplan_KNP 2017.pdf](#) and [Project Workplan_KNP 2017.xlsx](#)) does not refer to

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)
 - Ecosystem mapping (C1)
 - SRAP baseline and investment framework (C3)
 - SADC SRAP communication and partnership mobilisation strategy (C1,3)
 - Prosopis Regional Policy Forum / Dialogue (C2)
 - Pilot projects in Namibia and Botswana (C2)
 - South Africa bush control (C2)
 - Action plan for eradication, control and sustainable management of invasive species (C2).
211. The project annual reporting (not half-yearly) produced extremely lengthy reports, some more than 80 pages, making it difficult and time-consuming to access information. It is (repeated) in the project extension SSFA that quarterly expenditure reporting and half-yearly progress reporting and a co-finance report are required.
212. The reporting is generally inconsistent in its use of results terminology (e.g. reporting activities as outcomes), in its reporting of results (starting FY14, outputs are reported as just '%', some annual reports are missing, etc.), some content is simply repeated, and some of the reporting is vague or not on subject, for example:
- In the FY12 report (60 pages), there is a lot of reporting labelled as *outcomes*; much of which is really activities, e.g. in section 3.1, against outcome 1.2 - describing an activity (*generation and dissemination of targeted knowledge and establishment of strengthening of monitoring and evaluations systems*) - "work has started on the development of a Kalahari-Namib website". We now know that that website does not (anymore) exist. The report could have been much shorter.
 - In the FY13 report (82 pages!), in section 3.1, against outcome 2.1 about community participatory planning for INRM/SLM, are reported activities e.g. project sites have been identified, and we read again about baseline studies.
 - In the FY14 report (82 pages!), in section 3.1, against outcome 4.2, enhanced access to appropriate services for SLM scale-up, presents an activity: a consultant was identified for a market analysis.
 - The FY15 report is not available (the project was awaiting extension approval).
 - In the FY16 report, in section 3.1, outcome 2.1 about community participatory planning for INRM/SLM, we read that activities from CEAP are 'underway' in all 3 countries: institutional strengthening, management and control of bush encroachment and invasive Prosopis, integrated rangeland management and piloting of alternative livelihood options such as horticulture, poultry production and eco-tourism.
 - The FY17 report presents in section 3.1, outcome 3.1, 'Enhanced understanding and decision making on SLM scaled up by policy makers, communities and

- 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:

<p>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.</p>	<p>Indicator: A Multi-country forum providing appropriate services for SLM scale up</p>	<p>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</p>
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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:

Key Findings

- The project supported communities, local and national governments to implement sustainable land management in Botswana, Namibia and South Africa
- Baseline assessments were carried out successfully in each country. The baselines were detailed and informative but they needed to be synthesised.
- A communication strategy and implementation plan for Kalahari-Namib Ecosystem was produced. The strategy was largely implemented as evidenced by tools that were produced and used.
- The project identified appropriate SLM strategies for further out-scaling and these will be synthesized and shared across the three countries.
- South Africa has adequate policies and laws governing the use of chemicals to control invasive species and this should be shared in the regional baseline report. Their experience will be shared with other countries.
- The KNP supported SADC Member States to enhance their engagement with the UNCCD at the regional level.
- The project established capacity to implement livelihood options and land management though there was limited time to implement these in Namibia and Botswana.

217. The first objective, the first part, is an activity (support...) and only the end of the phrase states the objective: improved local livelihoods. The report then refers to meeting the objective in terms of NAPs, and convening regional meetings. On livelihoods, no attainment could be reported 'because of delays'.
218. As for the second objective, what is attained is some visible results of control of invasive species in South Africa.
219. On the communication strategy: a 'communication strategy and implementation plan for Kalahari-Namib *Ecosystem* was produced [...] for Jan. 2012 - March 2015'; this strategy was not; KNP did not produce its own communication strategy, but there is the Communication and Partnership Mobilisation Strategy (2018 - 2025) for the SADC SRAP, that KNP apparently contributed to. The Rapid Review goes on to report: 'the strategy was largely implemented as evidenced by tools that were produced and used.' This must be a reference to KNP deliverables (communication products are certainly there), not something driven by SADC. The SADC strategy does not make clear where, and by whom, a website has to be hosted and maintained: is this SADC responsibility, or for national partners?.
220. **The final report** gives the project output status a 99% score. In the March closing meeting it was asked that the terminal report capture 'lessons in various COP and UNCCD meetings [...] in corresponding outcome achievements'. In the final report the section on lessons is very vague. For example, Component 2: it heralds the lesson-sharing in transboundary collaboration, but not clear how this benefit the communities.

Rating for Project Reporting: 2 (Unsatisfactory)

5.8 Sustainability

221. As there is not much yet in terms of outcomes, this section does not theorize on sustainability based on the few outcomes we see so far, so it is a default score 1. Alternatively, in this section a discussion on whether *conditions are created for more sustainable outcomes*. The assumption is that good analysis in (baseline) studies will inform more articulated, specific approaches, that lead results towards socio-political, financial or institutional sustainability (respectively

discussed in i., ii., and iii.). These sub-categories of sustainability will be discussed but not rated as the UNEP interpretation of sustainability is not being applied.

i. Socio-political sustainability and responsiveness to Human Rights and Gender Equity

222. In this section the assumption is that the projects' approach to Human Rights and Gender will lead towards results that are sustainable socio-politically, at community level.
223. Neither the project document nor the 2012 baseline studies (all 3 countries) describe the desired community-level changes in terms of **socio-political changes**. Further comments on this disregard whether this is because the ToRs for these studies were not specifically asking for this, or whether it is a weakness in these reports – that are otherwise very resourceful. Issues of inequality and marginalisation are noted, and so are related conflict, e.g. on land use, but it generally stops there, and opportunities for empowerment (and associated sustainable change) are then missed.
224. **Land rights are the most relevant human right in this context.** The project document highlights this: "access to land and land rights, -tenure insecurity and access to basic services are some of the most socially and politically sensitive issues in the region." Land tenure insecurity (and dysfunctional land markets) affect the socio-political sustainability of the project.
225. So, there is the KNP study on land governance in Mier, and a flyer on community land rights and empowerment, but no approach to build local authorities' and service providers' capacity to address land tenure issues on the ground, and no sign that there will be platforms where communities can effectively advocate for their issues on land.
226. The Namibia baseline study (2012) does not propose any concrete action to address insecure land governance and -tenure. Asking the representative for MET, he advises that the project has no land tenure issues to address, as 'land governance is already devolved to communities' (the issue was not verified with the two communities visited as there was already enough to discuss on why (nearly) all their projects were unfinished).
227. Good practices exist in Namibia. The country adopted the UN Declaration on the Rights of Indigenous Peoples in 2007 (<https://www.iwgia.org/en/namibia/3506-iw2019-namibia>) and the situation of the San is relatively favourable; some land-related court cases have been decided in their favour. FAO (<http://www.fao.org/3/a-i5415e.pdf>) reports that in Namibia (by 2011) 13 community groups secured legal rights to own, managing 465,000 ha of woodlands. A formalisation process considers another 6.9 million ha. It marks Namibia as a country where Community Based Forestry is being institutionalised⁶¹.

⁶¹ But a May 2019 press report (with elections upcoming) gave concern: 'Namibia Landless People's Movement threaten to ask the UN to investigate the motive behind 'Operation Kalahari Desert'. Allegations of police brutality or violence, secrecy and intimidations of campaigners (source: <https://www.namibian.com.na/188599/archive-read/LPM-demands-true-motive-of-Operation-Kalahari>).

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. Interestingly, in the section about transboundary resource management (for tourism development) the report refers to a 2003 study and notes Botswana's challenges related to land tenure - and that **this is political**; and communities in the study area raised these issues too (in 2012). In 2019 it seems these challenges remain unaddressed.
232. The KNP Botswana 2012 baseline study recommends, first of all, to invest in community capacity for project implementation and strengthening local institutions. But, in a Theory of Change (table 8, second row) it suggests that 'responsible authorities' (with departmental cooperation) monitor, manage and even *enforce* stocking rates.
233. The South Africa 2012 baseline study makes it clear that land tenure issues are high on the agenda of farmers, and that the issues form a main stumbling block for implementing SLM. Key recommendations are to strengthen information exchange and collaboration between local government and farmers (*also on land rights*), and to monitor the effect of different interventions together, as a basis for better policy and practice.
234. The PSC in 2011, however, noted that UNCCD and PRAIS could address the knowledge gap on land rights and -governance, and to look into 'policies on fences', and compare practice and policies on land tenure. In the 2012 PSC a SADC representative highlights the need for stronger land rights (for community NRM) and that a SADC proposal on land reform support (for SLM, harmonising policy and legislation) was awaiting funding. But in the end, the focus for a regional baseline study did not include land tenure issues and the SRAP dwells on WRM and NRM, not tying this to land governance and -tenure.

Rating for Socio-Political Sustainability: 1 (Highly Unlikely)

ii. Financial sustainability

235. In this section the assumption is that the projects' approach to sustainable (or NRM/biodiversity based) livelihoods will lead towards results that are **financially sustainable, at community or household level**.
236. Livelihood projects supported by KNP have not fared well, and one reason is that there was no practice to facilitate that beneficiaries start with business planning; to still make some of these projects a success, the beneficiaries depend on further outside support. There is no clear approach for livelihood development that would ensure financially sustainable livelihood projects.

Rating for Financial Sustainability: 1 (Highly Unlikely)

iii. Institutional sustainability and country ownership and driven-ness

237. In this section the assumption is that the projects' capacity building of local services will lead towards results (pro-SLM services accessible to more marginalised communities) that are institutionally sustainable.
238. **There is no clear strategy towards local services capacity building**, to the contrary, in several cases the project appears to deliver to communities directly without much involvement of local service providers. Project reports do not clearly show what changes are taking place at the level of services, so there is no foundation for assessing the sustainability of any change at that level.
239. This local services sustainability should also be discussed in the National Action Plan; but current versions of these plans could not be accessed for this evaluation.
240. According to PSC members, the project should develop an exit strategy; there is not one.
241. Country ownership is also expressed in co-financing.

Rating for Institutional Sustainability: 1 (Highly Unlikely)

iv. Bio-physical sustainability

242. Prosopis control could in theory be sustainable, with minimal maintenance efforts, as part of a larger approach of changed rangeland management. With a single focus on Prosopis control and no progress on improving rangeland management, the bio-physical sustainability of Prosopis control, as well as the desirability of this control (what is its impact on degradation?) is to be questioned. There are no data to verify this.

5.9 Factors affecting performance

243. All subjects in this area have been covered in other areas of the report:
1. Preparation and readiness is discussed in 5.5, Project Management and Steering, ii.
 2. Quality of project management (IUCN) and supervision (UNEP) is discussed in 5.5, Project Management and Steering, iii. and iv. (Project Steering)

3. Stakeholder participation and -cooperation is discussed in 5.5, Project Management and Steering, v., subsection on Community participation
4. Responsiveness to Human Rights and gender equity, as *conditions* for sustainability, is discussed in 5.8, i. (Socio-political sustainability)
5. Country ownership and -driven-ness is discussed in 5.5, Project Management and Steering, v., subsection on Country ownership and -driven-ness

Rating for Factors Affecting Performance: 2 (Unsatisfactory)



Photo: Aminuis community asking which organisations are involved in the project

6 Conclusions and recommendations

6.1 Conclusions

244. In below table 17 the performance ratings are summarised.

Table 17: Summary of performance ratings

UNEP uses a six-point rating scale to assess performance: 1= Highly Unsatisfactory (HU); 2 = Unsatisfactory (U); 3 = Moderately Unsatisfactory (MU); 4 = Moderately Satisfactory (MS); 5 = Satisfactory (S) and 6 = Highly Satisfactory (HS). The criteria for Sustainability and Likelihood of Impact are labelled as 'likelihood' and Nature of External Context is rated based on a similar six-point scale labelled for 'favourability'.

Criterion	Rating
A. Strategic Relevance	MU
1. Alignment to MTS and POW and BSP (5.1 i & ii)	MU
2. Alignment to UN Environment /Donor/GEF strategic priorities and NEPAD/EAP (5.1 iii)	U
3. Relevance to regional, sub-regional and national environmental priorities	MS
4. Complementarity with existing interventions	MU
B. Quality of Project Design	MU
C. Nature of External Context	U
D. Effectiveness⁶²	U
1. Availability of outputs	U
2. Achievement of project outcomes	U
3. Likelihood of impact	U
E. Financial Management	MU
1. Completeness of project financial information	MU
2. Communication between finance and project management staff	U
F. Efficiency	U
G. Monitoring and Reporting	MU
1. Monitoring design and budgeting	MS
2. Monitoring of project implementation	U
3. Project reporting	U
H. Sustainability	HU
1. Socio-political sustainability	HU
2. Financial sustainability	HU
3. Institutional sustainability	HU
I. Factors Affecting Performance⁶³	U
1. Preparation and readiness (5.5 ii)	U
2. Quality of project management and supervision ⁶⁴ / steering (5.5 iii & iv)	U
3. Stakeholders participation and cooperation (5.5 v)	U
4. Responsiveness to human rights and gender equity (5.8 i)	U
5. Country ownership and driven-ness (5.5 v)	U
6. Communication and public awareness (5.5 vi)	U
Overall Project Rating	U

⁶² Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage, as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together.

⁶³ While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as cross-cutting issues as they relate to other criteria. Catalytic role, replication and scaling up should be discussed under effectiveness if they are a relevant part of the TOC.

⁶⁴ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment 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 provided by UN Environment, as the Implementing Agency.

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 2010-2013), to describe ecosystem values and integrate this in policy (MTS 2014-2017), 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. The project set out with ambitious goals, requiring that it address knowledge gaps on SLM at all levels, within communities, local service providers, local authorities 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-political issues (for dialogue). This was highly ambitious.
248. **The project result framework** had several logical issues: i) insufficiently showing the causal links between work on the ground, with pilot communities, and policy work; ii) it tends to present activities instead of results; iii) the risk, or challenges related to land tenure insecurity is not clearly translated into the framework.
249. As more marginalised communities are the main actors in land management, and as they are to take centre-stage, these conclusions focus on the project challenges to be addressed by the project (directly or indirectly), identified at that community level, as found in the project document and related studies. The challenges are a combination of three main barriers to SLM:
1. uncertainties on the governance of, access to, and -tenure of land, and related water resources or water services
 2. limited capacity (in terms of knowledge, and financial resources) to change land management practices and invest in more sustainable practices: investments that may be rewarding only in the longer term
 3. limited livelihood opportunities.

Policy work (component 3) would ultimately have to contribute to this.

Effectiveness and impact (5.3)

250. **Results at community level** are minimal, and only in South Africa do we really see some SLM-related outcome. In the next table the outputs (or intermediate outcomes) at community level are summarised.

Table 18: Summary of results at community level (Components 2 and 4)

	Aminuis	Boravast & Khawa	Surprise	Khuis
1. Land / water access, -tenure and -governance (Component 2)	Borehole	-	Insecure, they want to relocate	Incomplete resettlement, unresolved water challenge (dependency on piped water remains)
2. SLM practices (Component 2)	-	In Khawa, sand dune tree planting, and along the road some Prosopis control (not much a community priority)	- rotational grazing - animal health - bush fire control - first aid - invasive spp. control - predator control	- bushfire control - bush control - animal health - rodent control - water tanks
3. Livelihood opportunities (Component 4)	Veg. garden	In Vaalhoek 5 households backyard gardens	-	-
Impact and sustainability at community level	Small income from gardening for one group	Small income from gardening, for 5 households in Vaalhoek	Rotational grazing combined with various skills can have positive impact. Sustainable pending tenure security.	Bush fire and bush control may have impact. But degradation continues, water challenge remains: farm economic viability uncertain

251. **Stakeholder participation (Component 2):** community participation was facilitated in the planning stage, although community priorities were not always followed. There were no sustained efforts to *empower* communities, e.g. in the form of more permanent platforms for dialogue, where communities could have raised major issues on services' needs, -access and -quality, and on land governance and -tenure, conflicts.

252. **Communities' major issues with land tenure insecurity** were left ignored, as it was considered 'too sensitive' or 'not feasible within the project time', it lacked an approach (or consensus for it). As this was not there, the views were widely divergent. Examples include:

Adoption of SLM - All in all, the best results were found in South Africa, where more sustained, regular visits by an agricultural extension officer have gained the community some practical, SLM-related knowledge and skills. But both communities have critical land tenure challenges that remain unresolved.

253. **Livelihood-related projects (Component 4)** in the pilot communities in Botswana and Namibia nearly all failed, and often for reasons beyond the communities' control. Links to private sector supplies were not established, capital investment issues were unforeseen, land market (transaction) issues also played a critical role here. It is hard to escape the tentative conclusion that the disappointing community-level results may have affected the communities' trust in service providers.

254. **Defining livelihood activities** - in Namibia and Botswana, these have been interpreted by KNP as 'anything that can make money', rather than the

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 rural peoples. Devolving land rights ... [progress] not progressed enough yet. **REDD+ is to motivate to take tenure seriously.**

focussed on the policy work (Component 3), leaving the community-level approach to national PSCs, a task division that may have contributed to a disconnect between the policy work and pilot community work (where lessons could have been learned). If there were lessons learned from the challenges found in Components 2 and 4, these were not taken up in the SRAP.

260. There was no clear approach for capacity building of local service providers.
261. **Monitoring** was insufficient, and reports had some misleading or incorrect statements.
262. **Efficiency:** stronger project management in areas of (local) procurement, and stronger local implementation structures could have saved some time and money, while motivating local private sector service providers.
263. **Socio-economic sustainability:** for sustainability at community level, socio-political change is necessary, also understood as empowerment, requiring a **rights-based approach**. And that is lacking. Although the project document highlights the critical issue of *land* rights, the baseline studies generally do not frame this as a socio-political, empowerment issue. In the implementation in all three countries tenure issues are mostly ignored (except that the project plays advocate for specific issues when they arise as barriers to project results), and the SRAP does not cover it. **There is no approach on the issue of land rights.**
264. Gender issues are also not properly analysed (in socio-political terms) in the project document or in the baseline studies; it is not clearly understood as a cross-cutting theme: it is confined to component 4, as 'women engaging in livelihood activities'.
265. In the Annex 5 a more detailed overview of conclusions is presented.

6.2 Lessons learned

Quality of project design (5.2)

266. **The project result framework** would nowadays have been preceded by a ToC exercise, and result mapping, in which extra attention would be paid to causal links, and checking whether all important risks, where possible, are addressed inside the framework. It is useful to follow lessons from the Bali Strategic Plan: policy building from results 'on the ground' upward is better.
267. **Participatory approaches** should be called for and possibly outlined in the design:
 1. **community empowerment** - working with pilot communities, local government could try to set up a permanent platform for dialogue on SLM-related challenges, to give meaning to empowerment and what this means *specifically* for challenges that communities face (mentioned in 6.1); this would also inform the baseline studies e.g. to make a more socio-political analysis - with a project exit strategy
 2. **local services capacity building**, enhancing multi- or poly-disciplinary approaches, and engagement of private sector where possible - with a project exit strategy
 3. **livelihood-related business development** would require **business planning** by communities; and **market studies to include land markets** - the relevance of this is

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.

268. 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 dialogue on why a centralised land governance system is not matching a pro-market policy for *commodities*. by maintaining a dysfunctional land market (high transaction costs, monopolies) that serves land boards and land owners, not communities living on commonage land.

272. **Policy development** - The ToR for deliverables (e.g. a SRAP, or NAP, or studies) would be better if they were required to provide a good justification (or policy position): precisely why, what and where (in which legislation) should changes be considered, and how this will result in better outcomes on the ground. It would also require that lessons be drawn from pilot communities, to feed into the studies (hence, platforms for policy dialogue).

6.3 Recommendations

Project design (5.2)

273. **A strong role for effective project steering is recommended:**

1. ensuring coherence of the project i.e. between components, and *all* levels - and when necessary demand a review and adjustment of the result map, and - framework *so that it reflects what the project really intends to deliver and how pilot projects at community level inform the policy making process*
2. monitoring the implementation structure on the ground i.e. adequate provision of (permanent) human and financial resources, multidisciplinary collaboration, MoUs

⁶⁶ Same in South Africa: In Khuis the community was offered considerable financial support for their water system with the condition that they reduce livestock numbers - and they rejected the offer. They had their reasons and land tenure insecurity was one. Try comparing this with numbers of births: these only reduce when women are empowered (healthcare, education, livelihoods). The Khuis community is quite disempowered in the land re-allocation process; economic viability of the farm is in doubt, with incomplete resettlement.

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 management⁶⁷, 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 SEAN⁶⁹), 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 youth), and the vulnerability of women and children (or other marginalised groups) in situations of land reform (as demonstrated in Khuis farm).
276. **Livelihoods projects and market studies** should adopt good practices from private sector development projects - check beyond the realm of environmentalists, ensure business planning, and assess relevant markets (commodities, but also: land).
277. **Local service provision on SLM:** capacity needs should be more concrete and practical: what is currently delivered (accessed by more marginalised communities), and what is realistically deliverable, considering the most suitable providers. Forest officers may not be best placed to deliver on animal health, or water. Environmental officers are not the ones to deliver on poultry. Should first aid be in or out? How will land tenure issues be addressed for pilot projects, can pilot practices be developed? How can SLM-related services be multi- or poly-disciplinary, and how will coordination be ensured? How does land administration fit in? How can land governance be devolved to communities?

⁶⁷ including FAO's 'Forty years of community-based forestry' (FAO, 2016), and later studies of good practices, showing the benefits *for Governments* to devolve land governance to communities, as well as environmental benefits and community benefits.

⁶⁸ Applied by UN Habitat and GLTN, its guiding principles for land administration are to secure land and property, equitably. Expertise on this can be funded - on an initial phase, to become acquainted - from outside sources. Netherlands DGIS has funds for precisely this.

⁶⁹ Strategic Environmental Analysis. <https://www.tandfonline.com/doi/abs/10.3152/147154600781767303>

278. **Private sector:** Billiton in South Africa is a powerful local player, providing funds to communities like Surprise Farm. They may wish to spend their funds more effectively or sustainably (with a 'social value' approach) and could be persuaded to focus on SLM-related investments, e.g., instead of just giving money for fencing, provide, in addition, education on holistic grazing - or even more structural investment in extension, to bringing (public-private) service provision closer to farmers.
279. **National partners: choosing the department to collaborate with** based on its suitability (content-wise), it is recommended to work with departments of agriculture for two reasons: 1. they best cover the likely thematic areas of the project activities; and 2. they are more likely to have a presence in remoter areas. This does not in any way reduce the need to set up multi-disciplinary coordination, involving other important departments with expertise on water management, animal health, control of invasive species, and land tenure (land administration).

Recommendation #1:	<p>Incorporate recommendations on project design into future work on sustainable land management and follow through on these during implementation:</p> <ul style="list-style-type: none"> • Create strong role project steering committees and support their effective operation throughout the project • Address land tenure and governance issues in land management projects • Ensure socio-political perspectives are duly considered in stakeholder analyses • Ensure wide range of relevant parties (i.e. not just environmentalists, but also private sector) are considered in livelihoods projects and market studies • Assess capacity of local service providers from a more practical perspective (e.g. what is already being delivered, what can realistically be delivered?) • Proactively engage with private sector to add 'social value' to their support/involvement • Choose ministry partners in an informed manner that suits the nature of the project (e.g. Ministry of Agriculture for this project on sustainable land management)
Context/comment:	See paras 273-279
Priority Level ⁷⁰:	Important recommendation
Responsibility:	Head of Branch, Biodiversity and Land
Proposed implementation time-frame:	By end 2020.

⁷⁰ Select priority level from these three categories:

Critical recommendation: address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.

Important recommendation: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.

Opportunity for improvement: comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.

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)
24/9, Skype	Group interview	Claire Ogali (IUCN, Programme Officer) Akshay Vishwanath (IUCN, Senior Programme Officer) Aluwani Ramugundo (IUCN, Administration Assistant. <i>later</i>)
02/10, email	Q&A	Carolyn Fry (IUCN, consultant for Communication Strategy)
02/10, Whatsapp	Interview	Arthur Ndlovu (IUCN, consultant for KNP in S. Africa, Botswana)
02/10, email, call	Itinerary planning	Thizwilondi Rambau (S. Africa DEA, Deputy Director) Tshepape Machuene (S. Africa)
07/11, Whatsapp	Itinerary planning	Betty Kauna Schroder (MET Project Officer)
10/10, Skype	Interview	Amadou Bouhari (IUCN, Programme Management Officer)
11/10, Skype	Interview	Cathrine Mutambirwa (IUCN consultant)
14/10, Windhoek	Introduction	Betty Kauna Schroder (MET Project Officer) Teofilus Nghitila (Director of Environmental Affairs, Ministry of Environment and Tourism (MET)) Rector Mbeha , KNP officer '15-'16 (hired by IUCN)
Gobabis	Courtesy call, and briefing in MET	
	Introduction	
	Die Windpomp Guesthouse	
15/10, Aminuis	Community group meeting, visit to store, sites (borehole, poultry house, garden)	Aminuis community leaders and -members, 4 women, 6 men (from the attendance list, which was still being filled when we left to check the store, and sites; the list is not complete)
Corridor Post 13	Community group meeting, visit to store, sites (borehole site, poultry house)	Corridor post 13: Leadership: 9 community leaders from different sub-communities (San, Herero, Ovambanderu, Bajeru): two Chiefs, 4 counsellors (1 woman), and one (ex-KNP hired) mobiliser (Felix Kajirua)
Gobabis	Die Windpomp Guesthouse	Community members (including leaders): 16 women, 16 men (from counting 'heads' at the start of the meeting; more came later, the attendance list shows 34 people)
16/10 Gobabis Windhoek	Ohmaheke Regional council	Deputy Governor (other officers not available) and deputy (2 men)
17/10 Windhoek	Debriefing in MET	Teofilus Nghitila (Director of Environmental Affairs, Ministry of Environment and Tourism (MET)), and Ms Schroder, Mr Mbeha
25/10, Whatsapp	Rescheduling ZA, BW visit, inception report	Martina Bennett (UNEP, Evaluation Manager)
31/10, Whatsapp	Itinerary planning	Portia Khumalo (S. Africa DAFF National Resource specialist) and Ramugundo Aluwani (IUCN, project Administrative Officer)

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	Joseph Lesenya (Botswana, DFRR District Deputy)
11/11, Whatsapp	Itinerary planning	Nel Wijnands (S. Africa, N. Cape Province Project officer for KNP)
15/11, Skype	Interview	Charles Oluchina (IUCN, Regional Programme Coordinator)
20/11, Skype	Short conversation, agreed to questionnaire, sent	Sibongile Mavimbela (SADC, Senior PO, Environment & B CC)
25/11, Skype	Interview	Klaus Kellner (S. Africa, North-West University, KNP NPSC-ZA)
27/11, Pretoria	Briefing, interview	Klaas Mampholo (DALRRD Dept. Dir. Landcare, RPSC chair)
27/11, Pretoria	Briefing, interview	Mshepape Machuene (ZA-PSC, DALRRD Assistant Director) Portia Khumalo (DALRRD NR specialist, ZA-NPSC secretary) Makhale (DEFF)
27/11, Kuruman	Interview	Nel Wijnands , Northern Cape Province project manager and ZA-NPSC member, KNP-ZA project officer
28/11, Surprise	Group interview and observations (terrain)	Surprise Farm community members: 2 women, 4 men (and a female translator)
29/11, Khuis	Group interview and observations (terrain)	Khuis farm community members: 5 men
02/12, Tsabong	Meeting	Joseph Lesenya (DFRR, KNP officer), and Serema (accompanying) Naledi Batsima (Head of department of Forestry) Dibotelo (Kgalagadi district commissioner)
02/12, Vaalhoek, Rappelspan, Bokspits, Struisendam	Meetings and observations (terrain), in each village	1 man in Rappelspan: (Yster Fredrick) 2 women in Vaalhoek (Hilda Kamboer, Dorien Vissage) 1 woman in Bokspits (Martha Isaacs, chairperson of Boravast) 2 women and 2 men in Struisendam (Anna Rachel Jas, Dept. secretary; Fredrick Titus, Frikkie Bock, secretary; Hannah Titus)
03/12, Khawa (KKDT)	Meetings and observations (terrain)	3 women, 6 men from KKDT: Anna Velskoen (treasurer), Mieta Kelehili (chairperson), Mr Khoza Kgaudi (clerk, extension), Onalenna Ratshidi (social committee dev. Officer), James Dibuleleng (Vice chairman), Lerato Setlalo (ACDO-Assistant Community Development Officer Extension), Chief Kgosi Piet Manyaro, Lenah Osenoneng-Village Development Committee Secretary
4/12, Do.Meteo Tsabong	Debriefing	4 women, 13 men , from DFRR, DWNP, DWN, DoT, MoA, DAP, 'Crops', Boravast Trust, Khawa Trust, IUCN
5/12, DFRR Gaborone	Debriefing	3 women, 9 men , from DFRR (11) and IUCN (1)
10/12, Skype	Interview	Harry May (S. Africa, NGO officer / consultant)
20/12, Skype	Interview	Justine Braby (consultant)

Annex 2 - Documentation consulted

A) Information required before ToRs are prepared

<i>Project Management</i>	
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
Documents that approve any formal revisions to the project during implementation e.g. changes to results frameworks or the project duration. 3 extensions, no annexes, no (budget) revisions	N, delayed, incomplete SSFA
Project progress reports, including regular reports to donors (both narrative and financial components)	n.a. (see next line)
For projects funded by the GEF, Project Identification Form (PIF), annual Project Implementation Review reports (PIRs) and the GEF Tracking Tool for relevant Focal Areas FY 15 missing (1 July 2014 to 30 June 2015)	N
All evaluation reports, including Mid-Term Reviews/Evaluations and/or external evaluations there was no external MTR; instead a Rapid Review by IUCN	Y, Rapid Review Report
Recommendation Implementation Plans from any mid-point assessments	Y
<i>Financial Management</i>	
FMO Confirmation of Expenditure to date	?
A valid coding block to charge evaluation costs (Evaluation Office will run a shopping cart test)	?
High level project budget for secured and unsecured funds (by funding sources, including co-finance)	Y
Detailed project budget (i.e. by result) for secured funds. Details only for GEF funds	Y
Any revisions to budgets, including for no-cost extensions Information only on GEF funds	Y, for GEF funds

B) Information required before contracting the evaluator

<i>Project Management</i>	
Key agreements and amendments relating to the project (funding: Small Scale Fund Agreements, Partner Cooperation Agreements, UN-to-UN Agreements, partner MOUs)	Y, only Namibia MoU, as others were not done
Minutes from Project Review Committee meetings (UNEP PRC, Scientific Technical Advisory Panel (STAP))	N, these meetings did not take place?
<i>Financial Management</i>	
Project expenditure sheets annual and/or by component for full project period.	N, by budget code only

C) Information required during the Inception Phase, and before the evaluation mission

<i>Project Management</i>	
Full list of partners and other stakeholders, with up-to-date contact details	Y, details needed updating
Project preparation documents (e.g. minutes from design workshops, partner capacity assessments, etc.)	Y, baseline studies
Documents from inception meetings (including agendas, participants lists, powerpoint presentations, minutes etc.)	Y
Steering Committee meeting documents, including agendas, meeting minutes and any summary reports (as well as any other management memos, minutes or correspondence relevant to the effective delivery of the project)	N, PSC minutes only up to 2013
All project/country workplans, including revised versions	Y, some
Project monitoring plan, with associated budget	N, no plan beyond ProDoc
<i>Supervision/monitoring mission reports</i>	
Project deliverables, such as: technical project reports; country assessment/sector studies; training agendas and participant lists; project communications materials; links to relevant knowledge sharing platforms* Any (draft) National Action Plans? Critical to understand outcomes of Component 3.	N, study reports yes, training reports no, and no online knowledge sharing platform (anymore)
Project Completion / Terminal Report (draft version if not yet finalized) Is there to be another, terminal report?	Y, Final report by IUCN
<i>Financial Management</i>	

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 Plans for each participating country
- *South Africa's* National Environmental Management Act (NEMA) of 1998
- Environment Action plan of NEPAD.

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Project document, CEO endorsement, agreements, commitments

Annex 1 Project Document.pdf, 10-12-10 UNEP Project document final.pdf

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[10-12-10 SIP Request CEO endorsement final.doc](#)

Request for CEO endorsement / approval, dd. 12 Oct. 2010, GEF

Annex 2 CEO Endorsement Letter.pdf

CEO Approval letter Annex 1 to SSFA.pdf dd. 19-11-2010

10-12-10 SIP Kalahari-Namib Budget.xls

Appendix 1 - Reconciliation between GEF Activity Based Budget and UNEP Budget Line (GEF Funds only US\$)

Final DFRR (Botswana) Cofinance Letter_February 2014.pdf, Letter of Commitment - Namibia.pdf and Letter of Commitment - Botswana.pdf, Letter of Commitment - SA.pdf

Country co-finance letters

Kalahari-Namib Project Cooperation Agreement (2).pdf

Cooperation Agreement dd. 31-03-2011

Cover letter dd. 31-03-2011 (filename: [Cover letter.pdf](#))

Country letters of commitment (filenames: Letter of Commitment - SA.pdf, Letter of Commitment - Botswana.pdf and Letter of Commitment - Namibia.pdf)

Country co-finance letters (filenames: Final DFRR (Botswana) Cofinance Letter_February 2014.pdf, Letter of Commitment - Namibia.pdf and Letter of Commitment - Botswana.pdf)

Amendments and Extensions - with revised work plans

Project amendment no. 1 approval dd. 11-04-2011 (filename: [Kalahari-Namib Project - Amendment No. 1.pdf](#)). Annex 1 - amended from ProDoc Annex 1 is not joined.

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Letter from IUCN re. extension (filename: [Kalahari Namib Project extension letter.pdf](#) ,

SSFA Kalahari Namib Project Agreement.pdf .

[SSFA.pdf](#) (approved version, signed, dd. 28-06-2016 also received as [Kalahari Namib SSFA May 2016.pdf](#)) and [SSFA Project Workplan_KNP 2017.pdf](#) dd 28-06-2016 **Small Scale Funding Agreement (SSFA) no annexes** This is the **first, 2016-2017 extension**.

Letter from IUCN requesting 6 months extension dd. 14-06-2017 (filename: [KNP no-cost extension request_June2017.pdf](#) dd 14-6-2017 and [IUCN Letter KNP Project Extension_July 2017 final.docx](#) dd 30-05-2017)

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[Signed KNP No-cost extension_June2017.pdf](#) signed and dated dd. 30-06-2017 **Second, 2017-2018 extension**.

"Appendix 1: Revised project implementation plan (Annex 4 to the SSFA)" *not included*.

SSFA - Signed KNP No-cost extension_June2017.pdf and Kalahari Namib no-cost Extension.pdf

Project Workplan_KNP 2017.pdf and Project Workplan_KNP 2017.xlsx and Project Workplan_KNP 2017 (00000002).pdf and Appx 1 - Project Workplan_KNP 2017.xlsx

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SSFA - Signed KNP No-cost extension_June2018.pdf **Third, 2018-2018 extension**.

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A synthesis of project outputs mentioned in the final report - where is it?

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Component 1

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Component 2

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Jan. 2016. Report on Institutional Building/Strengthening and Commonage Land Management in Rietfontein, Mier, South Africa. By Surplus People Project. By Dr Harry May?

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Evaluation guidelines

The 2008 evaluation manual: UNEP encourages all projects to develop detailed and comprehensive 'impact pathways' or 'outcome mapping' to describe the project intervention logic.

Levels of objectives

Objectives	<i>Why do the project</i> Project Impact. Benefit for beneficiaries derived from results (e.g. farmers livelihood improved and conservation of forest achieved)
Results	<i>Key components of the project objective.</i> Changes in development conditions because of the output strategy and key assumptions. Results should lead to the fulfillment of the stated objectives (e.g. extent to which those trained are effectively using new skills)
Outputs	<i>What the project will produce</i> Goods and services provided by the project (e.g. number of people trained) Actual deliverables. Direct result of inputs /activities
Activities	The actions required for the delivery of the outputs (e.g. Project secretariat formed, stakeholder meeting organised etc.) Main activities that must occur for the outputs to be achieved

PSC meetings

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Progress reports:

- [3403 Final KNP PIR_FY12_final.doc](#) from 1 July 2011 to 30 June 2012
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- [3403-IUCN KNP Project 4B51 PIR_FY14 Final.doc](#) from 1 July 2013 to 30 June 2014
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- [KNP_PIR_template_FY17_20082017.doc](#) from 1 July 2016 to 30 June 2017
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- [3403_2018_PIR_UNEP_NEPAD-RECs GEF SIP.DOCX](#) from 1 July 2017 to 30 June 2018
- No report for 1-7-2018 to 30-6-2019?

[Final Report Vs31.05.2019.pdf](#) from 1 April 2011 to June 2019

[Rapid Review of the Kalahari-Namib Project - Draft Submitted 280417.docx](#)

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Financial reports

- Budget Revision June 2017 (filenames: [KNP_Budget Revisions_June2017_FINAL.pdf](#) and [KNP_Budget Revisions_June2017_FINAL.xlsx](#))
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- IUCN Audit Provision letter dd 25-02-2011 (filename: [IUCN Audit Provision \(25 Feb 2011\).pdf](#))
- Budget (filename: [Kalahari-Namib Budget.xls](#))

- Financial reports (filenames: Expenditure Report Feb2015.pdf, KNP Expenditure Report_Dec 2016.pdf, KNP Project Financial Report up to December 2017 Final-signed.pdf, KNP Financial Report Jan to April 2018.pdf, KNP Project Financial Report up to June 2018 FINAL.pdf, Final Expenditure report - June 2019.pdf)

Annex 3 – Reconstructed results framework

Table 19: Reconstructing the intended results

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
Development Objective	<p>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</p> <p>OVI:</p> <ul style="list-style-type: none"> 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 	-		<p>OVI i. and iv. can be used as Intermediate outcome (added level)</p> <p>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</p> <p>OVI iii. (identifying barriers) is part of the activities contributing to Output 1.1.1</p>
Environmental Objective	<p>To maintain the integrity and ecological functioning of the entire Kalahari-Namib Ecosystem</p> <p>OVI:</p> <ul style="list-style-type: none"> i. Increased area of land under SLM and contributing to increased carbon sequestration ii. Enhanced conservation of natural habitats and globally and locally significant biodiversity increased in the KN ecosystem 	To support communities and policy makers in the 3 countries to effectively implement, upscale SLM in the MN catchment area and thereby contribute to restoration of the integrity and functioning of the entire KN ecosystem	<p>Restored and maintained integrity and functioning of the MNRB ecosystem</p> <p>(to which all stakeholders work effectively by implementing, supporting and upscaling SLM)</p>	<p>- Policy makers do not manage land themselves; this is to an important extent left to, or devolved to communities. So it is not enough to only have policy makers on board.</p> <p>- Title says MNRB (not 'MN catchment' or 'KN Ecosystem')</p> <p>- OVI originates from C2</p>

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
Inter-mediate States - IS			<p>1. Policy makers in 3 countries fully integrated SLM in short & medium-term development plans</p> <p>2. Participating community members i.e. women and men (and women to benefit most in terms of numbers and income) see increased SLM/biodiversity-related incomes (10-20%) as a result of increased ecosystem service value (for productivity, mainly livestock)</p>	
<p>Outcomes Component 1</p> <p>Baseline assessment (inventory, analysis and prioritization of SLM opportunities and challenges)</p>	<p>1.1 Increased understanding of NRM/SLM issues by policy makers, local communities and institutions</p>	<p>1.1 Increased understanding of NRM/SLM issues by policy makers, local communities and institutions</p>	<p>1.1.1 Policy makers increased their understanding of NRM/SLM issues</p>	<p>- Outcome separated for each stakeholder group - local institutions: clarifying this is mostly about local service providers, who are to drive changes at community level</p>
			<p>1.1.2 Local institutions, service providers increased their understanding of NRM/SLM issues</p>	
			<p>1.1.3 Communities increased their understanding of NRM/SLM issues</p>	
	<p>1.2 Enhanced delivery on SIP IR 4 on generation and dissemination of targeted knowledge and establishment of strengthening of monitoring and evaluations systems at all levels for SLM scale up</p>	<p>1.2 Enhanced delivery of SIP IR 4 on generation and dissemination of targeted knowledge and establishment and strengthening of monitoring and evaluation systems at all levels for SLM scale up</p>	<p>1.2.1 Policy makers strengthened their M&E systems for SLM scale up</p>	<p>- Outcome separated for each stakeholder group</p>
			<p>1.2.2 Local institutions, service providers strengthened their M&E systems for SLM knowledge generation, dissemination and scale up</p>	
			<p>1.2.3 Communities strengthened their M&E systems to generate knowledge on, share and disseminate SLM practices</p>	
<p>Outputs Component 1</p>	<p>1.1 Integrated database OVI: An integrated database on natural resource, degradation trends, socio-economic; livestock, crop and SWC/SLM practices and lessons learnt established, functional and used in developing and maintaining decision- support tools for INRM</p>	<p>1.1 Integrated database on natural resource, degradation trends, socio-economic; livestock, crop and SWC/SLM practices and lessons learnt established, functional and used in developing and</p>	<p>1.1 Key stakeholders at regional (SADC) and National (3 countries) level have access to an integrated database that includes baseline assessments and Capacity Needs Assessments (CNA) covering land management and -policy, challenges for, or barriers to adoption of SLM, planning- & institutional analysis, capacity gaps</p>	<p>- all baseline assessments and CNA are activities contributing to Output 1.1.1</p>

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
	<p>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</p>	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
	<p>1.3 A communication strategy OVI: A community strategy for sharing best practises and lessons learned</p>			- the making of a communication strategy is a project activity
<p>Outcomes Component 2</p> <p>Community-based SLM (including pilot demos of best practices)</p> <p>*</p>	<p>2.1 Community-based INRM/SLM in MNRB through establishing of participatory planning processes that ensure wide ranging engagement including local government buy-in</p>	Community-based INRM/SLM in MNRB	<p>2.1 Service providers (public, private local institutions) support, facilitate <i>communities' planning cycles</i> (incl. management, M&E), promoting SLM, for example:</p> <ul style="list-style-type: none"> • tenure security (linked to Outcome 3.3) • crop and livestock integration, fodder production • improved herd management and -composition • improved rangeland management, grassland rehabilitation & -upgrading • SWC measures • biodiversity management • SLM-related livelihood projects (C4) 	<p>- across this component it is not clear who are the stakeholder groups to benefit from what output or outcome</p> <p>- it is <i>service providers</i> that (help) establish participatory planning processes and scale up (2.1 and 2.2)</p>
	<p>2.2 Transboundary management of MNRB, through strengthened collaboration</p>			*: CEO endorsement moved this to C3

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
	2.3 Enhanced delivery of SIP IR 1 on scaling up of SLM applications on the ground in country-defined priority ecological zones	Enhanced delivery of SIP IR 1 on scaling up of SLM applications on the ground in country-defined priority ecological zones	<p>2.2 Service providers effectively scaling up SLM, with communities in country-defined priority ecological zones</p> <p>2.3 Communities effectively <i>applying SLM</i></p> <p>OVI: area where SLM is <i>effectively practiced</i></p> <p>2.4 Communities scale up the area in which they practice SLM</p>	- it is <i>communities</i> that manage (most of) the land and apply SLM <i>on the ground</i> (2.3)
Outputs Component 2	<p>2.1 Increased area (up to 800,000 ha) under improved management of land and biodiversity</p> <p>OVI:</p> <p>i. Three appropriate/ integrated crop & livestock production systems identified and promoted over 200,000 ha</p> <p>ii. Appropriate SWC\SLM measures identified & promoted on 200,000 ha</p> <p>iii. 100,000 ha under improved management of biodiversity of local and global significance</p> <p>iv. Local level participatory SLM/INRM Plans developed and implemented on 300,000 ha</p>	i. Three appropriate/ integrated crop and livestock production systems identified and promoted over 200,000 ha	<p>2.1 Service providers have increased their capacity to support community level planning cycles to promote SLM, in particular by identifying and <i>promoting to communities</i> to:</p> <p>i. apply appropriate integrated crop & livestock production systems for over 200,000 ha</p> <p>ii. apply SWC/SLM measures for over 200,000 ha</p> <p>iii. manage 100,000 ha of biodiversity of local and global significance</p> <p>2.2 Service providers have capacity for upscaling their services</p> <p>2.3 Communities developed and implemented SLM plans for 300,000 ha</p>	- assuming that service providers are to do the promoting, and communities (hopefully) adopt what is promoted, or manage the biodiversity area
		ii. Appropriate SWC/SLM measures identified & promoted on 200,000 ha		
		iii. 100,000 ha under improved management of biodiversity of local and global significance		
		iv. Local level participatory SLM/INRM Plans developed and implemented on 300,000 ha		
		iv. Local level participatory INRM/SLM plans developed and implemented on 300,000 ha		
2.2 A functioning multi- stakeholder and cross-border forum			Moved to C3	
Outcomes Component 3	3.1 Enhanced understanding and decision making on SLM scaled up by policy makers, communities and institutions	Enhanced understanding and decision making on INRM and SLM scale by policy makers, communities and institutions	3.1.1 Regional and national policy makers taking decisions in favour of INRM, SLM scale up	- the understanding part is already covered in Outcome 1.1 and outputs 3.1, 3.2, 3.3 - upscaling by communities moves to C2
			3.1.2 (Local) service providers, institutions planning and budgeting for INRM, SLM scale up	
Enhanced National, Trans-boundary and Regional Decision-	3.2 Enhanced delivery of SIP IR 2 on promoting effective and inclusive dialogue and advocacy and enabling policy conditions for SLM scale up	Enhanced delivery of SIP IR 2 on promoting effective and inclusive dialogue and advocacy and enabling policy conditions for SLM scale up	3.2 Policy makers and local institutions promoting effective, inclusive dialogue between sectors, with and between communities, to develop enabling policy conditions (in particular	The ProDoc, re. baseline and other assessments, severally indicates key issues for policy <i>advocacy</i> (dialogue), i.e. where

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
Making and Exchange of Best Practices			on issues of land governance and -tenure) to remove barriers for SLM scale up	stakeholders disagree (conflict) on land governance and -tenure insecurity (sources incl. ProDoc §92 on resource rights, land tenure)
		Transboundary Management of MNRB through strengthened collaboration	3.3 Effective Transboundary Management of MNRB	- from Component 2
Outputs Component 3	3.1 Decision support tools OVI: Decision-support tools developed and implemented for SLM/ INRM scale up in the Molopo-Nossob River Basin	Decision-support tools developed and implemented for INRM/SLM scale up in the MNRB	3.1 Policy makers developed and used decision-support tools for policy making for INRM/SLM scale up in the MNRB	
	3.3 A report of impact of national, local policies & planning on SLM/INRM OVI: A report of impact of national and local policies and planning on SLM/INRM and its use to reflect learning by the project	A Platform for coordination, information and knowledge sharing with other on-going initiatives established and functioning at sub-regional level	3.2 (Local) policy makers, local institutions <i>and communities</i> (incl. traditional authorities) establish inclusive platforms for dialogue (to better understand how land management is affected by issues of land governance and -tenure)	- the GEF CEO endorsement removes local policies and planning, yet this is where platforms for policy dialogue should be (if communities are to take part); so this aspect is re-introduced (ProDoc §76, 92) - sub-regional: see 3.3
	3.2 A functioning Transboundary MNRB Management Committee	A Transboundary MNRB Management Committee established and functioning	3.3 Policy makers of the 3 countries establish a multi-functional ('sub-regional') Transboundary MNRB Management Committee that coordinates and shares information on on-going initiatives, practices	- this is to contribute to outcome 3.2
	3.4 An M&E&A mechanism to promote SLM/INRM scaling-up and impacts	An M&E&A mechanism for project (INRM and SLM scale-up and impacts) developed and implemented		- project M&E is in Component 5, but will be assessed as per the Monitoring and Reporting criteria of the evaluation
Outcomes Component 4	4.1 Enhanced Livelihoods	Enhanced Livelihoods	4.1 Service providers (public, private local institutions) support, facilitate planning of <i>communities'</i> (or <i>community members'</i>) SLM-related livelihoods projects, promoting for	- 'enhanced livelihoods' is more like a development objective

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
Income Generating Activities Supported by Improved Services			example sustainable exploitation of NTFP, production of fodder (to enable changes in livestock management), livestock breeding	- the reconstruction of this component (Outcomes and Outputs) proposes similarities to those in Component 2
Improved Services	4.2 Enhanced access to appropriate services for SLM Scale-up	Facilitated access to appropriate services for SLM scale-up	4.2 Service providers strengthening and scaling up services (TA provided by private or public services) for land users' SLM-related livelihoods projects	- similar outcomes
	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	Enhanced delivery of SIP IR 3 on strengthening of commercial and advisory services for SLM and making them readily available to land users		
			4.3 Community members (especially women) effectively benefit from their SLM-related livelihoods projects	i.e. income from SLM-related livelihood activities: making fodder from Prosopis pods, sheep breeding & selling; at IS level benefits from ALL SLM count, i.e. via improving ecosystem services: better-fed livestock, more milk and other livestock products.
Outputs Component 4	4.1 Provision of alternative income generation from SLM/INRM sources OVI: 6 viable and sustainable community enterprises based on INRM/SLM established and operating	6 viable and sustainable community enterprises based on INRM/SLM established and operating	4.1 Service providers have increased their capacity to support community SLM-related sustainable livelihood projects, and support 6 viable and sustainable community enterprises based on INRM/SLM	- this includes the activity to provide 3 small grants for investment in appropriate market improvements
	4.2 Functioning multi-country forum promoting SLM scale-up OVI: • Engagement of local business advisory services • Increase in trade (quality or quantity) of specific goods and services from sustainable SLM/NRM activities	A Multi-country forum for provision of appropriate services for SLM scale up established and functioning		- see Output 3.3, is the same

Result level	Project Document (ProDoc) results*	GEF CEO endorsement	Reconstructed results	Justification
	4.3 A functioning micro-grant/ revolving fund	Three Small Grants Programme (SGP) for SLM scale-up identified and promoted		- see 4.1

Annex 4 – Financial analysis

Budget lines are not referring to components, however, from the budget line description a good guess can be made as to the Component to which the expenditure belongs.

Legend:

Component 1	Component 2	Component 3	Component 4
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Table 4.1: Budget and expenditure per budget line/code – sorting per component

No.	Budget line	Component	Prodoc Appendix 13	Jun-19
110 1	Programme Manager (Full Time)	6	217,500	283,442
110 2	Technical Coordinator	6		35,201
110 3	Regional Director / Deputy Regional Director	6		9,817
110 4	Senior Programme Officer	6		27,304
110 5	Technical Support Global Drylands	3		32,966
120 1	National and Regional Baseline surveys	1	100,000	128,097
120 2	Community environmental action planning and monitoring	2	34,500	26,038
120 3	Studies on measurement of prioritised ecosystem services etc.	1	48,000	23,217
120 4	Comprehensive communication strategy and tools	1	5,000	30,033
120 5	Available best practises and out-scaling strategy	2	10,000	39,984
120 6	Comprehensive capacity building and training plan	2	5,000	434
120 7	Feasibility study on transboundary management collaboration and development of transboundary management body agreement	1	30,000	6,791
120 8	Country defined out-scaling strategy/plan	3	5,000	-
120 9	Policy, planning and institutional analysis and development of decision support tools	1	20,000	25,000
121 0	Analysis and feasibility study on income generating options and market chain constraints	4	10,000	-
121 1	Private sector consultation	4	10,000	-
121 2	Analysis and report on environmental sustainability of different market developments	4	10,000	-
121 3	Report on local and external capacity to perform commercial and advisory services and training needs assessment	4	5,000	84
130 1	Project Administrator	6	20,000	46,547
160 1	Project staff travel: each component 1/4	1,2,3,4	16,000	49,249
160 2	Field surveys	2	48,727	33,995

No.	Budget line	Component	Prodoc Appendix 13	Jun-19
220 1	Implementation of 3 demonstration projects	2	300,000	299,606
220 2	Implementation 3 Country defined out-scaling program	2	200,000	165,753
220 3	Implementation of 3 national policies supporting SL	3	60,000	33,865
220 4	Implementation of 3 viable and sustainable community enterprises	4	100,000	100,016
220 5	Development of Modules for dryland ecosystems and testing	4	20,000	-
220 6	Provision of priority services for SLM scale up	4	20,000	-
220 7	Integration into SADC, IUCN & other regional programmes	3	197,000	305,181
320 0	Community training on M&E&L	2	15,000	10,659
320 1	Capacity building and training for effective decision making	1	20,000	-
320 2	Capacity building on economic valuation	1	20,000	8,570
320 3	Capacity building on project management, financial management & implementation of community enterprises	4	20,000	1,069
320 4	Training of trainers for commercial and advisory services	4	20,000	2,611
320 5	Project Implementing partners training on M&E&L	2	30,000	10,876
330 1	Annual regional forum in year 1, 2, 3 & 4	3	120,000	89,768
330 2	Policy dialogues, seminars and media briefings	3	50,000	58,798
330 4	Inception Meeting	6	30,000	21,947
330 5	Annual Project Steering Committee Meetings	6	50,000	36,432
330 6	Project planning meetings	6	15,000	16,646
330 7	National Steering Committee Meetings	6	15,000	14,960
410 1	Office supplies	6	10,000	7,116
420 1	4 GPS	6	500	409
420 2	Computer hardware (Laptops and printers)	4	20,000	12,261
420 3	Computer software	6	5,773	765
420 4	LCD projectors	6	2,000	1,277
420 5	4 Digital Cameras	6	2,000	1,153
420 6	Project Vehicle	1	40,000	43,306
420 7	Communication hardware and software	6	3,000	254

No.	Budget line	Component	Prodoc Appendix 13	Jun-19
510 1	Equipment maintenance/IT support	6	10,000	4,011
510 2	Vehicle maintenance, service and fuel	1	40,000	16,674
510 3	Insurance	1	15,000	15,666
520 1	Reporting and dissemination costs	5	30,000	29,886
530 1	Communications	5	10,000	4,734
550 1	Monitoring visits	5	10,000	17,491
550 2	Mid-term review (to be paid directly by UNEP)	5	35,000	35,000
550 3	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*	Evidence / comments
1. Adherence to UNEP's policies and procedures	3	
Any evidence that indicates shortcomings in the project's adherence ⁷¹ to UNEP's, GEF's or other donors' policies, procedures or rules	Yes, some	No feedback obtained from UNEP on financial matters. What I noticed is that budget allocations per country were not always transparent to partners. If a policy recommends local procurement, there is no evidence it is followed.
2. Completeness of project financial information⁷²	5	
Provision of key documents to the evaluator (based on responses below)		
A. Co-financing and Project Cost's tables at design (by budget lines)	Yes	For GEF financing; not for co-financing (EC, USAID)
B. Revisions to the budget	Yes	But no justification, approval
C. All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	SSFA for IUCN ⁷³ , no SSFA for USAID, EU; PCA: yes ⁷⁴ ; ICA: yes, ProDoc Appendix 9 (x3)
D. Proof of fund transfers	No	-
E. Proof of co-financing (cash and in-kind)	No	-
F. A summary report on the project's expenditures (by budget lines, project components and/or annual level)	Yes	By budget line only

⁷¹ If the evaluation raises concerns over adherence with policies or standard procedures, a recommendation maybe given to cover the topic in an upcoming audit, or similar financial oversight exercise.

⁷² See also document 'Criterion Rating Description' for reference

⁷³ SSFA.PDF

⁷⁴ GFL-4B81 Kalahari-Namib PCA (EA COPY).pdf; Kalahari-Namib Project Cooperation Agreement (2).pdf (signed), Cover letter Cooperation Agreement.pdf

Components		rating*	Evidence / comments
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	n.a.	Not required for the project ⁷⁵
H.	Any other financial information that was required for this project (list)	No	Not obtained: PSC minutes showing that budget changes are justified and approved.
3. Communication between finance and project management staff		3	As all concerned have moved on to other positions (and FMO did not respond), this area could not be sufficiently evaluated⁷⁶
Project Manager and/or Task Manager's level of awareness of the project's financial status.			Did not verify with the longest-serving Project Manager
Fund Management Officer's knowledge of project progress/status when disbursements are done.			Could not access the person (UNEP)
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.			It seems there was miscommunication on critical issues, e.g. on being able to proceed with or without project extension approval.
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.			No evidence that the FMO provided feedback on progress reports, or financial reports.
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process			Slow procurement and disbursement, in that area there were delays, some of it could be due to financial management (FMO and/or Project Manager).
Overall rating		4	

*: HS = 6; HU = 1

10. The total cost of the Project is USD7,175,000.00 of which USD2,175,000.00 is GEF financing and the balance is cofinancing as described below. Any additional co-financing mobilized by the Executing Agency during Project execution should be recorded and included in the Co-financing Report.

	USD
Cost to the GEF Trust Fund	2,175,000.00
Less: Funds disbursed under project document GFL-2328-2770-4B81	2,021,402.42
Funds available under this SSFA	153,598.00
EC(cash) contribution secured by the Executing Agency:	560,898.00
Third party co-finance (cash):	1,983,989.00
Third party co-finance (in-kind):	2,455,113.00
Total cost of the project:	7,175,000.00

Source: project extension document ([SSFA Kalahari Namib Project Agreement.pdf](#))

⁷⁵ See letter IUCN Audit Provision (25 Feb 2011).pdf

⁷⁶ Email 22 Oct. to IUCN cc to UNEP Fund Management Officer Paul Vrontamitis, with financial report (draft) and a number of questions and proposal for a Skype call. Re-sent an email on 20 Nov.; Rachel responds 20/11 asking pls allow till Friday; no further response. Directly mailed Vrontomitis on 11/11, propose Skype meeting, or at least email response; no reply. UNEP Coordinator of the Ecosystem Management Sub-programme, Marieta Sakalien

Annex 5 - Summary assessment with evaluation ratings

Table 20: Main conclusions and evaluation ratings

UNEP uses a six-point rating scale to assess performance: 1= Highly Unsatisfactory (HU); 2 = Unsatisfactory (U); 3 = Moderately Unsatisfactory (MU); 4 = Moderately Satisfactory (MS); 5 = Satisfactory (S) and 6 = Highly Satisfactory (HS). The criteria for Sustainability and Likelihood of Impact are labelled as 'likelihood' and Nature of External Context is rated based on a similar six-point scale labelled for 'favourability'.

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements/strengths	Main weaknesses	
A. Strategic Relevance			*: Relevance as found in the implementation	*(MU)
1. to UN Environment MTS and POW, and BSP - see 5.1 i., ii	How did the project contribute to UN Environment MTS and POW?	MTS 2010-2013 & 2014-2017 priorities are reflected, notably in the study on ecosystem value	- baseline studies lack required (socio-political) stakeholder analysis - BSP highlights building policy from results 'on the ground' upward; the project focused on policy work while results on the ground not (yet) show	3 (MU)
2. Alignment to UN Environment / GEF strategic priorities (SIP) - see 5.1 iii	GEF Strategic Priority 4: - catalysing SLM action at sub-regional & transboundary levels - advancing knowledge on approaches and incentives for upscaling SLM practices - UNEP New Partnerships for Africa (NEPAD) Environmental Action Plan ... Food and SLM	- contribution to SADC-SRAP - sharing experience between the countries, advancing SLM knowledge - partners provide operational support / co-financing for SLM	- SRAP not very specific, so it is not clear how much it will influence/change things in the National Action Plans and further national policies - not (yet) evident that the gap between national (contradicting sectoral) policies and realities on the ground is narrowing - GEF-SP4: no transboundary body - GEF-IR-1: no action at on the ground and no scaling up SLM - GEF-IR-2: no inclusive dialogue - GEF-IR-3: commercial & advisory services for SLM are near-nil - GEF-IR-4: knowledge sharing, monitoring minimal at local level - GEF lesson that country partners better be <i>leading</i> : not strong in practice - NEPAD-EAP: in Namibia, S. Africa communities, the mutuality of food benefits and environment not clear in the gardening and poultry projects	2 (U)
3. Relevance to (sub)-regional and national environmental priorities - see 5.1 iv	And how did it then influence your policies?	- likely relevant for SADC and national policies; this is seen where Botswana adopted its Prosopis control strategy and action plan	To be discussed in section 5.5 v.: country ownership and driven-ness was not that strong (in the PSC or in coordinating components 2 and 4), it is not entirely evident that SLM is really a top-priority in practice.	4 (MS)
4. Complementarity w. existing interventions incl.	Other relevant programmes you worked with, following up on? Project	- follow-ups on UNDP project (Botswana), learning from LandCare (South Africa) and others	- parallel working rather than supporting or complementary to existing services - community priorities not always followed, especially the policy dialogue: disconnected from reality on the ground	3 (MU)

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements/strengths	Main weaknesses	
community priorities - see 5.1 v	complementary to previous UNDP/GEF project?			
B. Quality of Project Design:				(MU)
		- relevance well justified	1. Insufficient stakeholder analysis (local level) 2. Causal links between components unclear: regional to national policy; pilot communities to inform policy 3. Result levels incorrect, target stakeholders not clear, indicators not SMART 4. Land tenure issues identified as risk, but not addressed	3 (MU)
C. Nature of addressing External context				(U)
			Land-tenure challenges are a critical external risk factor, not addressed	2 (U)
Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
D. Project effectiveness				(U)
OUTPUTS	Questions will be tailored to the relevant outputs as claimed in reports Do you feel the project addressed the priorities you had, in relation to SLM?	<p>At community level, in Namibia and Botswana there are only minor outputs. Main outputs in South Africa are:</p> <ul style="list-style-type: none"> - adoption of practices from SLM-related training (animal health, control of bushfire, invasive spp. and predators) - one farm practices rotational grazing - about 4000 ha rangeland Prosopis is controlled. <p>At national policy level, main policy-decision supporting products (SRAP, Ecosystem Services Assessment, and Total economic valuation, market chain analysis) helped increase understanding SLM; the Ecosystem Services study provides evidence for targeting less resource-endowed communities for SLM-related services.</p>	In Namibia no SLM-related deliverables. In Botswana SLM-related deliverables are not (yet) used; these Propopis projects are simultaneously livelihood-related projects do not have business plans and have failed because of 'unforeseen' (could-be-foreseen) setbacks. Botswana and Namibia: livelihood not clearly linking to NRM/biodiversity. South Africa's outputs are relevant, but as these communities' land tenure issues are not addressed, sustainability is an issue. SRAP is outsourced, it is as good as what the consultants are getting from the project. The policy work seems not much informed by lessons from KNP's Components 2 and 4); critical land tenure	2 (U)

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
		Regionally , KNP contributed to the SADC/SRAP (unknown to what extent).	challenges are not identified (as needing to be addressed). Raising prospects for carbon finance can further increase the tenure gap.	
OUTCOMES	Questions will be tailored to the relevant outputs as claimed in reports, with follow-up questions e.g. and then, what did that yield, how has this changed the way you work, how has this changed a policy, an organisation's capacity, collaboration? Any unintended outcomes?	Botswana adopted a National strategy on Prosopis management, and an action plan.	No clear signs yet of pro-SLM, multi-disciplinary policy; no structural improvement of the capacity of service providers to better serve target land user communities with a relevant package or charger of SLM-related services (agriculture/ livestock, water, and land service); no outcomes expected in the near future. An unintended outcome may be that communities' sense of dependency on the project is enhanced, while they see little real sustained change.	2 (U)
IMPACT	To what extent did the project's focus on regional capacity development and knowledge management improve decision making (at all levels) and regional cooperation? Best practices out-scale in SADC?	There is no up-scaling, but likely some ecosystem service value increase in Surprise farm, and where Prosopis is controlled; this could raise income. Once any new NAP are completed, and operational, and mechanisms for sharing lessons learned and best practices established (not there yet), some impact may be generated.	With challenges on land tenure, lasting impact on the ecosystem services in the pilot communities in South Africa is in doubt. As SRAP itself does not provide a clear pathway to change down to community level - where land is managed, it is a long shot (and no clear pathway) to attribute improved ecosystem service values to the SRAP.	2 (U)
E. Financial / project management				(MU)

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
<p>1. Adherence to UNEP's financial policies and procedures</p> <p>2. Completeness of info</p> <p>3. Communication between Project Manager and FMO:</p> <p>i) on delivery and responsiveness, adaptive management</p> <p>ii) application of proper financial management standards, UN Environment's financial management policies</p>	<p>Completeness of info: At what result level is expenditure planned and reported?</p> <p>Is there budgets per country? Is info on co-financing complete?</p> <p>i. Were there any financial issues raised during implementation, e.g. were budget sizes transparent, issues along the procurement and disbursement processes?</p> <p>ii. How was the issue of slow disbursement addressed?</p> <p>iii. How did UNEP supervise the financial systems that IUCN had in place, were working? What was the benefit of UNEP backstopping?</p> <p>iv. Were any efforts made to review the result framework to adapt it to new implementation realities, to justify budget changes, etc.?</p> <p>How productive were the PSC, any issues?</p> <p>v. Have staffing and financing arrangements been adequately agreed? (between IUCN and Ministry / department or local service providers)</p> <p>What was done to ensure (more) continuity of staff?</p>	<p>Several communication products have been produced and used.</p>	<p>Information was incomplete (see list in Annex 3)</p> <p>i. a. Expenditure is planned at component level, and reported at budget line level.</p> <p>b. Co-financing information is incomplete.</p> <p>c. Lack of transparency on budget distribution/country; no apparent process to approve budget changes (in PSC?).</p> <p>ii. Procurement was mostly centralised, and generally slow; this was not addressed adequately.</p> <p>iii. Questions remain on how UNEP supervised IUCN's financial systems, and backstopping it provided, if any.</p> <p>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?).</p> <p>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.</p> <p>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.</p> <p>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).</p> <p>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,</p>	<p>3 (MU)</p> <p>(respectively 3,2,3)</p>

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
4. project management	vi. Communication		<p>coordination, the 'ownership' was not sufficient to ensure adequate coordination and implementation on the ground. The MoU with Namibia did not prevent communication problems, misunderstandings and trust issues.</p> <p>vi. The project did not develop its own communication strategy. No online sharing (website).</p>	2 (U)
F. Efficiency				
	<p>What was the cost of the several 'no cost extensions' against the GEF trust fund and, if there was a cost, how and by whom was it covered?</p> <p>Any negative impacts caused by project delays, extensions?</p> <p>How has collaboration with local partners (Ministries, departments) had an effect on efficiency? How as (any) MoU helpful (or not) in more efficient implementation?</p> <p>What measures did the project take to reduce the environmental footprint?</p>		<p>The documents approving the first two extensions do not have budget revisions (Annexes missing). No document accessed that approves the third extension.</p> <p>Implementation over a longer period effectively raised the budget for management; this was paid for from components 2 and 4 budgets.</p> <p>Challenges in the collaboration with local partners, as described in the row above, affected the capacity to implement on the ground; with communication being poor, and implementation slow, efficiency was reduced.</p> <p>Centralised procurement seemed not always so conducive for efficiency.</p> <p>No evidence of measures taken to reduce the environmental footprint.</p>	2 (U)
G. Monitoring & reporting				
1. Design and budgeting for M&E	<p>How is participation of men, women, youth of different (ethnic) communities monitored, and data aggregated?</p> <p>M&E system purpose? Main users?</p>	<p>Participation of men and women is noted in later reports, for some deliverables.</p> <p>The main purpose of the M&E system seems to be to report to donors.</p>	<p>Participation of men and women is not systematically monitored, youth are not monitored.</p> <p>There is no designed M&E system beyond the table presented in the project document.</p>	4 (MS)

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
2. Monitoring implementation ⁷⁷	How have communities participated to monitor how services (for SLM) improved?	In South Africa, at the end of each training there was an evaluation.	Communities' monitoring to contribute to the project M&E system is not evident; in some cases, results reported (on their behalf) are misleading or incorrect. No annual project implementation reviews. The independent Mid-Term Review was not carried out.	2 (U)
3. Project reporting	To what extent have UNEP, GEF reporting commitments have been fulfilled? Were effects on disaggregated groups reported?		Long reports, with duplication; activities rather than outputs are reported; some 'results' are inaccurate. Yearly, not half-yearly reporting. Rapid Review (IUCN): conducted but not very transparent; the Ministries felt ignored, not aware of the visit for the review (going straight to the communities). Several recommendations not implemented.	2 (U)
H. Sustainability (there are not many results, discussing sustainability only applies for the few results found)				(HU)
1. Socio-political - at community level	How will your community (members) be able to make this project provide lasting benefits? Assumption: Socio-political sustainability for communities comes down to empowerment. A projects' approach to Human Rights and Gender is to ensure that community-level results endure.	In South Africa, some of the training (on various subjects), and Surprise farm rotational grazing may provide more lasting benefits, but only if land tenure issues are not forcing the community to move (Surprise) or abandon farming altogether because it is not economically viable (Khuis).	It is not clear what the project wanted to achieve in a situation where rather marginalised communities have only rare access (if at all) to local service providers, and are at the low end of the tenure gap; with high expectations that they change their way of managing the land but no empowerment to support this. There was no approach to empower communities, to address specific (also indigenous) communities, to include also gender issues. No platforms for dialogue, in which communities could press their case, pressing for better services and getting land tenure issues addressed, Without this, results at community level are unsustainable.	1* (HU)
2. Financial - at community level	Who are championing the policy?		Most livelihood projects are not completed and are unlikely to become sustainable as they lack a	1* (HU)

⁷⁷ UN Environment PIMS info will be provided to the Evaluation Consultant(s) by the Evaluation Manager. And GEF has the Project Implementation Reviews and Tracking Tool.

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 local service providers level	<p>To what extent will your Ministry, Department be able to expand on the results, and upscale good practices?</p> <p>To what extent does your government have the means to implement any policies improved with KNP support?</p> <p>Sustainable local service delivery that is multi-disciplinary and well-coordinated, etc.: any results?</p>	The Botswana Prosopis control strategy is championed by its government. It is not clear at this point (too early to say) whether adequate funds have been mobilised to implement it.	<p>In the pilot demonstrations the project ended up 'doing its own thing', a transactional approach and no clear strategy on strengthening local service providers was developed. And no exit strategy that would clarify how services would proceed once the project withdraws. So there is not much change beyond the duration of the project.</p> <p><i>*: based on UNEP's guidelines, sustainability is heavily dependent on the achievement of the planned outcomes; as there is not much yet in terms of outcomes, a default score of 1 is given.</i></p>	1* (HU)
I. Factors affecting performance				U
1. Preparation and readiness	<i>discussed in 5.5, Project Management and Steering, ii.</i>			2 (U)
2. Quality of project management (IUCN) and supervision (by UN Environment)	discussed in 5.5, Project Management and Steering, iii. and iv. (Project Steering)		To be verified: how much was UNEP involved?	2 (U)
3. Stakeholder participation and cooperation -	discussed in 5.5, Project Management and Steering, v., subsection on Community participation			2 (U)

Criterion - and paragraph reference	Key questions	Summary assessment		Rating (6=top)
		Main achievements - strengths	Main weaknesses	
4. Responsiveness to human rights and gender equity	To what extent has the HRBA and the UN Declaration on the Rights of Indigenous People been applied? <i>discussed in 5.8, i. (Socio-political sustainability)</i>	Mier study sheds light on the challenges of land governance and -reform.	On Human Rights, it is land rights that are relevant; these have not been adequately addressed in the project. Gender: not evident that there was an approach to ensure inclusion.	2 (U)
5. Country ownership and drive	discussed in 5.5, Project Management and Steering, v., subsection on Country ownership and -driven-ness		*: Respectively, Namibia, Botswana, South Africa: scores 1, 2 and 4 NB: this is not simply a function of a country's effort, it also depends on how the project was managed in that country, the resources available, the thematic suitability of the partner/department/Ministry, the willingness to collaborate between departments and change towards a multidisciplinary approach, etc.	2* (U)
6. Communication and Public Awareness				2 (U)

Annex 6 - Terms of Reference

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project general information

Table 1.1: Project summary

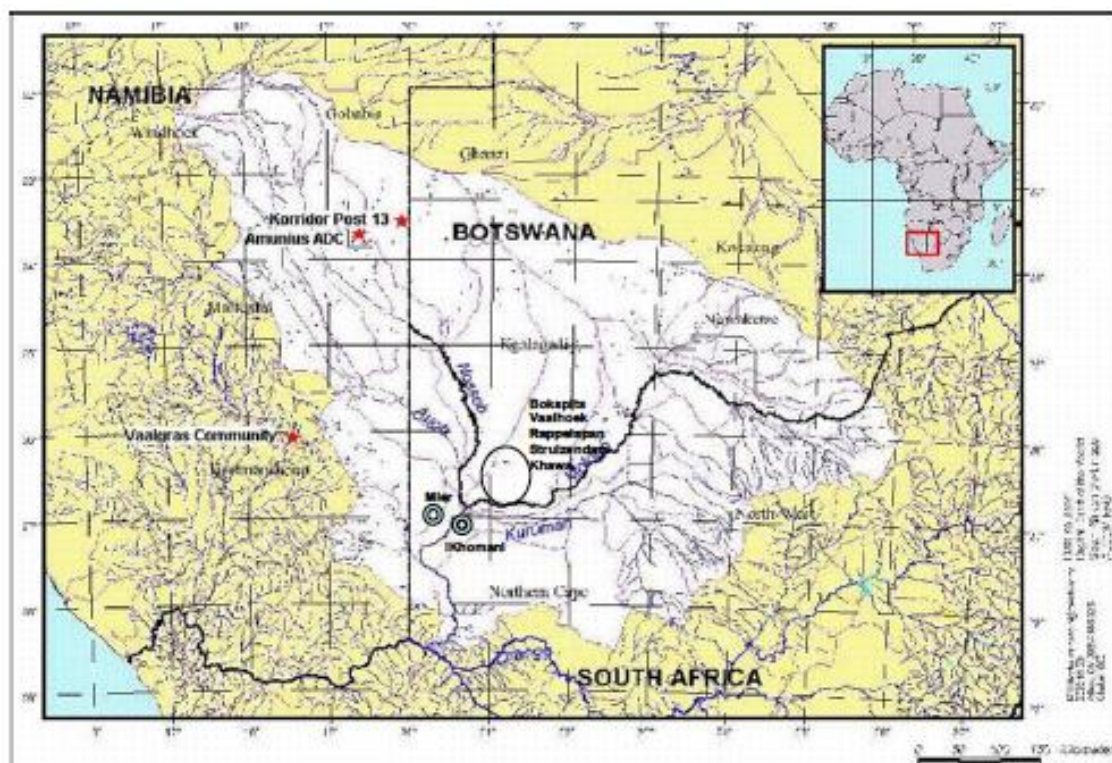
GEF Project ID:	3403		
Implementing Agency:	UNEP	Executing Agency:	IUCN- ESARO (Eastern & Southern Africa Regional Office)
Sub-programme:	Ecosystem Management	Expected Accomplishment(s):	The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels
UNEP approval date:	01 April 2011	Programme of Work Output(s):	Technical assistance and partnerships on effective conservation measures and monitoring thereof (ecosystem management, ecological representativeness and connectivity)
GEF approval date:	19 Nov 2010	Project type:	FSP
GEF Operational Programme #:	4	Focal Area(s):	Land Degradation
		GEF Strategic Priority:	LD-SP-1 & LD SP-2
<i>Expected start date:</i>	December 2010	<i>Actual start date:</i>	01 April 2011
<i>Planned completion date:</i>	November 2014	<i>Actual completion date:</i>	30 June 2019
<i>Planned project budget at approval:</i>	7,175,000 USD	<i>Actual total expenditures reported as of 30 June 2018:</i>	\$304,000
GEF grant allocation:	2,175,000 USD	GEF grant expenditures reported as of [date]:	\$1,871,000
Project Preparation Grant - GEF financing:	125,000 USD	Project Preparation Grant - co-financing:	\$0
<i>Expected Full-Size Project co-financing:</i>	5,000,000 USD	<i>Secured Full-Size Project co-financing:</i>	\$4,970,881
<i>First disbursement:</i>	1 April 2011	<i>Date of financial closure:</i>	TBC
<i>No. of revisions:</i>	2	<i>Date of last revision:</i>	14 June 2018
<i>No. of Steering Committee meetings:</i>	TBD	<i>Date of last/next Steering Committee meeting:</i>	Last: 29 March 2019 Next: N/A
<i>Mid-term Review (planned date):</i>	Rapid Review conducted in April 2017	<i>Mid-term Review (actual date):</i>	28 April 2017
<i>Terminal Evaluation (planned date):</i>	End of Project	<i>Terminal Evaluation (actual date):</i>	September 2019 – February 2020
<i>Coverage - Country(ies):</i>	Botswana, Namibia & South Africa	<i>Coverage - Region(s):</i>	Southern Africa
<i>Dates of previous project phases:</i>	N/A	<i>Status of future project phases:</i>	N/A

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.



Map: The Molopo-Nossob River Basin, target area and specific target communities

4. The Kalahari-Namib project was to also be an integral part of the Strategic Investment Programme (SIP) for sustainable land management in sub-Saharan Africa, contributing to its long-term Program Goal. The expected project outcomes will contribute to the achievements of three of the four SIP Intermediate Results (IRs): IR1 and 4 through the identification and implementation of innovative community-based SLM approaches (Component 1 and 2); IR2 through the development and implementation of decision-support tools and capacity building for policy-makers, local communities and institutions that will promote dialogue and negotiation resulting in improved decisions on sustainable land management (SLM) scale up (Component 3); and IR3: via the provision of alternative livelihoods and services that will support up-scaling of SLM (Component 4) in the Kalahari- Namib trans-boundary ecosystem.

3. Project objectives and components

5. The overall goal and development objective of the Kalahari-Namib project was to support communities and policy makers in Botswana, Namibia and South Africa to effectively implement and upscale sustainable land management (SLM) in the Molopo-Nossob basin area and thereby contribute to improved livelihoods and the maintenance of the integrity and ecological functioning of the entire Kalahari-Namib ecosystem.

6. In order to achieve the overall goal and objectives, the project consists of six components:

Component 1. Baseline Assessment: The outcomes under this component were: an increased understanding of SLM issues by policy makers, local communities and institutions; enhanced delivery of SIP IR 4 on generation; dissemination of targeted knowledge and the establishment and strengthening of monitoring and evaluation systems at all levels for SLM scale up. The latter was to take place in all three countries. In order to achieve these outcomes, a number of major activities were to be performed, including: the identification of knowledge gaps; research and the development of knowledge products to fill those gaps; innovative

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: Using the information generated under the first component, the core of Component 2 was to empower and support local communities across the basin to implement sustainable land management in a collaborative manner with inputs from major service providers. Some of the major activities included capacity building based on identified skill gaps, using methodologies such as mentoring, training, workshops, student training, seminars, and identification and then scaling up best practices. In addition, the project was to work with local government institutions to build capacity for participatory development and community empowerment and to institutionalize the necessary reforms for process-oriented development. To ensure a larger and coordinated footprint, a Trans-boundary Management body was to be established between the three countries within the Molopo-Nossob River Basin to strengthen collaboration and improve the regional management of natural resources.

Component 3. Enhanced Regional Decision-Making and Exchange of Best Practices and Lessons Learnt: The outcomes of this component aimed to demonstrate enhanced understanding and decision making on SLM issues by policy makers, communities and institutions across the basin. Furthermore, outcomes were to enhance the delivery of SIP IR 2 on promoting effective and inclusive dialogue and advocacy and enabling policy conditions for SLM scale up. This component was to focus on analysing institutions, policies and the economy (capacity/gaps) and determining how best to address these gaps (markets, resource rights, incentives for environmental management, etc). In the process it was to promote security of land tenure and provide correct and appropriate incentives/disincentives e.g. for marketing. It was to also establish and strengthen regional and national project management capacity, identify policy gaps, best practice/good governance in SLM as well as determine and raise awareness of the economic value of ecosystems goods and services in the Molopo-Nossob river basin. It was to establish a regional forum on SLM e.g. SADC, and strengthen partnerships (develop cooperative agreements, mainstream project activities into existing structures) and lastly it intended to develop investment modules/models for drylands ecosystems. This component was to therefore deal specifically with placing SLM on the local and regional agenda, illustrating the long-term benefits thereof and mainstreaming basic principles in local regional institutions.

Component 4. Income Generating Activities Supported by Improved Services: This component focused on promoting resilient livelihoods of people through alternative income generation involving both on and off-land activities. Enhancing delivery of SIP IR 3 on strengthening commercial and advisory services for SLM and making them readily available to land users was to receive high priority. The project was to research available livelihood options and make these alternatives available to communities. Furthermore, innovative technologies were to be introduced to support communities to successfully implement their income generating enterprises. The project was to facilitate direct contact between communities and service providers, such as financial institutions, technology experts and market agents. Flexible farming practices, such as the use of adapted livestock breeds, timely adjustment of livestock numbers to available fodder sources, drought resistant fodder crops and flexible management strategies in different tenure systems were to be promoted. In order to ensure greater household income while maintaining and improving the resource base, research was to be conducted on the available and supplementary livelihood options.

Component 5. Monitoring and Evaluation: The project was to follow UNEP standard monitoring, reporting and evaluation processes and procedures and its Costed M&E Plan, as detailed in the ProDoc.

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 bodies/governments to create an enabling environment, and to improve existing or form new management structures.

Table 1.2: Summary of project outcomes, outputs, indicators and means of verification

Environment & development objectives		Indicators	
<p>The development objective is to support communities and policy makers in Botswana, Namibia and South Africa to effectively implement and up-scale SLM in the Molopo-Nossob River Basin in order to significantly contribute towards improved local livelihoods.</p> <p>The environmental objective is to maintain the integrity and ecological functioning of the entire Kalahari-Namib Ecosystem</p>		<p>SLM is fully integrated into the short and medium term development plans of the participating countries.</p> <p>A regional forum is established to coordinate, communicate and share best practices between communities and institutions between the three participating countries.</p> <p>Barriers to adoption of good practices (SWC/SLM/INRM) are identified and factored into the project through ongoing monitoring and learning</p> <p>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.</p> <p>Increased area of land under SLM and contributing to increased carbon sequestration</p> <p>Enhanced conservation of natural habitats and globally and locally significant biodiversity increased in the Kalahari-Namib ecosystem</p>	
COMPONENT	OUTCOME	OUTPUTS	INDICATORS
COMPONENT 1. Baseline assessment (inventory, analysis and prioritization of SLM opportunities and challenges)	<ul style="list-style-type: none"> - Increased understanding of NRM/SLM issues by policy makers, local communities and institutions - Enhanced delivery on SIP IR 4 on generation and dissemination of targeted knowledge and establishment of strengthening of monitoring and evaluations systems at all levels for SLM scale up. 	<ul style="list-style-type: none"> - Integrated database - Baseline report - A communication strategy 	<p>An integrated database on natural resource, degradation trends, socio-economic; livestock, crop and SWC/SLM practices and lessons learnt established, functional and used in developing and maintaining decision-support tools for INRM</p> <p>Integrated baseline report on natural resource, degradation trends, socio-economics, livestock, crop and SLM practices and lessons learnt</p> <p>Baseline report endorsed by a wide range of stakeholders, including at community level</p> <p>A community strategy for sharing best practices and lessons learnt</p>

<p>COMPONENT 2. Community-based SLM (including pilot demonstration of best practices) and Transboundary Management of Molopo-Nossob River basin</p>	<p>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 applications on the ground in country-defined priority ecological zones</p>	<p>- Increased area (up to 800,000 ha) under improved management of land and biodiversity - A functioning multi-stakeholder and cross-border SLM forum</p>	<p>Local level participatory SLM/INRM Plans developed and implemented on 300,000 ha of land Three appropriate/ integrated crop and livestock production systems identified and promoted over 200,000 ha of land Appropriate SWC\SLM measures identified and promoted on 200,000 ha of land 100,000 ha under improved management of biodiversity of local and global significance Local multi-stakeholder fora and cross-border SLM forum established</p>
<p>COMPONENT 3. Enhanced Regional Decision-Making and Exchange of Best Practices</p>	<p>- Enhanced understanding and decision making on SLM scaled up by policy makers, communities and institutions - Enhanced delivery of SIP IR 2 on promoting effective and inclusive dialogue and advocacy and enabling policy conditions for SLM scale up.</p>	<p>Decision support tools A functioning Transboundary Molopo-Nossob River Basin Committee A report of impact of national and local policies & planning on SLM/INRM An M&E&A mechanism to promote SLM/INRM scaling-up and impacts</p>	<p>A Transboundary Molopo-Nossob River Basin Management Committee established and functioning Decision-support tools developed and implemented for SLM/ INRM scale up in the Molopo-Nossob River Basin An M&E&A mechanism for project (INRM and SLM scale-up and impacts) developed and implemented A report of impact of national and local policies and planning on SLM/INRM and its use to reflect learning by the project.</p>
<p>COMPONENT 4. Income Generating Activities Supported by Improved Services</p>	<p>Enhanced Livelihoods Enhanced access to appropriate services for SLM Scale-up Enhanced delivery of SIP IR 3 on strengthening of commercial and advisory services for SLM and making them readily available to land users.</p>	<p>Provision of alternative income generation from SLM/ INRM sources A functioning multi-country forum promoting SLM scale up A functioning micro-grant/ revolving funds</p>	<p>Six viable and sustainable community enterprises based on INRM/SLM established and operating Three SGP for SLM scale-up identified and promoted Increase in trade (quality or quantity) of specific goods and services from sustainable SLM/NRM activities Micro grants (revolving fund) provided for investment in appropriate market improvements Engagement of local business advisory services A Multi-country forum providing appropriate services for SLM scale up.</p>

COMPONENT 5: Monitoring & Evaluation	A detailed monitoring, evaluation and reporting plan includes indicators, tracking tools and needs for specific baseline information against which to monitor changes, and was to be refined and finalized at the project's inception workshop.		
COMPONENT 6: Project Management	Project efficiently managed and implemented within the agreed time frame	Project Management structures and processes established and functioning efficiently	Staff with necessary skills and expertise Office space and equipment necessary for smooth running of project secretariat acquired Operational procedures/ manuals for effective management and administration developed in consultation with REC representatives Financial management procedures and procurement policies developed and necessary software acquired Transport are available and functional Project partnerships functioning smoothly Monitoring systems functioning effectively and informing work planning and project implementation

4. Executing arrangements

7. The roles and responsibilities in relation to project implementation (oversight, management and guidance/ technical advice) are shown schematically in **Error! Reference source not found.** below. The Implementing agency of the Project is UNEP, while the IUCN is the Executing Agency, in partnership with Ministry of Agriculture (Botswana), Ministry of Agriculture (Namibia) and Ministry of Agriculture (South Africa).

8. UNEP was to provide co-ordination of the activities of partners, technical and scientific expertise and enhancement of regional cooperation. More specifically, UNEP was to be in charge of the transfer of financial resources needed for execution of the project; approval of expenditures on activities; membership of the policy/steering committee and various advisory groups (e.g. M&E Special Advisory Group (SAG), Knowledge Management SAG, etc.) of the project; monitoring and evaluation of execution and output performance in consultation with the IUCN; commissioning mid-term and final evaluations of the project; and ensuring co-management of funds.

9. IUCN is the Executing Agency for this project in partnership with Ministry of Agriculture (Botswana), Ministry of Agriculture (Namibia) and Ministry of Agriculture (South Africa). IUCN was to constitute a regional project coordination unit as well as perform the SADC liaison function. IUCN was to execute the project through a Project Regional Coordination Unit comprised of technical and administrative staff to manage the day-to-day implementation of the project. The Project staff was to include a Kalahari Project Manager who would be the Official Project Contact with UNEP on technical and administrative matters (including reporting) and the SADC Focal point. The Project Manager was to supervise the overall project implementation and lead the implementation of the monitoring, evaluation and learning objectives. Administrative Assistants were to provide administrative and logistical support to the project.

10. The agencies involved in the implementation in the three countries are as follows:

Country	Focal Department	Implementation
Botswana	Ministry of Environment, Wildlife and Tourism (Department of Environmental Affairs)	Department of Forestry and Range Resources
Namibia	Ministry of Environment and Tourism (with Ministry of Lands and Resettlement and Ministry of Agriculture, Water and Forestry)	Country Partnership Programme (CPP) Implementation Unit (National Steering Committee and other governing structures already in place)
South Africa	Department of Agriculture - National and Provincial (Northern Cape Province)	Northern Cape Department of Agriculture, Land Reform and Rural Development
Regional Component	Regional coordination group (consists of representatives of national focal points, UNEP, key experts)	

11. National Focal Points (NFPs) and National Field Officers (NFOs) were to be appointed by participating governments at the start of the project to implement and coordinate intra-country activities. Ideally NFPs and NFOs would be located in a government department that had major responsibilities for sustainable land management issues. It was to be the task of the NFPs and NFOs to bring together all institutions and organisations that were interested in sustainable land management such as government departments, national research institutions, universities and training institutions, national and international NGOs, etc. Country activities were to be implemented by national institutions or experts appointed by IUCN on the advice of the Senior Programme Officer (SPO), the Project Officer and the NFPs.

12. A Technical Advisory Group (TAG) was to be established to provide technical and methodological expertise to the project at national and regional level. The TAG was to advise the Project Management Unit on implementation problems that emerged and ensure the technical soundness of the project outputs.

13. A Project Steering Committee (PSC) was to be established to guide the implementation of the project. The PSC was to review project implementation and provide technical guidance to the project management and ensure that the project was implemented in line with the approved work plans. The PSC was also to review and evaluate the objectives and outputs of the project during implementation as well as respond to emerging issues as they arose.

14. National Project Steering Committees (NPSC) were to be established in each of the participating countries to guide the implementation of the project at the national level. The NPSC was to review project implementation and provide technical guidance to the project management and ensure that national level activities were implemented in line with the approved work plans. The NPSC was to be responsible for national representatives to participate in Regional Forums.

15. A Regional Transboundary Management body was to be established between the three participating countries to strengthen collaboration and improved regional management of natural resources during execution of the project.

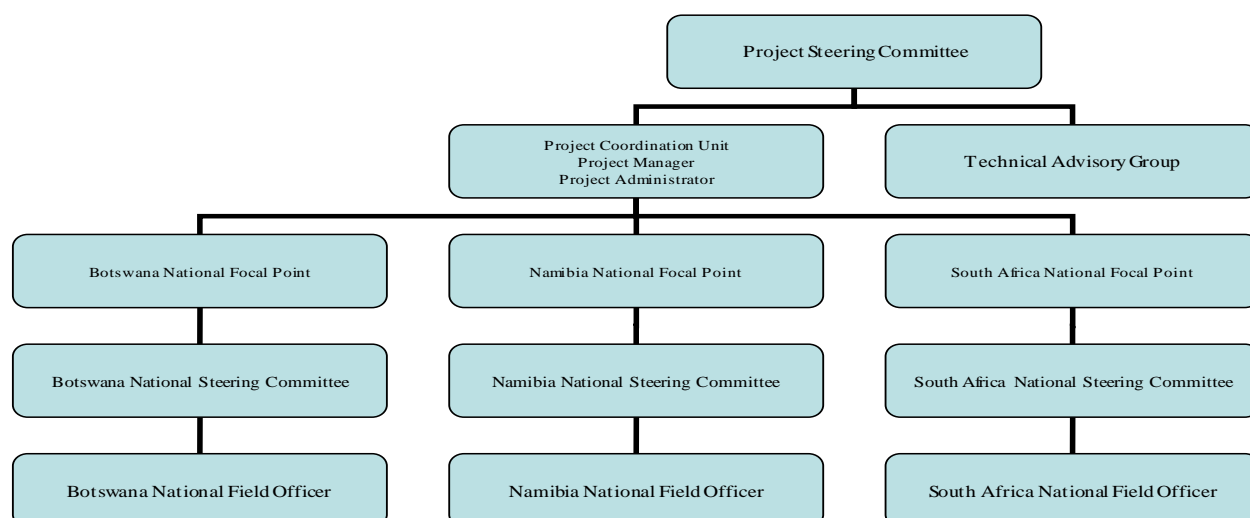


Figure: Kalahari Namib Organisational Chart (ProDoc)

5. Project cost and financing

16. As stated in the Project Document, the total cost of the project over the four-year implementation was estimated at US\$ 7,175,000. Of this, US\$ 2,175,000 was provided as the GEF Grant. The total co-finance (cash and in-kind contributions) committed to the project was US\$ 5,000,000 which represents 70% of the total cost of the project, see table 3 below.

Table 1.3: Component financing including co-finance

Project Components	Indicative GEF financing (\$)	%	Indicative co-financing (\$)	%	Total (\$)
1. Baseline Assessment (inventory, analysis and prioritization of SLM opportunities and challenges)	273,549	35	500,000	65	773,549
2. Community-based SLM (including pilot demonstration of best practices) and Transboundary Management of Molopo-Nossob River Basin	812,549	29	2,006,360	71	2,818,909
3. Enhanced Regional Decision-Making and Exchange of Best Practices	413,049	43	550,000	57	963,049
4. Income Generating Activities Supported by Improved Services	345,549	19	1,500,000	81	1,845,549
5. Monitoring and Evaluation	130,000	45	156,000	55	286,000
6. Project management	200,304	41	287,640	59	487,944
Total project costs	2,175,000	30	5,000,000	70	7,175,000

17. The major cost of the project is for specific activities of Component 2: Community-based SLM (including pilot demonstration of best practices) and transboundary management of the Molopo-Nossob River Basin estimated at US\$ 2,818,909 (39% of total project cost). This is followed by Component 4: Income generating activities supported by improved services estimated at US\$ US\$ 1,845,549 (26% of total) and Components 3: Enhanced Regional Decision-making and exchange of best practices estimated at US\$ 963,049 (13% of total) and Component 1: Baseline Assessment estimated at US\$ 773,549 (11% of total cost of project).

18. The sources and type of co-finance mobilized is indicated in table 5.

Table 1.4: Sources and type of co-finance

Co-financing classification	Cash	In-kind	Total	%
Botswana Government	976,282	730,506	1,706,788	34
Namibia Government	850,000	888,800	1,738,800	35
South Africa Government	157,707	835,807*	993,514	20
IUCN (Executing Agency)	-	560,898**	560,898	11
Total co-financing	1,983,989	3,016,011	5,000,000	

* Negotiation was on-going with South Africa at the time of project design to increase its co-finance contribution by this amount to match the other countries

**Euros 400,481 (1Euro = 0.714 USD)

6. Implementation issues

19. The project was supposed to carry out a mid-term review, but this was not done at the request of the Regional Steering Committee as there were delays in project implementation. Instead, a rapid review of the project was commissioned in February 2017 to assess operational aspects, such as project management and implementation of activities, and the level of progress towards the achievement of the objectives.

20. According to the rapid review, the project was initially supposed to be implemented from April 2011 to July 2015 but suffered delays because of staffing and other challenges. A no-cost extension was sought, and this was only granted in June 2016 for the project to be concluded by the 30th June 2017. As such, minimal project activities were carried out between March 2015 and July 2016 due to contractual reasons. The project received additional extensions, one in June 2017 and one in June 2018, each granting no-cost extensions for one year.

21. The rapid review concluded that the project achieved most but not all of its objectives; however, the monitoring framework was generally weak and needed to be revised, and the project did not have adequate staff to run the project both regionally and at national level. It also noted that the project outcome was affected by the delays and time lost before and during implementation of the project, especially in Namibia and Botswana. The projects being implemented by communities could not be completed on time and opportunities for sharing lessons and experiences were lost. Upscaling was not done as the pilot projects were not completed on time. The review recommended that the project focus on key activities at the community level that could produce results or make realistic contributions to the communities within the remaining timeframe of the project.

Section 2: OBJECTIVE AND SCOPE OF THE EVALUATION

7. Key evaluation principles

22. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

23. **The “Why?” Question.** As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultant’s mind all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was and make a serious effort to provide a

deeper understanding of “*why*” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

24. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluator should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

25. **Communicating evaluation results.** A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultant which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

8. Objective of the evaluation

26. In line with the UNEP Evaluation Policy⁷⁸ and the UNEP Programme Manual⁷⁹, the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and 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 operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and IUCN ESARO, 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. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

9. Key strategic questions

27. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution:

- a. To what extent have the project interventions addressed the identified barriers, gaps and challenges to sustainable land management in the Kalahari-Namib ecosystem within the three countries (access to land and land rights, inappropriate and unsustainable farming practices, absence of alternate livelihood opportunities, enabling environment/policy gaps, lack of trans-boundary coordination, etc.)?

⁷⁸ <https://www.unenvironment.org/resources/other-evaluation-reportsdocuments/evaluation-policy-2016>

⁷⁹ This manual is under revision.

- b. To what extent did the project's focus on local and regional capacity development and knowledge management improve decision making (at all levels) and regional cooperation?
- c. To what extent were the project's successful land management pilots/practices scaled up and replicated across borders and countries in the Kalahari-Namib ecosystem? In relation to this, how robust are the project's mechanisms for sharing lessons learned and best practices, replicating the site and stakeholder approaches applied at the pilots, and scaling up a refined model both nationally and regionally? Were any of these best practices developed by this project out-scaled in other drylands in the southern Africa region?
- d. Under efficiency, what was the cost of the several 'no cost extensions' against the GEF trust fund and, if there was a cost, how and by whom was it covered?

10. Evaluation criteria

28. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

A. Strategic Relevance

29. The evaluation will assess, in line with the OECD/DAC definition of relevance, *'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'*. The evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. Alignment to the UNEP Medium Term Strategy⁸⁰ (MTS) and Programme of Work (POW)

30. The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. Alignment to UNEP / Donor/GEF Strategic Priorities

31. Donor, including GEF, strategic priorities will vary across interventions. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

iii. Relevance to Regional, Sub-regional and National Environmental Priorities

⁸⁰ UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

32. The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. Complementarity with Existing Interventions

33. An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

B. Quality of Project Design

34. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unep.org/evaluation). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

C. Nature of External Context

35. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Delivery of outputs

36. The evaluation will assess the project's success in producing the programmed outputs (*products, capital goods and services resulting from the intervention*) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their

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 supervision⁸¹

ii. Achievement of Direct Outcomes

37. The achievement of direct outcomes (short and medium-term effects of the intervention's outputs; a change of behaviour resulting from the use/application of outputs, which is not under the direct control of the intervention's direct actors) is assessed as performance against the direct outcomes as defined in the reconstructed⁸² 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's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised. Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

iii. Likelihood of Impact

38. Based on the articulation of longer term effects in the reconstructed TOC (*i.e. from direct outcomes, via intermediate states, to impact*), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

39. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.⁸³

⁸¹ In some cases 'project management and supervision' will 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 provided by UNEP.

⁸² UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

⁸³ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <https://www.unenvironment.org/about-un-environment/why-does-un-environment-matter/environmental-social-and-economic>

40. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication⁸⁴ as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

41. Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by UNEP's Expected Accomplishments, the Sustainable Development Goals⁸⁵ and/or the high-level results prioritised by the funding partner.

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

E. Financial Management

42. Financial management will be assessed under two themes: *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision.

F. Efficiency

43. In keeping with the OECD/DAC definition of efficiency the evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

44. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies

⁸⁴ Scaling up refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer-term objective of pilot initiatives. Replication refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

⁸⁵ A list of relevant SDGs is available on the EO website <https://www.unenvironment.org/about-un-environment/evaluation>

and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

45. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties. Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

G. Monitoring and Reporting

46. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

i. Monitoring Design and Budgeting

47. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART⁸⁶ indicators towards the delivery of the projects outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

ii. Monitoring of Project Implementation

48. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

iii. Project Reporting

49. UNEP has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g. disaggregated indicators and data)

H. Sustainability

50. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the

⁸⁶ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

51. The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

52. Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

53. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained. Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors and Processes Affecting Project Performance

(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above)

i. Preparation and Readiness

54. This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing

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

ii. Quality of Project Management and Supervision

55. In some cases 'project management and supervision' will 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. Here the term 'stakeholder' should be considered in a broad sense, encompassing all 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 what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and 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

60. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to direct outcomes or b) moving forward from direct outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs of interest of all gendered and marginalised groups.

vi. Communication and Public Awareness

61. The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project

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 (FCCC), 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 country, South Africa's National Environmental Management Act (NEMA) of 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.
- b. Interviews** (individual or in group) with:
- UNEP Task Manager (TM): Adamou Bouhari;
 - UNEP Fund Management Officer: Paul Vrontomitis;

- UNEP Sub-Programme Coordinator: Marieta Sakalian;
- Executing Agency: IUCN-ESARO;
- Project partners, including:
 - **South Africa:** Department of Agriculture, Forestry and Fisheries (South Africa) and Department of Environmental Affairs (South Africa);
 - **Botswana:** Ministry of Environment, Wildlife & Tourism (Botswana); BORAVAST Trust (Bokspits, Rapples Pan, Vaalhoek and Struizendam – Trust);
 - **Namibia:** Ministry of Agriculture, Water and Forestry Namibia; Ministry of Lands and Resettlement Namibia; Ministry of Environment and Tourism Namibia; Namibia Nature Foundation (Namib-Karoo ecosystem); Regional councils of Omaheke and Hardap
- Relevant resource persons.
- c. **Surveys** [to be defined during inception phase, if any]
- d. **Field visits** to select project sites in Botswana, Namibia and South Africa [to be specified during inception phase]
- e. Other data collection tools.

10. Evaluation deliverables and review process

64. The evaluation team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** (see links in Annex 1) containing an executive summary that can act as a standalone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- **Evaluation Bulletin:** a 2-page summary of key evaluation findings for wider dissemination through the EOU website.

65. **Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

66. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly

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 any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

The consultant will be hired for 6 months spread over the period September 2019 to February 2020 and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 10 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of sustainable land management, along with excellent writing skills in English; and, where possible, knowledge of the UN system, specifically of the work of UNEP.

In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the evaluation and timely delivery of its outputs, data collection and analysis and report-writing. More specifically:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager.

Data collection and analysis phase of the evaluation, including:

1. conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
2. (where appropriate and agreed) conduct an evaluation mission(s) to selected countries, visit the project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the evaluation and confidentiality of evaluation interviews.

3. regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
4. keep the Project/Task Manager informed of the evaluation progress and engage the Project/Task Manager in discussions on emerging findings throughout the evaluation process.

Reporting phase, including:

5. draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
6. liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
7. prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
8. prepare a 2-page summary of the key evaluation findings and lessons.

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

Annex 7 – Assessment of the Quality of the Evaluation Report

Title 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

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to evaluation consultants, especially at draft report stage. This guidance is provided to support 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		
<p>Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p>Final report: <i>(Exec Summaries are not always provided at draft stage)</i></p> <p>Executive Summary provides concise overview of main findings.</p>	4
<p>I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p>	<p>Final report:</p> <p>Solid introduction, all elements covered. Limitations of the evaluation covered here.</p>	5

<p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>		
<p>II. Evaluation Methods This section should include a description of how the <i>TOC at Evaluation</i>⁸⁷ was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section. The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?</p>	<p>Final report: Concise and covers all elements. Ways in which gender inclusivity was addressed is covered. Limitations are covered under introduction.</p>	<p>5</p>
<p>III. The Project This section should include:</p> <ul style="list-style-type: none"> • <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human 	<p>Final report: All sub headings covered. Stakeholder analysis is appreciated.</p>	<p>5</p>

⁸⁷ During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

<p>well-being (i.e. synopsis of the problem and situational analyses).</p> <ul style="list-style-type: none"> • <i>Objectives and components</i>: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders</i>: Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners</i>: A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation</i>: Any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing</i>: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>Both the budget and secured funds are discussed here.</p>	
<p>IV. Theory of Change</p> <p>The <i>TOC at Evaluation</i> should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/ revised Prodoc logframe/TOC and b) as formulated in the <i>TOC at Evaluation</i>. <i>The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'</i>.</p>	<p>Final report:</p> <p>The formulation of results in the project design documentation was not consistent with international standards and reconstruction of the TOC was required to make the project evaluable. Adjustments to the original results formulation is presented and detailed table of how it was reconstructed is presented as an annex.</p>	5
<p>V. Key Findings</p> <p>A. Strategic relevance:</p> <p>This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during</p>	<p>Final report:</p> <p>Extensive discussion with interesting detail in relation to the project design and project implementation stages. Also an interesting and</p>	6

<p>inception/mobilisation⁸⁸), 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:</p> <ol style="list-style-type: none"> 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 	<p>useful table showing how the project has responded to community priorities.</p>	
<p>B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report: Detailed summary.</p>	<p>5</p>
<p>C. Nature of the External Context For projects where this is appropriate, key <u>external</u> features of the project’s implementing context that limited the project’s performance (e.g. conflict, natural disaster, political upheaval⁸⁹), and how they affected performance, should be described.</p>	<p>Final report: No external, unanticipated unfavourable context to discuss. Discusses land tenure.</p>	<p>4</p>
<p>D. Effectiveness (i) Outputs and Project Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Final report: Detailed description of findings, presented in table format. Some information to be confirmed in the preliminary findings call, still to be confirmed. While the content is coming through, the consistency in presentation needs some work.</p>	<p>5</p>
<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p>	<p>Final report: Likelihood of impact is discussed at the level of Intermediate States and presented in an accessible table format.</p>	<p>5</p>

⁸⁸ A project’s inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

⁸⁹ Note that ‘political upheaval’ does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project’s design and addressed through adaptive management of the project team.

<p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>		
<p>E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • <i>Adherence to UNEP's financial policies and procedures</i> • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	<p>Final report: This has been combined with other factors affecting performance under a heading of Project Management and Steering. The sub-topics are discussed in detail, need to be reviewed again after the call on preliminary findings and cover many of the Factors Affecting Performance. Additional financial information is presented as an annex.</p>	<p>5</p>
<p>F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint. 	<p>Final report: Detailed discussion covering all elements.</p>	<p>6</p>
<p>G. Monitoring and Reporting How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor reports</i>) 	<p>Final report: Detailed discussion of project's weaknesses in monitoring.</p>	<p>5</p>

<p>H. Sustainability</p> <p>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:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability 	<p>Final report:</p> <p>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.</p>	<p>3</p>
<p>I. Factors Affecting Performance</p> <p>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:</p> <ul style="list-style-type: none"> • Preparation and readiness • Quality of project management and supervision⁹⁰ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards • Country ownership and driven-ness • Communication and public awareness 	<p>Final report:</p> <p>Covered within the text above.</p>	<p>5</p>
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section.</p> <p>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</p>	<p>Final report:</p> <p>Useful summary of findings under key sections is provided.</p>	<p>5</p>

⁹⁰ In some cases 'project management and supervision' will 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 provided by UNEP.

recommendations, should be consistent with the evidence presented in the main body of the report.		
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: Detailed lessons are provided.	5
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Final report: Recommendations relate to future project designs.	5
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: Largely follows structure while presenting considerable detail.	5
ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: Initial sections well written – style under the Findings is more varied and presents detailed information.	4
OVERALL REPORT QUALITY RATING		4.85

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	Y	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	Y	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	Y	
4. Was the evaluator contracted directly by the Evaluation Office?	Y	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	Y	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		N
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		N/A
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	Y	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	Y	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	Y	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		N
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	Y	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	Y	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	Y	
15. Did the project make available all required/requested documents?		N
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?		N
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?		N
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	Y	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?		N
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	Y	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	Y	
22. Was the TOC in the inception report peer-reviewed?	Y	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	Y	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	Y	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	Y	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	Y	

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.

<u>Process Criterion Number</u>	<u>Evaluation Office Comments</u>