United Nations Environment Programme

Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)

UNEP Programme ID: GFL/2328-2770-4A79; 2184

Terminal Evaluation

Justine Braby (PhD)

Evaluation Office

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Contents

Acronyms and Abbreviations

ACDP	Association of Church Development Projects (Uganda)
CEAD	Centre for Environment, Agriculture and Development (UKZN, South Africa)
CILSS-ECOWAS	Permanent Interstate Committee for Drought Control in the Sahel - Economic Community of West African States
CIS	Centre for International Cooperation (Vrije Universiteit Amsterdam, Netherlands)
DEAT	Department of Environment, Agriculture, Tourism (South Africa)
EoPT	End of Project Target
GEF	Global Environment Facility
GEF-LDFA	GEF Land Degradation Focal Area
IGAD	Intergovernmental Authority for Development
IUCN	International Union for the Conservation of Nature
KAGERA	Kagera Basin River Management Project
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries (Uganda)
MSP	Medium Sized Project
MTR	Mid Term Review
MTS	Medium Term Strategy
NACIA	Nakulonge Community Initiative Association (Uganda)
NAP	National Action Plan (UNCCD)
NAPA	National Adaptation Plan of Action
NARO	National Agricultural Research Organisation of Uganda
NSC	National Steering Committee
PFI	Promoting Farmer Innovation Project
PIR	Project Implementation Review
POW	Programme of Work
PROLINNOVA	Promoting Local Innovation
RECPA	Rwoho Environmental Conservation Protection Association (Uganda)
SADC	Southern African Development Community
SIP	Strategic Investment Programme
SLM	Sustainable Land Management
SRI	Sustainable, Replicable, Inclusive
TAG	Technical Advisory Group
TE	Terminal Evaluation
TEES	Technically effective, Economically valid, Environmentally friendly, Socially acceptable
TOC	Theory of Change
UDS	University of Development Studies (Ghana)
LDFA	Land Degradation Focal Area
UKZN	University of KwaZulu-Natal
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention on Combating Desertification and Drought
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
VU	Vrije Universiteit Amsterdam (Netherlands)
ZEFP	Zasilari Eco Farm Project (Ghana)

Project Identification Table

Table 1: Project Summary of the SCI-SLM project as revised by the Terminal Evaluation

UNEP Priority:	Ecosystem Management	**IMIS number:**	GFL/2328-2770-4A79
GEF project ID:	2184	**Project Type:**	Medium-sized Project (MSP)
GEF Strategic Program for GEF IV/V:	LD- SO2 (GEF 4); LD-SP-1 and LD-SP 3 (GEF 5)	**Focal Area(s):**	Land Degradation
Executing Agency:	University of KwaZulu-Natal	**Participating Countries:**	Ghana, Morocco, South Africa, Uganda
GEF approval date:	16 June 2009	**UNEP approval date:**	24 July 2009
Actual start date:	15 September 2009	**Actual completion date:**	31 December 2014
PPG GEF cost*:	US$ 25,000	**PPG co-financing*:**	US$ 16,500
Expected MSP/FSP Co-financing*:	$1,182,181	**Total Cost*:**	$2,136,072
GEF Allocation:	US$ 912,391.00	**Disbursement as of 30 June 2014*:**	$759,714
Expected MSP co-financing (cash and in-kind):	$ 1,182,181.00	**Secured MSP co-financing:**	$ 0
Date of Completion:	N/A	**Actual expenditures reported as of 31 March 2014:**	US$ 612.566
First Disbursement:	13 January 2010	**Date of last Steering Committee meeting:**	24-28 Sept 2012
No. of revisions:	0	**Terminal Evaluation (actual date):**	September 2015 -March 2016
Mid-term evaluation (actual date)	June 2010		

Executive Summary

A. Introduction

1. The medium-sized project 'Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)' was implemented through UNEP, and executed through the UKZN CEAD in coordination with four partner countries. Individual country programmes were implemented by South Africa, Uganda, Ghana and Morocco. Methodological support was provided by the CIS.

2. The overall objective of the SCI-SLM was to **'refine ways of stimulating the further improvement and spread of community-based sustainable land management initiatives while developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four pilot countries in Africa'**.

3. A Terminal Evaluation of this project was conducted after project closure, as is the requirement of all UNEP projects. The aim of this evaluation was to assess project performance, determine its outcomes and impacts as well as their sustainability, and identify valuable lessons learnt and next steps of the SCI-SLM.

B. Evaluation Findings and Conclusions

4. *Strategic Relevance:* The project was consistent with global environmental needs (and achieved global environmental benefits), aligned with GEF-LDFA, SIP, UNEP mandate, UNEP MTS and its PoWs, and the Bali Strategic Plan. The project worked on national and regional priorities with regards land degradation. Gender balance and stakeholder participation was particularly strong in this project. Strategic relevance is rated as Highly Satisfactory.

5. *Achievement of Outputs:* The first few outputs were fully achieved. Not all four community initiatives in each country were upscaled to another community. This may have been linked to under-budgeting during planning, because resources were not sufficient to undertake all the community exchanges necessary for all upscaling. This said, most communities upscaled even further than just one community, and from country visits during the evaluation, it was clear that there had been increased horizontal spread. Policy maker influence was not what was hoped, mainly due to lack of communication and also dwindling government interest in some of the countries (mainly as a result of different priorities). Achievement of outputs is rated as Satisfactory.

6. *Effectiveness - Attainment of Objectives and Planned Results:* For the purpose of the evaluation and the Theory of Change, the outcomes (which read like components in the project document) were reformulated into the following:

1. Increased knowledge on social and technical innovations in all four countries,
2. Larger numbers of communities have used/replicated the innovative solutions to their activities,
3. Policy makers are aware of the innovative initiatives and institutionally support their upscaling, and
4. Increased and strengthened institutional embedding on SLM initiative upscaling at country and regional level.

7. While some of the outcomes (especially Outcome 2 and 3) may have had weaker achievements, the SCI-SLM managed to achieve major strides towards upscaling community-driven initiatives in the four countries, especially considering this was a medium-sized project budget-wise with full-size project ambition. The fact that some outcomes did not come completely to fruition (e.g. not all four initiatives upscaled in some countries, like Ghana and Uganda) means that the assumption that available financial and human resources would be adequate did not hold.

8. Increased knowledge on especially the social innovation principles, with more stakeholders and practitioners understanding these principles, may be one of the biggest successes of this project, and one that should be replicated (through broad use of methodology) into SLM projects, especially in Africa. This has a strong potential of moving towards impact, especially if communities themselves come up with and share their own innovations, a notion that has been (unfortunately) underestimated and thus deemed by the Evaluator a missed opportunity for too long.

9. There have already been a number of moves coming out of the outcomes of the project toward the intermediate states. Organic increases in communities implementing the SLM initiatives exposed by the SCI-SLM are underway, and there has been a large increase between project closure and the evaluation visit already.

10. There has been improved targeted investment, through small-scale funding mostly, at community level, through communities and NGOs accessing funds they were previously not able to, as a result of their exposure through the SCI-SLM (which had knock-on effects of more exposure).

11. Despite there being some uptake and institutional embedding vertically, it is a shame, given the project's potential and results, that this is not much more. In addition, with understanding that the budget was too limited, a larger media advocacy campaign through a strategic communications strategy could have gone a long way to improve vertical upscaling.

12. The likelihood of achievement of project impact (improved land/ecosystem health and improved wellbeing through, among others, improved food security - *social cohesion and innovations applied to SLM initiatives regionally and knowledgeable community of practice through local knowledge-science interface, with social cohesion and community confidence at the core* is examined using the ROtI analysis and TOC. A summary of the results and ratings can be found in Table 7.

13. The overall likelihood that the long term impact will be achieved is rated on a six-point scale as Highly Likely (BA+). This rating is based on the following observations:

(a) The project's intended outcomes were (mostly) delivered and had large evidence-based catalytic moves towards the intermediate states. For instance, the increased knowledge on social and technical innovations gave even more ownership and pride at community level understanding that they were in fact doing innovative SLM, which then had a domino effect on near-by communities. This in turn motivated government and NGO agencies to further support them and give them more exposure.

(b) The potential for this project is vast, and if properly absorbed into larger programmes (e.g. GEF LD umbrella, climate change adaptation funding), as well as into regional and national priority programmes, it has the potential to reach impact (for instance, exchange visits at national and international level are a highly valued tool for South-South cooperation and exchanges).

(c) Already, organically, small-scale funding opportunities are opening up directly to the communities who were exposed through their initiatives (although it must be highlighted here that this is not sufficient as of yet in terms of what needs to be done), and various governments are using their own funding and lobbying for more externally to further implement the elements of SCI-SLM. This means that more communities will be involved and exposed to this methodology.

(d) Generally, if Africa realises its own potential in innovation around SLM, especially at community level, like this project has shown, it can do vastly better than copying and pasting approaches from elsewhere in the world.

14. The purpose of the project was to stimulate community initiatives for further upscaling into other communities in four countries in Africa. The hope of the project, was that the methodology (including characterisation, exchange visits, and community centre of learning) would be replicable into other SLM related projects, and that there would be spread in innovation as a result.

15. The SCI-SLM went beyond achieving its project goal in that it was a novel and replicable approach to the way that land degradation is addressed in Africa, and indeed elsewhere. There needs to be more effective integration of the various elements of methodology into the wider global arena.

16. The overall rating for Effectiveness is Satisfactory.

17. *Sustainability and Replication:* Given the large emphasis on stakeholder participation and involvement, community ownership, and catalyst environment of small scale financing, there are certainly elements of sustainability in the project. This was rated as Likely.

18. *Efficiency:* The achievements of this project far exceeded the budget and time that was available. The rating for Efficiency is Highly Satisfactory.

19. *Factors affecting Project Performance:* The project was well prepared and mostly feasible. Some elements may have been slightly under-budgeted. Project implementation went very well at country level, technical coordination at regional level could have been stronger. Financial management was effective, although there were comments about the bureaucracy and red tape that delayed fund transfers to the countries. Stakeholder participation and partnerships were strong in the project and a best practice example of how to do this effectively, especially at design phase. Given the immense potential of impact this project could have, more should have been done on communication and outreach of the project results. Country ownership and drivenness was embedded into the project design. Monitoring and evaluation followed the design but could have been better in terms of collection of real results along the way - the SCI-SLM book does a good job of harnessing the information and lessons from the project.

C. Conclusions

20. Land degradation continues to be a major problem that threatens food security and thus the very lives of people affected. This will affect the entire global population if we carry on with business as usual and climate change takes its course to further exacerbate conditions. The global community is desperate to find the right mix of solutions that promote human wellbeing and promote ecosystem health. This project aimed to refine ways of stimulating the further improvement and spread of community based SLM initiatives while developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four African countries. It's rationale was that a number of local communities have found contextual innovation that improves their land and their wellbeing, often through the social cohesion of the community to further uptake their technical innovations. SCI-SLM found those communities and certainly, through its platforms, gave them exposure and sharing mechanisms to upscale these into other communities, creating a small-scale domino effect. The project, in terms of its objective, achieved what it set out to do.

21. The methodology of the SCI-SLM, and its evolution, was surely one of the key contributions made. It was well-planned, meticulous and based on vast experience with previous projects. Two chapters in the SCI-SLM book elaborate on the methodology. The SRI-test, which developed later into the SERR-test, and the TEES test, are certainly part of the broad methodology that could be a useful guideline for any SLM project intervention.

22. Within this methodology, stems the difference between social and technical innovation, which, despite the confusions around definitions of these in the initial stages of the project, was

threaded out sufficiently to give a very good understanding of the two and what true innovation really is. During the project, there was a need to filter out what was merely just 'good practice' and identify the complex mechanisms in which innovation comes, and stays.

23. Some of the communities may have not necessarily been doing what would be defined as technical innovation, but their social innovation is what drove their initiative. It is this that causes the spread of anything novel. Any technical innovation cannot move or spread without an element of social innovation. It is the social cohesion, and the way a community is organised, that causes real spread, and replication, and makes initiatives stick much longer than any outside intervention would.

24. The spread of innovation is something that was, in some ways, tested through this Terminal Evaluation. Though extremely difficult to quantify, the evaluation could see the organic spread of innovations into nearby communities (and in some countries, counties and districts). This could be seen as a change in the attitudes and appreciation of the communities, and inherits sustainability as a result. The TOC tried to glue the spread of innovation into its overall outcomes to impacts.

25. Community exchange visits, in particular, had immense power to spread innovation. This was, without a doubt, the crux of the project. The fact that the communities became centres for learning, even years later (e.g. in Uganda, Moatani and Bandera 2000 showcase their work and to training for communities who visit them), illustrates the importance of peer learning exchange.

26. International exchange visits did a lot to instil confidence into communities on the initiatives they were doing. It also provided a good platform for researchers from different countries to share their challenges and solutions with what was often found to be the same root problems. More often than not the social structures of the communities was what differentiated the levels of success overcoming these problems. Creating that platform was vital for regional spread.

27. Capacity building for various stakeholders (e.g. extension officers, government officials, NGOs, community beneficiaries), especially on the methodology, did a lot to build a pool of SCI-SLM knowledgeable people who are now able to integrate these further into their own work programmes.

28. Stakeholder engagement in the process of the project from design to implementation was impeccable. Gender equality was certainly improved through the project implementation, with women empowerment (through women to women exchanges instilling confidence, as well as improving women participation) being at the crux of many of the initiatives. In many of the initiatives there were strong youth elements (e.g. RECPA had youth awareness programmes, Moatani had a youth group).

29. The exposure brought by SCI-SLM led many communities to have greater access to global actors and funding mechanisms. For instance, RECPA, through its work, has many institutions coming to visit (e.g. World Bank, IUCN, Bandera 2000 was able to access funding through small grants). The project certainly created a catalytic environment towards small scale funding and further exposure to the international environment.

30. A whole chapter of the SCI-SLM book is dedicated to the global environmental benefits of the project. Through the technical innovations (and less novel interventions but fast spread due to social innovation) and its spread, various forms of improved land management was felt. Soil fertility improvements were conducted through better soil management, having an improved impact on soil carbon. Community forest management, through some of the community initiatives (e.g. South Africa, Uganda), as well as rehabilitation of degraded lands, vastly improved land health and also led to much greater areas under effective management. Holistic rangeland management further enhanced the way that land is managed. With this in mind, the project vastly improved livelihoods and enhanced food security in the areas, thereby also reducing poverty.

31. Given the high level of ownership at country level, the catalysing environment for exposure and possible funding, as well as community exchanges, the project has the potential to have elements of sustainability and even organic upscaling. However, much more is needed if global reach is to be made (or even reach into broader dryland Africa).

32. The project was highly efficient in terms of what it managed to achieve with the available resources and manpower it had.

33. Most of the countries did not have a strong element of policy-maker influence, and some countries lacked to get sufficient involvement from Government. This may have been out of the project's control but meant that the assumption that policy makers will naturally be interested and motivated around SLM did not hold (see paragraph 137 to 140, especially the Morocco case).

34. In fact, communication upwards especially was not strong in this project. There were a few country level communication awareness and outreach techniques for certain target groups (e.g. Radio shows in Uganda, journalism narratives in media in Uganda, policy brief for cabinet in South Africa, extension officers being used as a medium for information transfer in Ghana, video documentaries in Morocco, Ghana and Uganda). There was one regional policy brief on the methodology. These were certainly helpful and given the project budget a lot was achieved under this umbrella. However, given the potential for spread of this project and the power that it had to change people's lives, there should have been more emphasis placed on developing an effective communications strategy at regional level, and indeed for broader uptake in the GEF community. This said, it is the hope that the book will do just that, as it packages the key information of the project very nicely. This will however depend on the level of dissemination, and who the intended target groups are.

35. Depending on the further spread, both vertically and horizontally of the project, and the level of further support that GEF and others can give to this spread, the project has real potential of building towards the TOC impact.

36. With these conclusions in mind, the project is rated as **Satisfactory**.

Table 2 Summary assessment and ratings by evaluation criterion for the SCI-SLM project

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project was consistent with global environmental needs as well as aligned with regional and national priorities as pertain to land degradation related issues. It was consistent with GEF-4 LDFA strategy, was a constituent part of SIP, was aligned to the UNEP Mandate and linked to the expected accomplishment of the MTS and its PoWs, and aligned to the Bali Strategic Plan. Gender balance was a strong component of SCI-SLM, as was stakeholder participation.	**HS**
B. Achievement of outputs	Most outputs were achieved with the achievement of outputs 1.3, 2.2., 2.3., 3.2. were not necessarily fully achieved, mostly due to budget constraints, but also elements outside of the control of the project (e.g. interest of policy makers in Morocco was not strong), This said, achievement of outputs was significant given the available resources.	**S**
C. Effectiveness: Attainment of project objectives and results	Given what the project set out to achieve, it met most of its outcomes in such as way that it could have a knock-on effect to impact.	**S**
1. Achievement of direct outcomes	The SCI-SLM made major strides towards upscaling community driven initiatives in the four countries. The fact that some outcomes did not come fully to fruition may have been a result of under-budgeting at design phase. There has been strong organic upscaling of communities nearby, but support is still needed to further embed this.	**S**
2. Likelihood of impact	The project's intended outcomes were (mostly) delivered and had large evidence-based catalytic moves towards the intermediate states. The potential of this project is vast and if absorbed into global planning and funding could very likely cause large strides towards impact. South-South cooperation was a highly valued tool.	**BA+**

Criterion	Summary Assessment	Rating
3. Achievement of project goal and planned objectives	The project went beyond achieving its project goal and objective.	**S**
D. Sustainability and replication		
1. Financial	At national level and local level there have been strong moves toward catalytic financing for sustaining elements of SCI-SLM. Despite the vast potential, there has not been enough interest from the broader global community.	**L**
2. Socio-political	Levels of awareness are good on the importance of curbing land degradation. There are no serious political or social situations in the countries that could hinder sustaining results of the project.	**L**
3. Institutional framework	In some countries this is stronger than others.	**L**
4. Environmental	As opposed to business as usual, SCI-SLM has caused improved environmental benefits. Generally if these are sustained then the environment will continue benefitting. It also has natural resilience components integrated into it - SCI-SLM communities are already naturally more resilient.	**L**
5. Catalytic role and replication	The project has had several catalytic elements to it. The potential for replication and further upscaling is large.	**L**
E. Efficiency	SCI-SLM did not have any major delays that impacted on results of the project. Given the short timeframe, a lot was achieved. Cost-effectiveness was extremely high given the amount of achievements and potentials for upscaling and replication.	**HS**
F. Factors affecting project performance		
1. Preparation and readiness	Apart from possible under-budgeting of some activities, the project had enough time to evolve and adapt (given the long delays from GEF in project approval) and be well planned.	**S**
2. Project implementation and management	Project implementation was generally strong. Project management was generally good administratively and in terms of remote guidance, but not enough country visits were made, according to respondents. TAG and the Project Steering Committee, as well as the UNEP Task Manager was very strong in their support and guidance, especially TAG went out of their way in terms of face to face support. National Steering Committees had varying levels of success in different countries.	**S**
3. Stakeholders participation and participation	Stakeholder participation was very strong in this project and can be considered best practice.	**HS**
4. Communication and public awareness	Some activities took place, but in terms of sustainability, project could have benefitted from an outreach or communications strategy	**MS**
5. Country ownership and driven-ness	Very strong country ownership at different levels in the four countries.	**HS**
6. Financial planning and management	Consistent, professional financial management and planning, but not enough co-finance reporting, and possible under-budgeting at planning.	**MS**
7. UNEP supervision and backstopping	Highly appreciated and very strong.	**S**
8. Monitoring and evaluation		
a. M&E Design	Generally strong design, but indicators and mid- and end of project targets only described in PIRs and MTR.	**MS**
b. Budgeting and funding for M&E activities	Budgeting and funding sufficient	**S**
c. M&E Plan Implementation	Implementation good for box ticking only	**MS**
Overall project rating		**S**

D. Lessons Learned

37. There are a number of lessons that can be taken away from this project. In fact these are key lessons that should be integrated into any future SLM (or even climate change adaptation) project.

Chapter 12 of the SCI-SLM book synthesises some clear lessons; the evaluation will not attempt to copy them here. It will, however build on these and add new ones as the further analysis of spread has been better understood more than a year after project closure. Some of the lessons outlined in the book are already stated clearly enough in the book and thus the Evaluator does not deem it necessary to copy them below, having no value-additions to further the lesson with (e.g. South-south Learning, Local Technical Innovation, Methodology, Spread of Innovation - which is built on in lesson 2 below). The key lessons that the evaluation value-adds are elaborated on below.

Lesson 1: Community as centre of learning and entry point

As mentioned in the book, designing a project to look at community initiatives opens the door to social innovation rather than just technical innovation. The way a community organises itself and creates learning environments for the community members has the power to create upscaling and sustaining of initiatives. Using the community as a centre for learning and sharing, as was done for the communities during the project, had enormous success in creating replicable environments. It is no secret that like-minded people are more trusting of each other. Communities who face similar challenges and live in similar contexts can relate to each other in such a way that if one community is overcoming a certain challenge it has inspiring influence on another. This seemed a strong element coming out of this project. Additionally, some communities from the project continue to be centres for learning for other communities coming to visit them (or being visited).

Lesson 2: Social innovation is an untapped treasure in upscaling and replication

The way a community is organised and structured is the key to whether any initiative will get momentum or not. What makes some communities spread a novel idea better than others? What does it take to create real spread and upscaling? The SCI-SLM went a long way to answering these questions and doing ground-testing. The understanding of true social innovation was one of the key strengths of the SCI-SLM process and has opened the door to understanding that no technical innovation will spread without an element of social innovation.

Lesson 3: Platforms for sharing and exchange at local level is a powerful experience

Most respondents elaborated on the importance of the community exchanges in the project. This contributed strongly to the South-South learning, along with the Africa exchange/international exchange visits. The community specific in-country exchanges created a strong platform for exchange, this links to Lesson 1 above, in that peer learning is much more effective than externals coming in to teach. Communities during the country visits spoke about how other projects often identify 'favourite farmers' who are usually then taken out and lectured on various new tools and skills (mostly western based approaches) and then brought back to the community to teach the rest of the community on these new skills. The advantages of the SCI-SLM approach was to create a sharing mechanism, giving ownership to the community and letting ideas and knowledge flow more freely within the spaces and communities who deal with their challenges and come up with solutions every day, and adding in a scientific interface on the side, to be embedded further. Everything was done at local level. Creating the international platform, i.e. having the countries come visit each other (researchers and communities alike) was also powerful. Many communities were very honoured to host groups which gave them the opportunity to not only share their innovations, but also to forge new relationships. As the book states, recognition has proven, through the country visits, to truly empower and encourage, and visitors endow the communities with greater ambition and determination.

Lesson 4: Strong foundations of previous practice builds a good project

This project was built on years of experience, interest, motivation, and practice of researchers and practitioners who have been testing innovation in the field in countries of Africa. This laid an immensely strong foundation for effective project implementation. It also proves that through previous testing and information building, based more on experience and field research than project documentation, can have a strong positive influence on project design and subsequent implementation. This project also proves that when implementers are directly involved in project design, project implementation can work towards broader impact with the context of mutual understanding of project achievements under the greater framework umbrella. The stakeholder process (through hosting a mobile workshop in 2003 in which designers visited countries, and continuous involvement of country implementers in the design of the project, as well as thorough investigations of the appropriateness of the country implementers) went a long way to laying a strong foundation too.

E. Recommendations

38. Based on the lessons learned a few recommendations are made towards next steps that need to be taken for the move of outcomes of the project to overall impact to be made (as per TOR).

39. *Absorption of lessons learnt into future project development and implementation*. The SCI-SLM has provided our community with truly valuable lessons that apply to SLM and climate change adaptation. It would be a real shame if these lessons, all of them, are not taken up into future projects, especially when aiming to upscale local-level interventions. The community exchanges, south-south learning, making communities centres for learning, and developing a project on a sound foundation all are vital elements that have proven successful in this project. This was a general consensus amongst all stakeholders involved in the project, as was found in the face to face and remote interviews. Regardless of whether SCI-SLM enters another phase, there are lessons here that should be mainstreamed into future development of GEF (and other) projects. **Who should be responsible for this action?** GEF and its implementing agencies, these lessons learnt should be considered throughout the GEF-LDFA (GEF Land Degradation Focal Area) portfolio. **How?** Recommend through a possible check-list for new SLM or climate change adaptation related projects at design phase.

40. *Methodology, especially the social innovation angle and the characterisation, are low hanging fruit for future and current projects*. Any project that has started on SLM or is being built towards SLM implementation should consider using the methodology, especially the social innovation angle, if they are hoping for horizontal spread, and the TEES and SIR tests are also very useful tools to support any local-level project. Based on the Evaluator country visits in all three countries, as well as interviews, it was very clear (e.g. all national coordinators maintained that they continue to use the methodology) that the methodology should have horizontal spread, and should be integrated into future project development across the GEF SLM and climate change adaptation related projects. **Who should be responsible for this action?** Through the strategic book dissemination recommendation below, there should be targeted awareness raising to SLM coordinators in African countries for uptake of the methodology. In addition, this should also be added to the responsibility of the GEF and its implementing agencies, and specifically considered throughout the GEF-LDFA portfolio (as per the recommendation above).

41. *Strategic book dissemination*. The book took a lot of concerted and combined effort to produce, and is *the* tangible output of the project. It is also the best resource for integration and/or upscaling and further embedding the key elements of SCI-SLM into future projects. Very careful consideration should be given on how it can be strategically disseminated to make most impact. It

would be in the project's best interest to develop a dissemination strategy (with aims, target groups, print numbers, methods of communication, etc) so that it can have as wide a readership as possible within the natural resource community. Given the impact that the project has had, and the effort in writing detailed chapters, it would be a real missed opportunity not to disseminate the book in such a way that it reaches specific target groups who will make use of it. Target groups should include, among others, Africa country SLM coordinators (e.g. UNCCD Focal Points, NGO SLM leaders). **Who should be responsible for the dissemination strategy?** Funds have been dedicated for the book launch in South Africa, led by the Project Management Unit (CEAD). The Evaluator recommends that UNEP-GEF take responsibility to ensure that the launch takes place, and that there is an effective dissemination strategy for the book, for the embedment of the SCI-SLM principles into future projects and into country programmes. UNEP-GEF will need to ensure that there is sufficient funding for this strategy and its implementation.

42. *Global uptake*. This, building on the recommendation on book dissemination, refers to the greater GEF community and showcasing the project in all types of events (e.g. GEF conferences, side events, Africa level conferences like Clim-Dev, etc). Sharing of an information brief should also be made available on various platforms (Africa Adaptation Knowledge Network, Africa-Adapt, etc.). **Who should be responsible for the activities?** UNEP-GEF need to ensure that the book dissemination is strategic and that SCI-SLM elements are integrated into the wider GEF portfolio. In addition, all country coordinators work in SLM and should have a responsibility to share the showcasing of the SCI-SLM work at the various conferences that they do visit.

43. *Next steps in terms of SCI-SLM*. Based on the extensive interviews carried out with project stakeholders (where most made recommendations for an important upscaling phase of SCI-SLM), the Evaluator recommends that the ideal situation would be a Full-sized Project built on elements of the SCI-SLM, related to climate change adaptation in a number of African countries, with an additional component built in. This component would look at one step beyond the SCI-SLM project, and that is the practical implementation of the science/local knowledge interface. A lot of communities and project partners shared, during the evaluation process, that often technical advice was given to support/improve community initiatives, but these were not always tested or implemented due to lack of financing, time and other resources. It was suggested strongly that a component, or next step, would be this technical science infused into community initiative implementation and experimentation. **Who should be responsible for this next step?** UNEP would be in a good position to develop such a project document, with the advisory support from TAG and country partners for submission to GEF.

1. Introduction

A. The SCI-SLM Project

44. The medium-sized 'Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)' (GEF Project ID: 2184; IMIS number: GFL/2328-2770-4A79) was implemented through UNEP, and executed through a consortium. Overall management, oversight and financial responsibility for the project were with the Centre for Environment, Agriculture and Development (CEAD) of the University of KwaZulu-Natal, through a project management unit of senior staff. Individual country programmes were implemented by the Republic of South Africa, Uganda, Ghana and Morocco. Methodological support was provided by the Vrije Universiteit Amsterdam's Centre for International Cooperation (CIS).

45. The objective of the SCI-SLM project was to **'refine ways of stimulating the further improvement and spread of community-based sustainable land management initiatives while developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four pilot countries in Africa'**.

46. The GEF allocation of the project was USD 912,391.00, with planned co-financing from the four countries totalling USD 1,182,181.00. The project duration was from September 2009 to December 2014, with a no-cost extension that extended from August 2013.

47. The country institutions coordinating at country-level were the CEAD in South Africa, the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) in Uganda, the University of Development Studies (UDS) in Ghana, and TARGA-Aide in Morocco. UNEP, CEAD and CIS formed the Technical Advisory Group (TAG). The Regional Project Steering Committee included SCI-SLM Project Coordinator, the national coordinators, and CIS. At country level, there were National Steering Committees to advise the project at country-level.

B. The SCI-SLM Terminal Evaluation

i. Objective and Scope of Evaluation

48. In line with the UNEP Evaluation Policy[1], the UNEP Programme Manual and the UNEP Evaluation Manual[2], a terminal evaluation is an important element that is conducted after a project is completed. This is usually to assess project performance (looking at relevance, effectiveness and efficiency) and determine outcomes and impacts stemming from the project and their sustainability. Elaborations on the evaluation principles can be found in Annex 1 (Terms of Reference for this terminal evaluation).

49. The SCI-SLM Terminal Evaluation as two main objectives:

(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 its main project partners, namely the GEF, CEAD in South Africa, TARGA-Aide in Morocco, MAAIF in Uganda, and UDS in Ghana, as well as the CIS in Netherlands.

50. This Terminal Evaluation will focus on a set of key questions, based on the project's intended outcomes:

[1] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[2] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx

(i) Has the project been successful in identifying community based SLM, creating interactive SLM databases, and analysing their technical, social and economic aspects?

(ii) To what extent has the project succeeded in stimulating and up-scaling community SLM initiatives (in terms of technical capacity, organisations structure, improved local governance, and improved communication) in each of the participating countries? To what extent has the novel "social innovation" concept been integrated into the four countries and even upscaled elsewhere?

(iii) What evidence is there that demonstrates an increase in awareness on SLM initiatives amongst the policy makers, and to what extent can this be attributed to the project's activities and outputs?

(iv) To what extent has the project succeeded in developing guidelines and methodologies for the institutionalisations and upscaling of SLM initiatives in each of the participating countries?

(v) To what extent has the project succeeded in contributing to the SIP Development and Global Environment Objectives, and South-to-South Exchange and learning in SLM approaches?

(vi) How effective and efficiently was the overall project planned, coordinated and monitored? What was the performance of the UNEP divisions and partners involved in the project?

ii. Overall Approach of the Evaluation

51. The evaluation was conducted by an independent consultant (herein after referred to as the 'Evaluator') between September 2015 and March 2016 under the overall responsibility and management of the UNEP Evaluation Office in Nairobi, and in consultation with the UNEP Task Manager and CEAD. Inception was conducted remotely via Skype with the UNEP Evaluation Team.

52. In line with the TOR (Annex 1), the SCI-SLM was assessed with respect to a minimum set of evaluation criteria grouped into five categories:

(i) **Strategic Relevance**: focuses on whether the project objectives are consistent with the global, regional and national priorities.

(ii) **Achievement out Outputs**: assessing, for each component, the project success in producing the programme outputs and milestones as per the logical framework.

(iii) **Effectiveness: Attainment of Objectives and planned Results**: assessing the effectiveness of outputs achieved and the review of outcomes to impacts (using the Theory of Change approach).

(iv) **Factors and Processes affecting Project Performance**: covers project preparation and readiness, implementation approach and management, stakeholder participation, cooperation and partnerships, communication and public awareness, and country ownership and drivenness, financial planning and management, supervision and backstopping, and monitoring and evaluation.

53. In addition, the quality of the project design was assessed in the Inception Report. As per UNEP guidance, the evaluation ratings are on a six-point scale.[3]

[3] Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

54. One of the key foreground questions at each step of the evaluation was the **Why?** question.

55. Both quantitative and qualitative methods were used to evaluate the project achievements against the expected outputs, outcomes and impacts, and consisted of:

- Desk review: A desk review of all the key project documentation supplied by UNEP and project staff, country partners and CIS, as well as the website (a list of documents reviewed can be found in Annex 2).
- Country Visits and Face to Face meetings: Of the four participating countries, three were visited, namely South Africa, Uganda and Ghana. Face to face meetings were conducted with National Coordinators and their core team in all three countries, project beneficiaries and communities whose initiatives were chosen (Msinga/Gudwini in South Africa; Bandera 2000, Mukono, RECPA, NACIA in Uganda; Moatani and Kandiga in Ghana), and a number of stakeholders (including NSC members) in all three countries. In South Africa, a meeting took place with the overall Project Coordinator as well as the Funds Management Officer of the project. Video and photographic documentation was taken where possible. In addition, the evaluator met with the Mid-term Reviewer of the project in Windhoek, Namibia. The itineraries of the country visits can be found in Annex 3.
- Skype Interviews: Skype interviews took place with key project staff, including the UNEP Project Manager, three technical advisors from the CIS, the Project Coordinator (as well as meeting in person). A list of people contacted and interviewed can be found in Annex 4.
- Questionnaire distribution: A questionnaire was distributed to all the country coordinators (those visited as well as Morocco) and key stakeholders.
- Feedback mechanisms: Feedback was conducted during country visits to gauge evaluation results collected, as well as get feedback on the Reconstructed Theory of Change. These feedback meetings included brief presentations of initial results by the Evaluator, followed by a discussion. The Reconstructed Theory of Change was also presented (during country meetings as well as Skype meetings with the Technical Advisory Group) and feedback was given to the Evaluator. Feedback meetings were also held with CIS.

iii. Limitations to the Evaluation

56. There were few limitations to the Evaluation that could have hindered more detailed information; generally the evaluation was well-rounded. A few smaller limitations are put forward below:

57. **Not visiting Morocco in person:** Generally, terminal evaluation budgets only allow for a small sample of countries to be visited. In this case therefore, three of four countries was a strong sample set. However, leaving out Morocco does have an element of handicapping the evaluation because it does not show as much context of the Moroccan example as it would have from face to face consultation.

58. **In some countries, it was not possible to see some key stakeholders:** In South Africa, for instance, no National Steering Committee members were met due to time constraints and workloads of the project staff. However, one questionnaire was answered by one member of the NSC which did aid the situation somewhat. More time spent with the Project Coordinator may also have helped, but again time constraints from other commitments at CEAD would not allow for this. Again, the CEAD made up for this by adding in additional comments into the questionnaire.

2. The Project

A. Context

59. Land degradation has an all-reaching impact on the livelihoods of populations, and negatively affects food security and wellbeing. Although community initiatives exist that tackle land degradation at local level, there is a lack of recognition of this local knowledge on multiple platforms, including the science and decision-making arenas. The rationale of the SCI-SLM project was that community initiatives in sustainable land management have a great power to curb land degradation, desertification, and thus alleviate food security issues and poverty, in dryland areas of Africa. Thus, the project wanted to identify and track innovative local-level community initiatives and upscale such initiatives through knowledge sharing across the dryland regions.

60. One of the true novel approaches to the project was the idea of 'community innovation' or 'social innovation'. Technical innovation on SLM was part of the project, but the community structures and social cohesion had a much larger role to play in understanding why some technical innovations stick.

61. This project was developed based on previous work done, e.g. PROLINNOVA in countries like Uganda, where researchers realised that there is a strong element of social innovation to community initiatives that work (looking at questions like: what drives the innovations?), and how could one develop and encourage these innovations further to be upscaled. This led to mobile workshops being conducted in 2003 in Ghana, Uganda, and Morocco, for the development of a project document. Unfortunately, during the reshuffling of leadership at GEF and a new GEF phase, all projects in ca. 2006 were cancelled. After a number of years, the project was redesigned and approved by GEF in June 2009.

62. The countries that participated in the project were selected based on the 'four corners of Africa' concept, and all were regional leaders in terms of participatory approaches in SLM. All four countries are also prone to desertification and deal with land degradation.

63. There was no significant change in project context since its design.

B. Objectives and Outputs

64. The objective of the SCI-SLM project was to refine ways of stimulating the further improvement and spread of community based sustainable land management initiatives while developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four countries in Africa. The purpose was for the project to support countries in their efforts to stimulate community initiatives based on the premise that there are many examples of community-based innovation in SLM, and these deserved uncovering and upscaling.

Table 3 Components and outputs as outlined in the Project Document of the SCI-SLM

Components	Outputs
1. Identification and analysis of community initiatives in SLM	1.1. Community initiatives in SLM in the four pilot countries identified 1.2. Technical and socio-economic aspects of the initiatives analyzed (according to relevant innovative procedures that are replicable) 1.3. Interactive database on innovative community SLM initiatives (including triggering factors) accessible to all SIP partners

Components	Outputs
2. Stimulation and upscaling of community initiatives	2.1. Community initiatives further developed both technically and in terms of organisational structure 2.2. At least four community-based SM initiatives (to be identified) successfully upscaled in each country 2.3. Constraints to upscaling community relevant to other SIP countries identified and solutions proposed
3. Awareness raising amongst policy makers	3.1. Incorporation of pilot processes, practices and partnerships into relevant national and NGO agencies 3.2. Publications (policy briefs) with suggestions for policy improvements aimed at decision-makers and national and sub-Saharan Africa levels
4. Development of methodology for upscaling and institutionally embedding SLM initiatives	4.1. Methodology and guidelines developed for horizontal spread appropriate for project countries and wider afield 4.2. Methodology and guidelines developed for vertical upscaling (institutionalisation) appropriate for project countries and wider afield
5. Project management	No specific outputs, but activities include coordination and implementation, financial oversight and monitoring and evaluation

C. Target areas/groups

65. The project area was based on the 'four corners of Africa' approach and included four countries, South Africa, Uganda, Ghana and Morocco. The community initiatives consisted of four communities in each of the four countries. The real beneficiaries are the communities in which the chosen community initiatives were replicated, although the chosen communities were also beneficiaries.

66. The target groups also included relevant government agencies, policy-makers in the four countries (and wider afield), and NGOs working at community-level on SLM, as well as research bodies and universities - any institution that has the power of further replicating community initiatives.

D. Milestones/key dates in project design and implementation

Table 4 Major milestones and dates in project design and implementation of the FNR-Rio

Milestone	Date
Approval date	June 2009
Actual start date	September 2009
Intended completion date	August 2013
Planned duration	3 years
Project Inception Meeting	17-19 September 2009
Date of Mid-Term Review	31 March 2013
Writeshop for SCI SLM Book	May 2013
Date of completion	31 December 2014
Terminal Evaluation (Completion)	March 2016

E. Implementation arrangements

Table 5 Project Implementation Arrangements as to Role and Responsible Persons for SCI-SLM

Name	Role	Participants
Project Implementing Agency	Provide project oversight to ensure all GEF policies and criteria are adhered to and the project meets its objectives and achieves its expected outcomes. Project supervision falls under the UNEP Task Manager and the FMO.	UNEP (Task Manager and FMO)
Project Steering Committee (PSC)	Provide strategic guidance on project implementation issues such as adaptive management and monitor and review progress on an annual basis.	SCI SLM Project Coordinator, National Coordinator, UNEP, CIS, CEAD (Secretariat)
Technical Advisory Group (TAG)	Initial training on methodology, field backstopping, training, support to national teams	Vrije Universiteit Amsterdam mainly
Project Management Unit	Overall management, oversight and financial responsibility for the project.	CEAD, made up of Financial Controller and SCI SLM Project Coordinator
National Executing Agencies (NEAs)	Overall responsibility of project implementation at national level; implement in collaboration with other national, provincial and local government agencies, NGOs, private sector and local communities.	South Africa: CEAD Uganda: MAAIF Ghana: UDS Morocco: TARGA-Aide
National Steering Committee (NSC)	Provide guidance to the project and monitor progress and performance.	Made up of key stakeholders and decision-makers.

F. Project financing

67. The total project budget was USD 2,094,572.00 of which USD 912,391.00 was allocated from GEF, and USD 1,182,181.00 was planned co-financing from CEAD (South Africa), MAAIF (Uganda), UDS (Ghana), and TARGA-Aide (Morocco). According to the co-financing letters, the contribution from each country was as follows: South Africa (In-kind: CEAD - USD 160,000.00; Department of Environment and Tourism - USD 180,000.00); Uganda (MAAIF - USD 285,000.00 cash, USD 130,000.00 in-kind); Ghana (UDS - USD 175,000.00 in-kind); Morocco (TARGA-Aide - USD 180,000.00 in-kind). Actual co-financing was recorded throughout the project life cycle.

G. Changes in design during implementation

68. There were no changes in the design during implementation.

H. Reconstructed Theory of Change of the project

69. UNEP evaluations of projects that were designed when the Theory of Change (TOC) was not a process that needed to be undertaken at design phase, have to reconstruct a TOC and conduct a

Review of Outcomes to Impacts (ROtI). This process helps to identify and understand the conditions necessary for the outcomes to actually contribute to yielding the overall impact and thus proves a good guide for the evaluation process.

70. The TOC that was reconstructed was initially based on the provided project documentation, which were reviewed in preparation of the Evaluation Inception Report. This initial TOC was then reviewed by a variety of stakeholders (during country visits, Skype interviews with the Technical Advisory Group, and, to a lesser extent, through the questionnaire). The TOC was subsequently edited as a result of the comments received by the key stakeholders and partners of the project.

71. The first four "outcomes"[4] of the project were used in the TOC (the fifth, project management, was not appropriate). These outcomes, as stated in the Mid-Term Review, were phrased like activities, and not outcomes, or put in another way, components and outcomes were used interchangeably in the project documentation. As a result, for the purpose of the TOC, these were re-phrased accordingly.

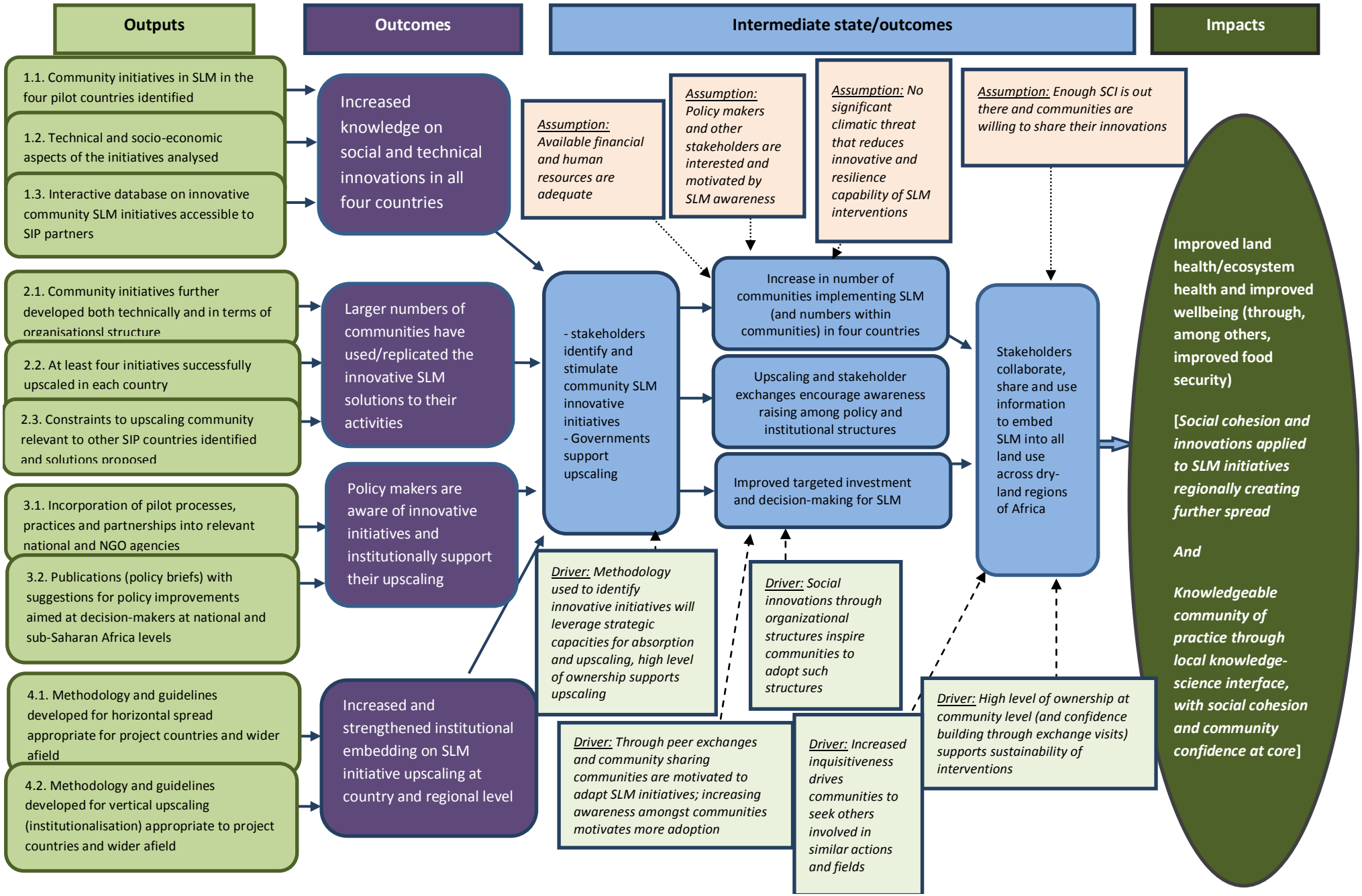
Table 6 Project outcomes and objectives, and reworded Outcomes for the Theory of Change for the SCI-SLM project

Outcomes as per Project Document	**Outcome Objectives**	***Reworded Outcomes for TOC***
1. Identification and analysis of community initiatives in SLM	Improved knowledge on how to harness and replicate community initiatives in SLM [Enhanced delivery of SIP Intermediate Result 4 on generation and dissemination of targeted knowledge establishment and strengthening at all levels of monitoring and evaluation systems]	*Increased knowledge on social and technical innovations in all four countries*
2. Stimulation and upscaling of community initiatives	Enhanced community-based SLM initiatives and improved SLM in TerrAfrica/SIP countries [Enhanced delivery of SIP Intermediate Results 3 on strengthening of commercial and advisory services for SLM]	*Larger numbers of communities have used/replicated the innovative SLM solutions to their activities*
3. Awareness raising amongst policy makers	Increased awareness amongst policy makers on the significance of local knowledge on SLM, based on new multi-stakeholder partnerships and processes [Enhanced delivery on SIP Intermediate Result 2 on	*Policy makers are aware of innovative initiatives and institutionally support their upscaling*

[4] Outcomes were actually also written as components in project document

Outcomes as per Project Document	Outcome Objectives	*Reworded Outcomes for TOC*
	establishing ongoing effective and inclusive dialogue and advocacy on SLM strategic priorities, enabling conditions and delivery mechanisms]	
4. Development of methodology for upscaling and institutionally embedding SLM initiatives	New methodology under use in each country and upscaled to new projects and programmes [Enhanced delivery of SIP Intermediate Result 1 on upscaling of SLM applications on the ground in country defined priority agro-ecological zones]	*Increased and strengthened institutional embedding on SLM initiative upscaling at country and regional level*

THEORY OF CHANGE FOR THE SCI-SLM



72. The methodology of the TOC and ROtI analysis is presented in Annex 8 of the TOR. Through the TOC, the evaluator attempts to identify 'intermediate states/outcomes' that are necessary transition zones for the project's planned outcomes to reach the intended higher-level impact. For the SCI-SLM, the long-term, higher-level impact, is 'improved land/ecosystem health and improved human wellbeing (through, among others, improved food security)', this through 'social cohesion and innovations applied to SLM initiatives regionally creating further spread, and knowledgeable community of practice through local knowledge-science interface, with social cohesion and community confidence at the core'.

73. The analysis of the impact pathways was conducted in terms of the 'assumptions' and 'drivers' that underpin the processes involved in the transformation of outputs to outcomes to impacts via the intermediate states. The drivers are significant external factors that are expected to contribute to the realisations of the intended impacts and can be influenced by the project. The assumptions are external factors that are expected to contribute to the realisation of the intended impacts but are generally beyond the control of the project

74. There are four key **drivers** that have been identified through the exercise. Methodology used to identify innovative initiatives will leverage strategic capacities for absorption and upscaling, which has bearing on the first intermediate state, especially stakeholders identifying and stimulating community initiatives. The novel methodology that was developed to identify the (social and/or technical) innovations is a new way in which to find the innovations that 'stick', thus creating an enabling environment for identifying such innovations and finding entry points to replicate them. Peer exchanges and community sharing, as well as social innovations inspiring other communities can impact on both upscaling, number of communities up-taking, as well as improved targeted investments (for instance, social innovations and organisational structures that were upscaled from another community gave one community the ability to access grants through proposal writing in Uganda[5]). The impact drivers 'Increased inquisitiveness drives communities to seek others in the same field', as well as 'high levels of ownership at community level supports sustainability of interventions' have a large influence on the last intermediate state, especially the use of information to further embed SLM into dryland Africa.

75. The four **assumptions** have a strong influence on the project and the success of the project depends to varying extents on whether these assumptions held or not. One of the key assumptions that had bearing on the entire project was that enough communities are out there doing innovative SLM in the social or technical context, and that they are willing to share their innovations in the first place. This assumption held strongly throughout the project.[6] Whether stakeholders, especially policy makers, who were interested and motivated by SLM awareness had influence on especially the vertical upscaling and improved investment, was questionable. There seems to have been difficulties in getting high level interest (in Ghana, Morocco, and to a certain extent, South Africa) on the project.[7] There was also no evidence of national policy formation.[8] 'No significant climatic threat' was an assumption bearing on increasing numbers of communities and upscaling existing innovations (that may have been less resilient had there been a catastrophic climate event). Of course, that available financial and human resources are adequate, has a bearing on any project

[5] A community leader from Bandera 2000 took the social innovation with him when he moved to Mukono and thus Mukono took on the initiatives and through their exposure to various different projects had their capacity and opportunities built and could access small grants (through small NGOs) through proposal writing. Source: Interview with Mukono community in Uganda, 13 November 2015.

[6] Based on (1) The number of communities identified in all four countries - sourced from Project Documentation, the SCI SLM Book, PIRs, country reports, (2) Interviews in-country and Skype with members of the Technical Advisory Group.

[7] Sourced from interviews with Country Coordinators and Country Stakeholders.

[8] No evidence found of policy briefs, when asked for (e.g. in South Africa), never received and only apparently in 'draft form' which indicates that it had not been disseminated at policy level, although Project Coordinator did alert to cabinet approval of Government summary of SCI-SLM.

results, but especially those that have relatively small budgets and a shortage of human resources like SCI-SLM. It is especially important that the planned inputs are sufficient.

76. The ROtI is detailed under *Effectiveness: Attainment of Objectives and Planned Results* under Part III, Section C.

4. Evaluation Findings

A. Strategic Relevance

77. Land degradation (especially top soil loss) is continuously taking place and has serious implications on food security and global livelihoods. It is a global problem that needs to be critically addressed to avoid major catastrophes in the future, which are set to worsen with climate change. Addressing land degradation through sustainable land management practices remains one of the key solutions to maintaining soil health and increasing climate change resilience, especially at community level. The project's objective is consistent with **global environmental needs** because it works towards harnessing good land management practices. In fact, Chapter 10 of the SCI-SLM book is about the global environmental benefits received through the project. The project also directly answers critical calls to alleviate food security issues through sustainable land management in dry-land Africa, and at **national level**, all four countries have clear SLM priorities.

78. The project areas fall within the areas covered by National Action Programmes (NAPs) of the United Nations Convention to Combat Desertification (UNCCD). All four countries have strong elements of community participation, ownership and traditional knowledge in their NAPs. The project also links strongly to the National Biodiversity Strategy and Actions Plans (of the UNCBD), as well as their obligations to the UNFCCC (e.g. NAPAs). Development priorities are strongly aligned to the priorities of the project (e.g. with poverty reduction strategies).

79. The **regional** approach of the project also responds to the need for promotion of exchange of information and scientific and technological cooperation. It is consistent with the Sub-Regional Action Programmes of the UNCCD in Africa (e.g. SADC, IGAD, CILSS-ECOWAS and UMA).

80. The SCI-SLM aligns with the **GEF-4 land degradation focal area** (LDFA) strategy and contributed directly to its strategic objective 2 (SO-2) on 'upscaling of sustainable land management investments that generate mutual benefits for the global environment and local livelihoods'. The project contributed to improve and sustain the wellbeing of people and the restoration (and preservation) of ecosystem functions and services under different socio-economic conditions. It also emphasises the partnerships with small-scale farmer communities to identify and demonstrate environmentally friendly socio-economically viable land management practices that enhance soil fertility and are water-use efficient. SCI-SLM also supports LD SP-1 'Supporting sustainable Agriculture and Rangeland Management' and LD SP-3 'Investing in New and Innovative Approaches to SLM'.

81. The project was a constituent part of the **Strategic Investment Programme** for SLM in sub-Saharan Africa (SIP). The SIP is informed by the GEF and TerrAfrica - the project was fully aligned to the TerrAfrica. The expected project outcomes facilitated the achievements of four of the SIP Intermediate Results: IR1 and IR3, through the identification and demonstration of innovative community initiatives for upscaling, and IR2 via increase in awareness and dialogue among policy makers, and lastly, IR4 through generation and dissemination of knowledge (e.g. book, exchange visits).

82. The SCI-SLM indirectly relates to any of the five inter-related areas of the **UNEP mandate**, but links directly with 'strengthening technological support and capacity in line with country needs and priorities'. Project design took place pre-development of the **Medium-Term Strategy** (2010-2013) and its related **PoWs**. This said, the project definitely links strongly to the expected accomplishments of the MTS. The intended results of the project are consistent with UNEP's programmatic objectives and expected accomplishments under two cross-cutting themes, namely climate change (e.g. through carbon sequestration), and ecosystem management (e.g. through finance addressing

degradation of ecosystems). The SCI-SLM is consistent with the priorities of the 2010-2011 and 2012-2013 PoWs.

83. The project is aligned to the **Bali Strategic Plan**, mainly through cross-cutting themes, which include south-south exchanges, research and field interfaces, and lastly, strong elements of capacity building.

84. **Gender balance** is a strong component of the SCI-SLM, this in their activities at community level (many of the innovations at community level were run by women) with measurable indicators in women and youth involvement.

85. SCI-SLM had community at the core, with local knowledge being the uptake in terms of information-sharing. The project was cognisant of best approaches in **human rights** and inclusion on indigenous people.

86. The project focused on the four corners of Africa, with country implementers at the forefront of sharing knowledge. The SCI-SLM therefore had a very strong **South-South cooperation** element.

87. **Stakeholder participation** was very inclusive as the project was built on community consultation and local knowledge.

88. This project was highly strategically relevant, and thus strategic relevance is rated as **Highly Satisfactory**.

B. Achievement of outputs

Output 1.1. Community initiatives in SLM in the four countries identified

89. A stringent and novel methodology was designed, building on the Promoting Farmer Innovation (PFI) Project methodology. The methodology for identifying community initiatives was published in Chapter 3 of the SCI-SLM book. Through a step-by-step process, which included the TEES-test and SRI-test, and characterisation, four community initiatives were selected out of a larger number identified in each country.

90. In **South Africa**, Ntabamhlophe (wattle forest), New Reserve (wattle forest), Gudwini (indigenous forest), and Amazizi (rangeland management) were the four communities chosen. In **Uganda**, RECPA (tree-planting), NACIA (rangeland rehabilitation), Banyakabungo (grazing management), and Bandera 2000 (fruit trees and conservation agriculture) were the four communities. Tanchara (organic fertilisation), Kandiga (compost heaps), Moatani (compost pits), and Zorborgu (non-burning) were the communities chosen in **Ghana**. Anzi (carpenter coop), Lamhalt (land reclamation, Afourigh (water rights) and Agouti (handicrafts and treeplanting) were the communities chosen in **Morocco**.

Figure 1 Community visit to Msinga/Gudwini Community in South Africa, a community who are looking after their indigenous forest (Terminal Evaluation SCI-SLM, 3 November 2015), one of the community initiatives identified by the project

Figure 2 Community visit to NACIA Community in the Nakasongola District of Uganda, a community who have worked at improving their land through rehabilitation and biological control of termites (Terminal Evaluation SCI-SLM, 17 November 2015), one of the community initiatives identified by the project

91. Each country's community initiatives are explained in detail in country chapters in the SCI-SLM book.

Figure 3 Community visit to Moatani in northern Ghana, a community who is doing compost pitting to improve the land and thus crop production (Terminal Evaluation SCI-SLM, 23 November 2015), one of the community initiatives identified by the project

Output 1.2. Technical and socio-economic aspects of the initiatives analyzed (according to relevant innovative procedures that are replicable)

92. The TAG team re-designed and then updated the analysis of the data on the communities and the initiatives. The SCI-SLM methodology used to identify communities suitable for the project was carefully designed for impact and effectiveness and based on experience, with its suitability tested under the SCI-SLM project. Building on the 'Promoting Farmer Innovation'[9] model experience, SCI-SLM adopted the same methodological set up but with a number of modifications which were justified by the shift in focus (from individual to collective SLM initiatives).[10] The methodology is described in Chapter 3 (including its evolution and approach at programme and country level in Chapter 11) in the SCI-SLM book, as well as in the SCI-SLM Brochure, which, with its dissemination,

[9] This is described in detail in Chapter 3 of the SCI-SLM Book.
[10] Source: Chapter 3, SCI SLM Book; this methodology is clearly articulated in this Chapter.

has the potential for inciting replication. This methodology is novel, and should be integrated into any SLM practices that directly involve communities.

93. Technical and socioeconomic aspects of the initiatives were analyzed and presented in the SCI-SLM book.

94. Feedback and training in the community (for the acknowledgement and promoting of enhanced understanding or conceptualisation of the methodology and the ability to communicate the initiative to outsiders) took place in all four countries.[11]

Output 1.3. Interactive database on innovative community SLM initiatives (including triggering factors) accessible to all SIP partners

95. Data on baseline scenarios in project initiatives were collected using three forms. The data is available as a project database, although access to this is not necessarily easy.

96. Data collected is accessible (mostly) to all SIP partners through the project website (http://scislm.ukzn.ac.za/Homepage.aspx). The information database certainly exists, but not all information is accessible on the website. In addition, it is not very interactive, or user-friendly, for that matter. Recommending improving the site would not be productive at this point *vis a* vis it would be an expensive endeavour. It might be more worthwhile to add the information onto other databases (although, this has been done, to an extent, e.g. in the TerrAfrica Partnership Framework).

Figure 4 Website homepage of the SCI-SLM project

Output 2.1. Community initiatives further developed both technically and in terms of organisational structure

97. In all four countries a variety of interventions ensued to improve both technically and socially the initiatives in terms of support (e.g. termite expert visited NACIA in Uganda on several occasions to share and learn with the community, the NGO Zasilari Eco Farm Project worked in partnership with the Ghana SCI-SLM team to encourage the improvements in organisational structures in e.g. Moatani).

98. Through in-country community exchange visits, the different initiatives learnt from each other and there was much uptake seen beyond even the technical innovations (e.g. how the community organises itself, offshoots like rainwater harvesting from NACIA to Bandera 2000).

[11] PIRs and country interviews, Skype interviews with TAG members.

99. Inter-country visits and exchanges (through Project Steering Committee visits, and with community members from different countries) were really powerful in further developing technically and socially, as well as getting new ideas on SLM for their communities back home.

Output 2.2. At least four community-based SLM initiatives successfully upscaled in each country

100. Several exchange visits took place, as well as visits by nearby communities (e.g. Ghana with Kandiga and Moatani, surrounding communities had the opportunity to visit these two communities on a few occasions during the project).[12] In all four countries[13], at least one of the four communities were replicated (or, what the project refers to as 'out-scaled[14]') in another community in each country. However, the Evaluator did not find concrete evidence that this was done for all four communities in each country.[15] When asked why this was the case, reasons given included logistical difficulties (for instance, in Ghana and Morocco, some of the initiatives were isolated and logistically difficult to reach which meant exchange visits were thus near impossible; budget allocations were also not sufficient for community exchanges for all four communities in each of the countries. This said, there was a large amount of upscaling around communities of various different initiatives (e.g. in **Ghana,** nearby communities around Kandiga spread the idea of compost heaping,[16] in **Uganda,** the tree planting by RECPA motivated young farmers nearby to do their own planting,[17] and visiting communities coming to see the Mukono and Bandera communities have increased due to exposure leveraging interest in nearby communities in the success of the initiatives,[18] in **Morocco**, Ouneine upscaled to 18 plots of families nearby[19], in **South Africa**, nearby communities showed interest in the forest management done by Gudwini/Msinga and started replicating, as well as the increase of community members in the Amavimbela initiative[20]). In addition to this, there was upscaling in terms of individuals coming on board within the identified communities (e.g. RECPA started with 10 people and now are a few hundred members). Another form of upscaling within communities is the notion of increased opportunity of exposure leading to additional funding (e.g. various organisations visiting communities separate of SCI-SLM who have taken on board the ideas for other communities).

[12] Interviews with community members in both communities (23 and 24 November), interviews with project staff (22 November)

[13] PIRs as well as interviews with country coordinators and TAG members on several occasions.

[14] Out-scaling refers, as per definition given in Chapter 5 of the SCI-SLM Book 'adoption by others within or outside the communities'

[15] In South Africa, for instance, there was documentation provided for three of the community initiatives replicated to another community. In Ghana, there was replication of two of the initiatives. In Uganda, there was replication of three of the initiatives. In Morocco there was one community initiative replication, with another initiative being upscaled within the community. This evidence was provided by the SCI-SLM book chapters, and through interviews with country coordinators and the TAG members.

[16] This was evidenced through interviews with Kandiga community and the ZEFP.

[17] Interviews with community members of RECPA, as well as newcomers to RECPA who had taken up the tree-planting initiative.

[18] Interviews with Mukono and Bandera communities, as well as Country Coordinator. Also examples from Chapter 11 of SCI-SLM Book, e.g. For example, 180 farmers from 14 groups under the SLM mainstreaming project in the districts of Kamuli, Kaliro, Nakaseke, Nakasongola, Sembabule and Lyantonde have visited Bandera community, particularly to learn CA practices.

[19] Sourced from Chapter 6 of the SCI-SLM Book.

[20] Sourced both from discussions within Msinga, with Country Coordinator as well as Chapter 7 of the SCI SLM book.

Figure 5 An example of an upscaled community initiative from Bandera 2000 (left) to Mukono (right), in Uganda (Terminal Evaluation SCI-SLM, 13 November 2015)

Output 2.3. Constraints to upscaling community relevant to other SIP countries identified and solutions proposed

101. A lot of studies were conducted to determine/measure developments of upscaling (and community improvements) before project and after. Characterisation forms administered on identified community initiatives included the measurements of the community initiatives. Students also conducted field surveys in South Africa, Uganda and Ghana and these were analysed and reported (e.g. looking at measurable increases in total system carbon on land, increased primary productivity, improved hydrological functions). Some levels of constraints could be seen in the characterisation forms. However, how much this Output really came to fruition in terms of replicating to other SIP countries, is questionable (for instance, the Evaluator could not find any specific reporting on this output).

Output 3.1. Incorporation of pilot processes, practices and partnerships into relevant national and NGO agencies

102. Through the National Steering Committees, and NGO and government implementation arrangement partnerships, stakeholder involvement was very strong, leading to incorporation of various processes of the SCI-SLM into further practices and partnerships in national (Government departments), research bodies, and NGOs across the four countries. For instance, **South Africa** is putting together a proposal to GEF on SLM which takes on various elements from the SCI-SLM. Community initiatives and social innovation in particular have been absorbed into NGOs in **Ghana**, e.g. ZEFP and ACDP; and in **Uganda**, for instance, the National Agricultural Research Organisation continues to liaise with communities like Bandera 2000 and NACIA. In **Morocco**, institutional partnerships were difficult to maintain and the vertical upscaling in government bodies could not be achieved (mainly due to lack of prioritisation because of workloads)[21]. However, the SCI-SLM methodology was replicable and has been integrated into TARGA-Aide action research in its other projects (in this sense, one could say that through the partnership with the NGO TARGA-Aide, this NGO has incorporated the practices of the project).

Output 3.2. Publications (policy briefs) with suggestions for policy improvements aimed at decision-makers at national and sub-Saharan Africa levels

103. A policy brief on the SCI-SLM methodology was developed at regional level.[22] Country policies on suggestions for policy improvements aimed at decision-making at national level were apparently developed for each country,[23] although these were not made available to the Evaluator (e.g. asked

[21] Questionnaire response with National Coordinator of Morocco, as well as interview with TAG member (December 2015).
[22] According to final PIR.
[23] According to TAG members, these were in final draft form for all countries, and were at an advanced stage.

for in South Africa, and the coordinator only had a draft version, which may have meant that it was developed but not necessarily disseminated or launched at a policy event[24]).

Figure 6 A brochure developed by the SCI-SLM Project Management Unit in collaboration with partners

104. Policymakers were purposefully included in SCI-SLM meetings, especially National Steering Committee meetings, and invited to larger events (e.g. the yearly Agricultural Show in **Uganda** where various of the community initiatives showcased their work by having show-plots, or in **Ghana**, where politicians were invited to a community initiative workshop in Tamale). Policy makers were incorporated into the structures on the projects. For instance, policy makers participated in all the four Project Steering Committee meetings. How the participation of policymakers translated into policy briefs or publications is unclear (during interviews with proponents in Ghana and Uganda they were not able to provide documented evidence). However, despite not having publications *per se*, decisions in some countries have led the Evaluator to believe that there was some decision-maker influence as a result of the project. For example, in South Africa with the SCI-SLM elements incorporated into the upcoming SLM related GEF project. In Uganda, SCI-SLM was integrated at government level and into their national SLM strategy. In Morocco, the project did not succeed in creating awareness at policy-maker level. Reasons for this include (a) lack of interest by prospective stakeholders in the project (due to other priorities), and (b) TARGA-Aide's NGO status and possibly weaker ties at higher level Government.[25]

105. Radio shows and other forms of media were evident in especially Uganda. However, advocacy did not seem particularly strong in this project, at least at national level, other than the strong involvement of NGO and government stakeholders throughout the project. Video documentaries were developed for Uganda, Ghana and Morocco.

<u>Output 4.1. Methodology and guidelines development for horizontal spread appropriate for project countries and wider afield</u>

106. As mentioned before, the guidelines in the PFI project were further developed for use in the SCI-SLM project. Methodology was written up in a policy brief, and in two chapters in the SCI-SLM book.

107. Information on project implementation was collected systematically to allow the writing of a book. A writeshop in May 2013 was held in South Africa, after which the project coordinator made several visits to the countries (e.g. Uganda, Ghana) to finalise write ups of the individual chapters. This book has immense potential for both further horizontal spread and vertical spread.

[24] The Project Coordinator did alert to a 'Government summary of SCI-SLM' making it to cabinet level, however (questionnaire response)

[25] Based on questionnaire response with National Coordinator of Morocco, and interviews with TAG members (November - December 2015).

Output 4.2. Methodology and guidelines developed for vertical upscaling (institutionalisation) appropriate for project countries and wider afield

108. As mentioned above, policy briefs and book chapters outline in detail the methodologies. Particularly, Chapter 3 of the SCI SLM Book provides the methodology and guidelines for vertical upscaling.

109. Achievement of outputs is rated as **Satisfactory**.

C. Effectiveness: Attainment of Objectives and Planned Results

110. The effectiveness of the SCI-SLM is based on four re-formulated outcomes. Achievement of outcomes were based on the objectively verifiable indicators described in the logframe, using annual reports, other documentation, and interviews and country visits to verify the end-of-project targets.

111. Overall, the project outcomes were intended to stimulate the spread of community initiatives that show true social and/or technical innovation. This is consistent with the TOC, and is based on the premise that increased knowledge on existing social and technical innovation through sharing mechanisms can lead to upscaling and replicating towards improved land and human health and wellbeing.

OUTCOME 1: INCREASED KNOWLEDGE ON SOCIAL AND TECHNICAL INNOVATIONS IN ALL FOUR COUNTRIES	
Outcomes as per ProDoc	*1. Identification and analysis of community initiatives [Improved knowledge on how to harness and replicate community initiatives in SLM]*
Indicators	*1. Field-based surveys (EoPT: Community initiatives in four countries identified, four in each country)* *2. Reports outlining analysis (EoPT: Technical and socio-economic aspects of the initiatives analyzed)* *3. Presence of database and evidence of its accessibility and use (EoPT: Interactive, analytical database on innovative community SLM initiatives accessible to all SIP partners)* *4. Presence of database and evidence of its accessibility and use (EoPT: Comprehensive and analytical geospatial database available in hard copy and online - constantly updated)*

112. As discussed previously, Outcome 1 has been reformulated for the purpose of the TOC. The logframe had clear baseline levels, mid-term and end-term/end-of-project targets (EoPT). These were met and clearly quantified for Outcome 1.

113. Baseline information was collected in all of the 16 identified community initiatives (4 per country). Graduate students conducted field surveys in Uganda, Ghana and South Africa, to allow for deeper understanding of the parameters with respect to the initiatives.[26]

114. The Technical Advisory Group updated the analysis of the data collected on the communities. This analysis is presented in multiple chapters of the SCI-SLM Book, for further increase in uptake of knowledge.

115. The data on the baseline scenarios were collected using three separate forms, and these are accessible on the project website (http://sci-slm.ukzn.ac.za).

116. One of the indicators not mentioned for this outcome specifically, but more for the overall objective, was that there was a 10% increase[27] on the baseline number of women participating in

[26] UNEP GEF PIR Fiscal Year 14 for the SCI-SLM Project
[27] Ibid

the project and benefiting from the enhanced knowledge on SLM. At project closure, the participation of women in the project had increased by more than 10%.[28]

117. The presence of the database was through the website, although this was not particularly interactive[29] in terms of accessibility to all the information on the project. Given the wealth of information, this could have been elaborated and enhanced.

OUTCOME 2: LARGER NUMBERS OF COMMUNITIES HAVE USED/REPLICATED THE INNOVATIVE SLM SOLUTIONS TO THEIR ACTIVITIES	
Outcomes as per ProDoc	*2. Stimulation and upscaling of community initiatives [enhanced community initiatives and improved SLM in TerrAfrica/SIP countries]*
Indicators	*1. Documentation to prove these developments based on before and after data (EoPT: Technical and/or socio-economic aspects of initiatives adopted by at least four other communities in each country and at least 100 ha extra land brought under better management)* *2. Measurements of developments based on before and after data duly analysed (EoPT: Measurable increases in total system carbon on that land; of increased productivity; and of protected biodiversity and improved hydro function where relevant)* *3. Field based surveys to measure developments based on before and after (EoPT: Four community-based SLM initiatives successfully upscaled in each country, and the same number again in new communities influenced to adopt)* *4. Field based surveys (EoPT: SCI-SLM scaled out to 1600 ha of land in the four countries and approaches/practices taken up by 16 new communities of the project)*

118. Outcome 2 was reformulated from the outcome in the project document, for the purpose of the TOC analysis.

119. The initiatives have been upscaled within the communities originally identified. Most of the initiatives have been replicated to other communities, but not all. Experiments were developed to improve all initiatives. Upon visiting those communities which absorbed the replicated initiatives, the Evaluator noted that these communities are realising the benefits from their new practices.

120. Characterisation forms administered on identified community initiatives included the measurements of the communities of the replicated initiatives and were analysed. Students conducted field surveys in South Africa, Uganda, and Ghana (for instance, at RECPA a student stayed for more than a month), and these were reported.

121. Clearly, land health had improved in these areas where replication occurred. In addition, much upscaling occurred beyond the targets (as evidenced by the Evaluator visit to Uganda and Ghana) in the years following the project implementation. Field based surveys conducted illustrated land amassed.[30] In **Ghana**, exchange visits did a lot to increase interest and thus replication within the communities of Kandiga and Moatani, as well as knock-on onto near-by communities. According to the two communities themselves, the idea of compost heaping and pitting has widely dispersed. This said, not all four community initiatives were replicated (or out-scaled) to another community. The Tanchara community initiative (which looked at burning strategies to improve land condition) did not replicate for the following reasons: (1) the distance of the community rendered it too expensive

[28] Ibid
[29] This is the opinion of the Evaluator based on using the website to access data and information.
[30] SCI-SLM Book Chapter 11, and individual country chapters.

in terms of financial limitations and time limitations, and (2) during the course of the project, there was an accidental burn incident and the fire got out of control and had extremely undesired effects, this in turn discouraged the community from trying again.[31]

122. In **Morocco**, two communities (Agouti and Anzi) conducted different forms of forest management. Then land rehabilitation was also conducted on slopes of the Ouneine valley where four brothers and their families joined hands to reclaim degraded land. This initiative has been adopted by a number of families where, in Ouneine, 18 plots of degraded land have been transformed into irrigation production systems. The Afourigh community adopted the Machal land rehabilitation initiative. The initiative of innovative social management of water (sharing mechanisms) was taken up by a group of young men from the Douar. In this regard, the community had begun to change age-old traditions with regards water management which is a highly sensitive issue (water rights are considered sacred) - and thus was a more difficult innovation to spread to other rural areas.[32]

123. In **South Africa**, the Mathamo community visited the KwaSobili community to learn the methodology of managing their wattle forest to replicate it on their land. As a result of SCI-SLM interventions in Amavimbela (holistic rangeland management through communal grazing), female participation increased from 26% to 30%, and three more villages have established rotational grazing systems.[33] An offshoot from the Msinga/Gudwini community initiative was that Cicad (a protected plant in South Africa) protection was increased through the partnership with the Department of Environmental Affairs through the KwaZulu-Natal Biodiversity Management Plan. Since project closure there has been two more Cicad related initiative replications, as well as one more community that has taken on wattle management.[34]

124. In **Uganda**, two years following the involvement of NACIA (community initiative using night kraaling and biological termite control to rehabilitate land) in the SCI-SLM project, their initiative spread to three other communities through the community exchange visits organised. In addition, the Bandera community, after visiting NACIA adopted some of the strategies back in their community. NACIA further developed a proposal to rehabilitate ten more degraded rangeland sites in the Nalukonge community. For RECPA (the tree-planting initiative), the initiative spread to five other communities due to exposure visits organised through SCI-SLM (membership within RECPA has also grown from 15 individuals to over 200)[35]. The Bandera community initiative (conservation agriculture and fruit trees) replicated to the Mukono community and since the project has closed, there have been multiple visits by neighbouring communities and there are now trainers who train farmers on the innovations[36]. Through the demo plots that were set up by Bandera community members, at least 27 group members who established demo plots reached out to a minimum of three other community members who took up this practice. One example is of two farmers who together caused the replication of their activities to 72 other farmers through training. The NACIA community, through an exchange visit, also took on various of the conservation agriculture activities after visiting Bandera. Bandera also now has a resource centre which opened in July 2013 and offers demonstrations of various land management practices, with a large range of visitors.[37]

OUTCOME 3: POLICY MAKERS ARE AWARE OF THE INNOVATIVE INITIATIVES AND INSTITUTIONALLY SUPPORT THEIR UPSCALING

[31] Based both on Chapter 5 of the SCI-SLM Book as well as interviews with the Country Coordinator.
[32] Based on questionnaire with Country Coordinator, Chapter 6 of the SCI-SLM Book, as well as interview with TAG member.
[33] Chapter 9 of the SCI-SLM Book, and interview with Country Coordinator.
[34] Interview with South Africa Country Coordinator.
[35] Chapter 8 of the SCI-SLM Book.
[36] Interviews with Bandera and Mukono community, interview with Country Coordinator.
[37] Chapter 8 of the SCI-SLM Book.

Outcomes as per ProDoc Indicators	*3. Awareness raising amongst policy makers [Increased awareness amongst policy makers on the significance of local knowledge in SLM]* *1. Evidence incorporation of community-based indigenous and/or innovative SLM approaches into guidelines of this in policy documents and practice [EoPT: Policy/decision makers involved and influenced to the extent that they: evidence of this both within focus countries and SIP nations - incorporation of pilot processes, practices and partnerships]* *2. Documented evidence of field testing [EoPT: Pilot practices tested within strategically important government agencies and NGOs and internal change mechanisms working at policy level]* *3. Existence of policy briefs [EoPT: Policy briefs with suggestions for policy improvements published]* *4. Existence of these policy papers [EoPT: Strategic policy papers within four countries outlining process reorientation]* *5. An effective advocacy campaign through various media forms [EoPT: same as indicator]*

125. As mentioned in the achievement of outputs, policy makers were strategically included in most of the project activities, including National Steering Committee meetings, community visits and workshops, Project Steering Committee meetings and international exchanges, in all four countries.

126. Communities with initiatives were involved in testing options for improving them; in most cases this was done in collaboration with key organisations (NGOs, government departments, universities, etc).

127. One policy brief was written for the project, on methodology, aimed at SIP partners and the wider TerrAfrica.

128. Studies were conducted to collect data that could be used to put together policy briefs. Whether policy briefs were developed and disseminated for each country is questionable. There was no evidence provided to the Evaluator for a policy brief in Ghana, Morocco or Uganda. In South Africa, apparently a policy brief had been drafted.[38]

129. While some media outlets were used (e.g. brochure developed by the coordination team, radio jingles and talks in **Uganda**, and video documentaries in Uganda, Ghana and Morocco), this project would have benefitted from deliberate funding towards a communications strategy.

130. In **Ghana**, the national team made a strategic choice to invite decision-makers who were influential at nation and local policy levels as members of the National Steering Committee[39]. Although some members were not as active as others (for various reasons)[40], those who were fully aligned with the principles and objectives of SCI-SLM and acted as ambassadors for the project with some levels of success in terms of vertical upscaling (especially in the NGO arena).

131. In **Morocco**, there were some challenges faced by TARGA-Aide in raising awareness and interest in policymakers around the project.[41] Awareness raising among the scientific community was good, mainly through the publishing of articles in journals and specialised magazines, but this did not reach the policy maker audience.[42] According to the country coordinator, institutional partnerships were difficult to establish and maintain and the upscaling initiatives in government

[38] Interviews with Country Coordinators.
[39] Chapter 11 of the SCI SLM Book.
[40] Interviews with Ghana project team.
[41] Questionnaire with Morocco Country Coordinator.
[42] Chapter 11 of the SCI SLM Book.

bodies could not be achieved. The reasons for this are elaborated on under Achievement of Outputs in paragraph 104.

132. In **South Africa**, according to the Project Coordinator, the South African Government Report on SCI-SLM landed in Cabinet, at high level.[43] Government stakeholders were involved during the process (through the National Steering Committee, invited on regional meetings, etc) so that they take on the support role when the project ended. Local municipalities as well as Government Departments (like Environmental Affairs, as well as Agriculture, Fisheries and Forestry) were involved throughout.[44] In addition, the GEF Focal Point has also pushed for a new GEF project harnessing elements of SCI-SLM.[45]

133. In **Uganda**, awareness at policy-level has been so embedded that the SCI-SLM methodology is the approach used in the Uganda SLM programme.[46] The Ministry of Agriculture, Animal Industry and Forestry were the implementing agency at national level, which gave them an edge in terms of high-level awareness within government. Several events took place during the project's life, including demos at the National Agricultural Show where policy-makers were exposed to the communities, and the World Day to Combat Desertification was hosted in Bandera with demos illustrating the effectiveness of the initiative to policy-makers.

OUTCOME 4: INCREASED AND STRENGTHENED INSTITUTIONAL EMBEDDING ON SLM INITIATIVE UPSCALING AT COUNTRY AND REGIONAL LEVEL	
Outcomes as per ProDoc	*4. Development of methodology for upscaling and institutional embedding SLM initiative*
Indicators	*1. Evidence of guidelines that are appropriate and clear, and deal with both horizontal and vertical upscaling[EoPT: Developed methodological guidelines for SCI-SLM type approach available for horizontal and vertical spread]* *2. Publication of the book [EoPT: A book capturing the essence of SCI-SLM and its experiences while describing the methodology - and the process of its development under SCI-SLM]*

134. The guidelines used in the PFI were further developed and then used in SCI-SLM as well as published in the book as two chapters. The methodology is also written up as a policy brief.

135. Information was collected systematically through the lifespan of the project and, through an initial write-shop in May 2013, a book was put together by the various authors (TAG, project country coordinators, UNEP Task Manager). The book has detailed country chapters, as well as general recommendations and lessons learned.

136. The book is in final draft form and is at the publishers with envisaged launching beginning 2016.

137. In terms of institutional embedding of SCI-SLM, Ghana, Morocco and South Africa did not achieve widespread institutionalisation of the concept and methodological approach of SCI-SLM, despite having worked towards it.[47] Uganda is an exception for various reasons, these are further elaborated on in paragraph 132.

138. In **Ghana**, the University of Development Studies has achieved some level of mainstreaming of the SCI-SLM practices through the Ministry of Food and Agriculture in the Kassena-Nankanna District of the Upper East Region, and through the NGO ZEFP in the West Mamprusi District in the Northern

[43] Questionnaire response by Project Coordinator.
[44] Interview with South Africa Country Coordinator.
[45] Interview with Project Coordinator.
[46] Questionnaire response by Project Coordinator and Chapter 11 of the SCI SLM Book.
[47] Chapter 11 of the SCI-SLM Book and Evaluator opinion based on multiple interviews.

Region (ZEFP has taken up many of the SCI-SLM elements in its operation).[48] In the NGO arena, the ACDP also has taken up many of the elements of SCI-SLM due to its exposure and its Director being part of the National Steering Committee.[49] At government level, in terms of real commitment some uptake was not as successful due to parallel strategies and programmes which had already been developed. However, some activities did shed light on prioritising SCI-SLM at regional level. For instance, at Zorbogu, the community representative was an Assembly member who brought some of the SCI-SLM elements to the priority level at the Tamale Metropolitan Assembly.

139. In **Morocco**, TARGA-Aide faced major challenges because even if nationally recognized, it is far more difficult for an NGO to promote institutionalisation[50] (mainly due to its outsider position to the government structure).[51] However, the SCI-SLM approach is fully integrated into TARGA-Aide's standard protocol of intervention and thus the NGO continues supporting the selected communities as part of its rural development programmes.[52]

140. In **South Africa**, due to the involvement of various Government staff, there have been some levels of institutionalisation, especially within the DEA and DAFF, as well as at municipal level in some of the initiative sites. The South African team brought DEA in to support the awareness campaigns, and DAFF supported through co-financing (e.g. to get in an Environmental Assessor for one of the initiatives, paid for a visit by the Gudwini community to the Botanical Garden for training on how to plant indigenous trees, soil fertility etc).[53] Since then there has been continued interest in these departments on SCI-SLM, although at local level it seems that not much intervention has taken place since the project ended, at least in Gudwini.[54]

141. **Uganda** had a much easier transition to wide institutional embedding for two main reasons: (1) vertical upscaling was consistently stimulated by MAAIF which is already embedded in the Government system, and (2) over the process of three consecutive projects (PFI, PROLINNOVA and SCI-SLM) plenty of time had elapsed and enough evidence had been collected for the local innovation approach to be fully embraced and become common practice in Uganda's official research and extension system.[55] The SCI-SLM methodology has been mainstreamed into nation SLM programmes and all SLM projects are overseen by the same National Steering Committee.[56] Uganda SCI-SLM has been able to catalyse activities under the national SLM programme, particularly through establishing community entry points, and stressing the importance of community-to-community exchange of information.[57]

DIRECT OUTCOMES FROM RECONSTRUCTED TOC

142. While some of the outcomes (especially Outcome 2 and 3) may have had weaker achievements, the SCI-SLM managed to achieve major strides towards upscaling community-driven initiatives in the four countries, especially considering this was a medium-sized project budget-wise with full-size project ambition. The fact that some outcomes did not come completely to fruition (e.g. not all four initiatives upscaled in some countries, like Ghana and Uganda) means that the assumption that available financial and human resources are adequate did not hold.

[48] Chapter 11 of the SCI-SLM Book.
[49] Interviews with ACDP Director and Staff.
[50] Chapter 11 of the SCI-SLM Book.
[51] Evaluator opinion.
[52] Chapter 6 and 11 of the SCI-SLM Book.
[53] Interview with South Africa Country Coordinator.
[54] Evaluator observation based on Gudwini/Msinga community interview.
[55] Chapter 11 of the SCI-SLM Book and interview with Uganda Country Coordinator and TAG members.
[56] Ibid.
[57] Ibid.

143. Increased knowledge especially on the social innovation principles, with understanding of these principles by more stakeholders and practitioners of these principles, may be one of the biggest successes of this project, and one that should be replicated (through broad use of methodology) into SLM projects especially in Africa. This has a strong potential of moving towards impact, especially if communities themselves come up with and share their own innovations, a notion that has been (unfortunately) underestimated and thus deemed by the Evaluator a missed opportunity for too long.

144. There have already been a number of moves coming out of the outcomes of the project toward the intermediate states. Organic increases in communities implementing the SLM initiatives exposed by the SCI-SLM are underway, and there has been a large increase between project closure and the evaluation visit already. For instance, see paragraph 100 for more elaboration on some of the initiatives that have continued to upscale beyond the project, and paragraphs 120-123.

145. There has been improved targeted investment, through small-scale funding mostly, at community level, through communities and NGOs accessing funds they were previously not able to, as a result of their exposure through the SCI-SLM (which had knock-on effects of more exposure).

146. Despite there being some uptake and institutional embedding vertically, it is a shame, given the project potential and results, that this is not much more. In addition, understanding that the budget was too limited, a larger media advocacy campaign through a strategic communications strategy could have gone a long way to improve both vertical and horizontal upscaling.

147. Given these observations, and what was achieved in the time frame and limited budget, the rating for achievement of direct outcomes in **Satisfactory**.

LIKELIHOOD OF IMPACT

148. The likelihood of achievement of project impact (improved land/ecosystem health and improved wellbeing through, among others, improved food security - *social cohesion and innovations applied to SLM initiatives regionally are further spread and knowledgeable community of practice through local knowledge-science interface, with social cohesion and community confidence at the core)* is examined using the ROtI analysis and TOC. A summary of the results and ratings can be found in Table 7.

149. The overall likelihood that the long term impact will be achieved is rated on a six-point scale as **Highly Likely (BA+)**. This rating is based on the following observations:

(i) The project's intended outcomes were (mostly) delivered and had large evidence-based catalytic moves towards the intermediate states. For instance, the increased knowledge on social and technical innovations gave even more ownership and pride at community level understanding that they were in fact doing innovative SLM, which then had a domino effect on near-by communities. This in turn motivated government and NGO agencies to further support them and give them more exposure.

(ii) The potential for this project is vast, and if properly absorbed into larger programmes (e.g. GEF LD umbrella, climate change adaptation funding), as well as into regional and national priority programmes, it has the potential to reach impact (for instance, exchange visits at national and international level are a highly valued tool for South-South cooperation and exchanges.

(iii) Already, organically, small-scale funding opportunities are opening up directly to the communities who were exposed through their initiatives (although it must be highlighted here that this is not sufficient as of yet in terms of what needs to be done), and various governments are using their own funding and lobbying for more externally

to further implement the elements of SCI-SLM. This means that more communities will be involved and exposed to this methodology.

(iv) Generally, if Africa realises its own potential in innovation around SLM, especially at community level, like this project has shown, it can do vastly better than copying and approaches from elsewhere in the world.

ACHIEVEMENT OF PROJECT GOAL AND PLANNED OBJECTIVE

150. The purpose of the project was to stimulate community initiatives for further upscaling into other communities in four countries in Africa. The hope of the project was that the methodology (including characterisation, exchange visits, and community centres of learning) would be replicable into other SLM related projects.

151. The SCI-SLM went beyond achieving its project goal in that it was a novel and replicable approach to the way that land degradation is addressed in Africa, and indeed elsewhere. There needs to be more effective integration of the various elements of methodology into the wider global arena.

152. In all four countries, the project stimulated community initiatives for further upscaling, and in some of the cases, went beyond the planned targets (see paragraph 100). For **Ghana**, knowledge among the NGO and research community, as well as at local level certainly increased with regards social and technical innovations. There was some real evidence-based upscaling and replication of the community initiatives although some of them did not replicate to another community. There was concerted effort made to both create awareness and embed SCI-SLM institutionally with some levels of success (see paragraph 104).

153. In **Morocco**, TARGA-Aide absorbed the methodology into its own long-term programme and continues to stimulate communities' initiatives through this programme. Despite having limited institutional embedding in Government, there certainly is sustainability through the NGO commitments.

154. In **South Africa**, there was some high-level absorption of the SCI-SLM to ensure institutional embedding and sustainability at some level. Community sharing, with institutional support from the onset, was a strategic way of embedding SCI-SLM institutionally.

155. In **Uganda**, the project has been strongly embedded into the national SLM programme (see paragraph 141), with communities gaining continued support both from Government, as well as from small grant donors. Partnerships created between communities, and exposure of communities have led to e.g. the set up of a resource centre in Bandera (see paragraph 123), which has continuous knock-on effects and thus ensures sustainability.

156. Given the exceptional achievements with relation to upscaling, and some shortcomings with regards the policy level and institutional embedding, rating for the achievement of project goal and planned objective is **Satisfactory**.

157. The overall rating on Effectiveness is **Satisfactory**.

Table 7 Results and ratings of Review of Outcome to Impact (ROtI) Analysis for the SCI-SLM Project (Stimulating Community Initiatives in Sustainable Land Management)

Project Objective	**Refine ways of stimulating the further improvement and spread of community based SLM initiatives, while simultaneously developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four pilot countries in Africa**						
Outputs	**Outcomes (Reformulated)**	**Rating (D-A)**	**Intermediate States**	**Rating (D-A)**	**Impact**	**Rating (+)**	**Overall**
1.1. Community initiatives in SLM in the four pilot countries identified 1.2. Technical and socio-economic aspects of the initiatives analyzed (according to relevant innovative procedures that are replicable) 1.3. Interactive database on innovative community SLM initiatives (including triggering factors) accessible to all SIP partners	Increased knowledge on social and technical innovations in all four countries	**B**	-stakeholders identify and stimulate community SLM innovative initiatives - governments support upscaling Increase in number of communities implementing SLM (and numbers within communities) in four countries Upscaling and stakeholder exchanges encourage awareness raising among policy and institutional structures Improved targeted investment and decision-making for SLM Stakeholders collaborate, share and use information to embed SLM into all land-use across	**A**	Improved land/ecosystem health and improved wellbeing (through, among others, improved food security) [Social cohesion and innovations applied to SLM initiatives regionally And Knowledgeable community of practice through local knowledge-science interface, with social cohesion and community confidence at core]	+	**BA+**
2.1. Community initiatives further developed both technically and in terms of organizational structure 2.2. At least four community-based SLM initiatives (to be identified) successfully upscaled in each country 2.3. Constraints to upscaling community relevant to other SIP countries identified and solutions proposed	Larger numbers of communities have used/replicated the innovative SLM solutions to their activities						

Project Objective	**Refine ways of stimulating the further improvement and spread of community based SLM initiatives, while simultaneously developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four pilot countries in Africa**						
Outputs	**Outcomes (Reformulated)**	**Rating (D-A)**	**Intermediate States**	**Rating (D-A)**	**Impact**	**Rating (+)**	**Overall**
3.1. Incorporation of pilot processes, practices and partnerships into relevant national and NGO agencies 3.2. Publications (policy briefs) with suggestions for policy improvements aimed at decision-makers at national and sub-Saharan Africa levels	Policy makers are aware of innovative initiatives and institutionally support their upscaling		dry-land regions of Africa				
4.1. Methodology and guidelines developed for horizontal spread appropriate for project countries and wider afield 4.2. Methodology and guidelines developed for vertical upscaling (institutionalisation) appropriate for project countries and wider afield	Increased and strengthened institutional embedding on SLM initiative upscaling at country and regional level						

Project Objective	**Refine ways of stimulating the further improvement and spread of community based SLM initiatives, while simultaneously developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four pilot countries in Africa**						
Outputs	**Outcomes (Reformulated)**	**Rating (D-A)**	**Intermediate States**	**Rating (D-A)**	**Impact**	**Rating (+)**	**Overall**
	Rating Justification: The **B** rating indicates that the outcomes were mostly delivered, and were designed to feed into a continuing process (e.g. through catalytic country actions, book dissemination), but with no (real) prior allocations of responsibilities after project funding.		**Rating Justification:** The **A** rating reflects that the measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the long-term impact (pending further injection of support in strategic areas).		**Rating Justification:** The **BA+** rating corresponds to **Highly Likely** that the impacts will be achieved, in the long run, the project has immense potential, and pending larger knock on effects into the rest of dry-land Africa through strategic injections of support		

D. Sustainability and replication

158. The evaluation of sustainability and possibility for replication focuses on four aspects of sustainability (socio-political, financial resources, institutional framework, environmental sustainability), and then looks at the catalytic role the project played towards further upscaling and replication into wider dry-land Africa.

Socio-political sustainability

159. From the onset the SCI-SLM engaged with stakeholders at all levels, from local communities and academic research institutions to government ministries and departments and NGOs. This was conducted already in the initial phases of project development (e.g. mobile workshops in 2003), and continued strongly through the implementation of the project. Not only did this increase awareness and capacity for replication, it also promoted community (by default almost - as the project was always, in a way, owned by the community) and political buy-in and ownership of the project.

160. Because one of the outcomes was political awareness raising, and policy makers were involved in all steps (e.g. Project Steering Committee meetings), the project created a favourable political environment for embedding institutionally at national level (although this was not that strong an element in some countries, e.g. Morocco).

161. There already is a high level of awareness at country level of the implications of land degradation, so some elements of sustainable land management are already prioritised. The community innovation factor was strengthened thanks to SCI-SLM.

162. At the local level, and in all four countries, engaging with communities (by exposing them to the outside and creating a platform for them to realise that their initiative is innovative and what they are doing is important and is working) has created a strong sense of ownership.[58] This was seen strongly during the country visits by the Evaluator, in which those communities were sustaining all their activities, and in addition, had motivated communities near and far to take on their initiatives.

163. In **Ghana**, already two NGOs (ZEFP and ACDP) have taken up the SCI-SLM concept and methodology for their work, and the UDS continues to integrate SCI-SLM elements into their research proposals. Participation of some decision-makers in the Steering Committee was a strategic move, and the regional minister attending the Steering Committee did commit his support.[59] However, there was no real demonstration of policy link, and interviews with the country team reflected that generally inclusion of policy makers in e.g. workshops, had not necessarily connected budget lines to SCI-SLM related initiatives.[60]

164. In **Morocco**, TARGA-Aide has now made the SCI-SLM methodology part of its standard protocol. Government interest and institutional embedding did not occur as was hoped for the project (see paragraph 104).[61]

165. In **South Africa**, the SCI-SLM concept made it up to Cabinet level, and there was certainly support from various relevant Government departments (see paragraph 140).[62] Municipalities of the different areas in which initiatives took place also absorbed some elements of community support to the SCI-SLM in South Africa.[63]

[58] Based on country visits and interviews with communities in three countries, interviews with TAG members and questionnaire response Morocco, as well as SCI SLM Book
[59] Project Management Review, SCI-SLM.
[60] Interviews in Ghana with members of the Project Team.
[61] Interviews with TAG member, questionnaire response by Morocco Country Coordinator.
[62] Interviews and questionnaire response with Project Coordinator and South Africa Country Coordinator
[63] Ibid.

166. In **Uganda**, for various reasons already stated in paragraphs 141 and 166, SCI-SLM has been fully embedded into the Government SLM programme, with a large number of institutions, NGOs, research bodies, church groups, local level Government, involved in bringing elements of SCI-SLM forward. [64]

167. Socio-political sustainability is rated as **Likely**.

Financial Resources

168. A few of the outcomes (especially upscaling the four community initiatives in each country to a further four communities) have not been achieved completely. On questioning why this was the case, the answers were mostly around lack of financial resources (and logistical difficulties, e.g. communities being isolated for instance) and time (see paragraph 100).

169. This said, there are a number of financial resources that have been mobilised at local and at national level as a result of the SCI-SLM project, a few mentioned below:

- In **Uganda** (e.g. Moatani and Bandera 2000), the organisational structure and exposure to external development partners is such that they have been able to write several proposals and access small-scale funding for their activities
- In **South Africa**, GEF project development is under way which is informed by and uses elements of the SCI-SLM project
- In **Ghana**, the NGO ACDP has put forward proposals and secured funding to implement initiatives with embedding of SCI-SLM principles
- In **Uganda**, the Government continues to finance initiatives on the ground related directly to SCI-SLM
- In **South Africa**, communities are generating income through forest management and saving systems that are going back into their innovations.

170. It was noted by most project respondents that, although there was some financial resources catalysed, funding continues to be a large limitation to further uptake and replication of SCI-SLM at community level.

171. Despite the vast potential of this project, there has not been enough interest from the broader global community e.g. GEF, on the embedding of the approach into larger scale SLM projects.[65] Further global and regional level funding would be necessary to domino SCI-SLM into other countries (through dissemination of the book, and testing in other countries).

172. Financial sustainability is rated as **Likely**.

Institutional framework

173. The SCI-SLM definitely had a catalytic effect towards institutional embedding in all four countries, the level and potential for sustainability (especially as related to Government ownership) varies between the countries.

174. In **Ghana**, there is sustainability in the NGO arena as well as within UDS, and to some extent within Government (see paragraph 129). In **Morocco**, while TARGA-Aide has certainly taken up SCI-SLM at a programmatic level, there has not been much institutional embedding of SCI-SLM at Government level (see paragraph 130). In **South Africa**, there have been some levels of uptake at national and local Government level, assuring some sustainability in terms of institutional

[64] Chapter 8 of the SCI-SLM Book, interviews with Country Coordinator of Uganda and various stakeholders during country visit.
[65] Based on interviews with TAG members.

frameworks (see paragraph 131). **Uganda** has had strong embedding of SCI-SLM into its institutional setting (see paragraphs 133 and 141).

175. Through maintaining various partnerships throughout the project, and engaging key stakeholders at the onset and throughout, gave the project exposure at national level in some of the countries especially (e.g. Uganda, Ghana, and to some extent South Africa).

176. Overall, institutional framework is rated as **Likely**.

Environmental Sustainability

177. Because of the nature of the project, it had environmental sustainability at its core because of its focus to decrease land degradation and enhance ecosystem health.

178. It was clear from the country visits, that initiatives were not always entirely clear on the environmental system and its pressures. But through the project interventions environmental issues were raised and cleared. Some instances that the Evaluator found may have had possible maladaptive practices were exposed during evaluation country visits (e.g. what are the long term effects of introducing the arboreal termite species which creates local movements and possible extinctions of terrestrial termites - NACIA in Uganda; what are the implications of planting homogenous eucalyptus and pine trees[66] - RECPA in Uganda). Obviously some of these issues were covered through the characterisation, more specifically the TEES test, but they do need to have mention, especially in terms of future uptake.

179. Generally, the more of this type of sustained action is taking place at community level, the greater the environmental sustainability, and also the greater the general resilience to climate change. But if human pressures continue to exacerbate and undermine ecological sustainability (e.g. like climate change) any SLM activities will prove more and more difficult with time.

180. Environmental Sustainability is rated as **Likely**.

Catalytic Role and Replication

181. *Catalysed behavioural changes:* The SCI-SLM made leaps and bounds towards catalysing behavioural changes from community level to the high level, although, high level uptake varied between countries and was not necessarily achieved in all cases (see paragraphs 128-132 and 137-140). Increasing exposure for communities to other initiatives through exchange visits, as well as giving the four countries the opportunity to share their research, barriers and organisations structures, went a long way in promoting change in behaviour in various stakeholders during project implementation.

182. *Incentives:* The benefits to communities implementing their changes were clear (through the interview processes during country visits, long lists of benefits were given by community representatives both on their own initiatives, but also from the SCI-SLM interventions). In terms of the benefits seen from the initiatives themselves: In **Ghana**, compost heaping found to improve production of crops; in **Morocco**, land rehabilitation through terracing was very visibly providing results in terms of production; in **South Africa**, holistic rangeland management reduced theft and increased land health; in **Uganda**, conservation agriculture and fruit trees enhanced production and

[66] There is however growing literature on this topic that pine trees and eucalyptus have benefits that were previously thought otherwise (e.g. outdated research that these trees destroy the soil, no undergrowth etc) which illustrate that in the long-term, fast growing trees do encourage undergrowth of indigenous species and don't decrease plant diversity as previously thought. (Bernard-Reversdt, F. 2001. Effect of exotic tree plantations on plant diversity and soil fertility in the Congo Savanna: a special reference to eucalyptus. Centre of International Forestry Research, Indonesia. Accessed on FAO website, http://www.fao.org/forestry/42677-0641c6b278b5916899e198a24444dc455.pdf).

income generation; to name a few. The communities visited by the Evaluator all elaborated on the various examples that they listed as benefits as a result of being part of SCI-SLM: exchange visits between communities (peer exchanges) helped them greatly to learn new ideas from peers who face the same challenges; international exchange visits gave them confidence and empowerment through recognition and exposure; international visits by TAG members gave them knowledge on improving their innovations; and more. It was obvious that SCI-SLM had improved lives of many of the communities involved.

183. *Institutional changes:* As elaborated on in paragraphs 129-132 and 137-140, there were certainly institutional changes that will be sustainable. Even in countries where Government involvement was not particularly strong, the NGO sector has certainly taken on SCI-SLM elements quite strongly.

184. *Policy changes:* Given the policy briefs at country level and regional, there may be more policy changes towards SLM innovation, but this was not clear to the Evaluator (see paragraph 103). Certainly there were strategic actions taken to involve policy makers throughout the SCI-SLM process, particularly in Ghana, South Africa and Uganda. However, there was not sufficient evidence to the Evaluator to demonstrate a clear link to policy change (with the exception of Uganda).

185. *Catalytic financing:* At national and local level, there certainly has been catalytic financing coming from SCI-SLM, such as various proposals through NGOs and UDS in Ghana, small grants in Uganda, and the GEF project in South Africa (see paragraph 221). However, at global level more is needed to showcase the achievements of SCI-SLM.

186. *Champions:* If any project has given ground-level community champions a chance to showcase their work (in all four countries), it is SCI-SLM. In addition, all four country coordinators, various stakeholders (e.g. National Steering Committee members) and of course TAG team members, were strong champions of the project and it is certain that elements of SCI-SLM will be lobbied for through these champions.

187. *Replication:* The potential for replication and further upscaling for SCI-SLM and the need to further mainstream SCI-SLM approaches into SLM across Africa is of utmost importance. Already, at local levels, a lot of replication is taking place, as evidenced by the upscaling within and around communities in each of the countries (see paragraph 123). Due to the project achievements (e.g. replication, community initiative ownership and declared appreciation of the SCI-SLM project as a catalyst to improving their lives),[67] the project has high potential for replication, especially the novel methodology designed, and the concept of social innovation, at a more regional (or global level). However, at global and higher regional level, a lot still needs to be done, and the Evaluator has not seen evidence for any absorption of SCI-SLM elements into the global arena. It is the hope that the book dissemination will go a long way to create project exposure and cause replication.

188. The rating for Catalytic Role and Replication is given as **Likely**.

189. The rating for Sustainability overall is given as **Likely**.

E. Efficiency

190. *Time:* SCI-SLM was one of a few projects that suffered delay during its design phase due to the reorganisation of the GEF in ca. 2006. In fact, the first initial concept was drawn up between CIS and UNEP in 2002, with mobile workshops in each of the countries taking place in 2003. After submission and review (for GEF-3), the MSP was approved by the GEF council in 2006, with the intended launch taking place in that same year. However, the launch never took place. Reorganisation of the GEF and the GEF's procedures meant that the project, had to, effectively, be resubmitted in a different form

[67] As noted by all communities interviewed during the Evaluation Country missions.

for funding under GEF-4. As a result, it then took until 2009 for the project to be finally accepted and launched, with the inception meeting taking place in South Africa.

191. After this, the project did not have any major delays that necessitated any large adaptation to take place. There was a comment from a respondent about delays in the final steps of the project, in terms of getting the book published, which may not have had impacted the results but its dissemination to the public and sponsors may have lost momentum now that the project has ended.

192. There were no delays from UNEP in terms of funding releases. Some countries did mention delays in funding releases from the CEAD, and this can be explained by South Africa country level (and UKZN processes for that matter) institutional red tapes, forex exchanges and in-efficiency of international transactions.

193. The agreement with Uganda was slightly delayed because it has not been signed by the country, but because Uganda had already fronted its co-financing to get moving before the project was launched meant that they were on track. Other than that, the project activities were within timeframe throughout the project lifespan.

194. *Cost-effectiveness:* This was a medium-size project with a small budget (under 2 million USD). Not all outputs were achieved (e.g. some exchange visits in-country, some upscaling), mostly due to a lack of funding, which implies that during the design phase some elements were under-budgeted (or co-financing was slightly over-estimated at design in some countries). This said, it is remarkable what was achieved in all four countries with the amount of funding available. The budgets at country level were very small (e.g. GEF allocation of approximately USD 100,000, with co-funding at USD 150,000), but the achievements were substantial (especially given the upscaling that has been done e.g. paragraph 100 and 120-123), which indicates large effort made towards being as cost-efficient as possible in terms of implementation. This project is an example of how small budgets can go a long way with the right project partners.

195. Efficiency is rated as **Highly Satisfactory**.

F. Factors affecting project performance

Preparation and Readiness

196. Given the time that it took from start to finish in terms of project design (seven years), the project designers had plenty of time to refine the project. Stakeholder consultations (through mobile workshops, visits, contact with country partners) were conducted throughout the design phase, there was strong ground-truthing during project development. Because of the GEF re-shuffle of projects in design, the project coordination team (which was initially supposed to be housed at the University of the Western Cape) was changed, which may have had implications on the project implementation. Given this, the capacities of the different implementing agencies were well considered.

197. The project document was generally clear and strategic in its design, with clear baseline situations. Generally, the project's objectives and components were relatively clear, and to some extent practical and feasible in the timeline. Some exceptions exist. These include that not all outputs were fully achieved (with the main reason cited being lack of funding); this indicates that there may have been some under-budgeting of the outputs during the design phase and/or over-budgeting of the co-financing. In addition, a number of project proponents relayed that the project timeline was too short to effectively implement everything. The organisational structure for implementation was well thought out, with clear project management in place. The partnership arrangements (between countries, and within countries, to an extent - because within was

determined based on characterisation) were identified and roles and responsibilities generally clearly defined for all four countries.

198. Lessons from other projects and parallel projects were incorporated into the design (e.g. PFI, PROLINNOVA, KAGERA, country-level projects).

199. The Evaluator believes that a possible design flaw lies within the fact that no real outreach or communications strategy was developed or added as an output. This would have had much greater impact in terms of global/regional follow-through of the project.

200. Most of the design weaknesses mentioned by the Project Review Committee were addressed. However, the main issue that was not addressed was the tabular risk analysis. Not enough risk management was conducted at design phase, although in subsequent PIRs, this was addressed.

201. Project preparation and readiness is rated as **Satisfactory**.

Project Implementation and Management

202. The project implementation mechanisms that were outlined in the SCI-SLM project document were followed and generally effective in delivering the project outputs. No significant adaptations were made during implementation to original approaches in the project design. The project was quite adaptive given that it allowed each country to have its own operational arrangement that fed the common goal. According to one respondent, the role of TAG was crucial in flexibility and adaptability of the project, especially in Morocco.

203. Generally, the management was strong administratively.[68] Financial management and general response in terms of administration was always followed up on and was clear and well conducted.[69] It was mentioned though that UKZN (and South Africa in general) had large bureaucracies and thus there was often a lot of 'red tape' in releasing the funding.[70] Management, support and coordination in terms of physical presence did not materialise as was planned in design.[71] A large number of respondents felt that the project coordination was not as present (in terms of in-country support and guidance) as they had hoped, and many tasks that were deemed the responsibility of the project management unit was taken over by the TAG team. Members of the TAG team were very present in-country, often because they were conducting other projects in countries nearby and so would use these opportunities to stop-over and provide support and guidance, creating a strong cost and time efficiency element.[72] However, this may have led the management team to believe that TAG was "checking in" enough and thus more presence was not really necessary.[73] On the other hand, TAG took on responsibilities because project partners were sharing that they were not necessarily getting enough guidance from management. It seems that lack of communication may have been a result of the 'turn-over' of responsibility, if you will.[74] The Evaluator also noted that the possibility exists that the CEAD was overcommitted to a number of things and thus was not always able to make country visits.[75] The country distances, with South Africa being the furthest, may have also made it geographically, time wise and logistically more difficult for the project manager to do

[68] As evidenced by project reports (PIRs, financial reporting), opinion of Evaluator based on interviews with Financial Manager, Project Coordinators, as well as through comments made by TAG and Country Coordinators
[69] Based on interviews with Country Coordinators.
[70] Ibid.
[71] Ibid, including interviews with TAG.
[72] Interviews with TAG members and interviews with Country Coordinators.
[73] Interview with Project Coordinator.
[74] Evaluator Opinion based on conversations with TAG and Project Coordinator.
[75] Evaluator Opinion based on interviews with Project Management Unit.

country visits.[76] Project management responded to UNEP guidance, as well as the Project Steering Committee.[77]

204. There was a concerted effort made during project design (through intensive stakeholder consultations) to identify the most appropriate institution to implement in each country. Each country implementing team (or institution) implemented the project at country level effectively.[78] In fact, it seems that the country teams went beyond their mandate often to make sure communities benefitted through the project activities.[79] There were a few changes in country coordinators (both Uganda and South Arica had staff turnover where the project coordinator at country level changed during project implementation). Despite this, the roles and performance of the country teams was effective for implementation.[80]

205. The National Steering Committees had differentiated involvement per country. Generally, the support and guidance from the NSCs was good.[81] For instance, they were present at meetings and also present during international exchange visits. Some issues were discussed by respondents. For instance, having a national level steering committee for Ghana would have been difficult because of the location (isolation) of the project areas in relation to central Government. Only a few of the members were very active, the others were absent at meetings.[82] In Morocco, the representation of the NSC was much more local even though there was the aim to have it more national.[83] In Uganda, generally, the NSC was strong and present.[84] In South Africa there were varying levels of commitment from the National Steering Committee.[85] Despite this, and based on interviews with a few of the representatives of the National Steering Committees in three of the countries (Uganda, South Africa, Ghana), the interest and engagement from members was very strong.

206. All respondents clearly articulated the guidance and support from the Project Steering Committee. The committee met yearly and this usually was backed by the simultaneous international exchange visits.

207. Based on these observations, the project implementation and management is rated as **Satisfactory**.

Stakeholder participation, cooperation and partnerships

208. The project design phase had a strong component of stakeholder involvement, with mobile workshops in all countries, engagement of project partners in project design and capacities well outlined prior to project consent. Of course, given the project implementation process, some stakeholders would only be properly identified during implementation (e.g. project beneficiaries, community initiatives).

209. The National Steering Committee meetings had broad participation by beneficiaries, ministries, extension agents, researchers and policy makers.[86]

[76] Ibid, and interviews with TAG.
[77] Interviews with Project Management Unit and TAG.
[78] Evaluator opinion based on project results, TAG member interviews, Country Coordinator interviews.
[79] Evaluator opinion based on community interviews in three countries and interviews with Country Coordinators.
[80] This was evidenced by interviews with TAG, Project Coordinator, UNEP Task Manager; also Evaluator opinion based on results achieved by project.
[81] Based on interviews with Ghana, South Africa and Uganda Country Coordinators and country team members, as well as questionnaire response by Morocco.
[82] Ibid.
[83] Interview TAG member.
[84] Interview Uganda Country Coordinator.
[85] Interview South Africa Country Coordinator.
[86] UNEP Project Management Review, SCI-SLM; as well as interviews with National Steering Committee members in three countries, questionnaire response Morocco.

210. UNEP collaboration was adequate. There were even some small elements of one-UN approaches, although this could have been more, especially in Uganda with UNDP, who were doing very similar work (despite this, UNDP Uganda were very involved in the project).

211. There has been collaboration and absorption of lessons from SCI-SLM into various mechanisms (e.g. TerrAfrica Framework), but the level of collaboration and opportunities for joint activities was not taken up as was hoped. Indeed, the most absorption and linkages were made with PROLINNOVA. This was not necessarily due to a lack of collaboration from the project itself as much as a lack of interest to become involved in SCI-SLM from other projects. Despite this, enough linkages have been made amongst the countries and their respective projects. For instance, in Uganda, one SLM coordination unit at MAAIF integrates all projects in a collaborative manner, such that elements of SCI-SLM are integrated into other projects.

212. Stakeholder participation, cooperation and partnerships is rated as **Highly Satisfactory**.

Communication and Public Awareness

213. A brochure, as well as a policy brief on the methodology, were developed. National policy briefs were apparently developed for all countries, although how much change they induced (if they were in fact disseminated) is arguable (see paragraph 137-140). At national level, existing communication channels were used (e.g. mailing lists, workshop processes, community meetings, in Uganda the showcasing at the yearly Agricultural Show in Jinja of community initiatives, World Day to Combat Desertification held in communities with high levels present, in Ghana used extension services to share messages) as well as new outreach was done in some countries (e.g. Uganda and its radio shows on SLM, journalist visits to communities to document stories on initiatives - also made a small video that was aired, documentaries were made in Morocco and Ghana).

214. If disseminated and communicated strategically, global and/or regional communication based on the results of the project is anticipated to be made available mostly through the (future) publication of the SCI-SLM book, which has the potential of really integrating SCI-SLM components into SLM work all over Africa.

215. Given the potential of the project, and book dissemination pending, it is disappointing that a communication strategy was not an important element (budget withholding) of the entire project, see e.g. paragraph 146 (it seems that Uganda was the only country where public awareness was created in terms of more outreach). Low hanging fruits communication was done at country level, and there was a lot of push from TAG to get the SCI-SLM results shared on the global arena (especially GEF) which did not always prove successful.[87] There was in fact, according to some respondents, not enough showcasing by GEF to give project achievements more visibility.

216. One important note based on the country visits, particularly to communities who were engaging in their innovative initiatives, was that there was seemingly not enough transparent communication between country coordination teams (and for that matter the PSC and other countries visiting) and the communities. At least two communities (e.g. RECPA in Uganda, Kandiga in Ghana) were under the impression that SCI-SLM would still continue and did not know the project had ended and that there would be no more interventions from the SCI-SLM *per se* (one group even mentioned that they thought 'SCI-SLM was just beginning'). It is a really important part of the project to have transparent communication at the onset of the project and lay down the exact process in which the community will be interacting with, sharing, and benefitting from the project. While it was clear that the communities benefitted a great deal and vastly appreciated the exposure they got

[87] Interview with TAG member.

through SCI-SLM, it should have been clearly stated what the project aimed to achieve, and when it would end, in the very first discussions with the community.

217. Barring the dissemination of the book and given the available budget, communication and public awareness is rated as **Moderately Satisfactory**.

Country Ownership and Drivenness

218. Because of years of previous interventions, the structure of SLM within MAAIF, and the fact that MAAIF was implementing SCI-SLM at country level in Uganda, meant that Uganda already had a strong component of Government ownership of the project. There has also been mobilisation of own funds by Government (e.g. even at the onset when the project had not been signed and GEF funding had not come through yet and Government fronted the money to get started, and in the long-term with the SCI-SLM being integrated into the country's SLM programme, see paragraph 133).

219. The other three countries did not succeed in the Government assumed responsibility as much as Uganda, and especially Morocco, and to a lesser extent, Ghana, struggled to embed SCI-SLM in Government. However, elements of the project were taken up by government departments in e.g. South Africa, where initiatives are being supported by their Government, this through the motivated interested from Steering Committee members. In Ghana and Morocco, it is questionable whether the governments will assume responsibility of the project. In Morocco, for instance, while their Government was initially involved, interest waned, possibly due to work loads. All countries received cooperation from relevant government institutions, mostly through Steering Committees, but also through implementation partners, the level of cooperation varied between countries.

220. Despite the government involvement, country ownership was extremely strong in all countries, it was just at different levels.

221. Generally, the project had strong ambitions to stimulate country ownership and this was realised in virtually all countries in one way or another (at community level, e.g. paragraphs 100, 120-123). For instance, the Government of South Africa has adopted the SCI-SLM approach into its forthcoming GEF-5 project to be implemented by provinces different to where SCI-SLM was implemented (thus upscaling and outscaling); Uganda continues to prioritise SCI-SLM elements into Government programmes; Ghana NGOs and the UDS have continuing projects and project funding proposals under way to further stimulate community initiatives in SLM; the characterisation and upscaling of community innovation as part of the methodology of SCI-SLM is being used in TARGA research in Morocco.

222. Given that this project was more about exposing existing community initiatives, and then replicating the ideas more broadly into other communities, indicates the embedded sense of community ownership of the project. The project gave a strong sense of worth and pride in terms of giving the platform and highlighting the fact that communities (who previously did not believe their initiatives were special or innovative) are doing productive and life-changing work, work that is replicable and has the power to enhance other communities' lives.

223. Country ownership and drivenness is rated as **Highly Satisfactory.**

Financial Planning and Management

224. Generally, proper standards were applied to financial management. The finance manager of the project prepared detailed financial reports on time (including to the Steering Committee) and regularly consulted country coordinators on their financial situation or any issues they were facing.[88]

225. There were a few delays in getting financial resources to the country partners, mainly due to bureaucracy of UKZN and South Africa, as well as the Forex transactions that were delayed. Financial reports were not always forthcoming from the countries, but the funds manager travelled to each of the countries to liaise directly with the project teams about their financial reporting.

226. Administrative processes at national level were generally good and did not affect project performance.[89] Financial and technical reporting was generally on time for all four countries, and administrative support from the Project Management Unit ensured that any reporting issues were addressed.

227. When assessing the finance tables (Annex 5), it is clear that not all the co-financing that was promised, materialized. It is obvious that Uganda has fronted cash co-financing throughout the project, but this was not adequately reported (or seemingly wasn't). Most of the in-kind co-financing was realised, but this was also not complete, and much of was probably underestimated. According to the funds manager most of the co-financing did materialise, all of it in-kind.

228. Resources leveraged are multiple. South Africa has been writing several large and small proposals (e.g. GEF from Government, but then also through CEAD), in Uganda UNDP and Government continue to leverage resources through their SLM programme at government level, and at community level some of the communities have been able to write proposals and secure small grants for their initiatives (including upscaling), in Ghana UDS and some NGOs (e.g. ACDP) are securing funding to carry on SLM with components of SCI-SLM.

229. Despite the fact that SCI-SLM has had a small-scale catalyzing of financing through its interventions, most project respondents indicated that funding was still a limitation in further upscaling SCI-SLM beyond project closure.

230. Generally, risks to financial sustainability at community level are low. However, in terms of absorption into the greater regional context, financing becomes more volatile and competitive and SCI-SLM did not get enough traction within the global community to negate risks of project sustainability on account of lack of funding (the book might change this at the higher level, but this is merely an assumption).

231. One of the things that should be noted for this project is that the funds manager of CEAD joined many of the exchange visits (international and national) which, to the funds manager, gave a much better understanding of the project context and implementation with regards financial management.

232. Financial planning and management was excellent generally, but due to co-financing information lacking and possible under-budgeting at design, financial planning and management is rated as **Moderately Satisfactory**.

[88] UNEP Project Management Review, SCI-SLM.
[89] Based on interviews with Project Management, including Finance Manager and Project Coordinator.

Supervision, Guidance and Technical Backstopping

233. Supervision, guidance and technical backstopping by TAG, the UNEP Task Manager and the Project Coordination Team was very well received by the project country partners. Especially TAG went out of their way to support and guide project partners as was necessary.[90]

234. Project reporting took place yearly (PIRs) and was well documented, emphasis was given to outcomes-based monitoring (as is the standard for PIRs).

235. Technical coordination and management was not as effective as was hoped for the project, especially in terms of actual missions to the countries. Many project proponents mentioned that they had expected more in-country visits by the Project Coordinator (see paragraph 203).[91] However, there was apparently sufficient remote coordination through email contact with Country Coordinators.[92]

236. This project, in terms of technical support and advice, particularly by TAG, is probably a best practice example of how, when people are passionate about a project, technical guidance and support can go far beyond expectations. Most of the communities, and all of the project country partners highlighted that support and guidance from the TAG team was immensely powerful in the achievement of the results of the project, even beyond project closure.[93] The strengths of this is using people who are not only invested in the project, but also are willing to be pragmatic and opportunistic (e.g. one instance where a TAG member was doing work on another project in Burkina Faso, and then hired a car to drive down to Tamale to visit the project sites).[94]

237. Supervision, guidance and technical backstopping is rated as **Satisfactory**.

Monitoring and Evaluation

238. *M&E Design.* Generally, good overall monitoring and evaluation framework set out in design phase. Roles and responsibilities for who should be collecting monitoring results *per se* was not clearly described although data was collected throughout the process for the book writing, and the UNEP Task Manager was responsible for keeping the project on track. It would have been beneficial (in terms of sustainability) to see some more qualitative reporting of impact within communities (especially as a selling point to the broader community afterwards), in the design phase.[95]

239. The SMART-ness of the indicators were not always particularly on track, especially for Output 2.1. the indicator was not necessarily SMART. Mostly, though, the indicators were indeed specific, measurable, achievable and relevant. Indicators were time-bound to mid and end of project targets.

240. The M&E design is rated as **Moderately Satisfactory**.

241. Baseline information was adequately described, to an extent, in the PIRs, but not much (especially not next to indicators) in the project document. In the logical results framework in the MTR and the TOR (Annex 1) for this evaluation, baselines were clearly described.

[90] Based on interviews with three Country Coordinators, questionnaire response by Morocco Country Coordinator.
[91] Interviews with two of the Country Coordinators.
[92] Ibid.
[93] Based on all community interviews in three countries, questionnaire response by Morocco Country Respondent, interviews with Country Coordinators in three countries,
[94] Interview with Ghana Country Coordinator, Morocco Country Coordinator questionnaire response, as well as Evaluator opinion based on various interviews with project proponents.
[95] Based on evaluator opinion as well as Chapter 12 of SCI-SLM Book.

242. On the request of the Project Review Committee, there was a specific indicator on gender under the objective of the project.

243. Budgeting and funding was sufficiently planned and outlined in the Project Document, especially for the MTR and the TE.

244. Budgeting and funding is rated as **Satisfactory**.

245. *M&E Implementation.* Each yearly PIR could speak progress to the indicators through mid-term and end of project targets.

246. Generally, it must be said that monitoring and evaluation on a more detailed, research and tracking level, beyond ticking boxes on logframe lists, has not been particularly strong in this project. This sentiment originally described in the last chapter in the SCI-SLM book is seconded here. It would have been beneficial to have had a more impact-driven continuous assessment across the project lifespan, especially at community level (but also in terms of policy level uptake). At policy level especially, the Evaluator felt that there were not enough impact indicators to illustrate that the outcome of increased policy awareness and uptake into institutions could be effectively measured.[96]

247. A carefully designed documentation process (forms facilitated through students) was only implemented and comprehensively completed of the initial characterisation exercise. Meeting official requirements for narrative and especially financial reporting, as well as follow-up monitoring of what has taken place at community level was not conducted sufficiently (although elements of this are added into the Terminal Evaluation here). Some countries, like Uganda, presents some comprehensive evaluation data in its country chapter in the SCI-SLM. It would have been beneficial to see this in all countries (although there would have been no additional funding for this as it was not included at design phase).

248. The Mid-Term Review was conducted, but referencing the SCI-SLM book, 'told us little we did not already know'. The book also recommended that the Terminal Evaluation (an opportunity to pick up on the vital data) should include an assessment of impact, and recommendations for replication of specific aspects of the methodology into other projects, and other countries.

249. Implementation of the M&E was rated as **Moderately Satisfactory**.

250. Given only the project expectations at planning for M&E, M&E is rated as **Moderately Satisfactory**.

[96] There were many impacts about the activities of developing policy briefs, having policy discussions - but not so much on the link to how this actually changed the policy arena - nor was this measured as part of the continuous monitoring process.

5. Conclusions and Recommendations

Figure 7 'Look - Conservation Pays'. The Mukono Community Initiative sign welcoming other farmers to come look at their demonstration sites. One of the SCI-SLM community initiatives in Uganda, picture taken by Justine Braby, 13 November 2016.

A. Conclusions

251. Land degradation continues to be a major problem that threatens food security and thus the very lives of people affected. This will affect the entire global population if we carry on with business as usual and climate change takes its course to further exacerbate conditions. The global community is desperate to find the right mix of solutions that promote human wellbeing and promote ecosystem health. This project aimed to refine ways of stimulating the further improvement and spread of community based SLM initiatives while developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four African countries. It's rationale was that local communities who have found contextual innovation that improves their land and their wellbeing, often through the social cohesion of the community to further uptake their technical innovations. SCI-SLM found those communities and certainly, through it platforms, gave them exposure and sharing mechanisms to upscale these into other communities, creating a small-scale domino effect. The project, in terms of its objective, achieved what it set out to do.

252. The methodology of the SCI-SLM, and its evolution, was surely one of the key contributions made. It was well-planned, meticulous and based on vast experience with previous projects. Two chapters in the SCI-SLM book elaborate on the methodology. The SRI-test, which developed later into the SERR-test, and the TEES test, are certainly part of the broad methodology that could be a useful guideline for any SLM project intervention.

253. Within this methodology, stems the difference between social and technical innovation, which, despite the confusions around definitions of these in the initial stages of the project, was threaded out sufficiently to give a very good understanding of the two and what true innovation really is. During the project, there was a need to filter out what was merely just 'good practice' and identify the complex mechanisms in which innovation comes, and stays.

254. Some of the communities may have not necessarily been doing what would be defined as technical innovation, but their social innovation is what drove their initiative. It is this that causes the spread of anything novel. Any technical innovation cannot move or spread without an element of social innovation. It is the social cohesion, and the way a community is organised, that causes real spread, and replication, and makes initiatives stick much longer than any outside intervention would.

255. The spread of innovation is something that was, in some ways, tested through this Terminal Evaluation. Though extremely difficult to quantify, the evaluation could see the organic spread innovations into nearby communities (and in some countries, counties and districts). This could be seen as a change in the attitudes and appreciation of the communities, and inherits sustainability as a result. The TOC tried to glue the spread of innovation into its overall outcomes to impacts.

256. Community exchange visits, in particular, had immense power to spread innovation. This was, without a doubt, the crux of the project. The fact that the communities became centres for learning, even years later (e.g. in Uganda, Moatani and Bandera 2000 showcase their work and to training for communities who visit them), illustrates the importance of peer learning exchange.

257. International exchange visits did a lot to instil confidence into communities on the initiatives they were doing. It also provided a good platform for researchers from different countries to share their struggles and solutions with what was often found to be the same root problems. More often than not the social structures of the communities was what differentiated the levels of success overcoming these problems. Creating that platform was vital for regional spread.

258. Capacity building for various stakeholders (e.g. extension officers, government officials, NGOs, community beneficiaries), especially on the methodology did a lot to build a pool of SCI-SLM knowledgeable people who are now able to integrate these further into their own work programmes.

259. Stakeholder engagement in the process of the project from design to implementation was impeccable. Gender equality was certainly improved through the project implementation, with women empowerment (through women to women exchanges instilling confidence, as well as improving women participation) being at the crux of many of the initiatives. In many of the initiatives there were strong youth elements (e.g. RECPA had youth awareness programmes, Moatani had a youth group).

260. The exposure brought by SCI-SLM led many communities to have greater access to global actors and funding mechanisms. For instance, RECPA, through its work, has many institutions coming to visit (e.g. World Bank, IUCN, Bandera 2000 was able to access funding through small grants). The project certainly created a catalytic environment towards small scale funding and further exposure to the international environment.

261. A whole chapter of the SCI-SLM book is dedicated to the global environmental benefits of the project. Through the technical innovations (and less novel interventions but fast spread due to social innovation) and its spread, various forms of improved land management was felt. Soil fertility improvements were conducted through better soil management, having an improved impact on soil carbon. Community forest management, through various of the initiatives, as well as rehabilitation of degraded lands, vastly improved land health and also led to much greater areas under effective management. Holistic rangeland management further enhanced the way that land is managed. With

this in mind, the project vastly improved livelihoods and enhanced food security in the areas, thereby also reducing poverty.

262. Given the high level of ownership at country level, the catalysing environment for exposure and possible funding, as well as community exchanges, the project has the potential to have elements of sustainability and even organic upscaling. However, much more is needed if global reach is to be made (or even reach into broader dryland Africa).

263. The project was highly efficient in terms of what it managed to achieve with the available resources and manpower it had.

264. Most of the countries did not have a strong element of policy-maker influence, and some countries lacked to get sufficient involvement from Government. This may have been out of the project's control but meant that the assumption that policy makers will naturally be interested and motivated around SLM did not hold (see paragraph 137 to 140, especially the Morocco case).

265. In fact, communication upwards especially was not strong in this project. There were a few country level communication awareness and outreach techniques for certain target groups (e.g. Radio shows in Uganda, journalism narratives in media in Uganda, policy brief for cabinet in South Africa, extension officers being used as a medium for information transfer in Ghana, video documentaries in Morocco, Ghana and Uganda). There was one regional policy brief on the methodology. These were certainly helpful and given the project budget a lot was achieved under this umbrella. However, given the potential for spread of this project and the power that it had to change people's lives, there should have been more emphasis placed on developing an effective communications strategy at regional level, and indeed for broader uptake in the GEF community. This said, it is the hope that the book will do just that, as it packages the key information of the project very nicely. This will however depend on the level of dissemination, and who the intended target groups are.

266. Depending on the further spread, both vertically and horizontally of the project, and the level of further support that GEF and others can give to this spread, the project has real potential of building towards the TOC impact.

267. With these conclusions in mind, the project is rated as **Satisfactory**.

Table 8 Summary assessment and ratings by evaluation criterion for the SCI-SLM project

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project was consistent with global environmental needs as well as aligned with regional and national priorities as pertain to land degradation related issues. It was consistent with GEF-4 LDFA strategy, was a constituent part of SIP, was aligned to the UNEP Mandate and linked to the expected accomplishment of the MTS and its PoWs, and aligned to the Bali Strategic Plan. Gender balance was a strong component of SCI-SLM, as was stakeholder participation.	**HS**
B. Achievement of outputs	Most outputs were achieved with the achievement of outputs 1.3, 2.2., 2.3., 3.2. were not necessarily fully achieved, mostly due to budget constraints, but also elements outside of the control of the project (e.g. interest of policy makers in Morocco was not strong), This said, achievement of outputs was significant given the available resources.	**S**
C. Effectiveness: Attainment of project objectives and results	Given what the project set out to achieve, it met most of its outcomes in such as way that it could have a knock-on effect to impact.	**S**
1. Achievement of direct outcomes	The SCI-SLM made major strides towards upscaling community driven initiatives in the four countries. The fact that some outcomes did not come fully to fruition may have been a result of under-budgeting at design phase. There has been strong organic upscaling of communities nearby, but support is still needed to further embed this.	**S**

Criterion	Summary Assessment	Rating
2. Likelihood of impact	The project's intended outcomes were (mostly) delivered and had large evidence-based catalytic moves towards the intermediate states. The potential of this project is vast and if absorbed into global planning and funding could very likely cause large strides towards impact. South-South cooperation was a highly valued tool.	**BA+**
3. Achievement of project goal and planned objectives	The project went beyond achieving its project goal and objective.	**S**
D. Sustainability and replication		
1. Financial	At national level and local level there have been strong moves toward catalytic financing for sustaining elements of SCI-SLM. Despite the vast potential, there has not been enough interest from the broader global community.	**L**
2. Socio-political	Levels of awareness are good on the importance of curbing land degradation. There are no serious political or social situations in the countries that could hinder sustaining results of the project.	**L**
3. Institutional framework	In some countries this is stronger than others.	**L**
4. Environmental	As opposed to business as usual, SCI-SLM has caused improved environmental benefits. Generally if these are sustained then the environment will continue benefitting. It also has natural resilience components integrated into it - SCI-SLM communities are already naturally more resilient.	**L**
5. Catalytic role and replication	The project has had several catalytic elements to it. The potential for replication and further upscaling is large.	**L**
E. Efficiency	SCI-SLM did not have any major delays that impacted on results of the project. Given the short timeframe, a lot was achieved. Cost-effectiveness was extremely high given the amount of achievements and potentials for upscaling and replication.	**HS**
F. Factors affecting project performance		
1. Preparation and readiness	Apart from possible under-budgeting of some activities, the project had enough time to evolve and adapt (given the long delays from GEF in project approval) and be well planned.	**S**
2. Project implementation and management	Project implementation was generally strong. Project management was generally good administratively and in terms of remote guidance, but not enough country visits were made, according to respondents. TAG and the Project Steering Committee, as well as the UNEP Task Manager was very strong in their support and guidance, especially TAG went out of their way in terms of face to face support. National Steering Committees had varying levels of success in different countries.	**S**
3. Stakeholders participation and participation	Stakeholder participation was very strong in this project and can be considered best practice.	**HS**
4. Communication and public awareness	Some activities took place, but in terms of sustainability project could have benefitted from an outreach or communications strategy.	**MS**
5. Country ownership and driven-ness	Very strong country ownership at different levels in the four countries.	**HS**
6. Financial planning and management	Consistent, professional financial management and planning, but not enough co-finance reporting, and possible under-budgeting at planning.	**MS**
7. UNEP supervision and backstopping	Highly appreciated and very strong.	**S**
8. Monitoring and evaluation		
a. M&E Design	Generally strong design, but indicators and mid- and end of project targets only described in PIRs and MTR.	**MS**
b. Budgeting and funding for M&E activities	Budgeting and funding sufficient.	**S**
c. M&E Plan Implementation	Implementation good for box ticking only.	**MS**
Overall project rating		**S**

B. Lessons Learned

268. There are a number of lessons that can be taken away from this project. In fact these are key lessons that should be integrated into any future SLM (or even climate change adaptation) project. Chapter 12 of the SCI-SLM book synthesises some clear lessons; the evaluation will not attempt to copy them here. It will, however build on these and add new ones as the further analysis of spread has been better understood more than a year after project closure. Some of the lessons outlined in the book are already stated clearly enough in the book and thus the evaluator does not deem it necessary to copy them below, having no value-additions to further the lesson with (e.g. South-south Learning, Local Technical Innovation, Methodology, Spread of Innovation - which is built on in lesson 2 below). The key lessons that the evaluation value-adds are elaborated on below.

Lesson 1: Community as centre of learning and entry point

As mentioned in the book, designing a project to look at community initiatives opens the door to social innovation rather than just technical innovation. The way a community organises itself and creates learning environments for the community members has the power to create upscaling and sustaining of initiatives. Using the community as a centre for learning and sharing, as was done for the communities during the project, had enormous success in creating replicable environments. It is no secret that like-minded people are more trusting of each other. Communities who face similar challenges and live in similar contexts can relate to each other in such a way that if one community is overcoming a certain challenge it has an inspiring influence on another. This seemed a strong element coming out of this project. Additionally, some communities from the project continue to be centres for learning for other communities coming to visit them (or being visited).

Lesson 2: Social innovation is an untapped treasure in upscaling and replication

The way a community is organised and structured is the key to whether any initiative will get momentum or not. What makes some communities spread a novel idea better than others? What does it take to create real spread and upscaling? The SCI-SLM went a long way to answering these questions and doing ground-testing. The understanding of true social innovation was one of the key strengths of the SCI-SLM process and has opened the door to understanding that no technical innovation will spread without an element of social innovation.

Lesson 3: Platforms for sharing and exchange at local level is a powerful experience

Most respondents elaborated on the importance of the community exchanges in the project. This contributed strongly to the South-South learning, along with the Africa exchange/international exchange visits. The community specific in-country exchanges created a strong platform for exchange, this links to Lesson 1 above, in that peer learning is much more effective than externals coming in to teach. Communities during the country visits spoke about how other projects often identify 'favourite farmers' who are usually then taken out and lectured on various new tools and skills (mostly western based approaches) and then brought back to the community to teach the rest of the community on these new skills. The advantages of the SCI-SLM approach was to create a sharing mechanism, giving ownership to the community and letting ideas and knowledge flow more freely within the spaces and communities who deal with their challenges and come up with solutions every day, and adding in a scientific interface on the side, to be embedded further. Everything was done at local level. Creating the international platform i.e. having the countries come visit each other (researchers and communities alike) was also powerful. Many communities were very honoured to host groups which gave them the opportunity to not only share their innovations, but also to forge new relationships. As the book states, recognition has proven, through the country

visits, to truly empower and encourage, and visitors endow the communities with greater ambition and determination.

Lesson 4: Strong foundations of previous practice builds a good project

This project was built on years of experience, interest, motivation, and practice of researchers and practitioners who have been testing innovation in the field in countries of Africa. This laid an immensely strong foundation for effective project implementation. It also proves that through previous testing and information building, based more on experience and field research than project documentation, can have a strong positive influence on project design and subsequent implementation. This project also proves that when implementers are directly involved in project design, project implementation can work towards broader impact with the context of mutual understanding of project achievements under the greater framework umbrella. The stakeholder process (through hosting a mobile workshop in 2003 in which designers visited countries, and continuous involvement of country implementers in the design of the project, as well as thorough investigations of the appropriateness of the country implementers) went a long way to laying a strong foundation too.

C. Recommendations

269. Based on the lessons learned a few recommendations are made towards next steps that need to be taken for the move of outcomes of the project to overall impact to be made (as per TOR).

270. *Absorption of lessons learnt into future project development and implementation*. The SCI-SLM has provided our community with truly valuable lessons that apply to SLM and climate change adaptation. It would be a real shame if these lessons, all of them, are not taken up into future projects, especially when aiming to upscale local-level interventions. The community exchanges, south-south learning, making communities centres for learning, and developing a project on a sound foundation all are vital elements that have proven successful in this project. This was a general consensus amongst all stakeholders involved in the project, as was found in the face to face and remote interviews. Regardless of whether SCI-SLM enters another phase, there are lessons here that should be mainstreamed into future development of GEF (and other) projects. **Who should be responsible for this action?** GEF and its implementing agencies, these lessons learnt should be considered throughout the GEF-LDFA (GEF Land Degradation Focal Area) portfolio. **How?** Recommend through a possible check-list for new SLM or climate change adaptation related projects at design phase.

271. *Methodology, especially the social innovation angle and the characterisation, are low hanging fruit for future and current projects*. Any project that has started on SLM or is being built towards SLM implementation should consider using the methodology, especially the social innovation angle, if they are hoping for horizontal spread, and the TEES and SIR tests are also very useful tools to support any local-level project. Based on the Evaluator country visits in all three countries, as well as interviews, it was very clear (e.g. all national coordinators maintained that they continue to use the methodology) that the methodology should have horizontal spread, and should be integrated into future project development across the GEF SLM and climate change adaptation related projects. **Who should be responsible for this action?** Through the strategic book dissemination recommendation below, there should be targeted awareness raising to SLM coordinators in African countries for uptake of the methodology. In addition, this should also be added to the responsibility of the GEF and its implementing agencies, and specifically considered throughout the GEF-LDFA portfolio (as per the recommendation above).

272. *Strategic book dissemination*. The book took a lot of concerted and combined effort to produce, and is *the* tangible output of the project. It is also the best resource for integration and/or upscaling and further embedding the key elements of SCI-SLM into future projects. Very careful consideration should be given on how it can be strategically disseminated to make most impact. It would be in the project's best interest to develop a dissemination strategy (with aims, target groups, print numbers, methods of communication, etc) so that it can have as wide a readership as possible within the natural resource community. Given the impact that the project has had, and the effort in writing detailed chapters, it would be a real missed opportunity not to disseminate the book in such a way that it reaches specific target groups who will make use of it. Target groups should include Africa country SLM coordinators (e.g. UNCCD Focal Points, NGO SLM leaders), among others. **Who should be responsible for the dissemination strategy?** Funds have been dedicated for the book launch in South Africa, led by the Project Management Unit (CEAD). The Evaluator recommends that UNEP-GEF take responsibility to ensure that the launch takes place, and that there is an effective dissemination strategy for the book, for the embedment of the SCI-SLM principles into future projects and into country programmes. UNEP-GEF will need to ensure that there is sufficient funding for this strategy and its implementation.

273. *Global uptake*. This, building on the recommendation on book dissemination, refers to the greater GEF community and showcasing the project in all types of events (e.g. GEF conferences, side events, Africa level conferences like Clim-Dev, etc). Sharing of an information brief should also be made available on various platforms (Africa Adaptation Knowledge Network, Africa-Adapt, etc). **Who should be responsible for the activities?** UNEP-GEF need to ensure that the book dissemination is strategic and that SCI-SLM elements are integrated into the wider GEF-LDFA portfolio. In addition, all country coordinators work in SLM and should have a responsibility to share the showcasing of the SCI-SLM work at the various conferences that they do visit.

274. *Next steps in terms of SCI-SLM*. Based on the extensive interviews carried out with project stakeholders (where most made recommendations for an important upscaling phase of SCI-SLM), the Evaluator recommends that the ideal situation would be a Full-sized Project built on elements of the SCI-SLM, related to climate change adaptation in a number of African countries, with an additional component built in. This component would look at one step beyond the SCI-SLM project, and that is the practical implementation of the science/local knowledge interface. A lot of communities and project partners shared, during the evaluation process, that often technical advice was given to support/improve community initiatives, but these were not always tested or implemented due to lack of financing, time and other resources. It was suggested strongly that a component, or next step, would be this technical science infused into community initiative implementation and experimentation. **Who should be responsible for this next step?** UNEP would be in a good position to develop such a project document, with the advisory support from TAG and country partners, for submission to GEF.

Annexes

1. Evaluation TORs (without annexes)
2. List of documents reviewed
3. Country visit Itineraries
4. List of respondents contacted and interviewed
5. Summary co-finance information and statement of project expenditure by activity
6. Presentation of evaluation findings and lessons
7. Brief CV of consultant
8. Response to stakeholder comments received but not (fully) accepted by the evaluator

Annex 1: Terms of Reference of the SCI-SLM Project Terminal Evaluation

Objective and Scope of the Evaluation

1. In line with the UNEP Evaluation Policy[97] and the UNEP Programme Manual[98], the Terminal Evaluation 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 the main project partners – the GEF, CEAD (South Africa), TARGA-Aide (Morocco), Ministry of Agriculture, Animal Industry and Fisheries (Uganda) and the University of Development Studies (Ghana). Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

2. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

(a) Has the project been successful in identifying community based SLM initiatives, creating interactive SLM databases, and analysing their technical, social and economic aspects?

(b) To what extent has the project succeeded in stimulating and up-scaling community SLM initiatives (in terms of technical capacity, organisational structure, improved local governance, and improved communication) in each of the participating countries?

(c) What evidence is there that demonstrates an increased in awareness on SLM initiatives amongst the policy makers, and to what extent can this be attributed to the project's activities and outputs?

(d) To what extent has the project succeeded in developing guidelines and methodologies for the institutionalisation and upscaling of SLM initiatives in each of the participating countries? Have these methodologies and guidelines been tested and refined at the national level?

(e) To what extent has the project succeeded in contributing to the SIP Development and Global Environment Objectives, and South-to-South exchange and learning in SLM approaches?

(f) How effectively and efficiently was the overall project planned, coordinated and monitored? What was the performance of the UNEP divisions and partners involved in the project?

Overall Approach and Methods

3. The Terminal Evaluation of the Project will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Task Manager and the Sub-programme Coordinators of the Ecosystem Management Sub-programme.

4. It 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 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.

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

(a) A **desk review** of:

- Relevant background documentation, inter alia UNEP Medium-term Strategy 2010-2013 and Programmes of Work, relevant policies and legislation, including documented project background information;
- 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, etc.;
- Project outputs such as: meeting minutes, case studies, workshop reports, training materials, databases, research papers, policy briefs, methodologies and guidelines on upscaling SLM initiatives, newsletters and other publications;
- Project mid-term review report; and
- Any other relevant material on the project design and its implementation.

(b) **Interviews (individual or in group) with**:

- UNEP Task Manager
- Project management team
- UNEP Fund Management Officer and other relevant staff in UNEP and GEF as necessary;

[97] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[98] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

- The National Coordinators, representatives from the Project Steering Committee, National Steering Committees, Project Management Unit, Technical Advisory Group, and key project partners, to the extent possible;
- Stakeholders involved with this project including: relevant government organisations, NGOs, private sector organizations, financial and promotional entities, academia and research centres, national organizations and institutes, including National Competent Authorities, regional and international organizations and civil society representatives, including rural communities to the extent possible.

(c) **Surveys** (e.g. questionnaire surveys targeting selected countries and participants of outreach events)
(d) **Field visits**(this evaluation may entail field missions to interview relevant stakeholders and the project team)
(e) **Other data collection tools**

Key Evaluation principles

6. 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) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

7. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

8. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

9. **Baselines and counterfactuals**. In attempting to attribute any outcomes and impacts to the project intervention, the evaluators 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 evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

10. **The "Why?" Question.** As this is a terminal evaluation and similar interventions are envisaged for the future, particular attention should be given to learning from the experience. Therefore, the "*Why?*" question should be at the front of the consultants' minds all through the evaluation exercise. 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, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain "*why things happened*" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "*where things stand*" at the time of evaluation.

11. 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.

12. **Communicating evaluation results.** Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) 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.

Evaluation criteria
Strategic relevance

13. The evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.

14. The evaluation will assess whether the project was in-line with the GEF Land Degradation focal area's strategic priorities and operational programmes (SO2, SP 1 and SP 3).

15. The evaluation will also assess 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. 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. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013. The magnitude and extent of any contributions and the causal linkages should be fully described.

The evaluation should assess the project's alignment / compliance with UNEP's policies and strategies. The evaluation should provide a brief narrative of the following:

1. *Alignment with the Bali Strategic Plan (BSP)*[99]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
2. *Gender balance*. Ascertain 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. Are the project intended results contributing to the realization of international Gender Equality (GE) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance GE?
3. *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
4. *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

16. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

Achievement of Outputs

17. The evaluation will assess effectives and milestones as presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness.

18. Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs?

Effectiveness: Attainment of Objectives and Planned Results

19. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

20. The **Theory of Change** (ToC) of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.

21. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).

22. The assessment of effectiveness will be structured in three sub-sections:

(f) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main question will be to what extent the project has contributed to: (i) Identification and analysis of community initiatives in SLM; (ii) Stimulation and upscaling of community initiatives; (iii) Awareness raising amongst policy makers; and (iv) Development of methodology for upscaling and institutionally embedding SLM initiatives. Additional questions would be to what extent the project was able to contribute to the SIP's Development and Global Environment Objectives in terms of implementation of policies and on-the-ground investments aligned against national and SIP priorities and reduction of impacts of land degradation on ecosystem functions and services in SIP investment areas.

(g) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach[100]. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to [intermediate states], and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being.

(h) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document[101]. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.

Sustainability and replication

[99] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

[100] Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

[101] Or any subsequent **formally approved** revision of the project document or logical framework.

23. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

24. Four aspects of sustainability will be addressed:

(i) ***Socio-political sustainability.*** Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent, if at all, has the integration of gender equality led to an increase in the likelihood of sustainability of project results?

(j) ***Financial resources.*** To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources[102] will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?

(k) ***Institutional framework.*** To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?

(l) ***Environmental sustainability.*** Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

25. **Catalytic role and replication**. The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

(m) *catalyzed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;
(n) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
(o) contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;
(p) contributed to *policy changes* (on paper and in implementation of policy);
(q) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
(r) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

26. *Replication* is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and determine to what extent actual replication has already occurred, or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

27. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its (severely constrained) secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions.

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 and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. For instance, the project suffered from delays; to what extent was the project efficiently managed and what lessons can be learnt for future projects? To what extent did these challenges have an impact on the delivery of project outcomes and the achievement of the project objective?

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[102] Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

Factors and processes affecting project performance

28. **Preparation and readiness**. This criterion focusses on the quality of project design and preparation. Were project stakeholders[103] adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

29. **Project implementation and management**. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions, the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

(s) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?

(t) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.

(u) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.

(v) Assess the extent to which project management responded to direction and guidance provided by the UNEP Task Manager and project steering bodies including the Project Steering committee and the National Steering Committees

(w) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

30. **Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users (such as government institutions, private interest groups, local communities, etc.) of project products. The TOC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

(x) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?

(y) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?

(z) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?

(aa) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?

(bb) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.

(cc) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives (such as WOCAT[104], the Southern-African CBNRM[105] Research and Networking Programme, PROLINNOVA[106] Programme, The Bright Spots Project, and the Small Grants Programme) to build stronger coherence and collaboration between the participating countries?

(dd) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

31. **Communication and public awareness**. The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report. Did the project identify and make us of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

[103] Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

[104] World Overview of Conservation Approaches and Technologies

[105] Community Based Natural Resource Management

[106] PROmoting Local INNOVAtion in ecologically oriented agriculture and NRM

32. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution and those participating in the Project Steering Committee, National Steering Committees, Technical Advisory Group, and key partnership agreements:

(ee) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?
(ff) How and how well did the project stimulate country ownership of project outputs and outcomes?
(gg) [Any other project-specific questions]

33. **Financial planning and management**. Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

(hh) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
(ii) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
(jj) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
(kk) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

34. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.

35. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make.

36. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

(ll) The adequacy of project supervision plans, inputs and processes;
(mm) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
(nn) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

37. **Monitoring and evaluation**. The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

(oo) *M&E Design*. The evaluators should use the following questions to help assess the M&E design aspects:

- Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
- How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on Gender Equality (including sex-disaggregated data)?

- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

(pp) *M&E Plan Implementation*. The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- PIR reports were prepared (the realism of the Task Manager's assessments will be reviewed)
- Half-yearly Progress & Financial Reports were complete and accurate;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

The Consultant

38. For this evaluation, the evaluation team will consist of one independent Consultant. Details about the specific roles and responsibilities of the consultant are presented in Annex 1 of these TORs. The following expertise and experience is required:

- Postgraduate qualification in: environmental sciences; environmental conservation issues including land degradation, deforestation and desertification; biodiversity management including invasive plant species; sustainable land management; sustainable agriculture; climate change mitigation and adaptation; or related field.
- At least 10 years' experience and proven track record with: project evaluations - including of regional or global programmes and using a Theory of Change approach; capacity building; policy development and implementation.
- Broad understanding of United Nations Convention to Combat Desertification (UNCCD); experience with projects in the context of the UNCCD and the Strategic Investment Program (SIP) for Sustainable Land Management for Sub-Saharan Africa is a distinct advantage.
- Knowledge of the UNEP and GEF evaluation policies and procedures would be an asset.
- Fluency in both written and oral English[107]; knowledge of French language is desirable.[108]

39. The Consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation. S/He will ensure that all evaluation criteria and questions are adequately covered.

40. By undersigning the service contract with UNEP/UNON, the consultant certifies that s/he has not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, s/he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

Inception Report

41. The evaluation consultant will prepare an **inception report** (see Annex 2(a) of TORs for guidelines on the Inception Report outline) containing: a thorough review of the project context and project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework, and a tentative evaluation schedule.

42. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project
- Preparation and readiness;
- Financial planning;
- M&E design;
- Complementarity with UNEP strategies and programmes;
- Sustainability considerations and measures planned to promote replication and up-scaling.

43. The inception report will present a draft, desk-based **reconstructed Theory of Change** of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

44. The inception report will also include a **stakeholder analysis** identifying key stakeholders, networks and channels of communication. This information should be gathered from the Project document and discussion with the project team. (see Annex 9)

45. The **evaluation framework** will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be

[107] Evaluation reports will be submitted in English

[108] The evaluation reports shall be presented in English however the national language of the country being evaluated may be used for stakeholder consultations and surveys as necessary.

identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

46. Effective **communication strategies** help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information e.g. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a **2-page summary of key findings and lessons** (please refer to annex 10).

47. The inception report will also present a **tentative schedule** for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

48. **[Optional]** When data collection and analysis has almost been completed, the evaluation team will prepare a short note on preliminary findings and recommendations for discussion with the project team and the Evaluation Reference Group. The purpose of the note is to allow the evaluation team to receive guidance on the relevance and validity of the main findings emerging from the evaluation.

Preparation of the main report

49. The main evaluation report should be brief (around 50 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

Review of the draft evaluation report

50. The evaluation consultant will submit a **"zero draft"**[109] to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share it with the Task Manager as a "**first draft"** report, who will alert the EO in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the executing agencies, project stakeholders and project partners in the six pilot countries, 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. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation consultant for consideration in preparing the final draft report, along with its own views.

51. The evaluation consultant will submit the "**final draft"** report no later than 2 weeks after reception of stakeholder comments. The consultant will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

52. **Submission of the final evaluation report.** The **final report** shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.

53. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultant. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

54. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

55. 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. After reception of the Recommendations Implementation Plan, the Task Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six month until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.

Logistical arrangements

56. This Terminal Evaluation will be undertaken by two independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for his/her travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to

[109] This refers to the earliest, completed main report that will be submitted by the consultant(s) for review by the EO before transitioning to a 'first draft' that meets an acceptable standard and that can be circulated for external review.

the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings, etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

Schedule of the evaluation

57. Table 1 below presents the tentative schedule for the evaluation.

Table 1. Tentative schedule for the evaluation

Milestone	Tentative timelines
Consultant recruitment and contracting process	July 2015
Inception and Kick off meetings	September 2015
Final Inception Report	September 2015
Evaluation Missions	October 2015
Telephone interviews, surveys etc.	October 2015
'Zero' draft report	November 2015
First Draft Report shared with UNEP Project Manager	November 2015
[Revised] First Draft Report shared with project team	December 2015
Draft Report shared with external stakeholders	December 2015
Final Report and 2-page summary of key findings and lessons	December 2015 – January 2016

Annex 2: List of Documents reviewed for the SCI-SLM TE

Documents made available by UNEP and project partners for review.

2003

UNEP. September 2003. Sub Project Document

2004

UNEP. December 2004. Sub Project Closing Revision

UNEP. Endorsement Letters.2004

2005

UNEP. January 2005. Status of allotment Report

UNEP. 2005. Bali Strategic Plan.

2007

UNEP. October 2007. PIF SCI-SLM Final Revised Report

2008

UNEP. February 2008. Memorandum

2009

UNEP. 2009. GEF Cash Advanced Statement

UNEP. 2009. Legal inst and Annexes **(Legal Folder)**

UNEP. 2009. Project Endorsement

UNEP. 2009. Routing Slip **(Legal Folder)**

UNEP. July 2009. Project Terminal Evaluation

UNEP. July 2009. Trustee Letter

UNEP. July 2009.Project Management Review

UNEP. June 2009. GEP Endorsement

UNEP. June 2009. Project document

UNEP. June 2009. SCI-SLM CEO endorsement

UNEP. June 2009. Umbrella Budget

UNEP. May 2009. DGEF Project Review Committee minutes

UNEP. May 2009. Finance confirmation

2010

UNEP. 2010. Quarterly Expenditure Statement

UNEP. December 2010. Farmer Support Group Financial Statements

UNEP. March 2010. GEF Cash Advance Statement

UNEP.2010.GCSS.X/8 Report

Teleconference minutes, 18 November 2010.

UNEP. 2010. Programme of Work (PoW) 2012-2013.

UNEP. Medium Term Strategy 2010-2013.

2011

UNEP. 2011. GEF PIR Fiscal

UNEP. December 2011. Reconciliation cumulative

UNEP. December 2011. Quarterly Expenditure Statement

UNEP. December 2011. Farmer Support Group Financial Statements

2012

UNEP. 2012. GEF PIR Fiscal

Morocco. Progress Report, 2012, Minutes from Teleconference.
Ghana. Progress Report, 2012, Minutes from Teleconference.
Uganda. Progress Report, 2012, Minutes from Teleconference.
South Africa. Progress Report, 2012, Minutes from Teleconference.
TAG. Mission to Uganda. 13 - 14 March 2012. Will Critchley.

2013

UNEP. 2013. GEF PIR Fiscal
UNEP. March 2013. MTR-Final Report
UNEP. December 2013. Quarterly Expenditure Statement

2014

UNEP. June 2014.GEF- PIR Fiscal
Uganda. Summary Progress Report. Jan to Dec 2014.

2015

UNEP. June 2015. Final TOR evaluation
Draft SCI-SLM Book.

No Dates

UNEP. (2009, 20010, 2011, 2012) Budget21 **(Financial Folder)**
UNEP. Budget (Financial Folder)
UNEP. Response to GEFSEC Review SCI-SLM PIF (**Correspondence Folder)**

Annex 3: Itinerary of Country Visits

Three of the four countries were visited (at approximately six days per country) for the SCI-SLM Terminal Evaluation, namely South Africa, Uganda and Ghana. The evaluation schedules are shown below.

Table 1 SCI-SLM Terminal Evaluation Schedule South Africa 2015 (Justine Braby)

Date	Time	Detail	Any transport needs/other
Sunday, 1 November	17:30	Justine arrives in King Shaka Durban	Justine makes her own way to accommodation
Monday, 2 November	Morning		
	Afternoon	Lunch meeting with Maxwell Mudhara, Avraska Sahadeva, Gail du Toit Brief meeting with Maxwell	Pietermaritzburg - Justine hire a car
Tuesday, 3 November	Morning	Field and community visit to Msinga/Gudwini Community, meetings with Avraska, Community team leader and facilitator, community committee members group meeting	Leave Pietermaritzburg 08:00, Transport to and from field with Avraska
	Afternoon		
Wednesday, 4 November	Morning	Meet Finance Manager (Gail du Toit)	Pietermaritzburg
	Afternoon	Skype with Sabina da Prima	
Thursday, 5 November	Morning	Meet Country Coordinator (Avraska Sahadeva)	
	Afternoon	Feedback meeting and interview with Maxwell	
Friday, 6 November	Morning	Prepare for departure at 12:30 at airport	Justine gets herself back to airport

Table 2 SCI-SLM Terminal Evaluation Schedule Uganda 2015 (Justine Braby)

Date	**Time**	**Detail**	**Any transport needs/other**
Thursday, 12 November	Afternoon	Justine arrives Entebbe, sleep in Entebbe	Stephen to pick up from airport with driver
Friday, 13 November	Morning	Visit Bandera 2000 in Kamuli District	Pick up at 07:30 by driver
	Afternoon	Visit Mukono Community upscale from Bandera	Drive from Bandera
Sunday, 15 November	Afternoon	Depart from Kampala spend night in Mbarara	Depart at 14:00
Monday, 16 November	Morning	Visit RECPA Community in Ntungamo District	Depart Mbarara at 07:30
	Afternoon	Drive back to Kampala	Leave at 13:00
Tuesday, 17 November	Morning	Visit NACIA Community in Nakasongola District	Leave at 08:00
	Afternoon	Return to Kampala	

Date	Time	Detail	Any transport needs/other
Wednesday, 18 November	Morning	Meeting with Stephen, then meeting with NARLI Kawanda, Stephen feedback meeting	Office 08:00 then to NARLI
Thursday, 19 November	Morning	Departure to Airport	Justine to organise taxi 01:00 in morning

Table 3 SCI-SLM Terminal Evaluation Schedule Ghana (Justine Braby)

Date	Time	Detail	Any transport needs/other
Thursday, 19 November	late afternoon (arrives in Accra 11:40)	Justine arrives at Tamale airport **16:10 on AW166 from Accra** [initial flight to Accra - KQ504 NBO to ACCRA arr 11:40]	Transport arranged by Saa to Asempa
Friday, 20 November	Morning	Meeting with Ghana SCI-SLM Team	Asempa
Saturday, 21 November	Morning	Meet with Saa Dittoh for interview, then lunch	Asempa
Monday, 23 Nov	Morning	Meet with Advisory Committee member at Walewale, Mr Agongo (Zasilari) Visit Moatani Community (project site)	Will arrange transport for travels
	Afternoon	Moatani visit and travel to Bolgatanga, Upper East Region. Night in Bolgatanga	
Tuesday, 24 Nov	Morning	Visit to Kandiga Community (project site)	
	Afternoon	Travel back to Tamale. Meeting with Advisory Committee member Mr Malex Alebikiya, Association of Church Development Projects Debriefing with Ghana SCI-SLM Team	
Wednesday, 25 Nov	Afternoon	Justine prepares for departure Tamale to Accra, overnight in Accra	Transport to Tamale Airport to catch afternoon flight
Thursday, 26 Nov	Morning	Prepare for departure from Accra, 12:45 ACC to ROB	Transport to airport to catch 12:45 flight ACC to Monrovia

Annex 4: List of SCI-SLM Respondents Contacted and Interviewed

Name	Role in Project and Affiliation	Email	Method used
Evaluation Team			
Pauline Marima	Evaluation Team	Pauline.Marima@unep.org	Email correspondence various
Harriet Matsaert	Evaluation Team	Harriet.Matsaert@unep.org	Skype meeting, 14:00, 6 Oct 2015
Adamou Bouhari	UNEP Task Manager	Adamou.Bouhari@unep.org	Skype meeting, 14:00, 6 Oct 2015
Rodney Vorley	UNEP Funds Manager	Rodney.Vorley@unep.org	Emailed for Skype request 7 Dec 2015, no response
Harrison Kojwang	Mid-term Reviewer	hokojwang@gmail.com	Face to face meeting, Windhoek, 23 Sep 2015
Project Coordination Unit			
Mohamed Sessay	UNEP Task Manager	mohamedf_sessay@yahoo.co.uk	Skype Interview, 09:00, 14 Oct 2015
Maxwell Mudhara	Project Coordinator, UKZN CEAD	mudhara@ukzn.ac.za	Face to face interviews on 2 and 5 Nov 2015, follow up with questionnaire
Gail du Toit	Funds Manager, UKZN, CEAD	dutoitg@ukzn.ac.za	Face to face interview on 4 November 2015, email follow ups
Technical Advisory Group			
Will Critchely	TAG, CIS- Vrije Universiteit Amsterdam	willcritchley@hotmail.com	Skype Interviews, 10:00 23 Oct 2015, 09:00 18 Dec 2015
Sabina Di Prima	TAG, CIS- Vrije Universiteit Amsterdam	sabina.diprima@vu.nl	Skype Interview, 15:00 4 Nov 2015
Wendelien Tuijp	TAG, CIS- Vrije Universiteit Amsterdam	w.tuijp@vu.nl	Skype Interview, 13:00 10 Dec 2015
South Africa			
Avraska Sahadeva	South Africa Coordinator, UKZN CEAD	sahadeva@ukzn.ac.za	Face to face meeting and field visit, 3 and 4 Nov 2015
Sipho Masuku	Stakeholder and Project Implementation Partner	via Avraska	Answered questionnaire
Shilembe Nduna	Msinga/Gudwini Project Lead, Village Headman, exchange visits	No email	Face to face interview and field visit, 3 Nov 2015
Lindewa	Gudwini Community Facilitator	No email	Face to face interview and field visit, 3 Nov 2015
Gudwini Committee members (11 women)	Gudwini Commitee Members	No email	Group interview and field visit, 3 Nov 2015
Uganda			
Stephen Muwaya	Uganda Project Coordinator, SLM Coordinator, MAAIF	smuwaya@gmail.com	Several face to face interviews, 13-18 Nov 2015, answered questionnaire
Moses Sabiti	Uganda SLM Rwoho Coordinator, MAAIF	no email received	Face to face and field visit, 16 Nov 2015
John Ssendawula	National Steering Committee Member, MAAIF	no email received	Face to face and field visit, 16 Nov 2015
Fred Tabalamule	Uganda SLM Central Coordinator, MAAIF	no email received	Face to face interview and field visit, 13 Nov 2015

Name	Role in Project and Affiliation	Email	Method used
George Mpata	Bandera 2000 Community Leader, exchange visits	no email	Group interview and field visit, 13 Nov 2015
Betty Tudana	Bandera 2000 Executive Chairperson	no email	Group interview and field visit, 13 Nov 2015
Bandera Committee members and trainers (18 farmers, 2/3 women)	Bandera committee members, trainers and stakeholders	no email	Group interview and field visit, 13 Nov 2015
David Chikolowe	Chairperson of Subcounty, Regional Government	no email	Group interview and field visit, 13 Nov 2015
Justine Nakogo	Mukono Community, Chairperson	no email	Group interview and field visit, 13 Nov 2015
Mukono Committee members (10, 3/4 women)	Mukono Community Commitee members	Email	Group interview and field visit, 13 Nov 2015
Mukono Youth Members (7 young men)	Mukono Youth Group	Email	Group interview and field visit, 13 Nov 2015
Byesigwa Jerome	RECPA Chairperson	no email	Face to face and field visit, 16 Nov 2015
Kwatampura Augustinus	RECPA Vice-Chair	no email	Group interview and field visits, 16 Nov 2015
Tumubweine Leon	RECPA Secretary	no email	Group interview and field visits, 16 Nov 2015
Baguma Anachet	RECPA Vice-Secretary	no email	Group interview and field visits, 16 Nov 2015
Amanyire Deon	RECPA Treasurer	no email	Group interview and field visits, 16 Nov 2015
RECPA Commitee members (3 men, 1 woman)	RECPA Committee members	no email	Group interview and field visits, 16 Nov 2015
Richard Molo	Termite Expert, Project Implementation Partner at NACIA community	no email received	Face to face interview, 17 Nov 2015
Henry Kaweesi	NACIA Implementation Partner, MAAIF	no email received	Face to face interview, 17 Nov 2015
Moses Kyarougoz	NACIA Community Member	no email	Group interview and field visits, 17 Nov 2015
Isaac Kasumba	NACIA Community Member	no email	Group interview and field visits, 17 Nov 2015
Zedraic Lubega	NACIA Community Member	no email	Group interview and field visits, 17 Nov 2015
Stephen Ntalo	NACIA Community Member	no email	Group interview and field visits, 17 Nov 2015
Lucy Lobega	NACIA Community Member	no email	Group interview and field visits, 17 Nov 2015
Winnifred Opio	Project Implementation Partner, NARO	no email received	Group interview at NARO offices, 18 Nov 2015
Esther Arengo	Project Implementation Partner, NARO	no email received	Group interview at NARO offices, 18 Nov 2015

Name	Role in Project and Affiliation	Email	Method used
Stella Adumo	Project Implementation Partner, NARO	no email received	Group interview at NARO offices, 18 Nov 2015
Ghana			
Saa Dittoh	Ghana Project Coordinator, UDS	saaditt@gmail.com	Face to face interview and feedback meeting, 21 and 24 Nov 2015
Nabilse Cuthbert Kaba	Ghana SCI-SLM Team	cuthbertkaba@gmail.com	Face to face interviews and feedback meeting, 20-24 Nov 2015
Margaret Akuriba	Ghana SCI-SLM Team	akumerg@yahoo.com	Face to face interview 20 Nov 2015
Conrad Weobong	Ghana SCI-SLM Team	conradweobong@yahoo.com	Could not meet in person, questionnaire sent, no response, reminder sent, no response
Yakubu Tanko	Moatani Community Facilitator	no email	Group interview and field visit, 23 Nov 2015
Moatani Committee Members (18 women)	Moatani Committee Members	no email	Group interview and field visit, 23 Nov 2015
Issifu Sule Mana	Project Implementation Partner, ZEFP, stand in for NSC	no email received	Face to face meeting, 23 Nov 2015
Gregory Awekeya	Kandiga Community Facilitator	no email	Group interview and field visit, 24 Nov 2015
Adia-enya Aganymikre	Kandiga Committee Chairperson	no email	Group interview and field visit, 24 Nov 2015
Kandiga Committee Members (11 women, 3 men)	Kandiga Committee Members	no email	Group interview and field visit, 24 Nov 2015
Joe Nchor	Project Implementation Partner, ACDP	no email received	Face to face meeting at ACDP, 24 Nov 2015
Malex Alebikiya	NSC Member, ACDP	no email received	Face to face meeting at ACDP, 24 Nov 2015
Morocco			
Mohammed Mahdi	Morocco Project Coordinator, TARGA-Aide aitmahdi@gmail.com		Email correspondence, answered questionnaire (asked to distribute questionnaire to NSC and team members, no response to this

Annex 5: Project Costs and Co-financing Tables

Project Costs

Component/sub-component/output	Estimated cost at design (USD) (including from co-financing sources)	Actual Cost (USD)	Expenditure ratio (actual/planned) (USD)
1. Identification and analysis of community initiatives in SLM	1,080,175	335.803	0.311
2. Stimulation and upscaling of community initiatives	462,672	78.281	0.169
3. Awareness raising amongst policy makers	212,470	64.128	0.302
4. Development of methodology for upscaling and institutionally embedding SLM initiatives	162,255	46.925	0.289
5. Project management	177,000	248.012	1.401

Co-financing

Co financing (Type/Source)	UNEP own Financing (US$1,000)		Government (US$1,000)		Other* (US$1,000)		Total (US$1,000)		Total Disbursed (US$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
– Grants	-	-	-	-	-	-	-	-	-
– Loans	-	-	-	-	-	-	-	-	-
– Credits	-	-	-	-	-	-	-	-	-
– Equity investments	-	-	-	-	-	-	-	-	-
– In-kind support	-		479.181	Not Reported	703.000	582.074	-	-	-
– Other (*) - -	-	-	-	-	-	-	-	-	-
Totals			479.181	Not Reported	703.000	582.074			

Annex 6: SCI-SLM Terminal Evaluation Brief

The SCI-SLM Evaluation Brief (SCI-SLM TE Info Brief) has been attached as a separate PDF file. The content of this brief is as follows:

STIMULATING COMMUNITY INITIATIVES IN SUSTAINABLE LAND MANAGEMENT (SCI-SLM)

SCI-SLM: Results and Lessons Learned

About the Project

The medium-sized project 'SCI-SLM' was implemented between September 2009 and December 2014. It sought to refine ways of stimulating the further improvement and spread of community-based sustainable land management initiatives while developing a methodology to upscale and institutionally embed SCI-SLM approaches at local and regional level in four African countries, namely South Africa, Uganda, Ghana and Morocco. This project was a GEF funded, UNEP implemented project. The project was coordinated by the University of KwaZulu-Natal's Centre for Environment, Agriculture and Development (CEAD), where the Project Management Unit was based. CEAD was also the South Africa country implementer. The Ministry of Agriculture, Animal Industry and Fisheries implemented the project in Uganda, the University of Development Studies in Ghana, and the TARGA-Aide in Morocco. The Centre for International Cooperation of the Vrije Universiteit Amsterdam in the Netherlands provided methodological and technical support. The total budget of the project was USD 2, 095,572.00, of which USD 912,391.00 was GEF allocated, the remainder was co-financing from the four countries.

Relevance

Combating land degradation is a key issue globally that is being invested heavily to curb. This project took a novel approach to addressing land degradation that went a long way towards improving land and human wellbeing. The project aligned to GEF-4 land degradation focal area strategy. The SCI-SLM was a constituent part of the Strategic Investment Programme for SLM in sub-saharan Africa. The project was consistent with the UNEP mandate and aligned with the Mid-Term Strategy (2010-2013) objectives and expected accomplishments under two cross-cutting themes, namely climate change and ecosystem management. The project ensured gender balance, stakeholder participation was a strong component of the project, and it aligned to the Bali Strategic Plan. At regional level, the project was consistent with Sub-Regional Action Programmes of the UNCCD. The project also aligned with the national priorities at the highest level.

Performance

The SCI-SLM managed to achieve major strides towards upscaling community-driven initiatives in the four countries, especially considering this was a medium-sized project. Increased knowledge in especially the social innovation methodology, may be one of the biggest successes of this project. The likelihood of achieving project impact, which is improved ecosystem health and improved wellbeing through social cohesion and innovations applied to SLM initiatives regionally for wide spread and knowledgeable community of practice through local knowledge-science interface, with social innovation at the core, is highly likely, especially if the global community absorbs the success and lessons into the greater SLM umbrella. The methodology that was developed through the implementation of the project is highly replicable. The SCI-SLM went beyond achieving its project goal in that it was a novel and replicable approach to the way that land degradation is addressed in Africa, and indeed elsewhere.

Factors affecting Project Performance

The project was very well designed, based on solid stakeholder participation processes, with key implementers part of the design process. The design was also built on years of previous experience in the field. It is possible that financial planning was slightly under-budgeted because a small number of activities could not be carried out in some countries as a result of limited financial resources. The project managed to more than achieve its results, and set an example for other projects on what is achievable with very little resources, using passion and effective overall management.

Key Lessons Learned

There are multiple strong lessons that were identified in the book 'Stimulating community initiatives in sustainable land management' in its last chapter (which was being published at the time of this evaluation). The four lessons below add on the book's (Chapter 12) synthesis.

Lesson 1: Community as centre of learning and entry point

As mentioned in the book, designing a project to look at community initiatives opens the door to social innovation rather than just technical innovation. The way a community organises itself and creates learning environments for the community members has the power to create upscaling and sustaining of initiatives. Using the community as a centre for learning and sharing, as was done for the communities during the project, had enormous success in creating replicable environments. It is no secret that like-minded people are more trusting of each other. Communities who face similar challenges and live in similar contexts can relate to each other in such a way that if one community is overcoming a certain challenge it has inspiring influence on another. This seemed a strong element coming out of this project. Additionally, some communities from the project continue to be centres for learning for other communities coming to visit them (or being visited).

Lesson 2: Social innovation is an untapped treasure in upscaling and replication

The way a community or organised and structured is the key to whether any initiative will get momentum or not. What makes some communities spread a novel idea better than others? What does it take to create real spread and upscaling? The SCI-SLM went a long way to answering this question and doing ground-testing. The understanding of true social innovation was one of the key strengths of the SCI-SLM process and has opened the door to understanding that no technical innovation will spread without an element of social innovation.

Lesson 3: Platforms for sharing and exchange at local level is a powerful experience

Most respondents elaborated on the importance of the community exchanges in the project. This contributed strongly to the South-South learning, along with the Africa exchange/international exchange visits. The community specific in-country exchanges created a strong platform for exchange, this links to Lesson 1 above, in that peer learning is much more effective than externals coming in to teach. Communities during the country visits spoke about how other projects often identify 'favourite farmers' who are usually then taken out and lectured on various new tools and skills (mostly western based approaches) and then brought back to the community to teach the rest of the community on these new skills. The advantages of the SCI-SLM approach was to create a sharing mechanism, giving ownership to the community and letting ideas and knowledge flow more freely within the spaces and communities who deal with their challenges and come up with solutions every day, and adding in a scientific interface on the side, to be embedded further. Everything was done at local level. Creating the international platform i.e. having the countries come visit each other (researchers and communities alike) was also powerful. Many communities were very honoured to host groups which gave them the opportunity to not only share their innovations, but also forge relationships. As the book states, recognition has proven, through the country visits, to truly empower and encourage, and visitors endow the communities with greater ambition and determination.

Lesson 4: Strong foundations of previous practice builds a good project

This project was built on years of experience, interest, motivation, and practice of researchers and practitioners who have been testing innovation in the field in countries of Africa. This laid an immensely strong foundation for effective project implementation. It also proves that through previous testing and information building, based more on experience and field research than project documentation, can have a strong positive influence on project design and subsequent implementation. This project also proves that when implementers are directly involved in project design, project implementation can work towards broader impact with the context of mutual understanding of project achievements under the greater framework umbrella.

Annex 7: Brief CV of Consultant

Name Justine Braby
Nationality Namibia (and Germany)
Languages English, German, (learning Spanish)

Academic Qualifications

PhD Zoology, University of Cape Town, Cape Town, South Africa, June 2011
Postgraduate Diploma (International) Environmental Law, University of Cape Town, Feb 2007
Postgraduate Certificate Education (Senior Phase and Further Education), University of Cape Town, Dec 2005
Bachelor of Science (Zoology), University of Cape Town, Dec 2004
[Training certificate in the Economics of Ecosystems and Biodiversity, GIZ and Government of Namibia (2011)]

Summary

Professional expertise ranges from project development, implementation, to evaluation of GEF projects for agencies like UNDP, UNEP, FAO and IUCN; communication strategy development, implementation and evaluation for various institutions; capacity-building interventions and facilitation of participatory processes; development of NAPAs, national development plans, strategies and action plans. Justine has thematic expertise and extensive experience in international environmental law (reporting and implementation), climate change (adaptation mostly), sustainable land management, biodiversity and ecosystem services, alternative development paradigms (alternative economics), coastal zone management, water resource management, and renewable energy as it pertains to climate change. She has worked for African governments and international and national development agencies all over Africa, and had experience working in several countries in Latin America and Europe.

Regional Experience

Africa (West, East, South, Central), Central America, South America, Europe

Professional Associations

Climate Change Focal Point and Member of the IUCN Commission on Education and Communication (www.iucn.org/cec)
Deputy Coordinator/Programme Director (elected in March 2012) of the African Youth Initiative on Climate Change (AYICC), the leading youth network on climate change matters for African youth and has currently 31 country-members (www.ayicc.net)
Founder of the Namibia Youth Coalition on Climate Change (www.youthclimate-namibia.org)
Member of the Balaton Network on Sustainability (www.balatongroup.org)
Selected by the Club Of Rome as one of 60 Future World Leaders (Change of Course)
NNF Associate

Publications experience

Climate Change Adaptation, Community Resilience, Communication, Education and Public Awareness, Zoology, Marine Biology, Ecology, Alternative Economics

Annex 8: Response to stakeholder comments received but not (fully) accepted by the Evaluator

All comments received by project team and stakeholders were fully accepted by the Evaluator.

Annex 9 Quality Assessment of the Evaluation Report

Evaluation Title: **Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)**

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. **Quality of the Executive Summary**: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	**Draft report:** It is well summarised and captures the main highlights of the evaluation findings in a succinct manner Final report: Same comment as above	5.5	6
B. **Project context and project description**: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	**Draft report:** The context and background of the project are well defined and in accordance with the TOR requirements Final report: Same comment as above	6	6
C. **Strategic relevance**: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	**Draft report:** There is sufficient detail provided including examples that show project relevance to global, regional and national environmental issues and needs, including UNEP manadate, MTS 2010-13, relevant Expected Accomplishments, among other strategies and programmes Final report: Same comment as above	6	6
D. **Achievement of outputs**: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	**Draft report:** The chapter gives an evidence based assessment of output delivery; qualitative aspects of the outputs discussed are less apparent in some cases. The consultant is advised to cite more specific examples and sources of info to substantiate the findings reported	5	5.5

	Final report: More examples were provided to substantiate findings. Section is improved from previous draft		
E. **Presentation of Theory of Change**: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	**Draft report:** The TOC diagram is clear, logical and it sufficiently depicts the project's causal pathways. It is also sufficiently described in narrative. Final report: Same comment as above	5	5
F. **Effectiveness - Attainment of project objectives and results**: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: The section on Effectiveness needs further elaboration of the findings, clearer linkages to the outcomes being assessed, and more evidence-based narratives. Final report: More examples were provided to substantiate findings. Section is improved from previous draft	4.5	5
G. **Sustainability and replication**: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: The treatment of the 'sustainability' section could use more substantiation including also specific examples to justify the ratings provided. Final report: More examples were provided to substantiate findings. Section is improved from previous draft	4	5
H. **Efficiency**: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: This section is adequately covered. The financing tables are complete. No comparisons have been provided. Final report: Same comment	5.5	5.5
I. **Factors affecting project performance**: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: This section is covered adequately for the most part. Minor improvements needed to get a more comprehensive and systematic coverage of the sub-criteria being assessed. The consultant has been advised to substantiate findings with examples and to state sources of info where applicable. Final report: More examples were provided to substantiate findings. Some improvement from previous draft is	5	5

	noted		
J. **Quality of the conclusions:** Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: The conclusions section is well written and highlights the key findings from the project evaluation – both positive and negative. Final report: Same	6	6
K. **Quality and utility of the recommendations**: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?)'. Can they be implemented?	Draft report: The recommendations are well founded on actual findings mentioned in the report. The consultant has been adviced to propose who should implement the corrective action in order to make the implementation more 'actionable'. Final report: Some improvement noted from previous draft	5	5.5
L. **Quality and utility of the lessons**: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: The lessons are clear and include their contextual background. They are formulated in a manner that allows for wider applicability Final report:	6	6
Report structure quality criteria			
M. **Structure and clarity of the report**: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: The consultant has made an effort to follow the guidelines provided in the TOR and by the Evaluation Manager. All requested annexes are included. Final report: Same	6	6
N. **Evaluation methods and information sources**: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: The evaluation approach, methodology and information sources are clearly described. The consultant consulted widely. Primary data were enumerated through interviews, meetings, consultations and interviews. Secondary data was extracted from existing documentation. Results of the primary and secondary data analysis were triangulated. Limitations are adequately described. Final report: Same	6	6
O. **Quality of writing**: Was the report well written? (clear English language and grammar)	Draft report: The report is well written, comprehensible, and logical. Final report:	6	6

P. **Report formatting**: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: The report is well written, comprehensible, and logical. Final report: Same	6	6
	OVERALL REPORT QUALITY RATING	**5.5 (S)**	**5.7 (HS)**

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments	Rating
Evaluation process quality criteria		
Q. **Preparation:** Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Yes. The budget was agreed and approved by the EO. The Inception Report was delivered and discussed before travel	6
R. **Timeliness:** Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	No. the TE was initiated more than six months after project completion. TOR deadlines were respected to the extent possible. Alterations to the planned timelines were discussed and agreed between the Evaluation Manager and the Consultant	5
S. **Project's support:** Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	The project provided sufficient documentation and the consultant was offered logistical support in conducting the missions. Payments due to the consultant were significantly delayed by UNEP due to the transition to Umoja	4
T. **Recommendations:** Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	An implementation plan for the evaluation recommendations has been prepared and will be shared with the relevant personnel	6
U. **Quality assurance:** Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	Yes. The draft reports were peer reviewed prior to circulation to the project team and external stakeholders for comments. An assessment of the quality of the zero draft was undertaken	6
V. **Transparency:** Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	The TOR was shared with the Task Manager for comments. The draft TOR was not shared with external stakeholders however. Draft reports were sent directly to the EO. The draft report was shared internally within UNEP and to external stakeholders. Comments to the draft by stakeholders were sent back to the EO	5

W.	**Participatory approach:** Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Yes. Close communication between the consultant and the EO was maintained throughout the evaluation. Evaluation findings and lessons learned will be disseminated through the circulation of the report to a wider stakeholder base including its availability on the UNEP document repository. Efforts will be made to circulate a separate 2-page summary of the main evaluation highlights and lessons.	5
X.	**Independence:** Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	The consultant was selected by the EO independently of the project team	6
		OVERALL PROCESS RATING	**5.4 (S)**

Rating system for quality of evaluation reports

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.